### **COMMON APPLICATION FORM**



#### PLEASE FILL ALL FIELDS WITH BLACK BALL POINT, IN BLOCK LETTERS AND ALL FIELDS ARE MANDATORY

Investors must read the KIM, I	nstructions and Product Labeling o	n front page before completing this Fo	orm.	Application No:		
DISTRIBUTOR INFORMATIO	N		(I	Refer Page no. 7, Instruction no. 1)	FOR OFFICE USE ONLY	
Distributor ARN	Sub-Agent Name & Code/ Bank Branch Code	EUIN No.	CO Code	MO Code	Registrar Date/Time Serial No. of Receipt	
ARN-9992						
I/We hereby confirm that the EUIN without any interaction or advice by the	l box has been intentionally left blank ne employee/relationship manager/s ce of in-appropriateness, if any, p	egistered Distributors based on the in- by me/us as this transaction is executed ales person of the above distributor/sub provided by the employee/relationship	Sole/1st applicant/Guardian/	ors including the service rendered by the 2 <sup>nd</sup> applicant/Authorised Signatory	ne distributor. 3 <sup>rd</sup> applicant/Authorised Signatory	
	hip / Nationality or Tax Resid nould mandatorily fill separat		pplicant? (√): ☐ Yes / ☐ No	(Mandatory to ✓). If Yes, please	fill FATCA Declaration.	
TRANSACTION CHARGES FO	OR APPLICATIONS THROUGH	DISTRIBUTORS/AGENTS ONLY		(Ref	er Page no. 7, Instruction No. 1(a))	
as applicable from the purchase/s	subscription amount and payable to	ur Distributor has opted to receive Trans the Distributor. Units will be issued again	nst the balance amount invested.	I confirm that I am an exist	ting investor in Mutual Funds.	
	ORMATION [Please fill in your Fo	lio Number and proceed to Scheme a	nd Payment Details]	(Ref	er Page no. 7, Instruction No. 2(a))	
Folio No.		Name of First Unit Holder				
FIRST APPLICANT'S DETAILS	S Mr. Ms.	M/s		(Ref	er Page no. 7, Instruction No. 2(b))	
Name (1 <sup>st</sup> )						
Date of Birth D D M N		<del></del>	KYC Proof Enclosed   Nationality	Country		
For Investments "On behalf		Certificate School Certificate	Passport Other	Relationship with minor Fath		
Name of the Guardian (if minor)/	Contact person for non individuals	/ PoA noider name	PAN		KYC Proof Enclosed	
Mailing address						
City		State		Pine Cod	de	
Overseas Correspondence addres	ss (Mandatory for NRIs/ FIIs/ PIOs)				Country	
Email ID			Mobile +91		Tel	
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Occupation Pvt. Sector S	Service Public Sector Gov. So	erviceHousewifeDetence	ProfessionalRetiredBusine	Agriculture Student Fore	x Dealer OtherOther	
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Net-worth* in ₹	as on D	VIDUA W M A C	as on D D	M M Y Y Gaming/ Gamblin		
Net-worth* in ₹ *Not older than one year				(casinos, betting	syndicates)	
	Politically Exposed Person (PEP)	Related to a PEP		Money Lending/ I	Pawning Yes No	
Any other information		Ž				
SECOND APPLICANT'S DETA	AILS Mr. Ms. Ms. M/s M	ode of Holding: Joint Anyone	e or Survivor (Default)   Nationality	Country of	f Birth	
Name (2 <sup>nd</sup> )						
PAN		KYC Proof Enclosed   Mobile +9	1		Email	
Status Resident Indi	ividual FII NRI	PIO HUF Company/Bo	dy Corporate Cross Annual Inc	م <sub>ome</sub>		
Proprietor		ther Specify	dy Corporate Gross Annual Inc OR Net-worth*  *Not older than on	n ₹ as		
Occupation Pvt. Sector S	Service Public Sector Gov	. Service Housewife Defenc	e Retired *Not older than on	e year Politically Exposed Per	rson (PEP) Related to a PEP	
Professional	Business Agriculture	Student Forex Dealer 0	ther <u>Specify</u> Any other inform			
THIRD APPLICANT'S DETAIL	S Mr. Ms. Ms.		Nationality	Country of	f Birth	
Name (3 <sup>rd</sup> )						
PAN		KYC Proof Enclosed   Mobile +9	1		Email	
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Status Resident Indi		PIO HUF Company/Bo ther_Specify	Gross Annual Inc	ome ome   CIL   1-5L   5-10L		
Occupation Pvt. Sector S		. Service Housewife Defenc	dy Corporate Gross Annual Inc OR Net-worth*  e Retired ther Specify Any other inform:	e year Politically Evnoced Por		
Professional		Student Forex Dealer 0	ther <u>Specify</u> Any other information	ation 2 Folitically Exposed Per	Sour (i. E.F.) Related to a PEP	
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Received from: Mr. / Ms. / M/s			an application for allotment of units
under Scheme	, Plan	, Opti	ion
Cheque/DD No	Dated//	Amount (₹)	Drawn
on Bank and Branch		·	

Please note: All unit allotments are subject to realization of cheques/Demand Drafts and subject to the terms and conditions of relevant Scheme Information Document and Statement of Additional Information.

Stamp, Signature & Date

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	<b>EMAIL</b>	. соми	IUNICA	TION	INFO	RM	ATIO	N																						(Ref	fer Pa	ge no	. 7, 1	nstruc	tion	No. 7)	)
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### **Declaration for Ultimate Beneficial Ownership [UBO]**

For Non-Individual (Mandatory)



PLEASE FILL ALL FIELDS WITH BLACK BALL POINT, IN BLOCK LETTERS AND COMPLETE MANDATORY (MARKED\*) FIELDS

Applicant's Details					
Name M/s.					
PAN PAN					
Listed Company / its Subsidiary Company					
(i) I / We hereby declare that (✓)	(ii) Deta	ails of Listed Company ^			
Our company is a Listed Company listed on recognized stock exchange in india	Compar	ny Name			
☐ Our company is a subsidiary of the Listed	d Company Stock E	xchange on which listed			
Our company is controlled by a Listed Co	ompany Security	ISIN			
	^ The c	letails of holding/parent compa	ny to be provided in ca	se the applicant is a subsidi	ary company.
Non-Individuals other than Listed Company	v / its Subsidiary Compa	INV			
i) Category (✓) ☐ Unlisted Company	☐ Partnership Firm	☐ Limited Liability Partner	ship □ U	nincorporated association/ b	oody of individuals
☐ Public Charitable Trus		☐ Private Trust / Trust cre	· _	•	•
ii) Details of Ultimate Beneficial Owners (If	the given space below i	s not adequate, please provide	multiple declaration fo	rms)	
Name of Beneficial Owners*	<b>PAN</b> (For Residents / NRIs	Tax Payer Identification Number#	ID Proof (Foreign / PAN Exempt individual	<b>UBO Code (Mandatory)</b> (Refer instructions)	Position / Designation (To be provided wherever applicable)
* If the beneficiary owner is minor, proof of c # In case Tax Payer Identification Number is	•	· · · · · · · · · · · · · · · · · · ·			ification Number.
Declaration & Signature(s)					
I/We acknowledge and confirm that the informat to be false or untrue or misleading or misrepre	•		-		
Registered Intermediaries and they can rely on the to submit. In such case, the concerned SEBI reg					
concealed the facts of beneficial ownership. I/V provide any other additional information as may	Ve also undertake to keep				
provide any early additional information as may	20 roquirou at your ond.				
Authorized Signatory		Authorized Signatory		Authorize	d Signatory
Date: D D M M Y Y Y	Y Place:				

#### **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 Investor other than Trust:

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:

- i. more than 25% of shares or capital or profits of the juridical person, where the juridical person is a company:
- ii. more than 15% of the capital or profits of the juridical person, where the juridical person is a partnership; or
- iii. 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:

In case of foreign investors' viz., Foreign Institutional Investors, Sub- Accounts/Foreign Portfolio Investors, the provisions w.r.t. Identification of UBO may be guided by the clarifications issued vide SEBI circular CIR/MIRSD/11/2012 dated September 5, 2012, in this regard.

#### UBO Codes:

UBO Code	Description
UBO-1	Controlling ownership interest of more than 25% of shares or capital or profits of the juridical person (Investor), where the juridical person is a company
UBO-2	Controlling ownership interest of more than 15% of the capital or profits of the juridical person [Investor], where the juridical person is a partnership
UBO-3	Controlling ownership interest of more than 15% of the property or capital or profits of the juridical person (Investor), where the juridical person is an unincorporated association or body of individuals
UBO-4	Natural person exercising control over the juridical person through other means exercised through voting rights, agreement, arrangements or in any other manner (In cases where there exists doubt under UBO-1 to UBO - 3 above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests)
UB0-5	Natural person who holds the position of senior managing official (In case no natural person is identified as above)
UBO-6	The settlor(s) of the trust
UB0-7	Trustee(s) of the Trust
UBO-8	The Protector(s) of the Trust (if applicable).
UB0-9	The beneficiaries with 15% or more interest in the trust if they are natural person(s)
UBO-10	Natural person(s) exercising ultimate effective control over the Trust through a chain of control or ownership.

#### FATCA / FOREIGN TAX LAWS INFORMATION - INDIVIDUAL FORM

The Application Form should be completed in English and in **BLOCK LETTERS** only.



												D/	ATE:	/	/					
1. UNIT HOLDER INFORMATION																				
a. EXISTING UNIT HOLDER II	NFORMATION (If y	ou have e	xisting fo	lio, ple	ase f	ill in s	section 1	and pro	ceed to	section	3)									
Folio No.								The	e details i dication.			s unde	r the fo	lio numb	er men	tioned a	alongs	ide wi	l apply	for this
PAN No.					]															
b. NAME OF FIRST / SOLE AF	PPLICANT																			
Mr. Ms. M/s.																				
2. FATCA / FOREIGN TAX LAWS I	NFORMATION																			
The below information is requ	uired for all applica	ant(s)/ gi	uardian																	
Is the applicant(s)/ guardian's				tional	ity /	Tax I	Residen	cy othe	r than I	ndia?		Yes		■ No	0					
If Yes, please provide the follow			-	000 0	nd +h	0.000	nanintad	Toy Do	foronco	Numb	oro b	olow								
Please indicate all countries in	which you are resid	uent for t	ax purpo	ses ai	iu tri	e ass	Socialed	Tax Re	rerence	Numb	ers b	eiow.								
Category	First Applic	ant (incl	uding M	inor)			Se	cond I	Applicar	nt/ Gua	ardiai	1				Third	Applio	ant		
Place/ City of Birth																				
Country of Birth																				
Country of Tax Residency 1																				
Tax Payer Ref. ID No. 1																				
Country of Tax Residency 2																				
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Country of Tax Residency 3																				
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DECLARATION								,												
hereby declare that the details furnish nformation is found to be false or untrue	ed above are true and or misleading or misrep	correct to presenting	) the best j, I am awa	of my l re that	know may	ledge be he	and belie Id liable fo	t and I u rit.	undertake	to info	rm yo	u of ar	ny chan	iges ther	ein, imr	nediate	ly. In c	ase ar	y of the	e above
				_				_		_				_		_	_			_
First / Sole Applicant / G	uardian				(	Secon	nd Applica	nt							Thi	rd Appli	cant			

#### **INSTRUCTIONS**

#### Details under FATCA / Foreign laws

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

#### FOR MORE INFORMATION

THIS PACE IS INTENTIONALLY LEFT BLANK

#### FATCA/ FOREIGN TAX LAWS INFORMATION - NON INDIVIDUAL FORM

[Please seek appropriate advice from a tax professional on FATCA/ Foreign Tax laws related information]

Self Certification Declaration



Part I: I	Applicant/Investor details:									
Investor Na	ame:									
PAN				FOLIO NO.						
Part II:	Declarations									
(A) Pari	ticulars		Co	do no mi						
Applica	nts Country of incorporation/ consi	itution		tegory untry of Tax residency			Toynovo	r Idontii	fication N	umbor#
	ints Country of incorporation, const	intution	00	unity of fax residency			тахраус	1 Iuciiui		ullibei#
1.										
2.										
3.										
	e Taxpayer Identification Number is not availaer information:	ıble, kindly pro	ovide functional e	quivalent or Company Identi	ification	Number o	r Global En	tity Ident	iification N	lumber.
S No	Information			Additional Infor	mation 1	to be prov	ided			
1	We are a financial institution [including an	Yes	No							
	FFI] [Refer instructions a]	If yes, plea	se provide the foll	lowing information:						
				- CC - C - N - C - A						
		,	ar mærmediary idd available [tick any	entification Number) onel:						
				MMYYY	Υ					
		Not re	quired to apply (p	lease describe)						
		Not ob	 otained							
2	We are a listed company [whose shares	Yes	No							
_	are regularly traded on a recognized stock exchange]			ny one Stock Exchange who	ere it is 1	traded reg	ularly:			
	oxonungoj	1. BSE/N	ISE/Other						(1	please specify
3	We are 'Related Entity' of a listed company [Refer instructions b]	Yes	No							
	[Tiolor mod dodolo b]			ne listed company Stock Exchange where it is						
		' '	-	Totolk Exchange whole it is					_(please s <sub>l</sub>	pecify)
4	We are an Active NFFE [Refer instructions	Yes	No							
	c & d] Note: Details of Controlling Persons will	If Yes, spec	cify the nature of b	ousiness						
	not be considered for FATCA purpose			of Active NFFE						
		<u> </u>	ode – refer instru	ctions)						
5	We are an Passive NFFE [Refer instructions f and g]	If Yes, plea	No Se provide:							
	Note: Details of Controlling Persons will be considered for FATCA purpose		e of business							
		2. For all	Controlling Persor	ns who are tax residents (inc	ludina U:	S citizens	and areen c	ard holde	ers) of cou	ntries other tha
				necessary details including						
information form/manne employees, S Unit-India (FI	acknowledge and confirm that the information provior and/or any part of it is/are found to be false/untitar/mode the above information and/or any part of it SEBI registered intermediaries for single updation/sut/IU-IND) etc without any intimation/advice to me/us. I/N as and when required by you.	rue/misleading. including the comission, any In	I/We will be liable hanges/updates that dian or foreign statut	for the consequences arising t may be provided by me/us to ory, regulatory, judicial, quasi-ju	therefron Mutual F udicial aut	n. I/We her Fund, its Sp thorities/age	eby authoriz onsor/s, Tru encies includ	ze you to stees, As: ing but not	disclose, s set Manage t limited to F	share, remit in ement Company inancial Intellige
	th relevant seal:				_					
	Authorized Signatory		Authorize	ed Signatory			Au	thorized S	ignatory	
Date: D	D M M Y Y Y	Place:				]				

#### Instructions:

- a. Foreign Financial Institution [FFI] Means any non-US financial institutions that is a (1) Depository institution accepts deposits in the ordinary course of banking or similar business; (2) Custodian institution as a substantial portion of its business, hold financial assets for the accounts of others; (3) Investment entity conducts a business or operates for or on behalf of a customer for any of the activities like trading in money market instruments, foreign exchange, foreign currency, etc. or individual or collective portfolio management or investing, administering or managing funds, money or financial assets on behalf of other persons; or an entity managed by this type of entity; or (4) Insurance company entity issuing insurance products i.e. life insurance; (5) Holding or Treasury company entity that is part of an expanded affiliate group that includes a depository, custodian, specified insurance company or investment entity
- Related Entity an entity is a "Related Entity" of another entity if one controls the other, or the
  two entities are under common control (where control means direct or indirect ownership of
  more than 50% of the vote or value in an entity)
- c. Non-financial foreign entity [NFFE] Non-US entity that is not a financial institution [including a territory NFFE]. Following NFFEs are excluded from FATCA reporting (a) Publicly traded corporation/listed companies; (b) Related Entity of a listed company; and (c) Active NFFE
- d. Active NFFE Any one of the following -

Code	Sub-category
01	Less than 50 percent of the NFFE's gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50 percent of the assets held by the NFFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income
02	The NFFE is organized in a U.S. Territory and all of the owners of the payee are bona fide residents of that U.S. Territory
03	The NFFE is a government (other than the U.S. government), a political subdivision of such government (which, for the avoidance of doubt, includes a state, province, county, or municipality), or a public body performing a function of such government or a political subdivision thereof, a government of a U.S. Territory, an international organization, a non-U.S. central bank of issue, or an Entity wholly owned by one or more of the foregoing
04	Substantially all of the activities of the NFFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an entity shall not qualify for NFFE status if the entity functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes
05	The NFFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFFE
06	The NFFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution
07	The NFFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution

Code	Sub-category
08	- Any NFFE is a 'non for profit' organization which meets all of the following requirements:
	o It is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organization, business league, chamber of commerce, labor organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare;
	o It is exempt from income tax in its jurisdiction of residence;
	o It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
	o The applicable laws of the NFFE's jurisdiction of residence or the NFFE's formation documents do not permit any income or assets of the NFFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFFE has purchased; and

The applicable laws of the NFFE's jurisdiction of residence or the NFFE's formation documents require that, upon the NFFE's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of the NFFE's jurisdiction of residence or any political subdivision thereoff.

- e. Expanded affiliated group One or more chains of members connected through ownership (50% or more, by vote or value) by a common parent entity if the common parent entity owns stock or other equity interests meeting the requirements in atleast one of the other members
- f. Passive NFFE means any NFFE that is not (i) an Active NFFE, or (ii) a withholding foreign partnership or withholding foreign trust pursuant to relevant U.S. Treasury Regulations
- g. Passive Income portion of gross income that consists of dividends, interest, rents and loyalties (other than rents and loyalties derived in the active conduct of a trade or business conducted, at least in part, by employees of the NFFE), income equivalent to interest / amount received from pool of insurance contracts, annuities, excess of gains over losses from the sale or exchange of property / from transactions (including futures, forwards or similar transactions) in any commodities but not including (i) any commodity hedging transaction, determined by treating the entity as a controlled foreign corporation or (ii) active business gains or losses from the sale of commodities but only if substantially all the foreign entity's commodities are property, excess of foreign currency gains over losses, net income from notional principal contracts, amounts received under cash value insurance contracts, amounts earned by insurance company in connection with its reserves for insurance and annuity contracts
- h. Controlling Persons means the natural persons who exercise control over an entity. In the case of a trust, such term means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions. The term "Controlling Persons" shall be interpreted in a manner consistent with the Financial Action Task Force Recommendations.



### **BOI AXA SIP Shield**

Application Form (For BOI AXA Equity Fund and BOI AXA Tax Advantage Fund)

Please note: All purchases are subject to realization of cheques/Demand Drafts and subject to the terms and conditions of relevant Scheme Information Document and Statement of Additional Information.



Receipt Date and Time

#### PLEASE FILL ALL FIELDS WITH BLACK BALL POINT, IN BLOCK LETTERS AND ALL FIELDS ARE MANDATORY

Investors must read the KIM, Instructions and Product Labeling on front page before completing this Form.

**Application No:** 

DISTRIBUTOR INFORMATION	N	(Refer Page no. 7, Instruction no. 1)	FOR OFFICE USE ONLY		
Distributor ARN	Sub-Agent Name & Code/ Bank Branch Code	EUIN No.	CO Code	MO Code	Registrar Date/Time Serial No. of Receipt
ARN-9992					
	box has been intentionally left blank lee employee/relationship manager/sace of in-appropriateness, if any, p	ov me/us as this transaction is execute	ed	etors including the service rendered by t	the distributor. 3 <sup>rd</sup> applicant
• Country of Birth / Citizens	hip / Nationality or Tax Resid	ency, other than India, for any	applicant? (√): ☐ Yes / ☐ No	o (Mandatory to ✓). If Yes, please	e fill FATCA Declaration.
TRANSACTION CHARGES FO	OR APPLICATIONS THROUGH D	DISTRIBUTORS/AGENTS ONLY		(Re	fer Page no. 7, Instruction No. 1(a))
	n amount is ₹ 10,000 or more and you subscription amount and payable to th				time investor across Mutual Funds. sting investor in Mutual Funds.
FIRST APPLICANT'S DETAILS	S Mr. Ms.			(Re	fer Page no. 7, Instruction No. 2(b))
Name (1 <sup>st</sup> )					
Date of Birth D D M N	/I Y Y PAN		KYC Proof Enclosed   Nationalit	Country	of Birth
Mailing address					
City		State		Pine Co	de
Overseas Correspondence addres	ss (Mandatory for NRIs/ FIIs/ PIOs)				Country
Email ID			Mobile +91		Tel.
Are you a tax resident of any	y country other than India?	Yes No			
Status Resident Ind	lividual 🗌 NRI		Gross Annual Ir OR	· · · · · · · · · · · · · · · · · · ·	□10-25L □>25L
Occupation D. D. Control	South Destile Control Dom Co		Net-worth* i		con D D M M Y Y
	Service Public Sector Gov. Se Business Agriculture Student			9	rson (PEP) Related to a PEP
			,		
SECOND APPLICANT'S DETA	AILS Mr. Ms.	de of Holding: Joint Anyo	ne or Survivor (Default)   Nationali	ty Country o	of Birth
Name (2 <sup>nd</sup> )					
PAN		KYC Proof Enclosed   Mobile +	91		Email
Are you a tax resident of	any country other than In	dia? Yes No			
Status Resident Indi	ividual NRI		Gross Annual Ir	ncome <pre> &lt;1L 1-5L 5-10L</pre>	
Occupation Pvt. Sector S	service Public Sector Gov.	Service Housewife Defen	Gross Annual Ir OR Net-worth*  *Not older than o Other Specify Any other inforr	ine year Delitically Expand Do	rson (PEP) Related to a PEP
Professional			Other Specify Any other inform	nation Politically Exposed Fe	isoli (FEF)
THIRD APPLICANT'S DETAIL	S Mr. Ms.		Nationali	ty Country o	of Birth
Name (3 <sup>rd</sup> )					
PAN		KYC Proof Enclosed   Mobile   +	91		Email
Are you a tax resident of	any country other than In	dia? Yes No			
Status Resident Indi	ividual NRI		Gross Annual Ir OR Net-worth*  *Not older than o	ncome <	
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EMAIL COMMUNICATION IN	IFORMATION			(Re	fer Page no. 7, Instruction No. 7)
I/We wish to receive the foll	lowing document(s) physically in lie	u of Email. Account Sta	tement News Letter	Annual Report	Other Statutory Information
ACK	NOWLEDGEMENT SL	IP FOR SIP SHIELD m	b be filled in by the investor)	Application	1 No:
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Folio No. / Application No.

# SIP SHIELD AUTO DEBIT FACILITY: REGISTRATION CUM MANDATE

Application should be submitted at least 30 days before processing of Monthly SIP SHIELD For terms & conditions refer overleaf

INVESTOR DETAILS (Please refer Point No. 15 to 17 for Micro SIP)



**Application No:** 

INVESTORS SUBSCRIBING TO THE SCHEME THROUGH SIP AUTO DEBIT FACILITY TO COMPLETE THIS FORM COMPULSORILY ALONGWITH COMMON SIP SHIELD FORM

	Name of 1st	<b>Applica</b>	nt						T																									
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	Plan														Opt	tion																		
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#### TERMS AND CONDITIONS FOR SIP SHIELD AUTO DEBIT FACILITY

- New investors who wish to enroll for the Systematic Investment should fill up SIP Form in addition to the Common SIP SHIELD Form, with or without the initial investment amount i.e. the first installment can be without the cheque. However in lines with SEBI and AMFI guidelines the requirement of submission of documents for subscription/ transaction is modified from time to time. Therefore, for such additional requirements the investor is required to refer the "Instruction For Completing The Application Form" (as provided in the main application form) and submit such additional documentation for the same.
- The cheque may be drawn in favour of "Full name of the Scheme" followed by the name of the sole or 1st joint holder/his PAN/folio number. For e.g. "XYZ Scheme A/c Sole / First Investor name" or "XYZ Scheme
- A/c-Permanent Account Number" or "XYZ Scheme A/c-Folio Number".

  If the investment is without a first investment cheque then the cancelled cheque copy is mandatory for submission and, if such cancelled cheque is without any name a bankers attestation is required on the SIP form. 3.
- Monthly SIP is also available with Bank of India, HDFC Bank, IDBI Bank, Kotak Mahindra Bank, IndusInd Bank, Bank of Baroda for all locations.
- For investor residing Mumbai, Delhi, Kolkatta, Chennai SIP shall be accepted in all Banks. AMC may notify other banks from time to time
- Please check the Scheme Information Document & the Statement of Additional Information for SIP facility in respective scheme
- The cities as prescribed in RBI's list may be modified/updated/changed/removed at any time in future entirely at the discretion of BOI AXA Investment Managers Private Limited without assigning any reasons or prior notice. If any city is removed, SIP instructions for investors in such cities via Auto Debit route will be discontinued and communication to that effect will be sent to the investor.
- 8. Monthly SIP facility is available only on specific dates of the month viz-1 st/or7 th/or10 th/or15 th/or20 th/or25 th for Monthly SIP.
- During ongoing purchase in monthly SIP your first SIP can be for any day of the month. Your second and subsequent SIPs are available only on the above specified dates of the month with a minimum gap of atleast 30 days between first and second SIP installment. In case the chosen date turns out to be a non working day for the scheme; the SIP will be processed on the immediate following working day. 9.
- 10. The SIP cheque (where the investment is made by cheque) should be drawn on the same bank account which is to be registered for Auto Debit. The bank account provided for Auto Debit should participate in local MICR clearing.
- 11. The first investment cheque while applying for Monthly SIP should be same as SIP amount.
- 12.  $If two \ consecutive \ SIP's fail, the \ SIP will automatically stand terminated \ and \ a \ communication \ to \ the \ effect \ will \ be sent to \ the \ investor.$
- If the SIP preferences are not indicated or in case of discrepancy or ambiguity, the default option shall be as under: SIP Frequency Monthly, SIP Date every 7th of the month and Tenure 3 years. 13.
- The investor has the right to discontinue SIP at any time he/she so desires by sending a written request, at least 15 working days prior to the due date of next SIP for Monthly SIP, to any of the offices of BOI AXA Mutual 14. Fund or its Investor Service Centres. All the request should be accompanied by:
  - A written and signed confirmation for discontinuing the existing SIP.
- Investors availing the Micro SIP facility shall be exempted from submission of requirement of PAN. Micro SIP shall be applicable where aggregate of installments in a rolling 12 months period or in a financial year i.e. April-March does not exceed ₹50,000/- per year. 15.
- Micro SIP benefit is available to individuals, NRI's are not eligible. The AMC will reject the application where they find that documents are deficient or where the installment total will exceed ₹50,000/-peryear. 16.
- 17.

Eligible investors are required to submit any one of the following photo identification document as a proof of identification in lieu of PAN:

1.Voter Identity Card; 2.Driving License; 3.Government / Defense identification card; 4. Passport; 5. Photo Ration Card; 6. Photo Debit Card; 7.Employee ID cards issued by companies registered with Registrar of Companies; 8. Photo Identification issued by Bank Managers of Scheduled Commercial Banks / Gazetted Officer / Elected Representatives to the Legislative Assembly / Parliament; 9.ID card issued to employees of Scheduled Commercial / State / District Co-operative Banks; 10. Senior Citizen / Freedom Fighter ID card issued by Government; 11.Cards issued by Universities / deemed Universities or institutes under statutes like ICAI, ICWA, ICSI; 12. Permanent Retirement Account No (PRAN) card issued to New Pension System (NPS) subscribers by CRA (NSDL); and 13. Any other photo ID card issued by Central Government / State Governments/Municipal authorities / Government organizations like ESIC / EPFO.

Submission of KYC acknowledgement is not mandatory in case of investments as Micro SIPs. However, for such cases the proof of identification and proof of address (as specified in the above documents list) (if the proof of identification also includes address the seperate address proof is not necessary) may be submitted along with the application as part of the regulatory requirement. Such documentary proofs should be self attested or attested by the distributor/ any competent authority. However, in case the Micro SIP investor has a PAN, then it is mandatory that he/she submit the KYC acknowledgement issued by CVL.

Investments by investors residing in the State of Sikkim are not required to provide KYC acknowledgement. However, in such cases, investor require to submit proof of identification and proof of address (as per specified documents list mentioned in the application form should be the same. Such documentary proofs should be self-attested or attested by the distributor/

- Investor will not hold BOTAXA Investment Managers Pvt. Ltd., its registrars and other service providers responsible if the transaction is delayed or not effected, the investor bank account is debited in advance or after the specific SIP date due to various clearing cycles of Auto Debit / local holidays / incomplete or incorrect instructions from the applicant. 18
- BOLAXA Investment Managers Pvt. Ltd. reserves the right not to represent any mandate for SIP auto Debit facility if the registration could not be effected in time for reason beyond its control.
- BOI AXA Investment Managers Pvt. Ltd., its registrars and other service providers shall not be responsible and liable for any transaction failures, due to rejection of the transaction by your bank / branch or its refusal to register the SIP mandate. 20
- 21. Please refer the Scheme Information Documents/ Statement of Additional Information of the scheme for the Applicable NAV, Redemptions, Risk Factors, Load and other information before investing
- Generic Structure on SIP: This facility enables investors to save and invest periodically over a longer period of time. It is a convenient way to "invest as you earn" and affords the investor an opportunity to enter the market regularly, thus averaging the acquisition cost of Units. SIP allows investors to invest a fixed amount of Rupees on specific dates every month by purchasing Units of the Scheme at the Purchase Price prevailing at such time. Any unit holder can avail of this facility subject to certain terms and conditions contained in the Application form, Scheme Information Document and Statement of Additional Information of the respective scheme. Systematic Investment Plan facility will be available as detailed below:

SIP Options	Monthly SIP
Contribution will be debited	On any one of the following dates in a month as chosen by the investor / Unitholder: 1st/or7th/or10th/or15th/or20th/or25th basis NAV of that day, or of following Business Day, if that day is not a Business Day.
Minimum duration of SIP contributions	3 years
Contributions	

Auto Debit allows an investor to instruct his bank to debit his bank account at periodic intervals for making investments in mutual fund scheme(s).

There shall be a gap of at least 30 days between the date of the first cheque and first instalment through Auto Debit in the case of a Monthly SIP.

#### 23. SIP Shield Terms and Conditions

- BOI AXA SIP Shield is an add-on, optional feature available only with BOI AXA Equity Fund and BOI AXA Tax Advantage Fund
- $The \,minimum\,SIP\,tenure\,for\,BOI\,AXA\,SIP\,Shield\,is\,3\,years$
- Minimum application amount = ₹1500 and in multiples of ₹100 thereafter
- The AMC may provide a Group Life Insurance Cover to all Resident Individual/NRI applicants and fund the premium towards such cover. Non-individuals as well as US Persons/ Persons not of Indian Origin/Sole Proprietorship will not be covered under the insurance cover.
- The insurance cover will be available for individuals with a minimum age of 18 years and maximum age of 45 years as on last birthday.
- Only the First/Sole unit holder will be covered under the insurance. No insurance cover will be provided for the second/third unit holder.
- For the purpose of availing insurance cover the eligibility of the applicant is that he / she is in good
- The insurance cover will commence from the date of first allotment of units under SIP Shield.
- Amount of Insurance Cover is as follows:
  - If SIP continues, the insurance coverwould be as follows:
  - $Year 1: 10 \, times \, the \, monthly \, SIP \, SHIELD \, installment$
  - Year 2:50 times the monthly SIP SHIELD installment
  - Year 3 onwards: 100 times the monthly SIP SHIELD installment

All the above mentioned limits are subject to a maximum cover of ₹ 20 lacs per investor across all schemes/plans/folios covered under SIP SHIELD.

If SIP SHIELD is discontinued, the insurance cover would be as follows:

- SIP SHIELD discontinues before 3 years: Insurance cover stops immediately
- SIP SHIELD discontinues after 3 years: Insurance cover equivalent to the value of units allotted under SIP SHIELD investment at the start of the each policy year, subject to a maximum of 100 times the monthly installment, capped at the maximum of ₹20 lacs.

The insurance cover will also cease

- At the end of the tenure. i.e., upon completion of 55 years of age.
- Redemption / switch-out (fully or partly) of units purchased under the scheme in which SIP SHIELD facility is taken.
- Incase of two consecutive SIP failures
- The first SIP installment cheque/first SIP debit towards SIP Shield is dishonoured.
- 10. The investor will necessarily be required to furnish his / her date of birth, gender and details of the nominee to whom the money secured by the policy shall be paid in the event of his death in the application form and sign the declaration of Good Health, in absence of which, no insurance cover can be availed by the investor. Where the nominee is a minor, the policy holder may also appoint any person who is a major, to receive the Death benefit during the minority of the nominee.
- 11. The Group Life Insurance Cover will be governed by the terms and conditions of the insurance policy with

- the relevant Insurance Company as determined by the AMC.
- 12. In case of death of the applicant, his / her legal representatives may file a claim directly with the designated branch of the Insurance Company supported by all relevant documents as required by the Insurer and the payment of the claim may be made to the legal representatives by the insurance company. The AMC will not entertain any request for claims for the insurance covered.

  13. All insurance claims will be settled in India and shall be payable in Indian Rupees only. Settlement procedure will be as stipulated by the Insurance Company. Insurance claims will be directly settled by the Insurance Company.
- 14. The AMC will not be responsible or liable for maintaining service levels and/or any delay in processing claims arising out of this facility.
- 15. The Mutual Fund, Trustees, AMC, or their Directors, officers or employees shall not be liable for any claims (including but not limited to rejection of any claim, non-settlement, delays etc, by the insurer) arising out of the insurance cover provided to the unit holder.
- 16. All the terms and conditions pertaining to Monthly SIP will be applicable on SIP Shield.
- 17. The AMC is bringing this offer to the investors of the Scheme only as an additional facility and is not acting as an agent for marketing/sales of insurance policies nor soliciting any business.
- 18. Subject to what has been stated above, the AMC reserves a right to modify / annul the said Group Insurance Cover. The AMC also reserves the right to change the insurance company from time to time.
- 19. The Group Insurance cover will be subject to the following exclusions and such other terms and conditions as may be prescribed by the insurance certificate governing the cover: a. The Group Insurance Cover shall not extend to cover instances of death due to suicide in the first
  - vear of cover. Death within 45 days from the commencement of the SIP installments except for death due to accident.
- 20. The provision for the Group Life Insurance Policy does not have any bearing on the performance of the
- 21. For the purpose of availing of the SIP Shield facility, a unique folio will be created.
- 22. If any transaction such as, switchout, / redemption / STP out/ folio consolidation request is made under this unique folio, the Insurance cover will be cancelled with immediate effect. In case of additional section is unique folio, the Insurance cover will be cancelled with immediate effect. purchase/switch ins/STP in, a separate folio will be created.
- 23. First installment payment made through cheque should be the same as SIP amount and the same shall be considered as the first SIP installment.
- 24. In the event insurance cover is rejected/ not granted the SIP investment shall continue in the selected 🗒
- 25. The Trustee/AMC reserves the right to change/modify the terms and conditions of SIP Shield or withdraw the SIP Shield at a later date. All the other provisions of the Scheme Information Documents/addendums except as specifically modified herein above remain unchanged till further of the scheme in the sche
- 26. First nominee will be considered for SIP Shield.

#### FOR MORE INFORMATION

# SPECIAL PRODUCTS APPLICATION FORM (SIP-PDC/ SWP/ STP/ MICRO SIP)



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- Existing investors seeking for Special Product only, need to fill up this Special Product Form. New investors who wish to enrol for the Special Product should fill up Special Product Form in addition to the Common Application Form. However, in line with SEBI and AMFI guidelines the requirement of documents for submission of documents for subscription/transaction is modified from time to time. Therefore, for such additional requirements the investor is required to refer the "Instruction for Completing the Application Form" (as provided in the main application form) and submit such additional documentation for the same.
- In case of renewal of SIP-PDC/ SWP/STP this form should be submitted at least 15 working days prior to the due date

  The investor has the right to discontinue SIP/SWP/STP at any time he/she so desires by sending a written request at least 15 working days prior to the due date of next SIP/SWP
  / STP to any of the offices of BOI AXA Mutual Fund or its Authorised Collection Centres. On receipt of such request the SIP/SWP/STP will be terminated and in case of SIP balance post-dated cheques will be returned to the investor.
- Units will be allotted / redeemed / transferred at the Applicable NAV related prices of the 1st / 7th /10th /15th / 20th /25th of every month (or next business day, if 1st / 7th /10th /15th / 20th /25th non business day). In case of Post Dated Cheques submitted for any dates, other than the dates offered, immediate next offered date would be considered as the SIP date(s). An account statement will be dispatched to the unit holders once every quarter within 10 working days of the end of each quarter. The first account statement will be issued within 10 working days of the initial investment.
- Investors availing the Micro SIP facility shall be exempted from submission of requirement of PAN. Micro SIP shall be applicable where aggregate of installments in a rolling 12 months period or in a financial year i.e. April-March does not exceed ₹ 50,000/-.

  Micro SIP benefit is available to individuals, NRI's, Minors and Sole Proprietors only. HUF's, PIO's and any other entities/ persons etc. are not eligible. The AMC will reject the
- application where they find that documents are deficient or where the installment total will exceed ₹50,000/-
- Eligible investors are required to submit any one of the following photo identification document as a proof of identification in lieu of PAN:
  - Eligible investors are required to submit any one of the following photo identification document as a proof of identification in lieu of PAN:

    1. Voter Identify Card; 2. Driving License; 3. Government / Defense identification card; 4. Passport; 5. Photo Ration Card; 6. Photo Debit Card; 7. Employee ID cards issued by companies registered with Registrar of Companies; 8. Photo Identification issued by Bank Managers of Scheduled Commercial Banks / Gazetted Officer / Elected Representatives to the Legislative Assembly / Parliament; 9. ID card issued to employees of Scheduled Commercial / State / District Co-operative Banks; 10. Senior Citizen / Freedom Fighter ID card issued by Government; 11. Cards issued by Universities / deemed Universities or institutes under statutes like ICAI, ICWA, ICSI; 12. Permanent Retirement Account No (PRAN) card isssued to New Pension System (NPS) subscribers by CRA (NSDL); and 13. Any other photo ID card issued by Central Government / State Governments / Municipal authorities / Government organizations like ESIC / EPFO.

    Submission of KYC acknowledgement is not mandatory in case of investments as Micro SIPs. However, for such cases the proof of identification and proof of address (as specified in the above documents list) (if the proof of identification also includes address the separate address proof is not necessary) may be submitted along with the application as part of the regulatory requirement. Such documentary proofs should be self attested by the distributor/ any competent authority. However, in case the Micro SIP investments by investors residing in the State of Sikkim are not required to provide KYC acknowledgement. However, in such cases, investor require to submit proof of identification and proof of address (as per specified documents list mentioned above) (if proof of identification form should be the same. Such documentary proofs should be self-attested or attested by the distributor/any competent authority.
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- attested or attested by the distributor/ any competent authority.

  DIRECT APPLICATIONS: Investors should ensure to write the word 'DIRECT' in the column 'ARN No' or 'Broker Code' in their applications for purchases/additional purchases/
  switches/fresh Systematic Investment Plans (SIP)/ fresh Systematic Transfer Plans (STP) in all such cases where applications are not routed through any
  distributor/agent/broker. In cases where unit holder uses a pre-printed transaction slip where details in the 'ARN No' or 'Broker Code' column is already printed, unit holder should
  cancel the ARN No/ Broker Code, write 'DIRECT' in the said column and it should also be counter signed by the unit holder(s). Transactions slips/application forms
  where the column under 'ARN No or 'Broker Code' is provided, has to be filled by the unit holder as 'DIRECT' for processing the same as Direct applications. Investors can submit
  their applications for purchases/ additional purchases/ switches/fresh SIP/ fresh STP at any of the Official Point(s) of Acceptance of BOI AXA Mutual Fund. The list of Official
  Point(s) of Acceptance is available on the website of BOI AXA Mutual Fund (www.boiaxa-im.com).
  The applicability of SIP/ SWP/STP will be as per the terms & conditions of the respective Scheme Information Documents and Statement of Additional Information.
- Please attach Photo copy of a cancelled cheque.
- All post-dated cheques have to be issued favouring the individual scheme name with extension of Folio No. / PAN No. / Name of the first Holder (For SIP-PDC)
- The first investment cheque while applying for Daily SIP/ Monthly SIP can be either equal to or greater than the subsequent Daily SIP/ Monthly SIP installment amounts. The subsequent Daily SIP/ Monthly SIP installment amounts however should remain the same as per the scheme specific information document and all the post-dated cheques
- Cheques should be drawn payable at locations of BOIAIM branches & authorised centres. Non MICR / outstation post dated cheques will not be accepted for SIP
- 15. Options available under SWP:
  - Fixed withdrawal: Investors can withdraw fixed amount as indicated in the ready reckoner below & the dates applicable for the same are 1st/7th/10th/15th/20th/25th.
- B] Appreciation SWP: Appreciation of above ₹ 500/- can be withdrawn at monthly, quarterly, half yearly and annually frequency & the dates applicable for the same are 1st/7th/10th/15th/20th/25th of the relevant month. In both Fixed Withdrawal and Appreciation SWP, Units will be redeemed basis Applicable NAV on the date chosen as per above.

  16. If the STP application has from date and to date, then it refers to calendar days and processing happens only on business days.
- 17. If the STP application has number of installments, the number of installment is registered by omitting the non business day and holidays.

#### Ready Reckoner for Special Product

Schemes	nes SIP STP											SWP							
	Available	Minimum Amount	SIP Frequency	Minimum Duration	Availa	able	Minimum Amount	STP Frequency	Minimum Duration	A	vailable	Minimum Amount	Withdrawal Frequency	Minimum Duration Installment					
					IN C	UT													
BOI AXA Equity Fund		Daily -₹ 300 Monthly - ₹ 1,000 and in multiples of ₹ 100 thereafter	Daily Monthly	Daily - 1 Month Monthly - 6 Months			Daily -₹ 300 Monthly - ₹ 1,000 and in multiples of ₹ 100 thereafter	Daily and Monthly	Daily - 1 Month Monthly - 6 Months		Minimum balance in a scheme for SWP should ₹ 10,000	₹ 1,000 and in multiples of ₹ 100 thereafter	Monthly, Quarterly, Half yearly & Annually	Monthly - 6 Quarterly - 4 Half yearly - 2 Annually - 2					
BOI AXA Tax Advantage Fund		₹ 500 and in multiples of ₹ 1 thereafter	Monthly	6 Months			₹ 500 and in multiples of ₹ 1 thereafter	Monthly	6 Months		Minimum balance in a scheme for SWP should ₹ 10,000	₹ 500 and in multiples of ₹ 1 thereafter	Monthly, Quarterly, Half yearly & Annually	Monthly - 6 Quarterly - 4 Half yearly - 2 Annually - 2					
BOI AXA Focused Infrastructure Fund		Daily - ₹ 300 Monthly - ₹ 1,000 and in multiples of ₹ 100 thereafter	Daily Monthly	Daily - 1 Month Monthly - 6 Months			Daily - ₹ 300 Monthly - ₹ 1,000 and in multiples of ₹ 100 thereafter	Daily and Monthly	Daily - 1 Month Monthly - 6 Months		Minimum balance in a scheme for SWP should ₹ 10,000	₹ 1,000 and in multiples of ₹ 1 thereafter	Monthly, Quarterly, Half yearly & Annually	Monthly - 6 Quarterly - 4 Half yearly - 2 Annually - 2					
BOI AXA Regular Return Fund		Monthly - ₹ 1,000 and in multiples of ₹ 100 thereafter	Monthly	6 Months			Monthly - ₹ 1,000 and in multiples of ₹ 100 thereafter	Monthly	6 Months		Minimum balance in a scheme for SWP should ₹ 25,000	₹ 500 and in multiples of ₹ 100 thereafter	Monthly, Quarterly, Half yearly & Annually	Monthly - 6 Quarterly - 4 Half yearly - 2 Annually - 2					
BOI AXA Equity Debt Rebalancer Fund		Monthly - ₹ 1,000 and in multiples of ₹ 100 thereafter	Monthly	12 Months			Monthly - ₹ 1,000 and in multiples of ₹ 100 thereafter	Monthly	12 Months		Minimum balance in a scheme for SWP should ₹ 10,000	₹ 1,000 and in multiples of ₹ 1 thereafter	Monthly, Quarterly, Half yearly & Annually	Monthly - 6 Quarterly - 4 Half yearly - 2 Annually - 2					

**EQUITY-KIM/131015** 

# Systematic Investment Plan (SIP) Auto Debit Facility/ MICRO SIP/ SIP TOP UP



PLEASE FILL ALL FIELDS WITH BLACK BALL POINT, IN BLOCK LETTERS AND COMPLETE MANDATORY (MARKED\*) FIELDS

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### TERMS AND CONDITIONS FOR Systematic Investment Plan (SIP) Auto Debit Facility/ MICRO SIP/ SIP TOP UP



- 1. Existing investors seeking for Systematic Investment only, need to fill up this Systematic Investment Form. New investors who wish to enroll for the Systematic Investment should fill up SIP Form in addition to the Common Application Form, with or without the initial investment amount i.e. the first installment can be without the cheque. However in lines with SEBI and AMFI guidelines the requirement of submission of documents for subscription/transaction is modified from time to time. Therefore, for such additional requirements the investor is required to refer the "Instruction For Completing the Application Form" (as provided in the main application form) and submit such additional documentation for the same.
- 2. The cheque may be drawn in favour of "Full name of the Scheme" followed by the name of the sole or 1st joint holder/ his PAN/folio number. For e.g. "XYZ Scheme A/c Sole / First Investor name" or "XYZ Scheme A/c Polio Number" or "XYZ Scheme A/c Folio Number".
- 3. If the investment is without a first investment cheque then the cancelled cheque copy is mandatory for submission and, if such cancelled cheque is without any name a bankers attestation is required on the SIP form.
- 4. Monthly SIP/ Daily SIP facility is currently available only with following banks: Bank of India, HDFC Bank, IDBI Bank, Kotak Mahindra Bank, IndusInd Bank, Bank of Baroda for all locations. For Mumbai, Delhi, Kolkatta, Chennai Daily SIP shall be accepted in all Banks.
- 5. Please check the Scheme Information Document & the Statement of Additional Information for SIP facility in respective scheme.
- 6. The cities as prescribed in RBI's list may be modified/updated/changed/removed at any time in future entirely at the discretion of BOI AXA Investment Managers Private Limited without assigning any reasons or prior notice. If any city is removed, SIP instructions for investors in such cities via Auto Debit route will be discontinued and communication to that effect will be sent to the investor.
- Monthly SIP facility is available only on specific dates of the month viz 1st or 7th or 10th or 15th or 20th or 25th for Monthly SIP.
- 8. During ongoing purchase in monthly SIP your first SIP can be for any day of the month. Your second and subsequent SIPs are available only on the above specified dates of the month with a minimum gap of atleast 30 days between first and second SIP installment. In case the chosen date turns out to be a non working day for the scheme; the SIP will be processed on the immediate following working day.
- 9. The SIP cheque (where the investment is made by cheque) should be drawn on the same bank account which is to be registered for Auto Debit. The bank account provided for Auto Debit should participate in local MICR clearing.
- 10. The first investment cheque while applying for Monthly SIP can be either equal to or greater than the subsequent Monthly SIP installment amounts. The subsequent Monthly SIP installment amounts however should remain the same as per the scheme specific information document and all the postdated cheques issued.
- 11. If two consecutive SIP's fail, the SIP will automatically stand terminated and a communication to the effect will be sent to the investor.
- 12. If the SIP preferences are not indicated or in case of discrepancy or ambiguity, the default option shall be as under: SIP Frequency -Monthly, SIP Date every 7th of the month and Tenure -6 months.
- 13. The investor has the right to discontinue SIP at any time he/she so desires by sending a written request, at least 15 working days prior to the due date of next SIP for Monthly SIP, to any of the offices of BOI AXA Mutual Fund or its Investor Service Centres. All the request should be accompanied by:
  - a. A new SIP form duly filled in and carrying the revised/new SIP request details, or
  - A written and signed confirmation for discontinuing the existing SIP.
- 14. Investors availing the Micro SIP facility shall be exempted from submission of requirement of PAN. Micro SIP shall be applicable where aggregate of installments in a rolling 12 months period or in a financial year i.e. April-March does not exceed `50,000/- per year.
- 15. Micro SIP benefit is available to individuals, NRI's, Minors and Sole Proprietors only. HUP's, PIO's and any other entities/ persons etc. are not eligible.

The AMC will reject the application where they find that documents are deficient or where the installment total will exceed `50,000/- per year.

16. Eligible investors are required to submit any one of the following photo identification document as a proof of identification in lieu of PAN:

1. Voter Identity Card; 2. Driving License; 3. Government / Defense identification card; 4. Passport; 5. Photo Ration Card; 6. Photo Debit Card; 7. Employee ID cards issued by companies registered with Registrar of Companies; 8. Photo Identification issued by Bank Managers of Scheduled Commercial Banks / Gazetted Officer / Elected Representatives to the Legislative Assembly / Parliament; 9. ID card issued to employees of Scheduled Commercial / State / District Co-operative Banks; 10. Senior Citizen / Freedom Fighter ID card issued by Government; 11. Cards issued by Universities/ deemed Universities or institutes under statutes like ICAI, ICWA, ICSI; 12. Permanent Retirement Account No (PRAN) card issued by New Pension System (NPS) subscribers by CRA (NSDL); and 13. Any other photo ID card issued by Central Government / State Governments/Municipal authorities/ Government organizations like ESIC / EPFO.

Submission of KYC acknowledgement is not mandatory in case of investments as Micro SIPs. However, for such cases the proof of identification and proof of address (as specified in the above documents list) (if the proof of identification also includes address the seperate address proof is not necessary) may be submitted along with the application as part of the regulatory requirement. Such documentary proofs should be self attested or attested by the distributor/ any competent authority. However, in case the Micro SIP investor has a PAN, then it is mandatory that he/she submit the KYC acknowledgement issued by CVL.

Investments by investors residing in the State of Sikkim are not required to provide KYC acknowledgement. However, in such cases, investor require to submit proof of identification and proof of address (as per specified documents list mentioned above) (if proof of identification also includes address, a separate address proof is not necessary). Proof of address should contain address in the State of Sikkim and the address mentioned in the application form should be the same. Such documentary proofs should be self-attested or attested by the distributor/ any competent authority.

- 17. Investor will not hold BOI AXA Investment Managers Pvt. Ltd., its registrars and other service providers responsible if the transaction is delayed or not effected, the investor bank account is debited in advance or after the specific SIP date due to various clearing cycles of Auto Debit/local holidays/incomplete or incorrect instructions from the applicant.
- 18. BOI AXA Investment Managers Pvt. Ltd. reserves the right not to represent any mandate for SIP auto Debit facility if the registration could not be effected in time for reason beyond its control.
- 19. BOI AXA Investment Managers Pvt. Ltd., its registrars and other service providers shall not be responsible and liable for any transaction failures, due to rejection of the transaction by your bank/branch or its refusal to register the SIP mandate.
- 20. In case of renewal of SIP this form should be submitted at least 1 month (for Monthly SIP) and prior to the due date.
- 21. Please refer the Scheme Information Documents/ Statement of Additional Information of the scheme for the Applicable NAV, Redemptions, Risk Factors, Load and other information before investing.
- 22. Generic Structure on SIP: This facility enables investors to save and invest periodically over a longer period of time. It is a convenient way to "invest as you earn" and affords the investor an opportunity to enter the market regularly, thus averaging the acquisition cost of Units. SIP allows investors to invest a fixed amount of Rupees on either daily basis or on specific dates every month by purchasing Units of the Scheme at the Purchase Price prevailing at such time. Any unit holder can avail of this facility subject to certain terms and conditions contained in the Application form, Scheme Information Document and Statement of Additional Information of the respective scheme. Systematic Investment Plan facility will be available as detailed below:

SIP Options	Daily SIP	Monthly SIP
Contribution will be debited	,	Day On any one of the following dates in a month as chosen by the investor / Unitholder: 1st /or 7th /or 10th /or 15th /or 20th /or 25th basis NAV of that day, or of following Business Day, if that day is not a Business Day.
Minimum duration of SIP	1 month	6 months

#### Contributions

Auto Debit allows an investor to instruct his bank to debit his bank account at periodic intervals for making investments in mutual fund scheme(s). There shall be a gap of at least 30 days between the date of the first cheque and first instalment through Auto Debit in the case of a Monthly SIP initiated during the Ongoing Offer period.

- 23. SIP TOP UP Facility
  - 1. Top Up facility will be available only for valid new registration(s) under SIP or renewal of SIP
  - 2. The minimum SIP Top-up amount is Rs. 500 and in multiples of Rs. 500
  - 3. Top Up can be done on a half yearly / annual basis:
  - 4. If the investor does not specify the frequency, the default frequency for Top-up will be considered as Half-yearly.
  - 5. This facility is available only for Monthly SIP.
  - 6. SIP Top-up facility shall be available for SIP Investments through ECS (Debit Clearing) / Direct Debit Facility/ Standing Instruction only.
  - 7. Top Up Facility will not be available for investments under SIP where the auto debit period has not been indicated by the investor at the time of investments.
  - 8. All other terms & conditions applicable for regular SIP will also be applicable to Top-up SIP.

#### FOR MORE INFORMATION

### Know Your Client (KYC) Application Form (For Individuals Only)

Main Intermediary



Place for Intermediary Logo

**Application No.:** 

Please fill in ENGLISH and in BLOCK LETTERS A. Identity Details (please see guidelines overleaf) 1. Name of Applicant (As appearing in supporting identification document). **PHOTOGRAPH** Father's/Spouse Name Please affix the recent passport size photograph and B. Marital status 
Single 
Married C. Date of Birth 2. Gender Male Female sign across it 3. Nationality Indian Other Plea 4. Status Please tick (🗸) 🗌 Resident Individual 🔲 Non Resident 🔲 Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals) Please enclose a duly attested copy of your PAN Card 5. PAN Aadhaar Number, if any: 6. Proof of Identity submitted for PAN exempt cases Please Tick (✓) □ UID (Aadhaar) □ Passport □ Voter ID □ Driving Licence □ Others (Please see guideline 'D' overleaf B. Address Details (please see guidelines overleaf) 1. Address for Correspondence City / Town / Village Pin Code State Countr 2. Contact Details Tel. (Off.) (ISD) Tel. (Res.) Fax Mobile E-Mail Id. 3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick ( / ) against the document attached. ☐ Passport ☐ Ration Card ☐ Registered Lease/Sale Agreement of Residence ☐ Driving License ☐ Voter Identity Card ☐\*Latest Bank A/c Statement/Passbook \*Latest Telephone Bill (only Land Line) \*Latest Electricity Bill \*Latest Gas Bill Others (Please specify) \*Not more than 3 Months old. Validity/Expiry date of proof of address submitted 4. Permanent Address of Resident Applicant if different from above B1 OR Overseas Address (Mandatory) for Non-Resident Applicant City / Town / Village IPin Code State Country 5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (/) against the document attached. ☐ Passport ☐ Ration Card ☐ Registered Lease/Sale Agreement of Residence ☐ Driving License ☐ Voter Identity Card ☐ \*Latest Bank A/c Statement/Passbook \*Latest Telephone Bill (only Land Line) \*\*Latest Electricity Bill \*\*Latest Gas Bill \*\*Dothers (Please specify) \*Not more than 3 Months old. Validity/Expiry date of proof of address submitted | d 6. Any other information: **DECLARATION** SIGNATURE OF APPLICANT I hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it. Place: FOR OFFICE USE ONLY IPV Done□ on / m m / | AMC/Intermediary name OR code (Originals Verified) Self Certified Document copies received (Attested) True copies of documents received

#### INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

#### A. IMPORTANT POINTS:

- 1. Self attested copy of PAN card is mandatory for all clients.
- Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
- 3. If any proof of identity or address is in a foreign language, then translation into English is required.
- 4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- 5. If correspondence & permanent address are different, then proofs for both have to be submitted.
- 6. Sole proprietor must make the application in his individual name & capacity.
- 7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCICard and overseas address proof is mandatory.
- 8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
- 9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
- 10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
- 11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

### B. Proof of Identity( POI): List of documents admissible as Proof of Identity:

- 1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
- 2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
- Identity card/ document with applicant's Photo, 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.

## C. Proof of Address (POA): List of documents admissible as Proof of Address: (\*Documents having an expiry date should be valid on the date of submission.)

1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale

- Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.
- 2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill Not more than 3 months old.
  - 3. Bank Account Statement/Passbook Not more than 3 months old.
  - 4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
  - 5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinationa Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
  - Identity card/document with address, 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 and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
  - 7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostiled or consularised) that gives the registered address should be taken.
  - 8. The proof of address in the name of the spouse may be accepted.

## Exemptions/clarifications to PAN (\*Sufficient documentary evidence in support of such claims to be collected.)

- 1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
- 2. Investors residing in the state of Sikkim.
- 3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
- 4. SIP of Mutual Funds upto Rs 50,000/- p.a.
- 5. In case of institutional clients, namely, FIIs, Mfs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

#### E. List of people authorized to attest the documents:

- 1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
- In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.