



Asset  
Management

GOLDMAN SACHS MUTUAL FUND  
APPLICATION FORM  
FOR GOLDMAN SACHS EXCHANGETRADED SCHEMES  
(except for GS Gold BeES, GS Liquid BeES and CPSE ETF)

Application No.

Please read Key Information Memorandum and the instructions in this Application Form. All sections to be filled legibly in English and in BLOCK LETTERS.

Broker/Distributor Name*:	ARN: 9992	Sub-Broker Name & Code	Registrar Serial No.
Employee Name & EUIN:			
Declaration for "execution-only" transaction (mandatory if EUIN box is left blank) (Refer Instruction 1) "I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this transaction is executed without any interaction or advice by the employee/relationship manager/sales person of the above distributor/sub broker or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor/sub broker".			
First/Sole Applicant/ Guardian/ POA Holder Second		Applicant/ POA Holder Third	Applicant/ POA Holder

\*If not routed through a broker/distributor, will be captured as DIRECT

Upright commission (if any) shall be paid directly by the Investor to the ARN holder (AMFI registered distributor) based on the Investors' assessment of various factors including the service rendered by the ARN holder. Investors who have directly transacted with the fund before, please skip section 1 to 5, provide attested PAN copy and KYC documents for all Applicants/ POA holders /Guardian (as applicable), if not provided earlier and proceed to section 6.

1. TRANSACTION CHARGES FOR APPLICATIONS THROUGH DISTRIBUTORS ONLY (Please tick (✓) any one)

- ☐ I confirm that I am a first time Investor across mutual funds.  
(₹ 150 deductible as transaction charge and payable to the Distributor)
- ☐ I confirm that I am an existing Investor in mutual funds.  
(₹ 100 deductible as transaction charge and payable to the Distributor)

Applicable for transaction routed through an empanelled Distributor who has 'opted in' to receive transaction charges

2 EXISTING INVESTOR DETAILS (Refer instruction no. 2)

First / Sole Holder Name \_\_\_\_\_ PAN \_\_\_\_\_  
Investors who have directly transacted with the Fund before, please skip section 2 to 6, provide attested PAN copy and KYC documents for all Applicants/ POA holders /Guardian (as applicable), if not provided earlier and proceed to section 7.

3. APPLICANT'S INFORMATION (Refer instruction no. 3)

Name of First / Sole Applicant / Non-Individual Investor (In case of minor, there shall not be any joint holders)

Mr./Mrs./Ms./M/s. \_\_\_\_\_

Date of Birth DD MM YY YY PAN\* \_\_\_\_\_ OR PEKRN\* \_\_\_\_\_ KYC compliant# (Please ✓) ☐

Date of Birth proof (for minor) attached (Please ✓) ☐ (Refer instruction no. 1(c))

Nationality \_\_\_\_\_

Gross Annual Income per annum (Please ✓) : ☐ Below 1 Lac ☐ Rs.1 - 5 Lac ☐ Rs.5 - 10 Lac ☐ Rs.10 - 25 Lac ☐ > 25 Lac Net worth as on date Rs. \_\_\_\_\_ (Net worth should not be older than 1 year)

Place of Birth \_\_\_\_\_ Country of Tax Residence \_\_\_\_\_ Tax ID Number^ \_\_\_\_\_

Power of Attorney (PoA) Holder Details - First Holder

Mr./Mrs./Ms. \_\_\_\_\_

PAN\* \_\_\_\_\_ OR PEKRN\* \_\_\_\_\_ KYC compliant# (Please ✓) ☐

Nationality \_\_\_\_\_

Gross Annual Income per annum (Please ✓) : ☐ Below 1 Lac ☐ Rs.1 - 5 Lac ☐ Rs.5 - 10 Lac ☐ Rs.10 - 25 Lac ☐ > 25 Lac Net worth as on date Rs. \_\_\_\_\_ (Net worth should not be older than 1 year)

Place of Birth \_\_\_\_\_ Country of Tax Residence \_\_\_\_\_ Tax ID Number^ \_\_\_\_\_

Name of Guardian (in case first / sole applicant is a minor) Name of Corporate Contact (in case of non-individual Investors)

Mr./Mrs./Ms. \_\_\_\_\_

Relationship with Minor (Please ✓): ☐ Father ☐ Mother ☐ Court appointed Legal Guardian (Please attach proof.)

Nationality \_\_\_\_\_ Designation (For corporate contact) \_\_\_\_\_

PAN\* \_\_\_\_\_ OR PEKRN\* \_\_\_\_\_ KYC compliant# (Please ✓) ☐

Name of the Second Applicant

Mr./Mrs./Ms./M/s. \_\_\_\_\_

Date of Birth DD MM YY YY PAN\* \_\_\_\_\_ OR PEKRN\* \_\_\_\_\_ KYC compliant# (Please ✓) ☐

Nationality \_\_\_\_\_

Gross Annual Income per annum (Please ✓) : ☐ Below 1 Lac ☐ Rs.1 - 5 Lac ☐ Rs.5 - 10 Lac ☐ Rs.10 - 25 Lac ☐ > 25 Lac Net worth as on date Rs. \_\_\_\_\_ (Net worth should not be older than 1 year)

Place of Birth \_\_\_\_\_ Country of Tax Residence \_\_\_\_\_ Tax ID Number^ \_\_\_\_\_

Power of Attorney (PoA) Holder Details - Second Holder

Mr./Mrs./Ms. \_\_\_\_\_

PAN\* \_\_\_\_\_ OR PEKRN\* \_\_\_\_\_ KYC compliant# (Please ✓) ☐ Nationality \_\_\_\_\_

Gross Annual Income per annum (Please ✓) : ☐ Below 1 Lac ☐ Rs.1 - 5 Lac ☐ Rs.5 - 10 Lac ☐ Rs.10 - 25 Lac ☐ > 25 Lac Net worth as on date Rs. \_\_\_\_\_ (Net worth should not be older than 1 year)

Place of Birth \_\_\_\_\_ Country of Tax Residence \_\_\_\_\_ Tax ID Number^ \_\_\_\_\_

ACKNOWLEDGEMENT SLIP (To be filled in by the Investor)



Asset  
Management

Subscription: ☐ Cash ☐ Basket Redemption: ☐ Cash ☐ Basket Date \_\_\_\_\_  
Received from Mr./Ms./M/s./Mrs. \_\_\_\_\_ an application for Subscription/ Redemption of \_\_\_\_\_ Units  
of GS Nifty BeES/ GS Junior BeES/ GS Bank BeES/ GS PSU Bank BeES/ GS S & P Shariah BeES/ GS Infra BeES/ GS Hang Seng BeES along with cheque/  
DD no. \_\_\_\_\_ dated \_\_\_\_\_ drawn on \_\_\_\_\_ for ₹ \_\_\_\_\_  
Please Note : 1) All Purchases are subject to realisation of cheques / demand drafts and Portfolio Deposit (if applicable).  
2) All Redemptions are subject to receiving the Repurchase Request Number (RRN).

Acknowledgement  
Stamp

Name of the Third Applicant																																																																																																																																																																																													
Mr./Mrs./Ms./M/s.																																																																																																																																																																																													
Date of Birth										PAN*										OR PEKRN*										KYC compliant# (Please ✓) <input type="checkbox"/>																																																																																																																																																															
Nationality																																																																																																																																																																																													
Gross Annual Income per annum (Please ✓) : <input type="checkbox"/> Below 1 Lac <input type="checkbox"/> Rs.1 - 5 Lac <input type="checkbox"/> Rs.5 - 10 Lac <input type="checkbox"/> Rs.10 - 25 Lac <input type="checkbox"/> > 25 Lac																																																																																																				Net worth as on date Rs.										(Net worth should not be older than 1 year)																																																																															
Place of Birth										Country of Tax Residence										Tax ID Number^																																																																																																																																																																									
Power of Attorney (PoA) Holder Details - Third Holder																																																																																																																																																																																													
Mr./Mrs./Ms.																																																																																																																																																																																													
PAN*										OR PEKRN*										KYC compliant# (Please ✓) <input type="checkbox"/>										Nationality																																																																																																																																																															
Gross Annual Income per annum (Please ✓) : <input type="checkbox"/> Below 1 Lac <input type="checkbox"/> Rs.1 - 5 Lac <input type="checkbox"/> Rs.5 - 10 Lac <input type="checkbox"/> Rs.10 - 25 Lac <input type="checkbox"/> > 25 Lac																																																																																																				Net worth as on date Rs.										(Net worth should not be older than 1 year)																																																																															
Place of Birth										Country of Tax Residence										Tax ID Number^																																																																																																																																																																									
Address Of First / Sole Applicant / Non-Individual Investor (Only P. O. Box Address is not sufficient)																																																																																																																																																																																													
City										State										Pincode																																																																																																																																																																									
Overseas Address (Mandatory for NRIs /FILs) (Principal place of business/operations required if different from mailing/correspondence address)																																																																																																																																																																																													
Contact details of First / Sole Applicant / Non-Individual investor (Please mention the STD/ISD Codes)																																																																																																																																																																																													
Office Tel.:										Residence Tel.:										Fax										Mobile:																																																																																																																																																															
E-Mail:																																																																																																																																																																																													
I/We wish to receive the account statement/scheme wise annual report or an abridged summary thereof/statutory and other documents by physical mode in lieu of e-mail (Please ✓) <input type="checkbox"/>																																																																																																																																																																																													
(Applicable if E-mail address is mentioned above) (Refer instruction 5).																																																																																																																																																																																													
*Please attach proof. PAN is not mandatory for certain Investors(Refer instruction no. 1 (b) (v)). ^ Please attach proof for TAX ID Numnber. # Please submit the duly filled KYC Application Form and supporting documents for all Applicants / POA holders / Guardians (as applicable) who are not KYC compliant.																																																																																																																																																																																													
4. MODE OF OPERATION (Please ✓) (Refer instruction no. 4)																																																																																																																																																																																													
<input type="checkbox"/> Joint										<input type="checkbox"/> Single										<input type="checkbox"/> Anyone or Survivor										(Default : Anyone or Survivor)																																																																																																																																																															
5. STATUS (of First / Sole Applicant) (Please ✓) (Refer instruction no. 4)																																																																																																																																																																																													
<input type="checkbox"/> Individual (Indian Resident) <input type="checkbox"/> Non-Resident Indian /Person of Indian Origin <input type="checkbox"/> Minor <input type="checkbox"/> Private Company <input type="checkbox"/> Public Company <input type="checkbox"/> Schemes of Mutual Fund																																																																																																																																																																																													
<input type="checkbox"/> Registered Financial Institution / Commercial Bank <input type="checkbox"/> Foreign Institutional investor (FIL) <input type="checkbox"/> Partnership Firm <input type="checkbox"/> Trust <input type="checkbox"/> Society / Charity <input type="checkbox"/> AOP <input type="checkbox"/> BOI <input type="checkbox"/> QFI																																																																																																																																																																																													
<input type="checkbox"/> Hindu Undivided Family <input type="checkbox"/> Investment through Power of Attorney <input type="checkbox"/> Other (Please Specify) _____																																																																																																																																																																																													
6. OCCUPATION (of First / Sole Applicant) (Please ✓) (Refer instruction no. 4)																																																																																																																																																																																													
<input type="checkbox"/> Professional <input type="checkbox"/> Business <input type="checkbox"/> Housewife <input type="checkbox"/> Retired <input type="checkbox"/> Student <input type="checkbox"/> Public Sector/ Government Service <input type="checkbox"/> Private Sector Service <input type="checkbox"/> Agriculturist																																																																																																																																																																																													
<input type="checkbox"/> Forex Dealer <input type="checkbox"/> Proprietorship <input type="checkbox"/> Others (please specify)																																																																																																																																																																																													
Is any person associated with this account a current/former head of state, senior official in any government, senior executive of state-owned enterprise or senior politician in/outside of India; or an immediate family member or close advisor of such an individual; or is this account held by an organization controlled by such an individual? (Please ✓ ) <input type="checkbox"/> Yes <input type="checkbox"/> No																																																																																																																																																																																													
7. BANK ACCOUNT DETAILS (Refer instruction no. 5)																																																																																																																																																																																													
Name of the Bank										Branch										Account No.										11 Digit IFSC Code																																																																																																																																																															
Branch Address																																																																																																																																																																																													
Bank City										State																																																																																																																																																																																			
9 Digit MICR Code																				Account Type (Please tick ✓) <input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> NRE <input type="checkbox"/> NRO <input type="checkbox"/> FCNR <input type="checkbox"/> Others (please specify)																																																																																																																																																																									
8. INVESTMENT DETAILS (Refer instruction no. 7)																																																																																																																																																																																													
Subscription: <input type="checkbox"/> Cash <input type="checkbox"/> Basket										Redemption: <input type="checkbox"/> Cash <input type="checkbox"/> Basket										Select scheme (please tick ( ✓ ) in the appropriate box)										<input type="checkbox"/> GS Nifty BeES <input type="checkbox"/> GS Junior BeES <input type="checkbox"/> GS Bank BeES <input type="checkbox"/> GS PSU Bank BeES										<input type="checkbox"/> GS S & P Shariah BeES <input type="checkbox"/> GS Infra BeES <input type="checkbox"/> GS HangSeng BeES																																																																																																																																																					
No. of Units _____ (in words) _____																																																																																																																																																																																													
(Please include the number of Units you wish to Subscribe for/ Redeem Please refer to Instruction No. 6)																																																																																																																																																																																													
In case of Basket Subscription/ Redemption kindly fill the following details.																																																																																																																																																																																													
Cash Component Payable <input type="checkbox"/> Receivable <input type="checkbox"/>																																																																																																																																																																																													
Cash Component per Creation Unit ( ₹ ) _____										(in words)																																																																																																																																																																																			
Total Cash Component ( ₹ ) _____										(in words)																																																																																																																																																																																			

9. PAYMENT DETAILS

(Refer to instruction no. 8)

Cheque/DD No.	Cheque/DD Date	Drawn on Bank	
Amount in figures (₹)		Branch	
Amount in words (₹)			

10. DEMAT ACCOUNT DETAILS

(Refer instruction no. 9)

NATIONAL SECURITIES DEPOSITORY LTD. (NSDL)

Depository Participant Name:

DPID No.: I N

Beneficiary A/c No.

CENTRAL DEPOSITORY SERVICES (INDIA) LTD. (CDSL)

Depository Participant Name:

Beneficiary A/c No.

11. CONFIRMATION AND SIGNATURE/S

(Refer instruction no. 10,11 and 12)

Please note that by signing this Application Form, the Investors also give the Important Declarations set out in the instructions section of the Application Form.

I/We hereby apply for the allotment / Purchase of Units of the Scheme, as indicated in this form and confirm that I/we have read, understood and are bound by the terms and conditions of this Application Form, including the Important Declarations in the instructions to the Application Form, the contents of the Key Information Memorandum, the Scheme Information Document and the Statement of Additional Information, and am/are fully capable of assessing and bearing the risks involved in purchasing the Units, and agree to abide by the terms, conditions, rules and regulations of the Scheme.

I /We hereby authorise Goldman Sachs Mutual Fund, its Investment Manager and its agents to disclose personal data / details of my investment to anyone as may be necessary or expedient for the purposes of administration of investments in the Units of the Scheme.

I/We hereby undertake to pay the required money towards Subscription of the Units of the Scheme made through this Application Form within one day of making such application or within such time as directed by Goldman Sachs Mutual Fund.

Applicable to NRIs only.

I / We confirm that I am / We are Non-Resident of Indian Nationality/ Origin and I / We hereby confirm that funds for Subscription have been remitted from abroad through normal banking channels or from funds in my/ our Non-Resident External/ Ordinary Account/ FCNR Account.

Please ( ☒ ) ☐ Yes ☐ No If yes, ☐ Repatriation basis ☐ Non-repatriation basis

SIGNATURES

First/Sole Applicant/ Guardian/ POA Holder

Second Applicant/ POA Holder

Third Applicant/ POA Holder

# INSTRUCTIONS FOR THE APPLICATION FORM FOR GOLDMAN SACHS EXCHANGE TRADED FUNDS (EXCEPT FOR GS GOLD BeES AND GS LIQUID BeES)

## 1. General

- (a) Please refer to the Scheme Information Document ("SID"), the Statement of Additional Information ("SAI") and Key Information Memorandum ("KIM") (collectively the "Offering Documents") carefully before filling the Application Form. All Investors are deemed to have read and accepted the terms in the Offering Documents and instructions in this Application Form subject to which this offer is being made and bind themselves to the terms thereof upon signing the Application Form and tendering the payment.
- (b) The Units of the Schemes may be bought / sold like any other stock on the NSE. Alternatively, the Authorised Participants and Large Investors can directly buy/sell Units with the Fund in Creation Unit size. Any reference in these instructions to "Investors" shall be a reference to "Authorised Participants" and "Large Investors". Please refer to the Offering Documents for definitions of Authorised Participants / Large Investors and details regarding Subscription / Redemption of Units of the Schemes on the NSE.
- (c) All applications are subject to detailed scrutiny and verification. Applications which are incomplete, invalid or ambiguous in any respect are liable to be rejected after acceptance and verification. Subject to the SEBI Regulations and applicable Laws, the Application Form may be accepted or rejected at the sole and absolute discretion of the Trustees / AMC. Please refer to the Offering Documents for further details on rejection of applications.
- (d) All Application Forms should be submitted at the Official Points of Acceptance details of which are provided along with the KIM and on our website [www.gsam.in](http://www.gsam.in). Please ensure that the requisite details and documents have been provided, in order to avoid processing delays and / or rejection of your Application Form.
- (e) Investors must use separate Application Forms for investing / Redeeming Units simultaneously in the same Scheme or more than one Scheme.
- (f) Investors shall ensure that any overwriting or correction shall be countersigned by the Investors, failing which the AMC / Mutual Fund / Trustees may at its sole discretion reject such application / transaction request.
- (g) Investors should ensure to write the word 'DIRECT' in the column for 'Broker / Distributor Name' in the Application Form in cases where such applications are not routed through any distributor / broker. If the column for 'Broker / Distributor Name' is left blank in the Application Form, then the application would be considered as a 'DIRECT' application. Any subsequent change / update / removal of broker name, ARN or sub-broker name and code will be based on the written request from the Unit holder and will only be on a prospective basis from the date when the Registrar accepts such written instruction.
- (h) No separate receipt will be issued for the application money. The Official Points of Acceptance will stamp and return the acknowledgement slip in the Application Form, to acknowledge receipt of the application, subject to final verification and scrutiny. The acknowledgment slip is provided subject to realization of payment instrument, receipt of Portfolio Deposit (if applicable) and furnishing mandatory information / documents. Investors are requested to retain the acknowledgment slip until you receive your transaction advice from the Mutual Fund.
- (i) The AMC shall disclose on a daily basis the Portfolio Deposit and Cash Component for creating and Redeeming Units in Creation Unit size for each Scheme. The same will be disclosed on our website ([www.gsam.in](http://www.gsam.in)), daily in the morning and would be applicable for creating and Redeeming Units in Creation Unit size for that Working Day only.
- (j) Irrespective of mode of holding, all communication and payments shall be made by the Mutual Fund only in the name of and favouring the sole / 1st applicant, including all transaction advices, Dividend or Redemption payments, and all other relevant correspondence.
- (k) The Mutual Fund / AMC / Trustees and their directors, employees and agents shall not be liable in any manner for any claims arising whatsoever on account of freezing the folios / rejection of any application / allotment of Units or mandatory Redemption of Units due to non compliance with the provisions of the PMLA, SEBI circular(s) and KYC policy and / or where the AMC believes that transaction is suspicious in nature within the purview of the PMLA and SEBI circular(s) and reporting the same to FIU-IND.
- (l) The Application form should be completed in ENGLISH in BLOCK LETTERS only. Please tick (✓) in the appropriate box (☐) where boxes have been provided.

## 2. Existing Unit holder information:

- (a) Investors who have directly transacted with the Fund earlier are not required to provide details in sections 2-6 of this Application Form and shall specify their name and enclose an attested copy of the PAN card and the KYC documents, if not provided earlier, and proceed to section 7.

## 3. Applicant's Information

- (a) Investors must ensure that the sequence of names as mentioned in the Application Form matches that of the account held by the Investor with the Depository Participant of CDSL/NSDL and are required to indicate in the application the Depository Participant's name, Depository Participant ID Number (if applicable) and beneficiary account number of the Investor with the Depository Participant in section 9 ('Demat Account Details') of the Application Form. Beneficiary account number, names, address and PAN details, other KYC norms mentioned in the Application Form will be verified against the Depository data which will be downloaded from Depository master. Only those applications where the details are matched with the Depository data will be treated as valid applications. If the details mentioned in the application are incomplete, incorrect, and not matched with the Depository data, the application shall be treated as invalid and shall be liable to be rejected.
- (b) Name and address must be written in full. (P. O. Box address alone is not sufficient). Non-individual Investors are also required to provide their registered office address, if the same has not been provided as address for

correspondence. In case of NRIs / FIIs, it is mandatory that the overseas address / registered office address should also be provided. Preferably write your name exactly as it appears in the demat account.

- (c) Name of the guardian must be mentioned if the investments are being made on behalf of a minor. Date of birth is mandatory for minors.
- (d) Name of the contact person with designation should be mentioned in case of investments by a company, body corporate, partnership, society, mutual fund, trust, FII and other non-individual Investors. Further, a duly certified true copy of resolution or a document providing evidence of the authority of the organisation to invest in the Schemes, along with the updated specimen signature list of authorised signatories and a certified copy of memorandum and articles of association and / or bye-laws and / or trust deed and / or partnership deed and certificate of registration or any other documents as the case may be shall be furnished along with the Application Form. In case of a trust / fund, it shall submit a certified true copy of the resolution from trustee(s) authorising such Purchases. In case of FIIs, the letter and certificate of registration issued by SEBI and required documents duly certified as proof of the permanent overseas address shall also be submitted. The officials should sign the application under their official designation and furnish the list of authorised signatories. Please refer to the 'Investor's Documentation and Particulars Grid', provided along with the KIM and also available on our website [www.gsam.in](http://www.gsam.in), for further details on supporting documents to be provided along with the Application Form.
- (e) Permanent Account Number ("PAN"): In order to strengthen the Know Your Customer ("KYC") norms and identify every participant in the securities market, SEBI has made it mandatory for all Investors (including minors and their guardians) to mention their PAN and submit a certified copy of the PAN card as the sole identification number for all participants transacting in the securities market, irrespective of the amount of investment, while making an application for Subscription of Units. Applications received without PAN / PAN card copy will be rejected. Submitting a copy of the evidence of having applied for PAN / Form 60 / Form 61 will not be acceptable. In accordance with the regulatory guidelines, the PAN card copy needs to be verified with the original. The original PAN card will be returned immediately across the counter after verification. Alternatively, a distributor empanelled with the Fund can attest a copy. A bank manager's attestation or a notarised copy will also be accepted. In case of joint applicants, PAN details of all holders should be submitted. If the Power of Attorney ("POA") holder is transacting on behalf of the Investor, then the PAN and attested copy of the PAN card of the POA holder and the Investor should be provided.
- (f) PAN is not mandatory in the case of Investors residing in the state of Sikkim and officials of the Central Government, State Government, and the officials appointed by the courts e.g. official liquidator, court receiver etc. (under the category of Government) for their investments in the Mutual Fund. However, the Mutual Fund shall verify the veracity of such claims of such Investors by collecting sufficient documentary evidence and shall seek to achieve strict compliance with the applicable 'KYC' norms. The AMC reserves the right to ask for the necessary documentation to the satisfaction of the Mutual Fund in this regard.
- (g) Know your Customer ("KYC"):
  - (i) KYC is mandatory under the Prevention of Money Laundering Act, 2002 for all applications/ investments in the capital market. KYC Compliance status of all Investors in a folio (including joint holders, minors, guardians and POA holders) is required to be quoted in the Application Form. The status of KYC should reflect as 'Verified' / 'Registered' on the respective KYC Registration Agency ("KRA") website as on the date of investment, in case the KRA website shows any other status for a given PAN, the application will be liable to be rejected and the Subscription amount will be refunded.
  - (ii) With effect from January 1, 2012, SEBI has introduced a common KYC Application Form for all the SEBI registered intermediaries. Fresh/ new Investors are, therefore, requested to use the common KYC Application Form and carry out the KYC process including In-Person Verification ("IPV") with any SEBI registered intermediaries, including mutual funds. All references to KYC Acknowledgement Letter in these instructions shall include a reference to acknowledgement letters obtained from the KRA. The investor is required to have previously completed KYC process and obtained a KYC Acknowledgement Letter before submitting this Application Form. However, in any event, the Mutual Fund reserves the right to carry out fresh KYC of the Investor.
  - (iii) Investors who are KYC Compliant, i.e. who have obtained a KYC Acknowledgement Letter issued by CDSL Ventures Ltd ("CVL") or any other KYC Registration Agency ("KRA") are required to tick the box as KYC compliant in the Application Form and enclose a self attested copy of the KYC Acknowledgement Letter or a printout of KYC compliance status downloaded from CVL's website ([www.cvlindia.com](http://www.cvlindia.com)) using their PAN, along with the Application Form to evidence fulfillment of KYC requirements. Applications where KYC is not completed will be rejected.
  - (iv) PAN & KYC in respect of QFIs: QFIs are required to submit the combined PAN cum KYC Form notified by the Central Board of Direct Taxes for QFIs. QFIs are also required to provide their KYC Acknowledgement Letters along with the Application Form. Please refer to the 'Investor's Documentation and Particulars Grid', provided along with the KIM for further details in this regard.
  - (v) In case the Investor/Unit holder is a minor, then the KYC documents of both the minor and the guardian shall be submitted.

- (h) Notwithstanding the above, Investors residing in the state of Sikkim shall not be subject to the above KYC requirements.
- (i) For Applications made under a POA, the original POA or a duly notarized copy of the POA shall be submitted along with the Application Form. In case of foreign Investors, the original POA or a duly consularised copy of the POA shall be submitted along with the Application Form.
- (j) The name of the guardian / POA holder / authorized signatory of non-individual Investors, who will sign on behalf of the minor / Investors should be filled in the space provided in the Application Form.
- (k) Unit holders contact details including telephone numbers, mobile numbers and email IDs should be filled in the space provided in the Application Form.
- (l) Minors:
- (i) A minor can only be the first and sole holder in an account. There cannot be any joint account holder with a minor as the first or joint holder. Name of the parent or guardian must be mentioned if the investments are being made on behalf of a minor. 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. Information on the relationship / status of the guardian as father, mother or legal guardian must be mentioned in the Application Form. In case of natural guardian, a document evidencing the relationship must be submitted if the same is not available as part of the documents submitted in support of date of birth. In case of court appointed legal guardian, supporting documentary evidence must be submitted. The following documents evidencing the date of birth of the minor must be submitted while opening the folio (i) birth certificate of the minor, or (ii) school leaving certificate / mark sheet issued by Higher Secondary Board of respective states, ICSE, CBSE etc., or (iii) passport of the minor, or (iv) any other suitable proof evidencing the date of birth of the minor.
- (ii) The account will be frozen for operation by the guardian on the day the minor attains the age of majority and no transactions will be permitted till the documents for changing the status are received by the AMC / Mutual Fund / Trustee.
- (iii) The standard documents required to change account status from minor to major are (i) Application Form, duly filled and containing details like name of major, folio numbers, etc., (ii) new bank mandate where account changed from minor to major, (iii) signature attestation of the major by a manager of a scheduled bank / bank certificate / letter, and (iv) KYC documents of the major. Please refer to the SAI for further details on the process and documentation relating to a minor Investor attaining majority.
- (iv) Change in guardian: When there is a change in guardian either due to mutual consent or demise of the existing guardian, certain documents will be required to be submitted to the AMC / Mutual Fund / Trustee in order to register the new guardian. Please refer to the SAI for further details on the documents to be submitted with the Mutual Fund / AMC / Trustees for the change in guardian.
- (v) In addition to the above, upon change of status from minor to major and / or change in guardian, the Investor is also required to change his / her status with and provide the relevant documents to the Depository Participant.

#### 4. Status, Occupation and Mode of Operation

- (a) Investors are required to indicate the status and occupation of the sole/1st applicant in the Application Form. Any change in the status during the period of holding Units should be given to assist correct tax treatment of income arising from such holding. In the event that the Investor has not mentioned the status of the first applicant, (i.e. whether the first applicant is an individual, HUF, company, etc.), it shall be deemed as "others" and the tax rates (including the tax on Dividend distribution) applicable to a resident Indian company would be applicable to such an Investor. Further, in the event the foreign exchange laws in India are amended to permit FPIs to make investments in mutual fund schemes, FPIs are requested to contact the ISC for any further details or information required to be provided by FPIs along with their Application Forms.
- (b) With regard to the mode of operation, the mode of holding registered by the Investor(s) with its Depository Participant will be applicable to the Units of the Scheme.

#### 5. Bank Account Details

- (a) Investors should provide the name of the bank, branch address, account type and account number of the sole / 1st applicant as registered with the Depository Participant with whom such applicant holds the demat account. Please note that as per SEBI guidelines, it is mandatory for Investors to mention their bank account details in the Application Form. Investors must also write the Application Form number / Folio number on the reverse of the Cheques and bank drafts accompanying the Application Form. Applications without complete bank details shall be treated as incomplete and may be rejected.
- (b) All Dividend and Redemption proceeds will be electronically credited directly into the bank account registered with Depository Participant even if the investor provides a different bank details than those registered with Depository Participant. However, if the Mutual Fund does not have the required information to credit the amounts electronically, or if the Investor's bank is not a part of the distribution network, the payment will be made by cheque / demand draft. In case of rejection of the application for any reason, the amount will be refunded to the bank account details mentioned in section 8 of the Application Form. Investors who do not wish to receive their Dividend and/or Redemption payments electronically and would prefer to receive the same by cheque/demand draft should contact the ISCs in this regard.
- (c) To facilitate verification of your bank account details please furnish the following details in the form:
- MICR code of your bank / branch (this is a 9 digit number appearing next to the cheque number on the cheque leaf).

- IFSC code of your bank / branch (this is an 11 character alphanumeric code that you would find on your cheque leaf. IFSC will help to secure credit of Redemption and Dividend proceeds via the various electronic modes of credit that are available with the banks). If your cheque leaf does not carry this, please check for the same with your local bank branch.
- The Investor is required to provide a blank cancelled cheque leaf for the purpose of verifying the bank account number, in the case where the payment instrument is from a bank account other than the bank account, detailed in section 8 of the Application Form. If the bank account number on the cheque leaf is handwritten or Investor name is not printed on the face of the cheque, the bank account statement, bank certificate or pass book giving the name, address and the account number should be enclosed. If photocopies are submitted, Investors must produce original for verification.

#### 6. Minimum Application Size for Subscription and Redemption

- (a) Application should be for a minimum of 1 Creation Unit and in multiples of Creation Unit. Currently, a Creation Unit comprises of:

GS Nifty BeES :	5,000 Units
GS Junior BeES :	16,000 Units
GS Bank BeES :	1,000 Units
GS PSU Bank BeES :	5,000 Units
GS S&P Shariah BeES :	10,000 Units
GS Infra BeES :	5,000 Units
GS Hang Seng BeES :	2,500 Units

#### 7. Investment Details

- (a) Investors should select either Subscription (Cash or Basket) or Redemption (Cash or Basket), and the relevant Scheme by ticking against the relevant boxes in section 7 of the Application Form and should furnish the other requisite details request in this section.
- (b) Subscription
- (i) **Cash Subscription (i.e. Subscription of Creation Unit by paying the Subscription amount to the Fund)**
- a. The Investor will have to calculate the amount payable for Subscription applications based on latest available NAV of the Scheme. In addition to NAV, the Investor should also give due consideration to costs of purchasing the basket of securities, market movement from the time of application to actual purchase of securities by the Fund etc. Any excess amount paid on application will be refunded to the Investor immediately on allotment of Units. All cheques/bank drafts/pay orders should be drawn in favour of the Scheme's account name (provided below). For e.g. in case of GS Nifty BeES, the cheque/bank draft / pay order should favour "GS - Nifty BeES – Cash Subscription / Redemption A/C." The applicable basket of securities will be purchased within 3 Working Days of the Subscription amount actually being credited to the bank account of the Scheme. All actual costs incurred by the Fund in connection with the purchase will be borne by the Investor.
- b. In case of cash Subscription, Investors can also directly transfer the Subscription amount to the respective Scheme's cash Subscription / Redemption account, details of which are mentioned below:

Bank	Account Name	Account No.	IFSC
CITIBANK	GS NIFTY BEES -CASH SUBSCRIPTION/REDEMPTION A/C	14159029	CITI0100000
CITIBANK	GS JUNIOR BEES -CASH SUBSCRIPTION/REDEMPTION A/C	14159045	CITI0100000
CITIBANK	GS BANK BEES -CASH SUBSCRIPTION/REDEMPTION A/C	14159096	CITI0100000
CITIBANK	GS PSU BANK BEES -CASH SUBSCRIPTION/REDEMPTION A/C	14159312	CITI0100000
CITIBANK	GS S&P SHARIAH BEES -CASH SUBSCRIPTION/REDEMPTION A/C	14159355	CITI0100000
CITIBANK	GS HANG SENG BEES -CASH SUBSCRIPTION/REDEMPTION A/C	14159398	CITI0100000
CITIBANK	GS INFRA BEES -CASH SUBSCRIPTION/REDEMPTION A/C	14159495	CITI0100000

- (ii) **Basket Subscription (i.e. Subscription of Creation Unit by providing the Portfolio Deposit and paying the Cash Component to the Fund)**
- a. **Cash Component**
- The Cash Component represents the difference between the Applicable NAV of a Creation Unit and the market value of the Portfolio Deposit. The Cash Component for creation will vary from time to time and will be decided and announced by the AMC on its website and other data providers and media at large. Please refer to our website ([www.gsam.in](http://www.gsam.in)) for details on the Cash Component.
- For Cash Component all cheques, bank drafts and pay orders should be drawn in favour of the Scheme's account name (provided below) and marked "Account Payee only". For e.g. In case of GS Nifty BeES, the cheque/pay order will favour "GS - Nifty BeES – Investment A/C". Please also refer to the table below for details of the respective Scheme's Investment A/C name and account number, for direct transfers.



Bank	Account Name	Account No.	IFSC Code
CITIBANK	GS NIFTY BEES - INVESTMENT A/C	14159002	CITI0100000
CITIBANK	GS JUNIOR BEES - INVESTMENT A/C	14159037	CITI0100000
CITIBANK	GS BANK BEES - INVESTMENT A/C	14159088	CITI0100000
CITIBANK	GS PSU BANK BEES - INVESTMENT A/C	14159282	CITI0100000
CITIBANK	GS S & P SHARIAH BEES - INVESTMENT A/C	14159347	CITI0100000
CITIBANK	HANG SENG BEES INVESTMENT A/C	14159401	CITI0100000
CITIBANK	GS INFRA BEES INVESTMENT A/C	14159487	CITI0100000

**b. Portfolio Deposit**

Portfolio Deposit means a pre-defined basket of Securities that represent the underlying index and will be defined and announced by the Fund on daily basis and can change from time to time. Please refer to our website, [www.gsam.in](http://www.gsam.in), for the latest underlying index before investing in the Schemes.

The Portfolio Deposit will only be accepted in electronic form (demat mode) and the stocks will have to be credited to the depository account of the respective Schemes. Details of the Portfolio Deposit to be submitted are available at our website, [www.gsam.in](http://www.gsam.in). The demat account details of the respective Schemes are as follows :

Scheme	GS Nifty BeES	GS Junior BeES	GS Bank BeES	GS PSU Bank BeES	GS S&P Shariah	GS Infra BeES
DP Name	Citi Bank NA	Citi Bank NA	Citi Bank NA	Citi Bank NA	Citi Bank NA	Citi Bank NA
DPID	IN300054	IN300054	IN300054	IN300054	IN300054	IN300054
Client ID	10012749	10012782	10012757	10023049	10031123	10041942

For GS HangSeng BeES details, please contact the AMC/Mutual Fund.

- (c) The Investor is required to transfer the requisite Securities constituting the Portfolio Deposit of the respective Schemes to the Scheme's Depository Participant account while the Cash Component has to be paid to the Custodian/AMC. On confirmation of the same by the Custodian/AMC, the AMC will transfer the respective number of Units of the relevant Scheme into the Investor's Depository Participant account.
- (d) **Allotment of Units**  
The Units will be issued in dematerialized form in multiples of the Creation Unit and credited to the demat account of the Investor stated in the form within 5 Working Days of the Subscription amount being credited to the bank account, in case of Cash Subscription or the Portfolio Deposit being credited to the demat account of the Scheme. The allotment advice, including refunds, if any, will be mailed to the Investor within 5 Working Days of the Subscription Amount being credited to the bank account of the Scheme and Portfolio Deposit received by the Scheme (if applicable).
- (e) **Collateral on Short Delivery (Basket Subscription)**  
In case of short delivery of stocks on the settlement date requested, the Investor will have to submit collateral till the delivery of stocks is pending. Collateral will be accepted only in the form of cheques/ demand drafts in favour of the Scheme, details of which are provided in the table above. Collateral will be 130% of market value (closing price on NSE on the date prior to the settlement date requested) of short delivery and subject to maximum of 20% of basket value. However, this may change from time to time at discretion of the Trustee. Please contact the AMC / Mutual Fund for further details in this regard.
- (f) **Redemption of Units**
  - (i) Units of the Scheme in less than Creation Unit size cannot be Redeemed directly with the Fund except as set out in paragraph (7)(f)(ii) below. Units in less than Creation Unit size which are in round lots of 1 Unit, may be sold on a continuous basis on the capital market segment of NSE during trading hours like any other publicly traded stock at prices which may be close to the actual NAV of the Scheme.
  - (ii) However, where there have been no quotes on NSE for five trading days consecutively, an Investor may sell directly to the Fund Units of the Schemes less than Creation Unit size, with the applicable Exit Load as detailed in the Offering Documents.
  - (iii) If a Unit holder makes a Redemption request immediately after Purchase of Units, the Fund shall have a right to withhold the Redemption request and would process such Redemption request only after the amount remitted by the Unit holder (for Purchase of Units) is realized and the proceeds have been credited to the Scheme's Account. However, this is only applicable if the value of Redemption is such that some or all of the freshly Purchased Units may have to be Redeemed to effect the full Redemption. Further, the Trustees may, in their sole discretion, limit the total number of Units which may be Redeemed on any Business Day. Please refer to the Offering Documents for more details on "Right to Limit Redemptions".
  - (iv) **Cash Redemption (i.e. Unit holders receive Redemption proceeds by way of cash)**

- a. The Fund may allow cash Redemption of the Units of the Schemes in Creation Unit size. Investors shall make Redemption request to the Fund/AMC whereupon the Fund/AMC will arrange to sell underlying portfolio Securities on behalf of the Investor. Accordingly, the sale proceeds of portfolio Securities, after adjusting necessary charges/costs, will be remitted to the Investor.
- b. The Units can be Redeemed only in electronic form (demat mode) and the Investor will have to submit a repurchase form to their respective Depository Participant to transfer the Units to the depository account of the respective Scheme. Such repurchase forms will be available with the Depository Participant (Annexure HA of NSDL Bye Laws and Business Rules.)
- c. The applicable basket of securities will ordinarily be sold within 3 Working Days of the Units actually being submitted for repurchase. All actual costs incurred by the Fund/AMC in connection with the sale of basket of securities will be borne by the Investor. The Redemption proceeds will be paid out within 10 working days of the Redemption date.
- d. All Redemptions are subject to the AMC / Mutual Fund receiving the Repurchase Request Number ("RRN") from the Investor. RRN is a unique identification number generated by the Depository Participant of the Investor once the Depository Participant processes the repurchase request of the Investor.
- (v) **Basket Redemption (i.e. the Unit holder received Redemption proceeds in the form of Portfolio Deposit and Cash Component)**
  - a. For Basket Redemption, the Investor is required to instruct its/their Depository Participant to transfer requisite number of Units of the respective Scheme equaling the Creation Unit to the Scheme's Depository Participant account and obtain the RRN from the Depository Participant. If applicable, the Investor is also required to pay the Cash Component to the AMC/ Custodian. On receipt of the same, the AMC will transfer the Portfolio Deposit (i.e. the underlying shares) to the Investor's Depository Participant account and pay the Cash Component to the Investor, if applicable.
  - b. Investor may take delivery of underlying equity shares against Units Redeemed. On Redeeming the Units the underlying shares and the Cash Component will only be credited to the respective depository and the bank account mentioned in the Application Form. These equity shares will not be given in the physical format and nor will be transferred in any other entities depository account.
  - c. All Redemptions are subject to the AMC / Mutual Fund receiving the RRN from the Investor.

**8. Payment Details**

- (a) Resident Investors may make the payment by cheque / demand drafts payable locally at any of the Official Points of Acceptance. Application Forms accompanied with outstation cheque/ post dated cheque / cash / stock invest / postal orders / money orders, or such other modes as may be decided by the AMC from time to time, will not be accepted. The AMC will not accept any request for refund of demand draft charges. All cheques and bank drafts must be crossed "Account Payee only" and drawn in favour of the name of the Scheme. If the Scheme name on the Application Form and on the cheque is different, then the Application Form is liable to be rejected.  
Note: Returned cheque(s) will not be presented again for collection and the accompanying Application Form shall not be considered again for allotment. In case the returned cheque(s) are presented again, the necessary charges are liable to be debited to the Investor.
- (b) Payment should be made by cheque or bank draft drawn on any bank which is situated at and is a member of the Bankers Clearing House located at the place where the Application Form is submitted or as a payment instruction (such as pay order, banker's cheque etc.) or electronic instructions (to the Scheme's bank account, details of which are provided in these instructions) or in a manner acceptable to the AMC, which is evidenced by receipt of credit in a bank account of the Scheme.
- (c) In case of NRI / Persons of Indian Origin, payment must be made either by cheque or demand draft by means of inward remittance through normal banking channels or out of funds held in the NRE / FCNR account, in the case of Purchases on a repatriation basis or out of funds held in the NRE / FCNR / NRO account, in the case of Purchases on a non-repatriation basis. In case of Indian Rupee drafts purchased from abroad or payments from FCNR/ NRE accounts, a certificate from the bank issuing the draft confirming the debit and/ or foreign inward remittance certificate (FIRC) issued by Investor's banker should also be enclosed. The Mutual Fund reserves the right to reject the application of NRI Investors in case the debit certificate / requisite details are not submitted.
- (d) Payment by the FII must be made either by inward remittance through normal banking channels or out of funds held in foreign currency account or non resident rupee account maintained by the FII with a designated branch of an authorised dealer in India.
- (e) All application together with the cheque / demand draft / payment instruction or copy of the electronic instruction should be submitted at any of the Official Points of Acceptance.
- (f) Bank charges for out-station demand drafts (as defined herein) will have to be borne by the Investor/Unit holder. An out-station demand draft has, for this purpose, been defined as a demand draft issued by a bank in a place where there is no collection centre provided for the Investor. The Fund will not entertain any requests for refund of demand draft charges.
- (g) Payments may be made through instruments issued from an account other

than that of the beneficiary Investor subject to the terms, conditions and instructions set out in the "Third Party Payment Declaration Form". Investors are required to read, fill up and submit the "Third Party Payment Declaration Form" (available at any of our ISCs or on our website [www.gsam.in](http://www.gsam.in)) where they intend to make Third Party Payments. The Mutual Fund/ AMC reserves the right at its absolute discretion to reject / not process the application which does not comply with these provisions and refund the application money. The Mutual Fund / AMC shall not be liable in any manner whatsoever for such rejections.

**9. Demat Account:**

- (a) The Units of the Schemes are issued / repurchased and traded compulsorily in dematerialized form. As the Units of the Scheme will be issued in demat form, relevant details of the Depository Participant and the beneficiary account should be provided in the "Demat Account Details" section in the Application Form. Investors should fill in details for either CDSL or NSDL, not for both.

**10. Cancellation**

Please note that application once submitted cannot be cancelled under any circumstances. Once an application for Subscription is submitted, the Investor will have to submit a Redemption request for Redeeming the Units.

**11. Confirmations and Signatures**

- (a) All signatures should be in English or in any Indian language. Thumb impressions should be from the left hand for males and the right hand for females and in all cases must be attested by a magistrate, notary public or special executive magistrate under his / her official seal. In case of HUF, the karta will sign on behalf of the HUF. Applications by minors should be signed by their guardians.
- (b) Authorised officials should sign the form under their official designation and company seal. If you are investing through your constituted attorney, please ensure that the POA document is signed by you and your constituted attorney. The signature in the Application Form, then, needs to clearly indicate that the signature is on your behalf by the constituted attorney.

**12. Important Declarations**

**The Investor(s) to note that by executing the Application Form(s), the Investors give the following declarations:**

- (a) The Investor(s) understand that the Mutual Fund, the Schemes and the Units and their material terms are described in the Offering Documents. The Investor(s) acknowledge that the Offering Documents have been made available to them for inspection. Terms defined in the Offering Documents and not otherwise defined in the Application Form shall have the meanings provided in the Offering Documents.
- (b) The Investor(s) confirm that: (i) the Investor(s) are fully informed of the legal requirements within their country for Purchasing the Units; (ii) the Investor(s) are permitted to Purchase the Units under the laws and regulations of their home country in the manner in which the Units have been offered or sold to them; (iii) the Investor(s) are fully informed of any relevant foreign exchange restrictions and tax considerations arising out of their Purchase and ownership of Units; (iv) the Investor(s) have neither received nor been induced by any rebate or gifts, directly or indirectly, in making their investment; (v) the amount invested in the Scheme by, or on behalf of, the Investor(s) is through legitimate sources only and not from any source in contravention of any applicable Law, including without limitation, any applicable anti money laundering and related laws; and (vi) the Investor(s) are not a US Person and have not received or accepted the offer to Purchase / Subscribe to the Units of the Schemes in the United States.

- (c) The Investor(s) confirm that the Investor(s) is not involved in concealing, transferring, or disguising any property which, directly or indirectly, represents the proceeds of a criminal activity for the purpose of avoiding prosecution for an offence.
- (d) If the Investor(s) is acting for a partnership or entity organised for passive investment, less than 10% of the equity interests in the entity are owned by U.S. Persons and such entities are not formed principally for facilitating investment by U.S. Persons. If the Investor(s) are acting for a corporation (other than those included in the preceding sentence), 20% or more of the equity interests in the corporation are not owned by U.S. Persons other than U.S. publicly traded corporations.
- (e) Applicable for NRIs: The Investor(s) confirm that they are a non-resident of Indian nationality / origin ("NRI") as defined under the Foreign Exchange Management Act, 1999 and Regulations issued thereunder, and that they have remitted funds from abroad through approved banking channels or from funds in their Non-Resident (External) Rupee Account ("NRE") or Foreign Currency (Non-Resident) Account ("FCNR") or Non-Resident Ordinary Rupee ("NRO") Account.
- (f) The Investor(s) represent and warrant that they have full power and authorization to execute the Application Form and to make this investment. The Investor(s) agree that none of the Mutual Fund, the AMC, the Trustee or their agents shall (i) have any responsibility to verify such authorization, and (ii) have no liability whatsoever and shall be indemnified by them against all costs, losses, claims and expenses arising from any omissions or any action properly taken by the Mutual Fund, the AMC, the Trustee or their agents in accordance with the terms of the Application Form. The Investor(s) understand and agree that the Trustees / AMC have the power to mandatorily Redeem Units held by Investor(s), if the Trustees / AMC, in their sole opinion, suspect the Investor(s) to be engaged in activities such as, including but not limited to, market-timing or excessive trading or unfair or suspicious practices, or if the Trustees / AMC for any other reason believe that mandatory Redemption of such Investor(s) would generally be in the interest of the Scheme or its Unit holders.
- (g) Investors(s) have read and understood the information provided in Section V(C)(I) of the Statement of Additional Information on 'Investor Information' and authorize the Mutual Fund, the AMC and all service providers to use their Personal Data.
- (h) If, as a result of a miscalculation of the NAV that has been notified to the Investor(s) by AMC/ Trustee/ the Fund, the Investor(s) have received dividend in excess of the correct value, the Investor(s), where relevant, upon determination of such correct NAV, agree to repay such excess. In cases where further Units in the Fund have been issued as a result of such error the Investor(s) hereby authorise the AMC / Trustee/ Fund to cancel or Redeem such Units to effect repayment.
- (i) In the event that the Application Forms are executed by more than one Investor(s), each party's liabilities thereunder shall be joint and several.
- (j) The Investor(s) agree to notify the ISC promptly in writing of any changes to the information, representations or confirmations, provided by them in or along with the Application Form. The Application Form shall be governed by and construed in accordance with Laws of India.
- (k) The Investor(s) declare that the information given in this Application Form is accurate and complete.
- (l) If applicable, the distributor has disclosed to the Investor(s) all commissions (in the form of trail commission or any other mode), payable to him for the different competing schemes of various mutual funds from amongst which the Scheme is being recommended to the Investor(s).

Asset  
Management

Please read Key Information Memorandum and the instructions in this Application Form. All sections to be filled legibly in English and in BLOCK LETTERS.

Broker/Distributor Name*:	ARN: <b>9992</b>	Sub-Broker Name & Code	Registrar Serial No.
Employee Name & EUIN:			
Declaration for "execution-only" transaction (mandatory if EUIN box is left blank) (Refer Instruction 1) "I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this transaction is executed without any interaction or advice by the employee/relationship manager/sales person of the above distributor/sub broker or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor/sub broker".			
First/Sole Applicant/ Guardian/ POA Holder Second		Applicant/ POA Holder Third	

\* If not routed through a broker/distributor, will be captured as DIRECT

Upfront commission shall be paid directly by the Investor to the ARN holder (AMFI registered distributor) based on the Investors' assessment of various factors including the service rendered by the ARN holder. Investors who have directly transacted with the fund before, please skip section 1 to 5, provide attested PAN copy and KYC documents for all Applicants/ POA holders /Guardian (as applicable), if not provided earlier and proceed to section 6.

**1. TRANSACTION CHARGES FOR APPLICATIONS THROUGH DISTRIBUTORS ONLY** (Please tick (✓) any one)☐ I confirm that I am a first time Investor across mutual funds.

(₹ 150 deductible as transaction charge and payable to the Distributor)

☐ I confirm that I am an existing Investor in mutual funds.

(₹ 100 deductible as transaction charge and payable to the Distributor)

Applicable for transaction routed through an empanelled Distributor who has 'opted in' to receive transaction charges

**2 EXISTING INVESTOR DETAILS** (Refer instruction no. 2)

First / Sole Holder Name \_\_\_\_\_ PAN \_\_\_\_\_

Investors who have directly transacted with the Fund before, please skip section 2 to 6, provide attested PAN copy and KYC documents for all Applicants/ POA holders /Guardian (as applicable), if not provided earlier and proceed to section 7.

**3. APPLICANT'S INFORMATION** (Refer instruction no. 3)**Name of First / Sole Applicant / Non-Individual Investor** (In case of minor, there shall not be any joint holders)

Mr./Mrs./Ms./M/s.

Date of Birth           PAN\*       OR PEKRN\*       KYC compliant# (Please ✓) ☐Date of Birth proof (for minor) attached (Please ✓) ☐ (Refer instruction no. 1(c))Nationality Gross Annual Income per annum (Please ✓): ☐ Below 1 Lac ☐ Rs.1 - 5 Lac ☐ Rs.5 - 10 Lac ☐ Rs.10 - 25 Lac ☐ > 25 Lac Net worth as on date Rs.  (Net worth should not be older than 1 year)Place of Birth  Country of Tax Residence  Tax ID Number^ **Power of Attorney (PoA) Holder Details - First Holder**

Mr./Mrs./Ms.

PAN\*           OR PEKRN\*       KYC compliant# (Please ✓) ☐Nationality Gross Annual Income per annum (Please ✓): ☐ Below 1 Lac ☐ Rs.1 - 5 Lac ☐ Rs.5 - 10 Lac ☐ Rs.10 - 25 Lac ☐ > 25 Lac Net worth as on date Rs.  (Net worth should not be older than 1 year)Place of Birth  Country of Tax Residence  Tax ID Number^ **Name of Guardian** (in case first / sole applicant is a minor) **Name of Corporate Contact** (in case of non-individual Investors)Mr./Mrs./Ms.          Relationship with Minor (Please ✓): ☐ Father ☐ Mother ☐ Court appointed Legal Guardian (Please attach proof.)Nationality  Designation (For corporate contact) PAN\*           OR PEKRN\*       KYC compliant# (Please ✓) ☐**Name of the Second Applicant**

Mr./Mrs./Ms./M/s.

Date of Birth           PAN\*       OR PEKRN\*       KYC compliant# (Please ✓) ☐Nationality Gross Annual Income per annum (Please ✓): ☐ Below 1 Lac ☐ Rs.1 - 5 Lac ☐ Rs.5 - 10 Lac ☐ Rs.10 - 25 Lac ☐ > 25 Lac Net worth as on date Rs.  (Net worth should not be older than 1 year)Place of Birth  Country of Tax Residence  Tax ID Number^ **Power of Attorney (PoA) Holder Details - Second Holder**

Mr./Mrs./Ms.

PAN\*           OR PEKRN\*       KYC compliant# (Please ✓) ☐ Nationality Gross Annual Income per annum (Please ✓): ☐ Below 1 Lac ☐ Rs.1 - 5 Lac ☐ Rs.5 - 10 Lac ☐ Rs.10 - 25 Lac ☐ > 25 Lac Net worth as on date Rs.  (Net worth should not be older than 1 year)Place of Birth  Country of Tax Residence  Tax ID Number^ **ACKNOWLEDGEMENT SLIP (To be filled in by the Investor)**

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

Subscription ☐ Redemption ☐

Received from Mr./Ms./M/s. \_\_\_\_\_ an application for

Units of Goldman Sachs Liquid Exchange Traded Scheme (Liquid BeES) along with Cheque/DD No. \_\_\_\_\_

dated \_\_\_\_\_ drawn on \_\_\_\_\_ for ₹ \_\_\_\_\_

Note: All Subscription are subject to realization of Cheques/Demand Drafts. All Cheques/Drafts should be made favouring "Goldma

n Sachs Mutual Fund - GS Liquid BeES - Subscription A/c."

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

Note: All Redemption are subject to transfer of Units to GS Liquid BeES - Redemption A/c.

Acknowledgement  
Stamp



Name of the Third Applicant																													
Mr./Mrs./Ms./M/s.																													
Date of Birth										OR PEKRN*										KYC compliant# (Please ✓) <input type="checkbox"/>									
D D M M Y Y Y Y Y																													
Nationality																													
Gross Annual Income per annum (Please ✓) : <input type="checkbox"/> Below 1 Lac <input type="checkbox"/> Rs.1 - 5 Lac <input type="checkbox"/> Rs.5 - 10 Lac <input type="checkbox"/> Rs.10 - 25 Lac <input type="checkbox"/> > 25 Lac      Net worth as on date Rs. (Net worth should not be older than 1 year)																													
Place of Birth										Country of Tax Residence										Tax ID Number^									
Power of Attorney (PoA) Holder Details - Third Holder																													
Mr./Mrs./Ms.																													
PAN*										OR PEKRN*										KYC compliant# (Please ✓) <input type="checkbox"/>									
																				Nationality									
Gross Annual Income per annum (Please ✓) : <input type="checkbox"/> Below 1 Lac <input type="checkbox"/> Rs.1 - 5 Lac <input type="checkbox"/> Rs.5 - 10 Lac <input type="checkbox"/> Rs.10 - 25 Lac <input type="checkbox"/> > 25 Lac      Net worth as on date Rs. (Net worth should not be older than 1 year)																													
Place of Birth										Country of Tax Residence										Tax ID Number^									
Address Of First / Sole Applicant / Non-Individual Investor (Only P. O. Box Address is not sufficient)																													
City State Pincode																													
Overseas Address (Mandatory for NRIs /FIIs) (Principal place of business/operations required if different from mailing/correspondence address)																													
Contact details of First / Sole Applicant / Non-Individual investor (Please mention the STD/ISD Codes)																													
Office Tel.:										Residence Tel.:										Fax Mobile:									
E-Mail:																													
I/We wish to receive the account statement/scheme wise annual report or an abridged summary thereof/statutory and other documents by physical mode in lieu of e- mail (Please ✓) <input type="checkbox"/>																													
(Applicable if E-mail address is mentioned above) (Refer instruction 5).																													
*Please attach proof. PAN is not mandatory for certain Investors(Refer instruction no. 1 (b) (v)). ^ Please attach proof for TAX ID Numnber. # Please submit the duly filled KYC Application Form and supporting documents for all Applicants / POA holders / Guardians (as applicable) who are not KYC compliant.																													

**4. MODE OF OPERATION (Please ✓) (Refer instruction no. 4)**

☐ Joint
 ☐ Single
 ☐ Anyone or Survivor
 (Default : Anyone or Survivor)

**5. STATUS (of First / Sole Applicant) (Please ✓) (Refer instruction no. 4)**

☐ Individual (Indian Resident)   
 ☐ Non-Resident Indian /Person of Indian Origin   
 ☐ Minor   
 ☐ Private Company   
 ☐ Public Company   
 ☐ Schemes of Mutual Fund  
☐ Registered Financial Institution / Commercial Bank   
☐ Foreign Institutional investor (FII)   
☐ Partnership Firm   
☐ Trust   
☐ Society / Charity   
☐ AOP   
☐ BOI   
☐ QFI  
☐ Hindu Undivided Family   
☐ Investment through Power of Attorney   
☐ Other (Please Specify) \_\_\_\_\_

**6. OCCUPATION (of First / Sole Applicant) (Please ✓) (Refer instruction no. 4)**

☐ Professional   ☐ Business   ☐ Housewife   ☐ Retired   ☐ Student   ☐ Public Sector/ Government Service   ☐ Private Sector Service   ☐ Agriculturist

☐ Forex Dealer   ☐ Proprietorship   ☐ Others (please specify)

Is any person associated with this account a current/former head of state, senior official in any government, senior executive of state-owned enterprise or senior politician in/outside of India; or an immediate family member or close advisor of such an individual; or is this account held by an organization controlled by such an individual? (Please ✓ )   ☐ Yes   ☐ No

7. BANK ACCOUNT DETAILS

(Refer instruction no. 5)

Name of the Bank

Branch

Branch Address

Account No.

Bank City

State

11 Digit IFSC Code

9 Digit MICR Code

Account Type (Please tick ✓)

☐ Savings
 ☐ Current
 ☐ NRE
 ☐ NRO
 ☐ FCNR
 ☐ Others (please specify)

8. INVESTMENT DETAILS

(Refer instruction no. 7)

Cheque/DD No.	Cheque/DD Date	Drawn on Bank	
Amount in figures ( ₹ )		Branch	
Amount in words ( ₹ )			

<b>CONTACT</b>		
Phone :	1800 266 1220	
E-Mail :	gsamindia@gs.com	<b>Asset Management</b>
Website :	www.gsam.in	

9. REDEMPTION DETAILS

No. of Units being Redeemed \_\_\_\_\_ (See instruction No. 9 & 10)

These Units are to be transferred to following account as an off market trade.

Name: GS Liquid BeES - Redemption Account DP ID 13014400, Client ID: 1301440000561635.

REDEMPTION OF DIVIDEND REINVESTMENT UNITS

(tick ( ) ✓ whichever is applicable) ☐ Yes ☐ No

10. DEMAT ACCOUNT DETAILS - (Refer instruction no. 11)

NATIONAL SECURITIES DEPOSITORY LTD. (NSDL)  
Depository Participant Name: \_\_\_\_\_  
DPID No.: 

I	N						
---	---	--	--	--	--	--	--

  
Beneficiary A/c No. 

--	--	--	--	--	--	--	--

CENTRAL DEPOSITORY SERVICES (INDIA) LTD. (CDSL)  
Depository Participant Name: \_\_\_\_\_  
Beneficiary A/c No. 

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

11. CONFIRMATION AND SIGNATURE/S (Refer instruction no. 12, 13 and 14)

Please note that by signing this Application Form, the Investors also give the Important Declarations set out in the instructions section of the Application Form.

I/We hereby apply for the allotment / Purchase of Units of the Scheme, as indicated in this form and confirm that I/we have read, understood and are bound by the terms and conditions of this Application Form, including the Important Declarations in the instructions to the Application Form, the contents of the Key Information Memorandum, the Scheme Information Document and the Statement of Additional Information, and am/are fully capable of assessing and bearing the risks involved in purchasing the Units, and agree to abide by the terms, conditions, rules and regulations of the Scheme.

I /We hereby authorise Goldman Sachs Mutual Fund, its Investment Manager and its agents to disclose personal data / details of my investment to anyone as may be necessary or expedient for the purposes of administration of investments in the Units of the Scheme.

I/We hereby undertake to pay the required money towards Subscription of the Units of the Scheme made through this Application Form within one day of making such application or within such time as directed by Goldman Sachs Mutual Fund.

Applicable to NRIs only.

I / We confirm that I am / We are Non-Resident of Indian Nationality/ Origin and I / We hereby confirm that funds for Subscription have been remitted from abroad through normal banking channels or from funds in my/ our Non-Resident External/ Ordinary Account/ FCNR Account.

Please (✓) ☐ Yes ☐ No If yes, ☐ Repatriation basis ☐ Non-repatriation basis

SIGNATURES

First/Sole Applicant/ Guardian/ POA Holder	
Second Applicant/ POA Holder	
Third Applicant/ POA Holder	

CONTACT

Phone : 1800 266 1220

E-Mail : gsamindia@gs.com

Website : www.gsam.in



Asset Management

## INSTRUCTIONS IN THE APPLICATION FORM FOR GS LIQUID BeES

### 1. General

- (a) Please refer to the Scheme Information Document ("SID"), the Statement of Additional Information ("SAI") and Key Information Memorandum ("KIM") (collectively the "Offering Documents") carefully before filling the Application Form. All Investors are deemed to have read and accepted the terms in the Offering Documents and instructions in this Application Form subject to which this offer is being made and bind themselves to the terms thereof upon signing the Application Form and tendering the payment.
- (b) The Units of the Scheme may be bought / sold like any other stock on the NSE. The Authorised Participants and Large Investors may also directly buy/sell Units with the Fund in Creation Unit size by filling this Application Form. Any reference in these instructions to "Investors" shall be a reference to "Authorised Participants" and "Large Investors". Please refer to the Offering Documents for definitions of Authorised Participants / Large Investors and details regarding Subscription / Redemption of Units of the Schemes on the NSE.
- (c) Alternatively, Investors may also Subscribe / Redeem Units of Liquid BeES through the facility provided by NSE and BSE. Investors can through this facility Purchase Units of Liquid BeES with a minimum amount of Re. 1 and in multiples thereof and Redeem Units of Liquid BeES with a minimum of 0.001 Units and in multiples thereof.
- (d) All applications are subject to detailed scrutiny and verification. Applications which are incomplete, invalid or ambiguous in any respect are liable to be rejected after acceptance and verification. Subject to the SEBI Regulations and applicable Laws, the Application Form may be accepted or rejected at the sole and absolute discretion of the Trustees / AMC. Please refer to the Offering Documents for further details on rejection of applications.
- (e) All Application Forms should be submitted at the Official Points of Acceptance details of which are provided along with the KIM and on our website [www.gsam.in](http://www.gsam.in). Please ensure that the requisite details and documents have been provided, in order to avoid processing delays and / or rejection of your Application Form.
- (f) Investors must use separate Application Forms for investing / Redeeming Units simultaneously in the Scheme.
- (g) Investors shall ensure that any overwriting or correction shall be countersigned by the Investors, failing which the AMC / Mutual Fund / Trustees may at its sole discretion reject such application / transaction request.
- (h) Investors should ensure to write the word 'DIRECT' in the column for 'Broker/Distributor Name' in the Application Form in cases where such applications are not routed through any distributor / broker. If the column for 'Broker/Distributor Name' is left blank in the Application Form, then the application would be considered as a 'DIRECT' application. Any subsequent change / update / removal of broker name, ARN or sub-broker name and code will be based on the written request from the Unit holder and will only be on a prospective basis from the date when the Registrar accepts such written instruction.
- (i) No separate receipt will be issued for the application money. The Official Points of Acceptance will stamp and return the acknowledgement slip in the Application Form, to acknowledge receipt of the application, subject to final verification and scrutiny. The acknowledgement slip is provided subject to realization of payment instrument and furnishing mandatory information / documents. Investors are requested to retain the acknowledgement slip until you receive your transaction advice from the Mutual Fund.
- (j) Irrespective of mode of holding, all communication and payments shall be made by the Mutual Fund only in the name of and favouring the sole / 1st applicant, including all transaction advices, Dividend or Redemption payments, and all other relevant correspondence.
- (k) The Mutual Fund / AMC / Trustees and their directors, employees and agents shall not be liable in any manner for any claims arising whatsoever on account of freezing the folios / rejection of any application / allotment of Units or mandatory Redemption of Units due to non compliance with the provisions of the PMLA, SEBI circular(s) and KYC policy and / or where the AMC believes that transaction is suspicious in nature within the purview of the PMLA and SEBI circular(s) and reporting the same to FIU-IND.
- (l) The Application form should be completed in ENGLISH in BLOCK LETTERS only. Please tick (✓) in the appropriate box (a) where boxes have been provided.

### 2. Existing Unit holder information:

- (a) Investors who have directly transacted with the Fund earlier are not required to provide details in sections 2-6 of this Application Form and shall specify their name and enclose an attested copy of the PAN card and the KYC documents, if not provided earlier, and proceed to section 7.

### 3. Applicant's Information

- (a) Investors must ensure that the sequence of names as mentioned in the Application Form matches that of the account held by the Investor with the Depository Participant of CDSL/NSDL and are required to indicate in the application the Depository Participant's name, Depository Participant ID Number (if applicable) and beneficiary account number of the Investor with the Depository Participant in section 9 ('Demat Account Details') of the Application Form. Beneficiary account number, names, address and PAN details, other KYC norms mentioned in the Application Form will be verified against the Depository data which will be downloaded from

Depository master. Only those applications where the details are matched with the Depository data will be treated as valid applications. If the details mentioned in the application are incomplete, incorrect, and not matched with the Depository data, the application shall be treated as invalid and shall be liable to be rejected.

- (b) Name and address must be written in full. (P. O. Box address alone is not sufficient). For all Investors who are KYC compliant, the address provided to CDSL Ventures Ltd ("CVL") will automatically be updated in our records for the 1st applicant. Non-individual Investors are also required to provide their registered office address, if the same has not been provided as address for correspondence. In case of NRIs / FIIs, it is mandatory that the overseas address / registered office address should also be provided. Preferably write your name exactly as it appears in the demat account.
- (c) Name of the guardian must be mentioned if the investments are being made on behalf of a minor. Date of birth is mandatory for minors.
- (d) Name of the contact person with designation should be mentioned in case of investments by a company, body corporate, partnership, society, mutual fund, trust, FII and other non-individual Investors. Further, a duly certified true copy of resolution or a document providing evidence of the authority of the organisation to invest in the Schemes, along with the updated specimen signature list of authorised signatories and a certified copy of memorandum and articles of association and / or bye-laws and / or trust deed and / or partnership deed and certificate of registration or any other documents as the case may be shall be furnished along with the Application Form. In case of a trust / fund, it shall submit a certified true copy of the resolution from trustee(s) authorising such Purchases. In case of FIIs, the letter and certificate of registration issued by SEBI and required documents duly certified as proof of the permanent overseas address shall also be submitted. The officials should sign the application under their official designation and furnish the list of authorised signatories. Please refer to the 'Investor's Documentation and Particulars Grid', provided along with the KIM and also available on our website [www.gsam.in](http://www.gsam.in), for further details on supporting documents to be provided along with the Application Form.
- (e) Permanent Account Number ("PAN"): In order to strengthen the Know Your Customer ("KYC") norms and identify every participant in the securities market, SEBI has made it mandatory for all Investors (including minors and their guardians) to mention their PAN and submit a certified copy of the PAN card as the sole identification number for all participants transacting in the securities market, irrespective of the amount of investment, while making an application for Subscription of Units. Applications received without PAN / PAN card copy will be rejected. Submitting a copy of the evidence of having applied for PAN / Form 60 / Form 61 will not be acceptable. In accordance with the regulatory guidelines, the PAN card copy needs to be verified with the original. The original PAN card will be returned immediately across the counter after verification. Alternatively, a distributor empanelled with the Fund can attest a copy. A bank manager's attestation or a notarised copy will also be accepted. In case of joint applicants, PAN details of all holders should be submitted. If the Power of Attorney ("POA") holder is transacting on behalf of the Investor, then the PAN and attested copy of the PAN card of the POA holder and the Investor should be provided.
- (f) PAN is not mandatory in the case of Investors residing in the state of Sikkim and officials of the Central Government, State Government, and the officials appointed by the courts e.g. official liquidator, court receiver etc. (under the category of Government) for their investments in the Mutual Fund. However, the Mutual Fund shall verify the veracity of such claims of such Investors by collecting sufficient documentary evidence and shall seek to achieve strict compliance with the applicable 'KYC' norms. The AMC reserves the right to ask for the necessary documentation to the satisfaction of the Mutual Fund in this regard.
- (g) Know your Customer ("KYC"):
  - (i) KYC is mandatory under the Prevention of Money Laundering Act, 2002 for all applications/ investments in the capital market. KYC Compliance status of all Investors in a folio (including joint holders, minors, guardians and POA holders) is required to be quoted in the Application Form. The status of KYC should reflect as 'Verified' / 'Registered' on the respective KYC Registration Agency ("KRA") website as on the date of investment, in case the KRA website shows any other status for a given PAN, the application will be liable to be rejected and the Subscription amount will be refunded.
  - (ii) With effect from January 1, 2012, SEBI has introduced a common KYC Application Form for all the SEBI registered intermediaries. Fresh/new Investors are, therefore, requested to use the common KYC Application Form and carry out the KYC process including In-Person Verification ("IPV") with any SEBI registered intermediaries, including mutual funds. All references to KYC Acknowledgement Letter in these instructions shall include a reference to acknowledgment letters obtained from the KRA. The investor is required to have previously completed KYC process and obtained a KYC Acknowledgement Letter before submitting this Application Form. However, in any event, the Mutual Fund reserves the right to carry out fresh KYC of the Investor.
  - (iii) Investors who are KYC Compliant, i.e. who have obtained a KYC Acknowledgment Letter issued by CDSL Ventures Ltd ("CVL") or any other KYC Registration Agency ("KRA") are required to tick the box as KYC compliant in the Application Form and enclose a self attested copy of the KYC Acknowledgment Letter or a printout of KYC compliance status downloaded from CVL's website ([www.cvlindia.com](http://www.cvlindia.com)) using their

PAN, along with the Application Form to evidence fulfillment of KYC requirements. Applications where KYC is not completed will be rejected.

- (iv) **PAN & KYC in respect of QFIs:** QFIs are required to submit the combined PAN cum KYC Form notified by the Central Board of Direct Taxes for QFIs. QFIs are also required to provide their KYC Acknowledgement Letters along with the Application Form. Please refer to the 'Investor's Documentation and Particulars Grid', provided along with the KIM for further details in this regard.
- (v) In case the Investor/Unit holder is a minor, then the KYC documents of both the minor and the guardian shall be submitted.

(h) Notwithstanding the above, Investors residing in the state of Sikkim shall not be subject to the above KYC requirements.

(i) For Applications made under a POA, the original POA or a duly notarized copy of the POA shall be submitted along with the Application Form. In case of foreign Investors, the original POA or a duly consularised copy of the POA shall be submitted along with the Application Form.

(j) The name of the guardian / POA holder / authorized signatory of non-individual Investors, who will sign on behalf of the minor / Investors should be filled in the space provided in the Application Form.

(k) Unit holders contact details including telephone numbers, mobile numbers and email IDs should be filled in the space provided in the Application Form.

(l) Minors:

- (i) A minor can only be the first and sole holder in an account. There cannot be any joint account holder with a minor as the first or joint holder. Name of the parent or guardian must be mentioned if the investments are being made on behalf of a minor. 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. Information on the relationship / status of the guardian as father, mother or legal guardian must be mentioned in the Application Form. In case of natural guardian, a document evidencing the relationship must be submitted if the same is not available as part of the documents submitted in support of date of birth. In case of court appointed legal guardian, supporting documentary evidence must be submitted. The following documents evidencing the date of birth of the minor must be submitted while opening the folio (i) birth certificate of the minor, or (ii) school leaving certificate / mark sheet issued by Higher Secondary Board of respective states, ICSE, CBSE etc., or (iii) passport of the minor, or (iv) any other suitable proof evidencing the date of birth of the minor.
- (ii) The account will be frozen for operation by the guardian on the day the minor attains the age of majority and no transactions will be permitted till the documents for changing the status are received by the AMC / Mutual Fund / Trustee.

- (iii) The standard documents required to change account status from minor to major are (i) Application Form, duly filled and containing details like name of major, folio numbers, etc., (ii) new bank mandate where account changed from minor to major, (iii) signature attestation of the major by a manager of a scheduled bank / bank certificate / letter, and (iv) KYC documents of the major. Please refer to the SAI for further details on the process and documentation relating to a minor Investor attaining majority.
- (iv) Change in guardian: When there is a change in guardian either due to mutual consent or demise of the existing guardian, certain documents will be required to be submitted to the AMC / Mutual Fund / Trustee in order to register the new guardian. Please refer to the SAI for further details on the documents to be submitted with the Mutual Fund / AMC / Trustees for the change in guardian.

- (v) In addition to the above, upon change of status from minor to major and / or change in guardian, the Investor is also required to change his / her status with and provide the relevant documents to the Depository Participant.

#### 4. Status, Occupation and Mode of Operation

- (a) Investors are required to indicate the status and occupation of the sole / 1st applicant in the Application Form. Any change in the status during the period of holding Units should be given to assist correct tax treatment of income arising from such holding. In the event that the Investor has not mentioned the status of the first applicant, (i.e. whether the first applicant is an individual, HUF, company, etc.), it shall be deemed as "others" and the tax rates (including the tax on Dividend distribution) applicable to a resident Indian company would be applicable to such an Investor. Further, in the event the foreign exchange laws in India are amended to permit FPIs to make investments in mutual fund schemes, FPIs are requested to contact the ISC for any further details or information required to be provided by FPIs along with their Application Forms.

- (b) With regard to the mode of operation, the mode of holding registered by the Investor(s) with its Depository Participant will be applicable to the Units of the Scheme.

#### 5. Bank Account Details

- (a) Investors should provide the name of the bank, branch address, account type and account number of the sole / 1st applicant as registered with the Depository Participant with whom such applicant holds the demat account. Please note that as per SEBI guidelines, it is mandatory for Investors to mention their bank account details in the Application Form. Investors must also write the Application Form number / Folio number on the reverse of the Cheques and bank drafts accompanying the Application Form. Applications without complete bank details shall be treated as incomplete and may be rejected.

- (b) All Dividend and Redemption proceeds will be electronically credited directly into the bank account registered with Depository Participant even if the investor provides a different bank details than those registered with Depository Participant. However, if the Mutual Fund does not have the required information to credit the amounts electronically, or if the Investor's bank is not a part of the distribution network, the payment will be made by cheque / demand draft. In case of rejection of the application for any reason, the amount will be refunded to the bank account details mentioned in section 8 of the Application Form. Investors who do not wish to receive their Dividend and/or Redemption payments electronically and would prefer to receive the same by cheque/demand draft should contact the ISCs in this regard.

- (c) To facilitate verification of your bank account details please furnish the following details in the form:

- MICR code of your bank / branch (this is a 9 digit number appearing next to the cheque number on the cheque leaf).
- IFSC code of your bank / branch (this is an 11 character alphanumeric code that you would find on your cheque leaf. IFSC will help to secure credit of Redemption and Dividend proceeds via the various electronic modes of credit that are available with the banks). If your cheque leaf does not carry this, please check for the same with your local bank branch.
- The Investor is required to provide a blank cancelled cheque leaf for the purpose of verifying the bank account number, in the case where the payment instrument is from a bank account other than the bank account, detailed in section 8 of the Application Form. If the bank account number on the cheque leaf is handwritten or Investor name is not printed on the face of the cheque, the bank account statement, bank certificate or pass book giving the name, address and the account number should be enclosed. If photocopies are submitted, Investors must produce original for verification.

#### 6. Minimum Application Size for Subscription and Redemption

Applications for Subscription should be for a minimum of 1 Creation Unit (i.e. 2,500 Units) and in multiples of 1 Unit thereof. Redemption requests should be for a minimum of 1 Creation Unit (i.e. 2,500 Units)

#### 7. Payment Details

- (a) The amount payable will be the NAV per Unit of the Scheme as at the close of previous Business Day multiplied by the number of Units applied for.

- (b) Resident Investors may make the payment by cheque / demand drafts payable locally at any of the Official Points of Acceptance. Application Forms accompanied with outstation cheque / post dated cheque / cash / stock invest / postal orders / money orders, or such other modes as may be decided by the AMC from time to time, will not be accepted. The AMC will not accept any request for refund of demand draft charges. All cheques and bank drafts must be crossed "Account Payee only" and drawn in favour "GS - Liquid BeES- Subscription A/c". Note: Returned cheque(s) will not be presented again for collection and the accompanying Application Form shall not be considered again for allotment. In case the returned cheque(s) are presented again, the necessary charges are liable to be debited to the Investor.

- (c) Payment should be made by cheque or bank draft drawn on any bank which is situated at and is a member of the Bankers Clearing House located at the place where the Application Form is submitted or as a payment instruction (such as pay order, banker's cheque etc.) or electronic instructions or in a manner acceptable to the AMC, which is evidenced by receipt of credit in a bank account of the Scheme.

- (d) Investors can also directly transfer the Subscription amount to the Scheme's bank account, details of which are provided below.

Bank Name	Account No.	Account Name
Citibank NA	14159134	GS- Liquid BeES -Subscription A/c

- (e) In case of NRI / Persons of Indian Origin, payment must be made either by cheque or demand draft by means of inward remittance through normal banking channels or out of funds held in the NRE / FCNR account, in the case of Purchases on a repatriation basis or out of funds held in the NRE / FCNR / NRO account, in the case of Purchases on a non-repatriation basis. In case of Indian Rupee drafts purchased from abroad or payments from FCNR/NRE accounts, a certificate from the bank issuing the draft confirming the debit and/ or foreign inward remittance certificate (FIRC) issued by Investor's banker should also be enclosed. The Mutual Fund reserves the right to reject the application of NRI Investors in case the debit certificate / requisite details are not submitted.

- (f) Payment by the FII must be made either by inward remittance through normal banking channels or out of funds held in foreign currency account or non resident rupee account maintained by the FII with a designated branch of an authorised dealer in India.

- (g) All application together with the cheque / demand draft / payment instruction or copy of the electronic instruction should be submitted at any of the Official Points of Acceptance.

- (h) Bank charges for out-station demand drafts (as defined herein) will have to be borne by the Investor/Unit holder. An out-station demand draft has, for this purpose, been defined as a demand draft issued by a bank in a place where there is no collection centre provided for the Investor. The Fund will not entertain any requests for refund of demand draft charges.

- (i) Payments may be made through instruments issued from an account other than that of the beneficiary Investor subject to the terms, conditions and instructions set out in the "Third Party Payment Declaration Form". Investors are required to read, fill up and submit the "Third Party Payment



Declaration Form" (available at any of our ISCs or on our website [www.gsam.in](http://www.gsam.in)) where they intend to make Third Party Payments. The Mutual Fund/ AMC reserves the right at its absolute discretion to reject / not process the application which does not comply with these provisions and refund the application money. The Mutual Fund / AMC shall not be liable in any manner whatsoever for such rejections.

#### 8. Allotment of Units

- (a) After the cheque is cleared and application is found to be complete in all respects, the number of Units applied for will be credited to the Depository Participant account of applicant within 3 Working Days from the date of clearance of the funds and the Mutual Fund shall provide the Investor with an allotment advice.
- (b) Units so allotted will be entitled to Dividends, if any, declared by the Fund from the date of allotment itself. The Fund may allot fractional Units during Purchase of Units in minimum Unit Size (directly with the Fund) on an ongoing basis. Also reinvestment of Dividend in the Scheme may result in the fractional Units. The Units will be allotted upto three decimals.

#### 9. Redemption of Units

- (a) Redemption requests should be for a minimum of 1 Creation Unit (i.e. 2,500 Units). Units held by the Investor in addition to the Creation Unit (including Units held in multiples of 1 and fractional Units) can also be Redeemed by the Investor by submitting this Application Form.
- (b) Any Unit holder opting to Redeem their Units may do so by submitting this Application Form after filling in the section "Redemption Details" to the office of the AMC and transferring the Units of the Scheme to Redemption demat account of the Scheme. The Units should be transferred to the Depository Participant account, details of which are provided in section 8 of the Application Form. Units should be credited to the above mentioned account by 4:00 pm.
- (c) The Applicable NAV for Redemption of Units of the Scheme is NAV per Unit of Liquid BeES at the close of Business Day on which the application is received. The cheque towards Redemption proceeds will be mailed to the Investors within 10 working days from the date of Redemption request.
- (d) Units in less than Creation Unit size which are in round lots of 1 Unit, may be sold on a continuous basis on the capital market segment of NSE during trading hours like any other publicly traded stock at prices which may be close to the actual NAV of the Scheme.
- (e) Where there have been no quotes on NSE for five trading days consecutively, an Investor may sell directly to the Fund Units of the Scheme for less than Creation Unit size, with an Exit Load as detailed in the Offering Documents.
- (f) If a Unit holder makes a Redemption request immediately after Purchase of Units, the Fund shall have a right to withhold the Redemption request and would process such Redemption request only after the amount remitted by the Unit holder (for Purchase of Units) is realized and the proceeds have been credited to the Scheme's Account. However, this is only applicable if the value of Redemption is such that some or all of the freshly Purchased Units may have to be Redeemed to effect the full Redemption. Further, the Trustees may, in their sole discretion, limit the total number of Units which may be Redeemed on any Business Day. Please refer to the Offering Documents for more details on "Right to Limit Redemptions".

#### 10. Redemption of Dividend Reinvestment Units (Fractional Units)

- (a) Investors who wish to exit the Scheme completely and wish to have Redemption proceeds for the Dividend reinvestment Units to be allotted but not yet credited to their demat account should tick the box, "Yes", in section 8 of the Application Form.
- (b) The Scheme declares daily Dividend and the same is compulsorily reinvested in the Scheme on daily basis. The Units arising out of Dividend reinvestment results into fractional Units. The Fund provides Investors with a facility for buying back fractional Units of the Scheme, details of which are provided on our website, [www.gsam.in](http://www.gsam.in).

#### 11. Demat Account:

- (a) The Units of the Scheme are issued / repurchased and traded compulsorily in dematerialized form. As the Units of the Scheme will be issued in demat form, relevant details of the Depository Participant and the beneficiary account should be provided in the "Demat Account Details" section in the Application Form. Investors should fill in details for either CDSL or NSDL, not for both.

#### 12. Cancellation

- (a) Please note that application once submitted cannot be cancelled under any circumstances. Once an application for Subscription is submitted, the Investor will have to submit a Redemption request for Redeeming the Units.

#### 13. Confirmations and Signatures

- (a) All signatures should be in English or in any Indian language. Thumb impressions should be from the left hand for males and the right hand for females and in all cases must be attested by a magistrate, notary public or special executive magistrate under his / her official seal. In case of HUF, the karta will sign on behalf of the HUF. Applications by minors should be signed by their guardians.
- (b) Authorised officials should sign the form under their official designation and company seal. If you are investing through your constituted attorney, please ensure that the POA document is signed by you and your constituted attorney. The signature in the Application Form, then, needs to clearly

indicate that the signature is on your behalf by the constituted attorney.

#### 14. Important Declarations The Investor(s) to note that by executing the Application Form(s), the Investors give the following declarations:

- (a) The Investor(s) understand that the Mutual Fund, the Scheme and the Units and their material terms are described in the Offering Documents. The Investor(s) acknowledge that the Offering Documents have been made available to them for inspection. Terms defined in the Offering Documents and not otherwise defined in the Application Form shall have the meanings provided in the Offering Documents.
- (b) The Investor(s) confirm that: (i) the Investor(s) are fully informed of the legal requirements within their country for Purchasing the Units; (ii) the Investor(s) are permitted to Purchase the Units under the laws and regulations of their home country in the manner in which the Units have been offered or sold to them; (iii) the Investor(s) are fully informed of any relevant foreign exchange restrictions and tax considerations arising out of their Purchase and ownership of Units; (iv) the Investor(s) have neither received nor been induced by any rebate or gifts, directly or indirectly, in making their investment; (v) the amount invested in the Scheme by, or on behalf of, the Investor(s) is through legitimate sources only and not from any source in contravention of any applicable Law, including without limitation, any applicable anti money laundering and related laws; and (vi) the Investor(s) are not a US/Canada Person and have not received or accepted the offer to Purchase / Subscribe to the Units of the Scheme in the United States.
- (c) The Investor(s) confirm that the Investor(s) is not involved in concealing, transferring, or disguising any property which, directly or indirectly, represents the proceeds of a criminal activity for the purpose of avoiding prosecution for an offence.
- (d) If the Investor(s) is acting for a partnership or entity organised for passive investment, less than 10% of the equity interests in the entity are owned by U.S. Persons and such entities are not formed principally for facilitating investment by U.S. Persons. If the Investor(s) are acting for a corporation (other than those included in the preceding sentence), 20% or more of the equity interests in the corporation are not owned by U.S. Persons other than U.S. publicly traded corporations.
- (e) Applicable for NRIs: The Investor(s) confirm that they are a non-resident of Indian nationality / origin ("NRI") as defined under the Foreign Exchange Management Act, 1999 and Regulations issued thereunder, and that they have remitted funds from abroad through approved banking channels or from funds in their Non-Resident (External) Rupee Account ("NRE") or Foreign Currency (Non-Resident) Account ("FCNR") or Non-Resident Ordinary Rupee ("NRO") Account.
- (f) The Investor(s) represent and warrant that they have full power and authorization to execute the Application Form and to make this investment. The Investor(s) agree that none of the Mutual Fund, the AMC, the Trustee or their agents shall (i) have any responsibility to verify such authorization, and (ii) have no liability whatsoever and shall be indemnified by them against all costs, losses, claims and expenses arising from any omissions or any action properly taken by the Mutual Fund, the AMC, the Trustee or their agents in accordance with the terms of the Application Form. The Investor(s) understand and agree that the Trustees / AMC have the power to mandatorily Redeem Units held by Investor(s), if the Trustees/ AMC, in their sole opinion, suspect the Investor(s) to be engaged in activities such as, including but not limited to, market-timing or excessive trading or unfair or suspicious practices, or if the Trustees /AMC for any other reason believe that mandatory Redemption of such Investor(s) would generally be in the interest of the Scheme or its Unit holders.
- (g) Investors(s) have read and understood the information provided in Section V(C)(I) of the Statement of Additional Information on 'Investor Information' and authorize the Mutual Fund, the AMC and all service providers to use their Personal Data.
- (h) If, as a result of a miscalculation of the NAV that has been notified to the Investor(s) by AMC/ Trustee/ the Fund, the Investor(s) have received dividend in excess of the correct value, the Investor(s), where relevant, upon determination of such correct NAV, agree to repay such excess. In cases where further Units in the Fund have been issued as a result of such error the Investor(s) hereby authorise the AMC / Trustee/ Fund to cancel or Redeem such Units to effect repayment.
- (i) In the event that the Application Forms are executed by more than one Investor(s), each party's liabilities thereunder shall be joint and several.
- (j) The Investor(s) agree to notify the ISC promptly in writing of any changes to the information, representations or confirmations, provided by them in or along with the Application Form. The Application Form shall be governed by and construed in accordance with Laws of India.
- (k) The Investor(s) declare that the information given in this Application Form is accurate and complete.
- (l) If applicable, the distributor has disclosed to the Investor(s) all commissions (in the form of trail commission or any other mode), payable to him for the different competing schemes of various mutual funds from amongst which the Scheme is being recommended to the Investor(s).



**GOLDMAN SACHS MUTUAL FUND  
APPLICATION FORM  
(For GS Gold BeES)**

Application No.

## Asset Management

Please read Key Information Memorandum and the instructions in this Application Form. All sections to be filled legibly in English and in BLOCK LETTERS.

Broker/Distributor Name*:	ARN: 9992	Sub-Broker Name & Code	Registrar Serial No.
Employee Name & EUIN:			
Declaration for "execution-only" transaction (mandatory if EUIN box is left blank) (Refer Instruction 1) "I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this transaction is executed without any interaction or advice by the employee/relationship manager/sales person of the above distributor/sub broker or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor/sub broker"			
First/Sole Applicant/ Guardian/ POA Holder Second	Applicant/ POA Holder Third	Applicant/ POA Holder	

\*If not routed through a broker/distributor, will be captured as DIRECT

Upfront commission (if any) shall be paid directly by the Investor to the ARN holder (AMFI registered distributor) based on the Investors' assessment of various factors including the service rendered by the ARN holder. Investors who have directly transacted with the fund before, please skip section 1 to 5, provide attested PAN copy and KYC documents for all Applicants/ POA holders /Guardian (as applicable), if not provided earlier and proceed to section 6.

**1. TRANSACTION CHARGES FOR APPLICATIONS THROUGH DISTRIBUTORS ONLY** (Please tick (✓) any one)

☐ I confirm that I am a first time Investor across mutual funds.  
(₹ 150 deductible as transaction charge and payable to the Distributor)

**Applicable for transaction routed through an empanelled Distributor who has 'opted in' to receive transaction charges**

## 2 EXISTING INVESTOR DETAILS (Refer instruction no. 2)

First / Sole Holder Name \_\_\_\_\_ PAN \_\_\_\_\_

Investors who have directly transacted with the Fund before, please skip section 2 to 6, provide attested PAN copy and KYC documents for all Applicants/ POA holders /Guardian (as applicable), if not provided earlier and proceed to section 7.

### 3. APPLICANT'S INFORMATION (Refer instruction no. 3)

Name of First / Sole Applicant / Non-Individual Investor (In case of minor, there shall not be any joint holders)

Mr./Mrs./Ms./M/s.																							
Date of Birth		D	D	M	M	Y	Y	Y	Y	PAN*						OR PEKRN*						KYC compliant# (Please <input checked="" type="checkbox"/> <input type="checkbox"/> )	
Date of Birth proof (for minor) attached (Please <input checked="" type="checkbox"/> <input type="checkbox"/> )										(Refer instruction no. 1(c))													

Nationality

Gross Annual Income per annum (Please ✓) : <input type="checkbox"/> Below 1 Lac <input type="checkbox"/> Rs.1 - 5 Lac <input type="checkbox"/> Rs.5 - 10 Lac <input type="checkbox"/> Rs.10 - 25 Lac <input type="checkbox"/> > 25 Lac					Net worth as on date Rs.	(Net worth should not be older than 1 year)
Place of Birth		Country of Tax Residence		Tax ID Number^		

### Power of Attorney (PoA) Holder Details - First Holder

[illegible]

Gross Annual Income per annum (Please ✓) : <input type="checkbox"/> Below 1 Lac <input type="checkbox"/> Rs.1 - 5 Lac <input type="checkbox"/> Rs.5 - 10 Lac <input type="checkbox"/> Rs.10 - 25 Lac <input type="checkbox"/> > 25 Lac					Net worth as on date Rs.	(Net worth should not be older than 1 year)
Place of Birth		Country of Tax Residence		Tax ID Number^		

**Name of Guardian** (in case first / sole applicant is a minor) **Name of Corporate Contact** (in case of non-individual Investors)

Mr./Mrs./Ms.

Relationship with Minor (Please ✓): ☐ Father ☐ Mother ☐ Court appointed Legal Guardian (Please attach proof.)

Relationship with Minor (Please ✓): ☒ Father ☐ Mother ☐ Court appointed Legal Guardian (Please attach proof.)

Nationality		Designation (For corporate contact)	
PAN*		OR PFBRN*	KYC compliant# (Please ✓) <input type="checkbox"/>

**Name of the Second Applicant**

[illegible]

Gross Annual Income per annum (Please ✓) : ☐ Below 1 Lac ☐ Rs.1 - 5 Lac ☐ Rs.5 - 10 Lac ☐ Rs.10 - 25 Lac ☐ > 25 Lac Net worth as on date Rs. (Net worth should not be older than 1 year)

Place of Birth Country of Tax Residence Tax ID Number^

### Power of Attorney (PoA) Holder Details - Second Holder

[illegible]

Gross Annual Income per annum (Please ✓) : ☐ Below 1 Lac ☐ Rs.1 - 5 Lac ☐ Rs.5 - 10 Lac ☐ Rs.10 - 25 Lac ☐ > 25 Lac      Net worth as on date Rs. (Net worth should not be older than 1 year)

Place of Birth \_\_\_\_\_ Country of Tax Residence \_\_\_\_\_ Tax ID Number^ \_\_\_\_\_

**ACKNOWLEDGEMENT SLIP (To be filled in by the Investor)**

Date \_\_\_\_\_

Subscription: ☐ Cash ☐ Basket

Redemption: ☐ Cash ☐ Basket

Received from Mr./Ms./M/s./Mrs. an application for Subscription / Redemption of units of Goldman Sachs

Gold BeES along with cheque/Demand Draft no.

Acknowledgement  
Stamp

## Asset Management

<b>Name of the Third Applicant</b>																																																																																																																																																																																																							
Mr./Mrs./Ms./M/s.																																																																																																																																																																																																							
Date of Birth																				PAN*										OR PEKRN*																				KYC compliant# (Please ✓) <input type="checkbox"/>																																																																																																																																																					
Nationality																																																																																																																																																																																																							
Gross Annual Income per annum (Please ✓) : <input type="checkbox"/> Below 1 Lac <input type="checkbox"/> Rs.1 - 5 Lac <input type="checkbox"/> Rs.5 - 10 Lac <input type="checkbox"/> Rs.10 - 25 Lac <input type="checkbox"/> > 25 Lac																																																																																																				Net worth as on date Rs.																																																		(Net worth should not be older than 1 year)																																																	
Place of Birth																														Country of Tax Residence																														Tax ID Number^																																																																																																																																											
<b>Power of Attorney (PoA) Holder Details - Third Holder</b>																																																																																																																																																																																																							
Mr./Mrs./Ms.																																																																																																																																																																																																							
PAN*																				OR PEKRN*																				KYC compliant# (Please ✓) <input type="checkbox"/>																				Nationality																																																																																																																																											
Gross Annual Income per annum (Please ✓) : <input type="checkbox"/> Below 1 Lac <input type="checkbox"/> Rs.1 - 5 Lac <input type="checkbox"/> Rs.5 - 10 Lac <input type="checkbox"/> Rs.10 - 25 Lac <input type="checkbox"/> > 25 Lac																																																																																																				Net worth as on date Rs.																																																		(Net worth should not be older than 1 year)																																																	
Place of Birth																														Country of Tax Residence																														Tax ID Number^																																																																																																																																											
Address Of First / Sole Applicant / Non-Individual Investor																																																		(Only P. O. Box Address is not sufficient)																																																																																																																																																					
City																														State																				Pincode																																																																																																																																																					
Overseas Address (Mandatory for NRIs /Fils)																																																		(Principal place of business/operations required if different from mailing/correspondence address)																																																																																																																																																					
Contact details of First / Sole Applicant / Non-Individual investor																																																		(Please mention the STD/ISD Codes)																																																																																																																																																					
Office Tel.:																				Residence Tel.:																				Fax										Mobile:																																																																																																																																																					
E-Mail:																																																																																																																																																																																																							
(We wish to receive the account statement/scheme wise annual report or an abridged summary thereof/statutory and other documents by physical mode in lieu of e- mail (Please ✓) <input type="checkbox"/>																																																																																																																																																																																																							
(Applicable if E-mail address is mentioned above) (Refer instruction 5).																																																																																																																																																																																																							
*Please attach proof. PAN is not mandatory for certain Investors(Refer instruction no. 1 (b) (vi)). ^ Please attach proof for TAX ID Numnber. # Please submit the duly filled KYC Application Form and supporting documents for all Applicants / POA holders / Guardians (as applicable) who are not KYC compliant.																																																																																																																																																																																																							

<b>4. MODE OF OPERATION (Please ✓) (Refer instruction no. 4)</b>																																																																																																			
<input type="checkbox"/> Joint																				<input type="checkbox"/> Single																				<input type="checkbox"/> Anyone or Survivor																				(Default : Anyone or Survivor)																																							

<b>5. STATUS (of First / Sole Applicant) (Please ✓) (Refer instruction no. 4)</b>																																																																																																																																	
<input type="checkbox"/> Individual (Indian Resident)																				<input type="checkbox"/> Non-Resident Indian /Person of Indian Origin																				<input type="checkbox"/> Minor										<input type="checkbox"/> Private Company																				<input type="checkbox"/> Public Company																				<input type="checkbox"/> Schemes of Mutual Fund																																							
<input type="checkbox"/> Registered Financial Institution / Commercial Bank																				<input type="checkbox"/> Foreign Institutional investor (FII)																				<input type="checkbox"/> Partnership Firm																				<input type="checkbox"/> Trust																				<input type="checkbox"/> Society / Charity																				<input type="checkbox"/> AOP										<input type="checkbox"/> BOI										<input type="checkbox"/> QFI									
<input type="checkbox"/> Hindu Undivided Family																				<input type="checkbox"/> Investment through Power of Attorney																				<input type="checkbox"/> Other (Please Specify) _____																																																																																									

<b>6. OCCUPATION (of First / Sole Applicant) (Please ✓) (Refer instruction no. 4)</b>																																																																																																																																																															
<input type="checkbox"/> Professional																				<input type="checkbox"/> Business																				<input type="checkbox"/> Housewife																				<input type="checkbox"/> Retired																				<input type="checkbox"/> Student																				<input type="checkbox"/> Public Sector/ Government Service																				<input type="checkbox"/> Private Sector Service																				<input type="checkbox"/> Agriculturist																			
<input type="checkbox"/> Forex Dealer																				<input type="checkbox"/> Proprietorship																				<input type="checkbox"/> Others (please specify)																																																																																																																							
Is any person associated with this account a current/former head of state, senior official in any government, senior executive of state-owned enterprise or senior politician in/outside of India; or an immediate family member or close advisor of such an individual; or is this account held by an organization controlled by such an individual? (Please ✓ ) <input type="checkbox"/> Yes <input type="checkbox"/> No																																																																																																																																																															

<b>7. BANK ACCOUNT DETAILS (Refer instruction no. 5)</b>																																																																																																			
Name of the Bank																																																		Branch																																																	
Branch Address																																																		Account No.																																																	
Bank City																														State																				11 Digit IFSC Code																																																	
9 Digit MICR Code																				Account Type (Please tick ✓)																				<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> NRE <input type="checkbox"/> NRO <input type="checkbox"/> FCNR <input type="checkbox"/> Others (please specify)																																																											

<b>8. SUBSCRIPTION DETAILS (Refer instruction no. 7)</b>																																																																																																			
No. of Units (in figures)																																																																																																			
No. of Units (in words)																																																																																																			
Gold Deposited (Kgs)																				Shipper																																																																															
																				Authorised Dealer																																																																															
Cash Component																				Payable <input type="checkbox"/>																				Receivable <input type="checkbox"/>																																																											
Cash Component amount (A) ( ₹ )																																								Mode of Payment																																																											
Transaction Charges (B) ( ₹ )																																								Direct Credit																				<input type="checkbox"/>																																							
Total Cash Component (A + B) ( ₹ )																																								Cheque																				<input type="checkbox"/>																																							
Cash Component Payment Details																																																																																																			
Cheque / DD No																																																		Cheque / DD Date																																																	
Drawn on Bank / Branch																																																		Amount ( ₹ ) (in figures)																																																	

**9. REDEMPTION DETAILS**

(Refer instruction no. 9)

No. of Units (in figures)	<input type="text"/>
No. of Units (in words)	<input type="text"/>
Cash Component	Payable <input type="checkbox"/> Receivable <input type="checkbox"/>
Cash Component amount (A) ( ₹ )	<input type="text"/>
Transaction Charges (B) ( ₹ )	<input type="text"/>
Total Cash Component (A + B) ( ₹ )	<input type="text"/>
Cash Component Payment Details	Mode of Payment
	Direct Credit <input type="checkbox"/>
	Cheque <input type="checkbox"/>
Cheque / DD No	Cheque / DD Date
Drawn on Bank / Branch	Amount ( ₹ ) (in figures)

**10. DEMAT ACCOUNT DETAILS -**

(Refer instruction no. 10)

NATIONAL SECURITIES DEPOSITORY LTD. (NSDL)	CENTRAL DEPOSITORY SERVICES (INDIA) LTD. (CDSL)
Depository Participant Name: <input type="text"/>	Depository Participant Name: <input type="text"/>
DPID No.: <input type="text"/>	Beneficiary A/c No. <input type="text"/>
Beneficiary A/c No. <input type="text"/>	

**11.CONFIRMATION AND SIGNATURE/S**

(Refer instruction no. 11,12 and 13)

<p>Please note that by signing this Application Form, the Investors also give the Important Declarations set out in the instructions section of the Application Form.</p> <p>I/We hereby apply for the allotment / Purchase of Units of the Scheme, as indicated in this form and confirm that I/we have read, understood and are bound by the terms and conditions of this Application Form, including the Important Declarations in the instructions to the Application Form, the contents of the Key Information Memorandum, the Scheme Information Document and the Statement of Additional Information, and am/are fully capable of assessing and bearing the risks involved in purchasing the Units, and agree to abide by the terms, conditions, rules and regulations of the Scheme.</p> <p>I /We hereby authorise Goldman Sachs Mutual Fund, its Investment Manager and its agents to disclose personal data / details of my investment to anyone as may be necessary or expedient for the purposes of administration of investments in the Units of the Scheme.</p> <p>I/We hereby undertake to pay the required money towards Subscription of the Units of the Scheme made through this Application Form within one day of making such application or within such time as directed by Goldman Sachs Mutual Fund.</p> <p>Applicable to NRIs only.</p> <p>I / We confirm that I am / We are Non-Resident of Indian Nationality/ Origin and I / We hereby confirm that funds for Subscription have been remitted from abroad through normal banking channels or from funds in my/ our Non-Resident External/ Ordinary Account/ FCNR Account.</p> <p>Please (✓) <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, <input type="checkbox"/> Repatriation basis <input type="checkbox"/> Non-repatriation basis</p>	<b>SIGNATURES</b>	<p>First/Sole Applicant/ Guardian/ POA Holder</p> <p>Second Applicant/ POA Holder</p> <p>Third Applicant/ POA Holder</p>

**CONTACT**E-Mail : [gsamindia@gs.com](mailto:gsamindia@gs.com)

Phone : 1800 266 1220

Website : [www.gsam.in](http://www.gsam.in)**Asset  
Management**

**1. General**

- (a) Please refer to the Scheme Information Document ("SID"), the Statement of Additional Information ("SAI") and Key Information Memorandum ("KIM") (collectively the "Offering Documents") carefully before filling the Application Form. All Investors are deemed to have read and accepted the terms in the Offering Documents and instructions in this Application Form subject to which this offer is being made and bind themselves to the terms thereof upon signing the Application Form and tendering the payment.
- (b) The Units of the Scheme may be bought / sold like any other stock on the NSE. Alternatively, the Authorised Participants and Large Investors can directly buy/sell Units with the Fund in Creation Unit size. Any reference in these instructions to "Investors" shall be a reference to "Authorised Participants" and "Large Investors". Please refer to the Offering Documents for definitions of Authorised Participants / Large Investors and details regarding Subscription / Redemption of Units of the Schemes on the NSE.
- (c) All applications are subject to detailed scrutiny and verification. Applications which are incomplete, invalid or ambiguous in any respect are liable to be rejected after acceptance and verification. Subject to the SEBI Regulations and applicable Laws, the Application Form may be accepted or rejected at the sole and absolute discretion of the Trustees / AMC. Please refer to the Offering Documents for further details on rejection of applications.
- (d) All Application Forms should be submitted at the Official Points of Acceptance details of which are provided along with the KIM and on our website [www.gsam.in](http://www.gsam.in). Please ensure that the requisite details and documents have been provided, in order to avoid processing delays and / or rejection of your Application Form.
- (e) Investors must use separate Application Forms for investing / Redeeming Units simultaneously in the Scheme.
- (f) Investors shall ensure that any overwriting or correction shall be countersigned by the Investors, failing which the AMC / Mutual Fund / Trustees may at its sole discretion reject such application / transaction request.
- (g) Investors should ensure to write the word 'DIRECT' in the column for 'Broker/Distributor Name' in the Application Form in cases where such applications are not routed through any distributor / broker. If the column for 'Broker/Distributor Name' is left blank in the Application Form, then the application would be considered as a 'DIRECT' application. Any subsequent change / update / removal of broker name, ARN or sub-broker name and code will be based on the written request from the Unit holder and will only be on a prospective basis from the date when the Registrar accepts such written instruction.
- (h) No separate receipt will be issued for the application money. The Official Points of Acceptance will stamp and return the acknowledgement slip in the Application Form, to acknowledge receipt of the application, subject to final verification and scrutiny. The acknowledgment slip is provided subject to realization of payment instrument and Portfolio Deposit (if applicable) and furnishing mandatory information / documents. Investors are requested to retain the acknowledgment slip until you receive your transaction advice from the Mutual Fund.
- (i) The AMC shall disclose on a daily basis the Portfolio Deposit and Cash Component for creating and Redeeming Units in Creation Unit size for each Scheme. The same will be disclosed on our website ([www.gsam.in](http://www.gsam.in)), daily in the morning and would be applicable for creating and Redeeming Units in Creation Unit size for that Working Day only.
- (j) Irrespective of mode of holding, all communication and payments shall be made by the Mutual Fund only in the name of and favouring the sole / 1st applicant, including all transaction advices, Dividend or Redemption payments, and all other relevant correspondence.
- (k) The Mutual Fund / AMC / Trustees and their directors, employees and agents shall not be liable in any manner for any claims arising whatsoever on account of freezing the folios / rejection of any application / allotment of Units or mandatory Redemption of Units due to non compliance with the provisions of the PMLA, SEBI circular(s) and KYC policy and / or where the AMC believes that transaction is suspicious in nature within the purview of the PMLA and SEBI circular(s) and reporting the same to FIU-IND.
- (l) The Application form should be completed in ENGLISH in BLOCK LETTERS only. Please tick (✓) in the appropriate box (□) where boxes have been provided.

**2. Existing Unit holder information:**

- (a) Investors who have directly transacted with the Fund earlier are not required to provide details in sections 2-6 of this Application Form and shall specify their name and enclose an attested copy of the PAN card and the KYC documents, if not provided earlier, and proceed to section 7.

**3. Applicant's Information**

- (a) Investors must ensure that the sequence of names as mentioned in the Application Form matches that of the account held by the Investor with the Depository Participant of CDSL/NSDL and are required to indicate in the application the Depository Participant's name, Depository Participant ID Number (if applicable) and beneficiary account number of the Investor with the Depository Participant in section 9 ('Demat Account Details') of the Application Form. Beneficiary account number, names, address and PAN details, other KYC norms mentioned in the Application Form will be verified against the Depository data which will be downloaded from Depository master. Only those applications where the details are matched with the Depository data will be treated as valid applications. If the details mentioned in the application are incomplete, incorrect, and not matched with the Depository data, the application shall be treated as invalid and shall be liable to be rejected.
- (b) Name and address must be written in full. (P. O. Box address alone is not

sufficient). Non-individual Investors are also required to provide their registered office address, if the same has not been provided as address for correspondence. In case of NRIs / FII's, it is mandatory that the overseas address / registered office address should also be provided. Preferably write your name exactly as it appears in the demat account.

- (c) Name of the guardian must be mentioned if the investments are being made on behalf of a minor. Date of birth is mandatory for minors.
- (d) Name of the contact person with designation should be mentioned in case of investments by a company, body corporate, partnership, society, mutual fund, trust, FII and other non-individual Investors. Further, a duly certified true copy of resolution or a document providing evidence of the authority of the organisation to invest in the Scheme, along with the updated specimen signature list of authorised signatories and a certified copy of memorandum and articles of association and / or bye-laws and / or trust deed and / or partnership deed and certificate of registration or any other documents as the case may be shall be furnished along with the Application Form. In case of a trust / fund, it shall submit a certified true copy of the resolution from trustee(s) authorising such Purchases. In case of FII's, the letter and certificate of registration issued by SEBI and required documents duly certified as proof of the permanent overseas address shall also be submitted. The officials should sign the application under their official designation and furnish the list of authorised signatories. Please refer to the 'Investor's Documentation and Particulars Grid', provided along with the KIM and also available on our website [www.gsam.in](http://www.gsam.in), for further details on supporting documents to be provided along with the Application Form.
- (e) Permanent Account Number ("PAN"): In order to strengthen the Know Your Customer ("KYC") norms and identify every participant in the securities market, SEBI has made it mandatory for all Investors (including minors and their guardians) to mention their PAN and submit a certified copy of the PAN card as the sole identification number for all participants transacting in the securities market, irrespective of the amount of investment, while making an application for Subscription of Units. Applications received without PAN / PAN card copy will be rejected. Submitting a copy of the evidence of having applied for PAN / Form 60 / Form 61 will not be acceptable. In accordance with the regulatory guidelines, the PAN card copy needs to be verified with the original. The original PAN card will be returned immediately across the counter after verification. Alternatively, a distributor empanelled with the Fund can attest a copy. A bank manager's attestation or a notarised copy will also be accepted. In case of joint applicants, PAN details of all holders should be submitted. If the Power of Attorney ("POA") holder is transacting on behalf of the Investor, then the PAN and attested copy of the PAN card of the POA holder and the Investor should be provided.
- (f) PAN is not mandatory in the case of Investors residing in the state of Sikkim and officials of the Central Government, State Government, and the officials appointed by the courts e.g. official liquidator, court receiver etc. (under the category of Government) for their investments in the Mutual Fund. However, the Mutual Fund shall verify the veracity of such claims of such Investors by collecting sufficient documentary evidence and shall seek to achieve strict compliance with the applicable 'KYC' norms. The AMC reserves the right to ask for the necessary documentation to the satisfaction of the Mutual Fund in this regard.
- (g) Know your Customer ("KYC"):
  - (i) KYC is mandatory under the Prevention of Money Laundering Act, 2002 for all applications/ investments in mutual funds (fresh Purchases / additional Purchases). Each Investor (including joint Unit holder, guardian, minor, POA holders, NRIs) who wishes to invest any amount in the Scheme, needs to submit the relevant KYC documents as set out in the 'Investor's Documentation and Particulars Grid', provided along with the KIM and also available on our website [www.gsam.in](http://www.gsam.in). Applications where KYC is not completed will be rejected. All documents submitted should be in original along with a self-attested copy. The original will be returned across the counter after verification. Alternatively, Investors may submit copies duly attested by a manager of a scheduled commercial bank (the designation seal should be affixed), notary public or gazetted officer.
  - (ii) In case the Investor/Unit holder is a minor, then the KYC documents of both the minor and the guardian shall be submitted.
- (h) Notwithstanding the above, Investors residing in the state of Sikkim shall not be subject to the above KYC requirements.
- (i) For Applications made under a POA, the original POA or a duly notarized copy of the POA shall be submitted along with the Application Form. In case of foreign Investors, the original POA or a duly consularised copy of the POA shall be submitted along with the Application Form.
- (j) The name of the guardian / POA holder / authorized signatory of non-individual Investors, who will sign on behalf of the minor / Investors should be filled in the space provided in the Application Form.
- (k) Unit holders contact details including telephone numbers, mobile numbers and email IDs should be filled in the space provided in the Application Form.
- (l) Minors:
  - (i) A minor can only be the first and sole holder in an account. There cannot be any joint account holder with a minor as the first or joint holder. Name of the parent or guardian must be mentioned if the investments are being made on behalf of a minor. 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. Information on the relationship / status of the guardian as father, mother or legal guardian must be mentioned in the Application Form. In case of natural guardian, a document evidencing the relationship must be submitted if the same is not available as part of the documents

submitted in support of date of birth. In case of court appointed legal guardian, supporting documentary evidence must be submitted. The following documents evidencing the date of birth of the minor must be submitted while opening the folio (i) birth certificate of the minor, or (ii) school leaving certificate / mark sheet issued by Higher Secondary Board of respective states, ICSE, CBSE etc., or (iii) passport of the minor, or (iv) any other suitable proof evidencing the date of birth of the minor.

- (ii) The account will be frozen for operation by the guardian on the day the minor attains the age of majority and no transactions will be permitted till the documents for changing the status are received by the AMC / Mutual Fund / Trustee.
- (iii) The standard documents required to change account status from minor to major are (i) Application Form, duly filled and containing details like name of major, folio numbers, etc., (ii) new bank mandate where account changed from minor to major, (iii) signature attestation of the major by a manager of a scheduled bank / bank certificate / letter, and (iv) KYC documents of the major. Please refer to the SAI for further details on the process and documentation relating to a minor Investor attaining majority.
- (iv) Change in guardian: When there is a change in guardian either due to mutual consent or demise of the existing guardian, certain documents will be required to be submitted to the AMC / Mutual Fund / Trustee in order to register the new guardian. Please refer to the SAI for further details on the documents to be submitted with the Mutual Fund / AMC / Trustees for the change in guardian.
- (v) In addition to the above, upon change of status from minor to major and / or change in guardian, the Investor is also required to change his / her status with and provide the relevant documents to the Depository Participant.

#### 4. Status, Occupation and Mode of Operation

- (a) Indicate the status of the sole/1st applicant at the time of investment. Any change in the status during the period of holding Units should be given to assist in correct tax treatment of income arising from such holding. In the event that the Investor has not mentioned the status of the first applicant, (i.e. whether the first applicant is an individual, HUF, company, etc.), it shall be deemed as 'others' and the tax rates (including the tax on Dividend distribution) applicable to a resident Indian company would be applicable to such an Investor.
- (b) The mode of holding for operating folio should be indicated. If an application is made by one Unit holder only, then the mode of holding will be considered as "Single". "Single" will entitle only the first holder to operate the account to the exclusion of the joint holders. "Anyone or Survivor" will entitle any one of the joint holders to operate the account and "Joint" will allow the operation of the account only if all the holders sign the instruction. In case of application made in joint names without indicating the mode of holding, it will be deemed as "Anyone or Survivor" and processed accordingly. The mode of holding specified in the Application Form should match the mode of operation of the demat account of the Investor as specified in the Depository Participant's record, else the application is liable to be rejected.

#### 5. Bank Account Details

- (a) Investors should provide the name of the bank, branch address, account type and account number of the sole / 1st applicant. Please note that as per SEBI guidelines, it is mandatory for Investors to mention their bank account details in the Application Form. Applications without complete bank details shall be treated as incomplete and may be rejected.
- (b) By default, all Dividend and Redemption proceeds will be electronically credited directly into your bank account. However, if we do not have the required information to do the credit electronically, or if your bank is not a part of the distribution network, we will make the payment by cheque. If you do not wish to receive your Dividend and Redemption payments electronically and would prefer to receive the same by cheque, please contact the ISC in this respect.
- (c) To facilitate verification of your bank account details please furnish the following details in the form:
  - (i) MICR code of your bank / branch (this is a 9 digit number appearing next to the cheque number on the cheque leaf).
  - (ii) IFSC code of your bank / branch (this is an 11 character alphanumeric code that you would find on your cheque leaf. IFSC will help to secure transfer of redemption and dividend payouts via the various electronic mode of transfers that are available with the banks.). If your cheque leaf does not carry this, please check for the same with your local bank branch.
  - (iii) Investor is required to provide a blank cancelled cheque leaf for the purpose of verifying the bank account number.
- (d) Investors should ensure that the bank account details provided in the Application Form matches that of the account held by the Investor with a Depository Participant.

#### 6. Minimum Application Size for Subscription and Redemption

Applications should be for a minimum of 1 Creation Unit and in multiples of Creation Unit. Currently, 1 Creation Unit of the Scheme is constituted by 1,000 Units and in multiples thereof.

#### 7. Subscription Details (Portfolio Deposit and Cash Component)

- (a) The value of the Creation Unit is 1 kilogram of physical gold or in multiples thereof called as the Portfolio Deposit and Cash Component which will be exchanged for the respective number of Units of the Scheme. The Investor has to deposit at least 1 kilogram of physical gold & in multiples of 1 kilogram thereof in order to create Units of the Scheme.
- (b) In the event the Investors is required to make payment of Cash Component, the same could be made by cheque / demand drafts payable

locally at any of the Official Points of Acceptance. Application Forms accompanied with outstation cheque/ post dated cheque / cash / stock invest / postal orders / money orders, or such other modes as may be decided by the AMC from time to time, will not be accepted. The AMC will not accept any request for refund of demand draft charges. All cheques and bank drafts must be crossed "Account Payee only" and drawn in favour of the name of "GS- Gold BeES".

Note: Returned cheque(s) will not be presented again for collection and the accompanying Application Form shall not be considered again for allotment. In case the returned cheque(s) are presented again, the necessary charges are liable to be debited to the Investor.

- (c) Payment should be made by cheque or bank draft drawn on any bank which is situated at and is a member of the Bankers Clearing House located at the place where the Application Form is submitted or as a payment instruction (such as pay order, banker's cheque etc.) or electronic instructions or in a manner acceptable to the AMC, which is evidenced by receipt of credit in a bank account of the Scheme.
- (d) In case of NRI / Persons of Indian Origin, payment must be made either by cheque or demand draft by means of inward remittance through normal banking channels or out of funds held in the NRE / FCNR account, in the case of Purchases on a repatriation basis or out of funds held in the NRE / FCNR / NRO account, in the case of Purchases on a non-repatriation basis. In case of Indian Rupee drafts purchased from abroad or payments from FCNR/NRE accounts, a certificate from the bank issuing the draft confirming the debit and/ or foreign inward remittance certificate (FIRC) issued by Investor's banker should also be enclosed. The Mutual Fund reserves the right to reject the application of NRI Investors in case the debit certificate / requisite details are not submitted.
- (e) Payment by the FII must be made either by inward remittance through normal banking channels or out of funds held in foreign currency account or non resident rupee account maintained by the FII with a designated branch of an authorised dealer in India.
- (f) All application together with the cheque / demand draft / payment instruction or copy of the electronic instruction should be submitted at any of the Official Points of Acceptance.
- (g) Bank charges for out-station demand drafts (as defined herein) will have to be borne by the Investor/Unit holder. An out-station demand draft has, for this purpose, been defined as a demand draft issued by a bank in a place where there is no collection centre provided for the Investor. The Fund will not entertain any requests for refund of demand draft charges.
- (h) Payments may be made through instruments issued from an account other than that of the beneficiary Investor subject to the terms, conditions and instructions set out in the "Third Party Payment Declaration Form". Investors are required to read, fill up and submit the "Third Party Payment Declaration Form" (available at any of our ISCs or on our website [www.gsam.in](http://www.gsam.in)) where they intend to make Third Party Payments. The Mutual Fund/ AMC reserves the right at its absolute discretion to reject / not process the application which does not comply with these provisions and refund the application money. The Mutual Fund / AMC shall not be liable in any manner whatsoever for such rejections.

#### (i) Portfolio Deposit

- (i) The value of the Creation Unit is 1 kilogram of physical gold or in multiples thereof. Portfolio Deposit consists of physical gold which will be in predefined quantity and purity of physical gold and will be defined and announced by the Fund on daily basis and can change from time to time.
- (ii) The Investor is required to specify the name of the shipper and the name of the Authorised Dealer under the "Subscription Details" details in this form. The Authorised Dealer is an agency nominated by Reserve Bank of India to import and sell bullion in India. The shipper is the agency appointed by the Authorised Dealer for storage and delivery of bullion. Please contact your Authorised Dealer for further details in this regard.
- (iii) The Investor is requested to deposit the Portfolio Deposit (i.e. the requisite physical gold) details of which are available at our website, [www.gsam.in](http://www.gsam.in), to the Custodian / AMC.

#### (j) Cash Component

- (i) The Cash Component represents the difference between the Applicable NAV of a Creation Unit and the market value of physical gold. In addition to the Cash Component, the Investor may be required to pay certain transaction charges as well. The Cash Component and the transaction charges for creation will vary from time to time and will be decided and announced by the AMC on its website and other data providers and media at large. Please refer to our website ([www.gsam.in](http://www.gsam.in)) for details on the Cash Component and transaction charges and insert the relevant details under the section "Subscription Details" in this form.
- (ii) In the event the Investor is required to pay the Cash Component along with the Portfolio Deposit, then the Investor is required to provide the additional details relating to such payment in the Application Form. The Investors can also directly transfer the Cash Component amount to the Scheme's bank account, details of which are provided below:

Name of the bank	Account No	Account Name
Bank of Novascotia	0127-G-5504	GS- Gold BeES

- (iii) For Cash Component all cheques, bank drafts and pay orders should be drawn in favour of the Scheme's bank account, details of which are provided above.
- (k) The Investor is required to submit the requisite physical gold constituting the Portfolio Deposit to the Custodian/AMC while the Cash Component



has to be paid by the Investors to the Custodian/AMC. On confirmation of the same by the Custodian/AMC that the predefined quantity and purity of physical gold has been received, the AMC will transfer the respective number of Units of the Scheme into the Investor's Depository Participant account.

#### 8. Allotment of Units

- (a) Units will be allotted to the Investors in multiples of the Creation Unit. The allotment advice, including refunds, if any, will be mailed to the Investor within 5 Working Days of the Portfolio Deposit and Cash Component (if any) being credited to the demat account of the Scheme.
- (b) The Units will be issued in dematerialized form and credited to the demat account of the Investor stated in the form within 5 Working Days of the Portfolio Deposit and Cash Component (if any) being submitted with the Custodian/AMC of the Mutual Fund.

#### 9. Redemption Details

- (a) Units of the Scheme in less than Creation Unit cannot be Redeemed directly with the Fund under any circumstance.
- (b) Units in less than Creation Unit size which are in round lots of 1 Unit, may be sold on a continuous basis on the capital market segment of NSE during trading hours like any other publicly traded stock at prices which may be close to the actual NAV of the Scheme.
- (c) If a Unit holder makes a Redemption request immediately after Purchase of Units, the Fund shall have a right to withhold the Redemption request and would process such Redemption request only after consideration (i.e. Portfolio Deposit and Cash Component) for Purchase of Units has been credited to the Scheme's Account. However, this is only applicable if the value of Redemption is such that some or all of the freshly Purchased Units may have to be Redeemed to effect the full Redemption. Further, the Trustees may, in their sole discretion, limit the total number of Units which may be Redeemed on any Business Day. Please refer to the Offering Documents for more details on "Right to Limit Redemptions".
- (d) The Investor is required to fill in the details of the number of Units to be Redeemed in the Application Form. In the event the Investor is required to pay the Cash Component along with the Redemption request, then the Investor is required to provide the additional details relating to such payment in the Application Form. The Investors can also directly transfer the Cash Component amount to the Scheme's account, details of which are provided in the table above.

#### (e) Redemption Process

- (i) The requisite number of Units of the Scheme equaling the Creation Unit has to be transferred to the Depository Participant account of the Scheme (details of which are provided in the table below) and the Cash Component to be paid to the AMC/Custodian. On confirmation of the same by the AMC, the AMC will transfer the deliver physical gold to Investor and pay the Cash Component, if applicable.

Depository	DP ID	Client ID	Account Name
CDSL	13014400	13014400 00561994	GS GOLD BEES-REDEMPTION

- (ii) The Fund will provide the Investor with the relevant quantity of the underlying physical gold against the Units Redeemed. Investors are requested to contact the Custodian of the Scheme (details of which are set out in the SAI) for taking custody of the underlying physical gold.

#### (f) Redemption/ Buy-back of Fractional Units:

The Scheme will buy back, from time to time, the fractional Units allotted to the Unit holders of the Scheme subject to the approval of the Trustees, who shall fix the record date. All the Unit holders of the Scheme holding fractional Units would be given an option to avail the buy back facility. Amount payable towards buy back will be calculated based on the NAV as on the record date fixed for that purpose. The Mutual Fund will separately inform Unit holders holding fractional Units of the Scheme with regard to further details on the buy back facility.

#### 10. Demat Account:

- (a) The Units of the Scheme are issued / repurchased and traded compulsorily in dematerialized form. As the Units of the Scheme will be issued in demat form, relevant details of the Depository Participant and the beneficiary account should be provided in the "Demat Account Details" section in the Application Form. Investors should fill in details for either CDSL or NSDL, not for both.

#### 11. Cancellation

- (a) Please note that application once submitted cannot be cancelled under any circumstances. Once an application for Subscription is submitted, the Investor will have to submit a Redemption request for Redeeming the Units.

#### 12. Confirmations and Signatures

- (a) All signatures should be in English or in any Indian language. Thumb impressions should be from the left hand for males and the right hand for females and in all cases must be attested by a magistrate, notary public or special executive magistrate under his / her official seal. In case of HUF, the karta will sign on behalf of the HUF. Applications by minors should be signed by their guardians.
- (b) Authorised officials should sign the form under their official designation and

company seal. If you are investing through your constituted attorney, please ensure that the POA document is signed by you and your constituted attorney. The signature in the Application Form, then, needs to clearly indicate that the signature is on your behalf by the constituted attorney.

#### 13. Important Declarations

**The Investor(s) to note that by executing the Application Form(s), the Investors give the following declarations:**

- (a) The Investor(s) understand that the Mutual Fund, the Schemes and the Units and their material terms are described in the Offering Documents. The Investor(s) acknowledge that the Offering Documents have been made available to them for inspection. Terms defined in the Offering Documents and not otherwise defined in the Application Form shall have the meanings provided in the Offering Documents.
- (b) The Investor(s) confirm that: (i) the Investor(s) are fully informed of the legal requirements within their country for Purchasing the Units; (ii) the Investor(s) are permitted to Purchase the Units under the laws and regulations of their home country in the manner in which the Units have been offered or sold to them; (iii) the Investor(s) are fully informed of any relevant foreign exchange restrictions and tax considerations arising out of their Purchase and ownership of Units; (iv) the Investor(s) have neither received nor been induced by any rebate or gifts, directly or indirectly, in making their investment; (v) the amount invested in the Scheme by, or on behalf of, the Investor(s) is through legitimate sources only and not from any source in contravention of any applicable Law, including without limitation, any applicable anti money laundering and related laws; and (vi) the Investor(s) are not a US Person and have not received or accepted the offer to Purchase / Subscribe to the Units of the Schemes in the United States.
- (c) The Investor(s) confirm that the Investor(s) is not involved in concealing, transferring, or disguising any property which, directly or indirectly, represents the proceeds of a criminal activity for the purpose of avoiding prosecution for an offence.
- (d) If the Investor(s) is acting for a partnership or entity organised for passive investment, less than 10% of the equity interests in the entity are owned by U.S. Persons and such entities are not formed principally for facilitating investment by U.S. Persons. If the Investor(s) are acting for a corporation (other than those included in the preceding sentence), 20% or more of the equity interests in the corporation are not owned by U.S. Persons other than U.S. publicly traded corporations.
- (e) Applicable for NRIs: The Investor(s) confirm that they are a non-resident of Indian nationality / origin ("NRI") as defined under the Foreign Exchange Management Act, 1999 and Regulations issued thereunder, and that they have remitted funds from abroad through approved banking channels or from funds in their Non-Resident (External) Rupee Account ("NRE") or Foreign Currency (Non-Resident) Account ("FCNR") or Non-Resident Ordinary Rupee ("NRO") Account.
- (f) The Investor(s) represent and warrant that they have full power and authorization to execute the Application Form and to make this investment. The Investor(s) agree that none of the Mutual Fund, the AMC, the Trustee or their agents shall (i) have any responsibility to verify such authorization, and (ii) have no liability whatsoever and shall be indemnified by them against all costs, losses, claims and expenses arising from any omissions or any action properly taken by the Mutual Fund, the AMC, the Trustee or their agents in accordance with the terms of the Application Form. The Investor(s) understand and agree that the Trustees / AMC have the power to mandatorily Redeem Units held by Investor(s), if the Trustees/ AMC, in their sole opinion, suspect the Investor(s) to be engaged in activities such as, including but not limited to, market-timing or excessive trading or unfair or suspicious practices, or if the Trustees /AMC for any other reason believe that mandatory Redemption of such Investor(s) would generally be in the interest of the Scheme or its Unit holders.
- (g) Investors(s) have read and understood the information provided in Section V(C)(I) of the Statement of Additional Information on 'Investor Information' and authorize the Mutual Fund, the AMC and all service providers to use their Personal Data.
- (h) If, as a result of a miscalculation of the NAV that has been notified to the Investor(s) by AMC/ Trustee/ the Fund, the Investor(s) have received dividend in excess of the correct value, the Investor(s), where relevant, upon determination of such correct NAV, agree to repay such excess. In cases where further Units in the Fund have been issued as a result of such error the Investor(s) hereby authorise the AMC / Trustee/ Fund to cancel or Redeem such Units to effect repayment.
- (i) In the event that the Application Forms are executed by more than one Investor(s), each party's liabilities thereunder shall be joint and several.
- (j) The Investor(s) agree to notify the ISC promptly in writing of any changes to the information, representations or confirmations, provided by them in or along with the Application Form. The Application Form shall be governed by and construed in accordance with Laws of India.
- (k) The Investor(s) declare that the information given in this Application Form is accurate and complete.
- (l) If applicable, the distributor has disclosed to the Investor(s) all commissions (in the form of trail commission or any other mode), payable to him for the different competing schemes of various mutual funds from amongst which the Scheme is being recommended to the Investor(s).



**Declaration for 'Ultimate Beneficial Ownership' [UBO]**  
(Mandatory for Non-Individual Applicants/Investors)

**Asset Management**

This declaration is not needed for Companies that are listed on any recognized stock exchange or is a Subsidiary of such Listed Company or is a beneficial owner of such Companies

**A : Applicant details :**

<b>Applicant Name :</b>			
<b>PAN :</b>			
<b>Folio No. :</b> (For existing Investors only)			
<b>Category</b> (Please tick relevant box)	<input type="checkbox"/> Registered Financial Institution / Commercial Bank <input type="checkbox"/> Foreign Institutional investor (FII) <input type="checkbox"/> Private Company <input type="checkbox"/> Partnership firm <input type="checkbox"/> Unlisted Company <input type="checkbox"/> Society / Charity <input type="checkbox"/> Public Company <input type="checkbox"/> Minor <input type="checkbox"/> Trust <input type="checkbox"/> Schemes of Mutual Fund <input type="checkbox"/> Unincorporated association / Body of individuals <input type="checkbox"/> Other _____ (Please Specify)		

**B : Details of Ultimate Beneficial Owners : (Please refer Instructions 1)**

Sr. No.	Name of Beneficial Owners	Nationality	Address	Identify proof (Please enclose self attested proof) *	For U.S. citizen / U.S. resident (Please refer instruction 2)	Ownership (%)
1				PAN : _____  Other ID proof (if PAN not available) : _____ (Please specify)	Country of Tax residence : _____  U.S. Tax Identification Number : _____	
2				PAN : _____  Other ID proof (if PAN not available) : _____ (Please specify)	Country of Tax residence : _____  U.S. Tax Identification Number : _____	
3				PAN : _____  Other ID proof (if PAN not available) : _____ (Please specify)	Country of Tax residence : _____  U.S. Tax Identification Number : _____	
4				PAN : _____  Other ID proof (if PAN not available) : _____ (Please specify)	Country of Tax residence : _____  U.S. Tax Identification Number : _____	
5				PAN : _____  Other ID proof (if PAN not available) : _____ (Please specify)	Country of Tax residence : _____  U.S. Tax Identification Number : _____	
6				PAN : _____  Other ID proof (if PAN not available) : _____ (Please specify)	Country of Tax residence : _____  U.S. Tax Identification Number : _____	

I/We hereby acknowledge and confirm that the information provided above is/are 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 or untrue or misleading or misrepresenting. I/We shall be liable for it. I/We also undertake to keep you informed in writing about any changes/modification to the above information in future and also undertake to provide any other additional information as may be required at your end. I/We hereby authorise you to disclose, share, remit in any form, mode or manner, all/ any of the information provided by me/us, including all changes, updates to such information as and when provided by me/us to Mutual Fund, its Sponsor, Goldman Sachs Asset Management Company (Pvt) Limited, trustees, their employees ('the Authorised 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 and other investigation agencies without any obligation of advising me/us of the same.

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

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

\_\_\_\_\_  
Authorised Signatory/POA Holder  
(with Company/Trust/Firm/Body Corporate seal)

\_\_\_\_\_  
Authorised Signatory/POA Holder  
(with Company/Trust/Firm/Body Corporate seal)

\_\_\_\_\_  
Authorised Signatory/POA Holder  
(with Company/Trust/Firm/Body Corporate seal)

## INSTRUCTIONS

- Pursuant to SEBI master circular vide ref. no. CIR/ISD/AML/3/2010 dated December 31, 2010 on anti money laundering standards and guidelines on identification of Beneficial Ownership issued by SEBI vide its circular ref. no. CIR/MIRSD/2/2013 dated January 24, 2013, investors (other than Individuals) are required to provide details of Ultimate Beneficial Owner(s) ("UBO(s)") and submit proof of identity (viz. PAN with photograph or any other acceptable proof of identity prescribed in common KYC form) of UBO(s).

The Ultimate Beneficial Owner means:

- "For Investors other than an Individual or Trust (Viz. Company, Partnership or unincorporated association/body of individuals)"**

A '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 / entitlements to:

- more than 25% 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; or
- 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.

In cases where there exists doubt 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 details should be provided of the natural person who is exercising control over the juridical person through other means (i.e. control exercised through voting rights, agreement, arrangements or in any other manner). However, where no natural person is identified, the identity of the relevant natural person who holds the position of senior managing official should be provided.

- For Trust:**

The settler of the trust, the trustees, the protector, the beneficiaries with 15% or more of interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

### **Exemption in case of listed companies:**

The provisions w.r.t. Identification of UBO are not applicable to the investor 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.

### **Applicability for foreign investors:**

The identification of beneficial ownership in case of Foreign Institutional Investors (FIIs), their sub-accounts and Multilateral Funding Agencies / Bodies Corporate incorporated outside India with the permission of Government of India / Reserve Bank of India may be guided by the clarifications issued vide SEBI circular CIR/ MIRSD/11/2012 dated September 5, 2012.

- Non-individual investors should mandatorily attach the declaration of UBO along with their application of investment.

### **3. Exemption in case of listed companies:**

The provisions w.r.t. Identification of UBO are not applicable to the investors 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.

### **4. Applicability for foreign investors:**

The identification of ultimate beneficial ownership in case of Foreign Institutional Investors (FIIs), their sub-accounts and Multilateral Funding Agencies / Bodies Corporate incorporated outside India with the permission of Government of India / Reserve Bank of India are guided by the clarifications issued vide SEBI circular CIR/MIRSD/11/2012 dated September 5, 2012. As per said circular, list of beneficial owners with shareholding or beneficial interest in the applicant/investors equal to or above 25% is required or the Global Custodian / Local Custodian may provide an undertaking to submit these details. Any change in the list may be required to be submitted to the Mutual Fund / Authorised parties.

- Country of Tax Residence:** Tax Regulations require us to collect Information about each Investor's tax residency. If you are a US citizen or resident, please include United States in this related field along with your US Tax Identification Number.

- List of self-attested documents to be submitted along with the form:

- Copy of PAN card; or
- Copy of other identity proofs (any one)
  - Passport
  - Aadhaar Card (UID)
  - Driving license
  - Voter Identity Card
  - Photo Identity card issued by any of the following : Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc. to their Members; and Credit cards / Debit Cards issued by Banks.
- For Foreign investors: Undertaking from their Global Custodian / Local Custodian to submit list of beneficial owners with shareholding or beneficial interest in the applicant/investor equal to or above 25%.

- The investor(s) should sign as per their mode of holding in the folio.