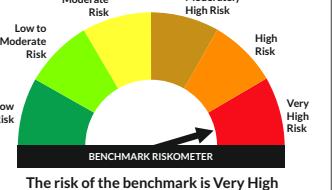


# KEY INFORMATION MEMORANDUM AND APPLICATION FORM

## AXIS BSE INDIA SECTOR LEADERS INDEX FUND

(An Open-Ended Index Fund tracking BSE India Sector Leaders TRI)

Scheme Name and Benchmark	Product Labelling	Scheme Risk-o-meter	Benchmark Risk-o-meter
<b>AXIS BSE INDIA SECTOR LEADERS INDEX FUND</b> (An Open-Ended Index Fund tracking BSE India Sector Leaders TRI)  <b>Benchmark:</b> BSE India Sector Leaders TRI	<p>This product is suitable for investors who are seeking*</p> <ul style="list-style-type: none"> <li>Long term wealth creation solution.</li> <li>An index fund that invests in the constituents of BSE India Sector Leaders Index and aims to achieve returns of the stated total return index, subject to tracking error.</li> </ul> <p>*Investors should consult their financial advisers if in doubt about whether the product is suitable for them.</p>	 <p><b>SCHEME RISKOMETER</b> The risk of the scheme is <b>Very High</b></p>	 <p><b>BENCHMARK RISKOMETER</b> The risk of the benchmark is <b>Very High</b></p>

(The product labelling assigned during the New Fund Offer is based on internal assessment of the Scheme Characteristics or model portfolio and the same may vary post NFO when actual investments are made)

**Offer of Units of Rs. 10 each during the New Fund Offer and Continuous offer for Units at NAV based prices**

**NEW FUND OFFER OPENS ON: JANUARY 23, 2026**

**NEW FUND OFFER CLOSES ON: FEBRUARY 06, 2026**

**Scheme re-opens on : Within five Business Days from the date of allotment**

Name of Mutual Fund	:	Axis Mutual Fund
Name of Asset Management Company	:	Axis Asset Management Company Ltd.
Name of Trustee Company	:	Axis Mutual Fund Trustee Ltd
Addresses, Website of the entities	:	One Lodha Place, 22nd & 23rd Floor, Senapati Bapat Marg, Lower Parel, Mumbai, Maharashtra, Pin Code - 400013. www.axismf.com
Name of Sponsor	:	Axis Bank Ltd.

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

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

This Key Information Memorandum is dated January 14, 2026.

Name of scheme	Axis BSE India Sector Leaders Index Fund (An Open-Ended Index Fund tracking BSE India Sector Leaders TRI)														
Scheme code	AXIS/O/O/EIN/25/12/0104														
Investment Objective	<p>To provide returns before expenses that correspond with the performance of the BSE India Sector Leaders TRI subject to tracking error.</p> <p>There is no assurance that the investment objective of the scheme will be achieved.</p>														
Asset Allocation Pattern of the Scheme	<p>Under normal circumstances, the asset allocation pattern will be:</p> <table border="1"> <thead> <tr> <th>Instruments</th> <th>Indicative Allocation (% of total assets)</th> <th>Minimum</th> <th>Maximum</th> </tr> </thead> <tbody> <tr> <td>Securities covered under BSE India Sector Leaders Index*</td> <td>95</td> <td>100</td> <td></td> </tr> <tr> <td>Money Market Instruments<sup>^</sup> and units of debt &amp; liquid mutual fund schemes</td> <td>0</td> <td>5</td> <td></td> </tr> </tbody> </table>			Instruments	Indicative Allocation (% of total assets)	Minimum	Maximum	Securities covered under BSE India Sector Leaders Index*	95	100		Money Market Instruments <sup>^</sup> and units of debt & liquid mutual fund schemes	0	5	
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<p>*The net assets of the scheme will be invested in stocks constituting BSE India Sector Leaders Index. This would be done by investing in all the stocks comprising the underlying index in the same weightage that they represent in the said index.</p> <p><sup>^</sup>Residual portion of 5% of the net assets of the Scheme are provided for liquidity purposes. For liquidity purposes, the Scheme would invest in 'liquid assets' as per clause 4.5.1 of SEBI Master Circular of Mutual funds as amended from time to time.</p> <p>In terms of Para 3.4 of Master Circular for Mutual Funds which specifies the portfolio concentration norms as follows and as amended from time to time, shall be complied with respect to the underlying Index:</p> <p>The index has a minimum of 10 stocks as its constituents.</p> <p>No single stock in the index shall have more than 25% weight in the index.</p> <p>The weightage of the top three constituents of the index, cumulatively shall not be more than 65% of the Index.</p> <p>The individual constituent of the index shall have a trading frequency greater than or equal to 80% and an average impact cost of 1% or less over the previous six months.</p> <p>The Scheme may take an exposure to equity derivatives of constituents of the underlying index upto 15% of the Net assets of the Scheme. Such exposure to equity derivatives of constituents of the underlying Index would be taken for short duration when securities of the index are unavailable, insufficient or for rebalancing at the time of change in index constituents or in case of corporate actions.</p> <p>Pending for deployment and/or in cases of extreme market conditions, special events or corporate events, like declaration of dividend by the companies comprising the index, the AMC may invest funds as part of the total assets in Tri-Party Repos (TREPS) on Government Securities.</p>															

<b>Asset Allocation Pattern of the Scheme (Contd.)</b>	<p>Further, due to corporate action in companies comprising the Underlying Index, the scheme may be allocated/allotted securities which are not part of the Underlying Index. Such security will be considered for asset allocation basis the security asset class. The scheme shall dispose the security not forming part of the underlying index within 7 days from the date of listing. Similarly, unlisted securities received in the event of corporate action will be disposed by the Fund Manager in line with the investment objective of the Scheme.</p> <p>The cumulative gross exposure through equity, money market instruments and equity derivatives should not exceed 100% of the net assets of the Scheme in accordance with Para 12.24 of SEBI Master Circular of Mutual Fund as amended from time to time. Cash or cash equivalents with residual maturity of less than 91 days shall be treated as not creating any exposure. SEBI vide letter dated November 3, 2021 has clarified that Cash Equivalent shall consist of Government Securities, T-Bills and Repo on Government Securities having residual maturity of less than 91 days.</p> <p><b>Stock Lending</b></p> <p><b>The Scheme shall adhere to the following limits to engage in Stock Lending:</b></p> <ol style="list-style-type: none"> <li>1. Not more than 20% of the net assets of the Scheme can generally be deployed in Stock Lending.</li> <li>2. Not more than 5% of the net assets of the Scheme can generally be deployed in Stock Lending to any single counter party (as may be applicable).</li> </ol> <p><b>Investment in Units of Mutual Fund</b></p> <p>The Scheme may invest up to 5% of the net assets of the Scheme in units of debt and liquid mutual fund schemes of Axis AMC or of other mutual funds.</p> <p><b>Investment in short term deposits</b></p> <p>Pending deployment of the funds in securities in terms of investment objective of the Scheme, the AMC may park the funds of the Scheme in short term deposits of the Scheduled Commercial Banks, subject to the guidelines issued by Para 12.16 of Master Circular for Mutual Funds.</p> <p>The Scheme shall not invest in Overseas securities/ADR/GDR, Securitized debt, InvITs, Repo/ Reverse repo transactions in corporate debt, Unrated debt instruments, Credit Default Swaps, debt instruments having Structured obligations / Credit enhancements and instruments with special features as specified in Para 12.2 of Master circular for Mutual Fund. The Scheme shall not engage in short-selling.</p> <p><b>Indicative Table</b> (Actual instrument/percentages may vary subject to applicable SEBI circulars)</p> <table border="1"> <thead> <tr> <th>Sr. No.</th><th>Type of Instrument</th><th>Percentage of Exposure</th><th>Circular References</th></tr> </thead> <tbody> <tr> <td>1.</td><td>Derivatives for non-hedging purposes</td><td>There is no separate limit for derivatives for non-hedging purposes. Please refer above para for exposure in derivatives</td><td>Para 7.5 and Para 12.25 of SEBI Master Circular for Mutual Funds</td></tr> <tr> <td>2.</td><td>Securities Lending and borrowing</td><td> <p>The Scheme shall adhere to the following limits to engage in Stock Lending.</p> <ol style="list-style-type: none"> <li>1. Not more than 20% of the net assets of the Scheme can generally be deployed in Stock Lending.</li> <li>2. 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If the AMC is not able to deploy the funds in 30 business days, the AMC shall adhere to the requirements as laid down in the aforesaid SEBI circular.</p> <p><b>Portfolio rebalancing due to short term defensive considerations:</b></p> <p>Due to market conditions, the AMC may invest beyond the range set out in the asset allocation. Such deviations shall normally be for a short term and defensive considerations as per Para 1.14.1.2 of Master Circular for Mutual Fund or as may be amended from time to time, and the fund manager will rebalance the portfolio within 7 calendar days from the date of deviation.</p> <p><b>Portfolio rebalancing on account of change in constituents of underlying Index:</b></p> <p>As per Para 3.6.7 of Master Circular for Mutual Funds as amended from time to time, for rebalancing the portfolio by the Scheme, following norms shall apply:</p> <ol style="list-style-type: none"> <li>a. In case of change in constituents of the index due to periodic review, the portfolio of the Scheme shall be rebalanced within 7 calendar days.</li> <li>b. Any transactions undertaken in the scheme portfolio of ETF/ Index Fund in order to meet the redemption and subscription obligations shall be done while ensuring that post such transactions replication of the portfolio with the index is maintained at all points of time.</li> </ol>	Sr. No.	Type of Instrument	Percentage of Exposure	Circular References	1.	Derivatives for non-hedging purposes	There is no separate limit for derivatives for non-hedging purposes. Please refer above para for exposure in derivatives	Para 7.5 and Para 12.25 of SEBI Master Circular for Mutual Funds	2.	Securities Lending and borrowing	<p>The Scheme shall adhere to the following limits to engage in Stock Lending.</p> <ol style="list-style-type: none"> <li>1. Not more than 20% of the net assets of the Scheme can generally be deployed in Stock Lending.</li> <li>2. 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<b>Investment Strategy</b>	<p>The Scheme follows a passive investment strategy.</p> <p>The Scheme would invest in stocks comprising the underlying index and shall track the underlying index. The Scheme may also invest in money market instruments, in compliance with Regulations to meet liquidity and expense requirements. The Scheme aims to invest in stocks forming part of the underlying Index in the same ratio as per the index to the extent possible and to that extent follow a passive investment strategy, except to the extent of meeting liquidity and expense requirements. Events like the constituent stocks becoming illiquid in the cash market, the index provider changing the constituents, a large dividend going ex but lag in its receipts, etc. tend to increase the tracking error.</p>						
<b>Creation of Segregated Portfolio</b>	In case of credit event, the Scheme may create segregated portfolio of debt and money market instruments in terms of applicable SEBI regulations/circulars.						
<b>Risk Profile of the Scheme</b>	<p>Mutual Fund units involve investment risks including the possible loss of principal.</p> <p>Scheme specific Risk Factors are summarized below:</p> <p>The scheme carries risks associated with investing in equity and equity related securities, fixed income securities, passive investment strategy, risk pertaining to BSE India Sector Leaders TRI &amp; investment in equity derivatives.</p> <p><b>Please refer to the SID for further details.</b></p>						
<b>Risk Mitigation strategies</b>	<p>Risk management is going to be an integral part of the investment process. Effective risk management is critical to fund management for achieving financial soundness. Investments by the Scheme shall be made as per the investment objectives of the Scheme and provisions of the Regulations.</p> <p><b>For more details, please refer SID.</b></p>						
<b>Plans and Options</b>	<p><b>Plans</b></p> <ol style="list-style-type: none"> <li>1. Axis BSE India Sector Leaders Index Fund – Regular Plan</li> <li>2. Axis BSE India Sector Leaders Index Fund – Direct Plan</li> </ol> <p><b>Options under each plans: Growth</b></p> <p><b>Regular Plan</b></p> <p>Regular Plan is available for investors who purchase /subscribe Units in a Scheme through a Distributor.</p> <p><b>Direct Plan</b></p> <p>Direct Plan is only for investors who purchase/ subscribe Units in a Scheme directly with the Fund and is not available for investors who route their investments through a Distributor.</p> <p>For detailed disclosure on default plans, kindly refer SAI.</p>						
<b>Applicable NAV</b>	The AMC will calculate and disclose the NAVs on all Business Days. The AMC shall update the NAVs on its website ( <a href="http://www.axismf.com">www.axismf.com</a> ) and of the Association of Mutual Funds in India - AMFI ( <a href="http://www.amfiindia.com">www.amfiindia.com</a> ) before 11.00 p.m. on every Business Day and shall also update the NAVs on the website of AMC ( <a href="http://www.axismf.com">www.axismf.com</a> ).						
<b>Minimum Application Amount/ Number of Units</b>	<table border="1"> <thead> <tr> <th>Purchase</th> <th>Additional Purchase</th> <th>Redemption</th> </tr> </thead> <tbody> <tr> <td>Rs. 100 and in multiples of Rs. 1/- thereafter.</td> <td>Rs. 100 and in multiples of Rs. 1/- thereafter.</td> <td>There will be no minimum Redemption criteria.</td> </tr> </tbody> </table>	Purchase	Additional Purchase	Redemption	Rs. 100 and in multiples of Rs. 1/- thereafter.	Rs. 100 and in multiples of Rs. 1/- thereafter.	There will be no minimum Redemption criteria.
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Rs. 100 and in multiples of Rs. 1/- thereafter.	Rs. 100 and in multiples of Rs. 1/- thereafter.	There will be no minimum Redemption criteria.					
<b>Despatch of Repurchase (Redemption) Request</b>	The redemption proceeds shall be dispatched to the unit holders within three (3) working days from the receipt of the redemption request at the Authorised Center of Axis Mutual Fund.						
<b>Benchmark Index</b>	BSE India Sector Leaders TRI						
<b>IDCW Policy</b>	No IDCW will be declared under the Scheme.						
<b>Name of the Fund Manager</b>	Mr. Karthik Kumar						
<b>Name of the Trustee Company</b>	Axis Mutual Fund Trustee Limited						
<b>Performance of the scheme</b>	This Scheme being a new scheme, it does not have any performance track record.						
<b>Additional Scheme Related Disclosures</b>	<ol style="list-style-type: none"> <li>1. Scheme's portfolio holdings (top 10 holdings by issuer and fund allocation towards various sectors): - Please refer the AMC website <a href="http://www.axismf.com/statutory-disclosures">https://www.axismf.com/statutory-disclosures</a> for said details.</li> <li>2. Disclosure of name and exposure to Top 7 issuers, stocks, groups and sectors as a percentage of NAV of the scheme in case of debt and equity ETFs/index funds through a functional website link that contains detailed description – Please refer the AMC website <a href="http://www.axismf.com/statutory-disclosures">https://www.axismf.com/statutory-disclosures</a> for said details.</li> <li>3. Portfolio turnover ratio for the half-year period ended – Not applicable since the scheme is a new fund.</li> </ol> <p>The above disclosures are not applicable as the scheme is a new fund.</p>						
<b>Expenses of the Scheme</b>	<p>For the New Fund Offer Period and Continuous Offer</p> <p><b>(i) Load Structure</b></p> <p><b>Entry load:</b> Not Applicable</p> <p><b>Exit load:</b> a) If redeemed/switched out within 15 days from the date of allotment: 0.25% b) If redeemed/switched out after 15 days from the date of allotment: Nil</p> <p>The above-mentioned load structure shall be equally applicable to the special products such as SIP, STP, SWP, etc. offered by the AMC. No load shall be levied on switches between options and sub-options of the Scheme.</p> <p>Exit load charged to the investors will be credited back to the scheme net of GST. The Investor is requested to check the prevailing Load structure of the Scheme before investing.</p> <p>Para 10.4 of Master Circular for Mutual Funds has decided that there shall be no Entry Load for all Mutual Fund schemes.</p> <p>The Trustee/AMC reserves the right to change / modify the Load structure from a prospective date.</p> <p><b>(ii) Recurring expenses</b></p> <p>The AMC has estimated that up to 1.00% of the daily net assets of the Scheme will be charged to the Scheme as expenses.</p> <p>Expenses as permissible under Regulation 52 of SEBI (MF) Regulations and as prescribed by SEBI from time to time shall be charged to the Scheme. The maximum limit of recurring expenses that can be charged to the Scheme would be as per Regulation 52 of the SEBI (MF) Regulation, 1996. For details of such expenses please refer the SID of the Scheme.</p> <p>Direct Plan shall have a lower expense ratio excluding distribution expenses, commission, etc. and no commission for distribution of Units will be paid/charged under Direct Plan.</p> <p>Investors can refer 'Total Expense Ratio of Mutual Fund Schemes' section on <a href="http://www.axismf.com/total-expense-ratio">https://www.axismf.com/total-expense-ratio</a> for Total Expense Ratio (TER) details.</p> <p>Actual expense for the financial year ended March 31, 2025 (audited): Not Applicable as it is a new scheme.</p> <p>**Includes Total Expense Ratio permissible under regulation 52(6)(b), Additional expenses under Regulation 52(6A)(c) and includes GST on Investment Management fees.</p>						

<b>Tax treatment for the Investors (Unitholders)</b>	Investors are advised to refer to the paragraph on Taxation in the "Statement of Additional Information" and to consult their own tax advisors with respect to the specific amount of tax and other implications arising out of their participation in the scheme.
<b>Daily Net Asset Value (NAV) Publication</b>	The NAV will be declared on all business days. NAV can also be viewed on <a href="http://www.axismf.com">www.axismf.com</a> and <a href="http://www.amfiindia.com">www.amfiindia.com</a>
<b>For Investor Grievances please contact</b>	<b>Name and Address of Registrar</b> KFin Technologies Limited Unit – Axis Mutual Fund, Selenium, Tower B, Plot Number 31 & 32, Financial District, Gachibowli, Hyderabad - 500008. Tel: 040 - 33211000. <b>Name, address, telephone number, fax number, e-mail i.d. of the Mutual Fund</b> Mr. C P Sivakumar, Axis Asset Management Company Ltd. One Lodha Place, 22nd & 23rd Floor, Senapati Bapat Marg, Lower Parel, Mumbai, Maharashtra, Pin Code – 400013. Phone no.: 022 - 6311 1205 E-mail: <a href="mailto:customerservice@axismf.com">customerservice@axismf.com</a>
<b>Unitholders' Information</b>	<p><b>Account Statement</b></p> <p>The AMC shall send an allotment confirmation specifying the units allotted by way of email and/or SMS within 5 working days of receipt of valid application/transaction to the Unit holders registered e-mail address and/ or mobile number (whether units are held in demat mode or in account statement form).</p> <p>The AMC/RTA shall dispatch a Consolidated Account Statement (CAS) detailing all the transactions across all mutual funds and holding at the end of the month shall be sent to the Unit holders in whose folio(s) transaction(s) have taken place during the month by mail or email on or before 15th of the succeeding month.</p> <p>For investor having demat account, the depositories shall dispatch a monthly consolidated statement with details across all schemes of mutual funds and securities held in dematerialized form across demat accounts and dispatch the same to investors who have opted for delivery via electronic mode (e-CAS) by the 12th day from the month end and to investors who have opted for delivery via physical mode by the 15th day from the month end.</p> <p>For folios where there are no transactions during the half – year, the AMC/RTA shall dispatch a half – yearly CAS at the end of every six months (i.e. September/March) on or before the 21st day of the succeeding month for holdings across all mutual funds at the end of the half-year.</p> <p>For folios where there are no transactions during the half – year, the depositories shall dispatch a consolidated statement (for investors having a demat account) i.e. half-yearly CAS at the end of every six months (i.e. September/March) to investors that have opted for e-CAS on or before the 18th day of April and October and to investors who have opted for delivery via physical mode by the 21st day of April and October to all investors providing the prescribed details across all schemes of mutual funds and securities held in dematerialized form across demat accounts, if applicable</p> <p>For further details, refer SAI.</p> <p><b>Annual Report:</b></p> <p>The Scheme annual report or an abridged summary thereof shall be mailed (emailed, where e-mail id is provided unless otherwise required) to all Unit holders not later than four months (or such other period as may be specified by SEBI from time to time) from the date of closure of the relevant accounting year (i.e. 31st March each year) and full annual report shall be available for inspection at the Head Office of the Mutual Fund and a copy shall be made available to the Unit holders on request on payment of nominal fees, if any. Scheme wise annual report shall also be displayed on the website of the Mutual Fund (<a href="http://www.axismf.com">www.axismf.com</a>) and on the website of Association of Mutual Funds in India (<a href="http://www.amfiindia.com">www.amfiindia.com</a>).</p> <p><b>Monthly/Half yearly Portfolio</b></p> <p>The AMC will disclose the portfolio of the Scheme (along with ISIN) as on the last day of the month / half year on the website of the Mutual Fund and AMFI within 10 days from the close of each month/ half year (i.e. 31st March and 30th September) respectively in a user-friendly and downloadable spreadsheet format. Further, AMC shall publish an advertisement in an all India edition of one national English daily newspaper and one Hindi newspaper, every half year, disclosing the hosting of the half-yearly statement of its schemes' portfolio on the website of the Mutual Fund and AMFI and the modes through which unitholder(s) can submit a request for a physical or electronic copy of the statement of scheme portfolio.</p> <p>For more details, kindly refer SID &amp; SAI.</p>
<b>Tracking Error and Tracking Difference</b>	<p>Tracking Error - The tracking error based on past one year rolling data, on a daily basis shall be disclosed on the website of AMC (<a href="http://www.axismf.com">www.axismf.com</a>) and of the Association of Mutual Funds in India - AMFI (<a href="http://www.amfiindia.com">www.amfiindia.com</a>).</p> <p>Tracking Difference - the Scheme shall also disclose the tracking difference i.e. the annualized difference of daily returns between the underlying Index and the NAV of the Index Fund shall also be disclosed on the website of the AMC and AMFI, on a monthly basis, for tenures 1 year, 3 year, 5 year, 10 year and since the date of allotment of units.</p>

**Email ID & Mobile Number:** Investors should provide their own email address and mobile number to enable Axis AMC for speed and ease of communication in a convenient and cost-effective manner, and to help prevent fraudulent transactions.

Please refer Axis AMC website [www.axismf.com](http://www.axismf.com) for list of Official Point of Acceptance of Transactions for submission of transaction requests.

The Sponsor - Axis Bank Ltd. is not liable or responsible for any loss or shortfall resulting from the operation of the scheme.

**Mutual Fund investments are subject to market risks, read all scheme related documents carefully.**

## INSTRUCTIONS FOR COMPLETING THE APPLICATION FORM

(Please read the SID carefully before signing the application form and tendering payment.)

### 1. GENERAL INSTRUCTIONS

- a. The application form should be completed in ENGLISH and in BLOCK LETTERS.
- b. All cheques, demand drafts and pay orders should be crossed "Account Payee only" and made in favour of "Scheme Name A/c First Investor Name" or "Scheme Name A/c Permanent Account No."
- c. If the Scheme name on the application form and on the payment instrument are different, the application may be processed and units allotted at applicable NAV of the scheme mentioned in the application / transaction slip duly signed by investor(s).
- d. Any over-writing / changes made while filling the form must be authenticated by canceling the original entry, re-entering correct details and ensuring that all applicants counter-sign against each correction.
- e. Application forms along with supporting documents can be submitted to ISCs / OPAs, contact details of which are available on [www.axismf.com](http://www.axismf.com).
- f. Investors must write the application form number / folio number on the reverse of the cheque / demand draft.
- g. Investors are requested to check contents of the account statement on receipt. Any discrepancy should be reported to the AMC / Registrar within 7 calendar days of the receipt of the statement; else contents of the statement would be presumed to be correct and binding. The AMC may modify any discrepancy at its discretion.
- h. Units will be allotted subject to realization of payment proceeds.
- i. Unitholder / Guardian name should be same as per Income Tax records.
- j. FATCA Declaration: Individual investors, please fill in FATCA / CRS annexure and attach along with Application form. Non-Individual investors, please fill in UBO form along with FATCA / CRS annexure and attach along with Application form available on our website [www.axismf.com](http://www.axismf.com)

### 2. DIRECT INVESTMENTS

Investors subscribing under Direct Plan of the scheme will have to indicate "Direct Plan" against the scheme name in the application form e.g. "Axis Arbitrage Fund - Direct Plan". Investors should also indicate "Direct" in the ARN column of the application form. However, in case Distributor code is mentioned in the application form, but "Direct Plan" is indicated against the scheme name, the application will be processed under Direct Plan. Further, where application is received for Regular Plan without Distributor code or "Direct" mentioned in the ARN Column, the application will be processed under Direct Plan.

Note: Direct Plan investment not applicable for ETF schemes.

### 3. EMPLOYEE UNIQUE IDENTIFICATION NUMBER (EUI)

Investor investing through distributor shall mention EUI on the application form, if he/she has been advised by Sales Person/ Employee/ Relationship Manager of the distributor this would assist in addressing any instance of mis-selling. If left blank, applicant(s) need to tick and sign the following declaration "I/We hereby confirm that the EUI 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 inappropriateness, if any, provided by the employee/relationship manager/sales person of the distributor/sub broker." on the form. SEBI has made it mandatory to obtain EUI no. for every employee/ relationship manager/ sales person of the distributor for selling mutual fund products.

### 4. DECLARATION AND SIGNATURES

- a. Thumb impressions must be attested by a Magistrate / Notary Public under his / her official seal.
- b. In case of HUF, the Karta needs to sign on behalf of the HUF.
- c. Applications by minors should be signed by their guardian.
- d. For Corporates, signature of the Authorised Signatory (from the Authorised Signatory List (ASL)) is required.

### 5. PAYMENTS

- a. The AMC intends using electronic payment services (NEFT, RTGS, ECS (Credit), Direct Credit, etc.) to the extent possible for dividends / redemptions for faster realization of proceeds to investors. In case an investor wishes to receive payments vide cheques / demand drafts to be sent using a postal / courier service, please provide appropriate written instructions to the AMC / Registrar for the same.
- b. Please enclose a cancelled cheque leaf (or copy thereof) in case your investment instrument (pay-in) is not from the same bank account as mentioned under bank account details.
- c. Any communication, dispatch of redemption / dividend payments / account statements etc. would be made by the Registrar / AMC as per reasonable standards of servicing.
- d. The Debit Mandate is an additional facility available to Axis Bank account holders only.

### 6. BANK DETAILS

Payment for investment in an account held by Minor by any mode shall be accepted from the bank account of the minor, parent or legal guardian of the minor, or from a joint account of the minor with parent or legal guardian.

Payment of redemption and IDCW proceeds shall be made only in the bank account of the minor.

It is mandatory for investors to mention bank account details on the form as per directives issued by SEBI. Applications without this information are liable to be rejected. The Mutual Fund / AMC reserve the right to hold redemption proceeds in case requisite bank details are not submitted.

Option to register multiple bank accounts

The AMC / Mutual Fund has also provided a facility to investors to register multiple bank accounts. By registering multiple bank accounts, investors can use any of their registered bank accounts to receive redemption / dividend proceeds. Any request for a change in bank mandate requires 10 days for validation and verification. Further, these account details will be used by the AMC / Mutual Fund / R&T for verification of instruments (like cheques/DDs/POs) received at the time of subscription / purchase applications to ensure that subscription payments are received only from one of the registered bank accounts. Payments from non-registered bank accounts (called third party payments) will not be accepted (except where permitted as per SEBI regulations). Investors are requested to avail of this facility by filling in the application form for registration of multiple bank accounts available at any of our ISCs / OPAs or on our website [www.axismf.com](http://www.axismf.com).

Cheques submitted at the time of purchase should be from the beneficiary investors account or from an account mentioned in your Multiple Bank Accounts Registration form.

Demand drafts submitted at the time of subscription should be accompanied by a banker's certificate clearly stating the investor's name and PAN as well as mentioning that the demand draft has been issued by debiting the investor's own bank account. Pre-funded instruments issued by the bank against cash shall not be accepted for investments of ₹50,000 or more. This pre-funded instrument should also be accompanied by a certificate from the banker giving the investor's name, address and PAN.

Payments made through RTGS/NEFT/NECS should be accompanied by a banker's certificate stating that the RTGS/NEFT/NECS payment has been made by debiting the investor's own bank account along with mention of the investor's name and PAN.

### 7. KYC

All Applicants (including POAs and Guardians) are required to be KYC compliant irrespective of the amount of investment. In case you are not KYC certified, please fill in the KYC form (individual or Non-Individual). A KYC acknowledgement letter should be submitted along with application for opening a folio or making an investment. Each holder in the folio must be KYC compliant.

Investors may kindly note that new SEBI Circular issued regarding uniformity in the KYC process was effective from January 1, 2012.

1. SEBI has introduced a common KYC Application Form for all the SEBI registered intermediaries, 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. The KYC Application Forms are available on our website [www.axismf.com](http://www.axismf.com).
2. The Mutual Fund shall perform the initial KYC of its new investors and shall also accept the details change form for investors who have done their KYC prior to 31st Dec11.
3. It is mandatory to carry out In-Person Verification(IPV) for processing the KYC of its new/ existing investors from January 1, 2012.
4. Once the KYC and IPV-In Person Verification has been done with any SEBI registered intermediary, the investor need not undergo the same process again with any other intermediary including mutual funds. However, the Mutual Fund reserves the right to carry out fresh KYC/additional KYC of the investor.
5. Existing KYC compliant investors of the Mutual Fund can continue to invest as per the current practice.
6. Non-individual investors will have to do a fresh KYC due to significant changes in KYC requirements.
7. In accordance with SEBI Circular No. CIR/MIRSD/13/2013 dated December 26, 2013, the additional details viz. Occupation details, Gross Annual Income/networth and Politically Exposed Person (PEP)\* status mentioned under section 2 & 3 which was forming part of uniform KYC form will now be captured in the application form of the Fund. Also, the detail of nature of services viz. Foreign Exchange/Gaming/Money Lending, etc.,(applicable for first/sole applicant) is required to be provided as part of Client Due Diligence (CDD) Process of the Fund.

The said details are mandatory for both Individual and Non Individual applicants.

\*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.

Subsequently, SEBI, vide its circular no. MIRSD/Cir-5/2012 dated April 13, 2012 advised various intermediaries to upload KYC data of its existing customers into the KRA system. While uploading KYC data into the KRA system, intermediaries were also required to highlight such 'Missing/Not Available' KYC information of a customer, which was either not required or not taken previously, but was mandatory as per uniform KYC guidelines issued by SEBI.

8. In accordance with AMFI circular - 35/PMEM-COR/54/2019-20 dated February 28, 2020, it is mandatory, KYC to be verified by KYC Registration Agency before processing redemption. Further, investor requested to complete KYC process before placing redemption request.

In accordance with AMFI Best practices guidelines circular no. 62/2015-16 dated September 18, 2015, investors may note the following:

It is mandatory for all new/existing investors to provide additional KYC information such as Income details, Occupation, association with politically exposed person, net worth etc. as mentioned in the application form. Subscription requests, without providing these details, are liable to be rejected. No subscriptions (whether fresh or additional) and switches pertaining to 'KYC on-hold' cases are accepted, unless the investor / unitholder also submits relevant KYC missing / updated information, which is appropriately updated on the KRA - KYC.

Further, it is mandatory for existing customers to complete In-Person Verification process and provide the missing KYC information failing which their applications / transaction requests for additional subscription (including switches) is liable to be rejected.

### 7A. Operationalisation of Central KYC Records Registry (CKYCR)

Central Registry of Securitisation and Asset Reconstruction and Security interest of India ('CERSAI') has been authorised by Government of India to act as Central KYC Records Registry under Prevention of Money-Laundering (Maintenance of Records) Rules, 2005 ('PMLA Rules').

SEBI vide its circular ref. no. CIR/MIRSD/66/2016 dated July 21, 2016 and circular ref. no. CIR/MIRSD/120/2016 dated November 10, 2016 has prescribed that the Mutual Fund/ AMC should capture KYC information for sharing with CKYCR as per the KYC template prescribed by CERSAI for uniform and smooth implementation of CKYCR norms for onboarding of new investors in mutual funds.

In accordance with the aforesaid SEBI circulars and AMFI best practice guidelines for implementation of CKYCR norms with effect from February 1, 2017:

- a) Individual investors who have never done KYC process under KRA regime i.e. a new investor who is new to KRA system and whose KYC is not registered or verified in the KRA system shall be required to provide KYC details in the CKYCR Form to the Mutual Fund/ AMC.

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(Please read the SID carefully before signing the application form and tendering payment.)

- b) Individual investor who fills old KRA KYC Form, should provide additional / missing information using Supplementary KYC Form or fill CKYC Form.
- c) Details of investors shall be uploaded on the system of CKYCR and a 14 digit unique KYC identifier ('KIN') will be generated for such customer.
- d) New investors, who have completed CKYC process & have obtained KIN may quote their KIN in the application form instead of submitting CKYC Form/ Supplementary KYC Form.
- e) AMC/ Mutual Fund shall use the KIN of the investor to download the KYC information from CKYCR system and update its records.
- f) If the PAN of investor is not updated on CKYCR system, the investor should submit self-certified copy of PAN card to the Mutual Fund/ AMC.

The CKYC Form and Supplementary KYC Form are available at Investor Service Centre (ISC) of Axis Mutual Fund and on website [www.axismf.com](http://www.axismf.com).

The AMC reserves the right to reject transaction application in case the investor(s) fails to submit information and/or documentation as mentioned above. In the event of non compliance of KYC requirements, the Trustee / AMC reserves the right to freeze the folio of the investor(s).

### 8. ULTIMATE BENEFICIAL OWNERS(S)

SEBI vide its circular no. CIR/MIRSD/2/2013 dated January 24, 2013 further read with AMFI Best practices guidelines circular no. 62/2015-16 dated September 18, 2015 and other applicable regulations and guidelines, for identification of Beneficial Ownership to be followed by the intermediaries for determination of beneficial owners. A 'Beneficial owner' is defined as a natural person or persons who ultimately own, control or influence a client and/or persons on whose behalf a transaction is being conducted and includes a person who exercises ultimate effective control over a legal person or arrangement. In this regard, all categories of investors (including all new / existing investors / unitholders) (except individuals, companies listed on a stock exchange or majority-owned subsidiary of such companies) are mandatorily required to provide beneficial ownership details for all investments. Failing which, fund reserves the right to reject applications / subscription requests / additional subscription requests (including switches) / restrict further investments or seek additional information from investors who have not provided the requisite information on beneficial ownership. In the event of change in beneficial ownership, investors are requested to immediately update the details with the Fund/ Registrar.

### 9. PERMANENT ACCOUNT NUMBER(PAN/PEKRN)

Each applicant is required to submit self attested PAN Card Copy (Including Guardian in case of Minor and POA holders).However PAN is not mandatory in case of Investors residing in the State of Sikkim, Central & State Government officials and officials appointed by the Courts e.g. Official Liquidator, Court receiver etc. (under the category of Government) subject to Axis AMC confirming the above mentioned status.

#### PAN/PEKRN Exempt Investments

SEBI vide its circular dated 24th July 2012, conveyed that the investments aggregating ₹ 50,000 in a rolling 12 month period or in a financial year i.e. April to March, in all the schemes of Mutual Funds are exempt from the PAN requirement.

Where the aggregate of the Lumpsum Investment (Fresh Purchase & Additional Purchase) and Micro SIP installments by an investor based on the rolling 12 month period/ in a financial year i.e. April to March does not exceed ₹ 50,000/-, it shall be exempt from the requirement of PAN, (hereafter referred to as "Micro Investments").

PAN requirement exemption will be available only to Micro Investments made by the individuals being Indian Citizens (Including NRIs, Joint Holders\*, Minor acting through Guardian and Sole proprietary firms not having PAN). Person of Indian Origin, Hindu Undivided Family,(HUF),Qualified Foreign Investor (QFI) and other categories of investors will not be eligible for this exemption. However the eligible investors are required to submit PAN exempt KYC issued by SEBI registered KRA (KYC Registration Authority). \* In case of joint holders, first holder must not possess a PAN.

The exemption will be applicable only to Micro Investment made by individuals (including NRIs, Minors acting through Guardian and sole Proprietary Firms). However PIOS, HUF and other categories of investors will not be eligible for this exemption. This would be subject to collecting necessary documentary evidence by the AMC/ Fund to verify the veracity of the claim. However, such investors are mandatorily required to complete the KYC documentation as prescribed by KRA and to obtain PAN Exempted KYC Reference Number (PEKRN). These investors should mention the PEKRN in place of PAN.

1. includes fresh / additional purchase, switch, systematic investment plan, systematic transfer plan and IDCW reinvestment.
2. Such investments will be aggregated at the investor level irrespective of the number of folios under which the investor has invested. The requirement of verification of PAN with original copy is dispensed with, investors are not required to provide original PAN card for verification.

Please note that Submission of Permanent Account Number (PAN) is mandatory for all the financial transactions including redemption / repurchase transactions in respect of non-PAN exempt folios for all the Unitholders in the folio.

Non - PAN / Non - PEKRN folios shall be deemed as non-compliant folios and investors shall not be allowed to execute any financial or non-financial transactions w.e.f April 01, 2023.

As per Section 139AA of the Income Tax Act, 1961, every person who has been allotted a Permanent Account Number (PAN), and who is eligible to obtain Aadhaar number, shall be required to link the Aadhaar with PAN.

Please note that, if Aadhaar is not linked with PAN, the PAN of such person may be deemed inoperative, and other provisions of the IT Act shall apply, such as higher TDS deduction or restriction on transactions where PAN is mandatory.

### 10. APPLICATIONS ON BEHALF OF MINORS

Where the investment is on behalf of a Minor by the Guardian:

- a. The Minor shall be the first and sole holder in the account.
- b. No Joint holders are allowed. In case an investor provides joint holder details, these shall be ignored.
- c. Guardian should be either a natural guardian (i.e. father or mother) or a court appointed legal guardian.
- d. Guardian should mention the relationship with Minor and date of birth of the Minor on the application form.
- e. A document evidencing the relationship and date of birth of the Minor should be submitted along with the application form. Photo copy of any one of the

following documents can be submitted a) Birth certificate of the minor or b) school leaving certificate / mark sheet of Higher Secondary board of respective states, ICSE, CBSE etc. c) Passport of the minor d) Any other suitable proof evidencing the relationship.

- f. Where the guardian is not a natural guardian (father or mother) and is a court appointed legal guardian, suitable supporting documentary evidence should be provided.
- g. If the mandatory details and/or documents are not provided, the application is liable to be rejected without any information to the applicant.

### 11. APPLICATIONS UNDER POWER OF ATTORNEY

An applicant wanting to transact through a power of attorney must lodge the photocopy of the Power of Attorney (PoA) attested by a Notary Public or the original PoA (which will be returned after verification) within 30 days of submitting the Purchase Application Form / Transaction Slip at a Designated ISC / Official Point of Acceptance, or along with the application in case of application submitted duly signed by POA holder. Applications are liable to be rejected if the power of attorney is not submitted within the aforesaid period.

### 12. SYSTEMATIC INVESTMENT PLAN

- a. A minimum gap of 21 days and not more than 90 days needs to be maintained between date of Application & SIP start date.
- b. Investor shall have the option of choosing any date. In case the selected date falls on a Non-Business Day or on a date which is not available in a particular month, the SIP will be processed on the immediate next business day/date. If SIP date is not mentioned default date would be considered as 7th of every month.
- c. All SIP installment payment instructions must be of the same amount and the same monthly debit date (excluding first cheque).
- d. For daily, weekly and monthly frequency the SIP will be discontinued automatically if payment is not received for three successive installments. In case of yearly frequency, the SIP registration will stand automatically cancelled, in case of 2 consecutive failed debits.
- e. Investors can discontinue a SIP at any time by sending a written request to any Official Point of Acceptance or to the registrar KFin Technologies Limited. Revised timeline for SIP cancellation is T+2 working days. Any transaction presented before cancellation, shall be processed.
- f. In case payment is made using "At Par" cheques, investors must mention the MICR number of his bank branch. Where he holds the bank account.
- g. An Investor will not hold Axis Mutual Fund, its registrars and / or service providers responsible if a transaction is delayed or not effected, or the investor bank account is debited in advance or after the specific SIP date because of the various clearing cycles of RBI's Electronic Clearing Facility (ECS) / Bank holiday. Axis Mutual Fund, its registrars and other service providers shall not be held responsible or liable for damages / compensation / loss incurred by the investor as a result of using the SIP or ECS / Auto debt facility.
- h. Please refer below table for minimum installments:

Schemes	Group	Daily (₹)	Weekly (₹)	Monthly (₹)	Yearly (₹)	Inst.
Axis Balanced Advantage Fund, Axis Large Cap Fund, Axis Gold Fund, Axis Mid Cap Fund, Axis Flexi Cap Fund, Axis Small Cap Fund, Axis Multi Asset Allocation Fund, Axis Value Fund, Axis Multicap Fund, Axis Money Market Fund, Axis Short Duration Fund, Axis Ultra Short Duration Fund.	A	10	100	100	12,000	D/W/M:6 (Yearly:3)
Axis Focused Fund, Axis Income Plus Arbitrage Active FOF, Axis Corporate Bond Fund, Axis Arbitrage Fund, Axis Aggressive Hybrid Fund, Axis Equity Savings Fund, Axis Global Equity Alpha Fund of Fund, Axis Greater China Equity Fund of Fund, Axis Global Innovation Fund of Fund, Axis Strategic Bond Fund, Axis Conservative Hybrid Fund, Axis Quant Fund, Axis NIFTY 100 Index Fund, Axis Large & Mid Cap Fund, Axis NIFTY 50 Index Fund, Axis NIFTY Next 50 Index Fund, Axis Nifty Smallcap 50 Index Fund, Axis Nifty Midcap 50 Index Fund, Axis Nifty Bank Index Fund, Axis Nifty 500 Index Fund, Axis Services Opportunities Fund, Axis Nifty500 Momentum 50 Index Fund, AXIS NIFTY 500 VALUE 50 INDEX FUND.	B	100	100	100	12,000	D/W/M:6 (Yearly:3)
Axis Banking & PSU Debt Fund, Axis Children's Fund, Axis Gilt Fund, Axis Dynamic Bond Fund, Axis ESG Integration Strategy Fund, Axis Credit Risk Fund, Axis Floater Fund,	C	100	100	1000	12,000	D/W/M:6 (Yearly:3)

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(Please read the SID carefully before signing the application form and tendering payment.)

**h. Please refer below table for minimum installments: (Contd.)**

Schemes	Group	Daily (₹)	Weekly (₹)	Monthly (₹)	Yearly (₹)	Inst.
Axis Treasury Advantage Fund, Axis Multi Factor Passive FoF, Axis US Specific Equity Passive FOF, Axis Retirement Fund – Conservative Plan, AXIS SILVER FUND OF FUND, Axis US Specific Treasury Dynamic Debt Passive FOF, Axis CRISIL IBX SDL May 2027 Index Fund, Axis Long Duration Fund, Axis CRISIL IBX SDL June 2034 Debt Index Fund, Axis CRISIL-IBX AAA Bond NBFC – Jun 2027 Index Fund, Axis CRISIL-IBX AAA Bond Financial Services – Sep 2027 Index Fund, Axis CRISIL-IBX AAA Bond NBFC-HFC – Jun 2027 Index Fund, Axis CRISIL IBX 50:50 Gilt Plus SDL September 2027 Index Fund.						
Axis Consumption Fund, Axis Momentum Fund, Axis India Manufacturing Fund.	D	100	100	500	6,000	D/W/M:6 (Yearly:3)
Axis ELSS Tax Saver Fund.	E	500	500	500	6,000	D/W/M:6 (Yearly:3)
Axis Liquid Fund.	F	100	100	100	NA	D/W/M:6
Axis Overnight Fund.	G	100	100	NA	NA	D/W:6

i. If the period is not specified by the unit holder on the SIP section then the SIP enrollment will be consider from the upcoming month (Gap of 21 days) till 40 years.  
j. If no amount is mentioned minimum scheme amount would be considered. Please refer KIM & SID of the respective scheme or SAI available on our website [www.axismf.com](http://www.axismf.com)

### Change of Debit Bank Details (SIP Auto Debit Form)

- Investor can change SIP debit bank, by filling SIP Change of Bank form and, attaching signed pre-printed cancelled cheque of the new bank along with the mandate.
- The cheque copy should have the investor's name printed on it.
- A minimum gap of 21 days is required for incorporation of new bank details.
- In case of change of debit bank details the investor needs to provide the new bank details on mandate and SIP start date should be in continuation with the SIP cycle and end date will remain the same.
- Except new debit bank details rest of the details i.e. SIP period, amount etc. will remain same as the original SIP investment.

### 13. NATIONAL AUTOMATED CLEARING HOUSE (NACH)

NACH is a funds clearing platform set up by NPCI similar to the existing ECS of RBI. NPCI has implemented NACH for Banks, Financial Institutions, Corporates and Government a web based solution to facilitate interbank, high volume, electronic transactions which are repetitive and periodic in nature.

National Payments Corporation of India (NPCI)

NPCI was set up by Indian Banks Association under a mandate from the Reserve Bank of India in 2008. It is the umbrella organization for all retail payment systems. NPCI would provide robust payment solutions to banks and financial institutions across India.

### 14. AUTO DEBIT PARTNERING BANKS

Partnering Banks: Axis Bank, Bank of India, Punjab National Bank (16 digit), State Bank of India & Union Bank Of India.

### 15. NRIs, FII

#### a. Repatriation basis

- NRIs: Payment may be made either by inward remittance through normal banking channels, or from funds held in a Non-Resident (External) Rupee Account (NRE) / Foreign Currency (Non-Resident) Account (FCNR). In case Indian rupee drafts are purchased abroad or from Foreign Currency Accounts or Non-resident Rupee Accounts, an account debit certificate from the bank issuing the draft confirming the debit will need to be enclosed.
- FII's can pay their subscription either by inward remittance through normal banking channels or from funds held in Foreign Currency Account or Non-Resident Rupee Account maintained by the FII with a designated branch of an authorised dealer.
- Axis Mutual Fund has decided to restrict subscriptions from U.S. Persons (including NRIs and all persons residing in U.S. U.S Corporations or other entities organized under the laws of U.S) and Residents of Canada in the Schemes of Axis Mutual Fund.

#### b. Non-repatriation basis

In the case of NRIs, payment may be made either by inward remittance through normal banking channels or out of funds held in a NRE / FCNR / Non-Resident Ordinary Rupee Account (NRO). In case Indian rupee drafts are purchased abroad or from Foreign Currency Accounts or Non-resident Rupee Accounts, an account debit certificate from the bank issuing the draft confirming the debit will need to be enclosed.

#### c. TDS where ever applicable would be rounded off to the Rupee.

### 16. ELECTRONIC SERVICES

The AMC provides electronic transaction services through its website and over the phone.

**a. KFINKART:** Transactions through electronic platform(s) of KFin Technologies Limited (effective from January 2, 2017): Investors will be allowed to transact through <https://mfs.kfintech.com/investor/>, an electronic platform provided by KFin Technologies Limited, Registrar & Transfer Agent, in Schemes of Axis Mutual Fund ('Fund') (except Axis Gold ETF and Axis Nifty ETF). The facility will also be available through mobile application i.e. 'KFINKART'.

**b. Online Schedule Transaction Facility ('the OST facility'/'the Facility'):**  
The OST facility shall enable Investors to schedule subscription / redemption / switch transaction(s) on specified date for specified amount/ units by giving online instruction.

The terms and conditions of the OST facility shall be as under:

- The Facility is available to the existing Investors of open ended schemes of Axis Mutual Fund (except Axis Gold ETF and Axis Nifty ETF), subject to completion of lock-in, if any.
- The Facility is available only to Individual (including sole proprietor) Investors for units held in/subscription in physical mode.
- The Facility for subscription transaction would be available to Investors after completion of OTM Mandate/equivalent mandate registration process.
- Under the Facility the transaction can be scheduled to be executed on a specified date which shall be within 30 calendar days from the date of the instruction. Such specified date shall be a business day. In case the scheduled transaction date falls on a nonbusiness day, the transaction will be executed on the immediately following business day.
- The Facility shall be available on online transaction platform(s) viz website of Axis AMC i.e. [www.axismf.com](http://www.axismf.com). Axis AMC may extend the Facility to other transaction platforms from time to time, at its discretion.
- The scheduled transaction may be cancelled by giving suitable instruction atleast one calendar day prior to the scheduled transaction date.
- The triggered transaction on the scheduled date shall be considered as time stamped and will be executed on the specified date at the applicable NAV of the relevant scheme.
- The scheduled transaction(s) shall be subjected to exit load, minimum subscription/ additional subscription application and other terms and conditions of the relevant scheme as per SID applicable on the specified date.
- The scheduled transaction shall be liable to be rejected if sufficient amount is not available for subscription or sufficient number of units / amount is not available for redemption.
- Redemption transactions will not be executed in case units are pledged or where lien is marked on units, at the time of online instruction / on specified date;
- Investors availing this facility shall acquaint themselves with the features of the relevant scheme(s), including any modification / amendments carried out before the specified date.

The above is an additionally provided facility to the Investors to plan their transactions in schemes using online platforms.

- Email facility - Applicants who provide their email address will receive communication by email. In case an investor wishes to receive a hard copy of an account statement or other document, he/she is requested to submit a request at [customerservice@axismf.com](mailto:customerservice@axismf.com) or call us on Additional Contact Number: 8108622211 From Monday to Saturday - 9:00 AM to 6:30 PM.
- SMS alerts facility - Applicants who wish to receive transaction alerts on their mobile phone need to provide their mobile no.
- Online investment facility - New or existing investors can invest with us online at [www.axismf.com](http://www.axismf.com). To avail of this facility, applicants are requested to provide both their mobile no. and email ID in the spaces provided.
- In case mobile no. & email ID is not provided on the application form then it will be capture as per KYC record.
- Investors should provide their own email address and mobile number to enable Axis AMC for speed and ease of communication in a convenient and cost-effective manner, and to help prevent fraudulent transactions.

### 17. NOMINATION

- Proof of Identity: ANY ONE of the below mentioned identity number to be submitted for nominee as personal identifier of nominee:
  - PAN / Unique Identification Number (UID) (Aadhar) last 4 digit / Driving License Number etc.
  - If nominee is a NRI/OCI/PIO – Passport number is acceptable.
  - Exemptions / clarifications to PAN (Sufficient documentary evidence in support of such claims to be enclosed. 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.
- In case minor is a nominee then DOB is mandatory. Guardian name is optional.
- If PAN is provided, each nominee should provide the unique PAN.
- Residential address, Email address and mobile number of nominee are mandatory fields, without which the nomination form shall not be considered as valid; will be rejected.
- Relationship of nominee(s) with the investor is mandatory.
- If any of the above could not be provided, then in the absence of any exception defined, such instances will be deemed on par with No Nominee instance.
- Date of birth of nominee(s) is optional (except in case where nominee is a minor). If the Dob is declared in the nomination form, the Guardian's PAN can be given. PAN of holder(s) in the folio will not be accepted for nominees.
- Maximum number of nominees that an investor can opt is 10 w.e.f Sept' 25
- For inclusions or deletion of nominee details in the existing folios, investor must submit a fresh nomination form every time whenever a change is required.
- The signatories for this nomination form in joint folios / account, shall be the same as that of your joint MF folio / demat account as follows:
  - 'Either or Survivor' Folios / Accounts - any one of the holders can sign
  - 'Jointly' Folios / Accounts - both holders have to sign
- The AMC shall, subject to production of such evidence which in their opinion is sufficient, proceed to affect the payment / transfer to the Nominee(s) in the event of demise of the unit holder.

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(Please read the SID carefully before signing the application form and tendering payment.)

Event	Transmission of Account / Folio to
Demise of one or more joint holder(s)	Surviving holder(s) through name deletion The surviving holder(s) shall inherit the assets as owners.
Demise of all joint holders simultaneously - having nominee	Nominee
Demise of all joint holders simultaneously - not having nominee	Legal heir(s) of the youngest holder

12. It is mandatory for the investor to choose either name of nominee or nominee registered. And same will be displayed in Statement of Account (SOA)
13. Pursuant to Regulation 29A of the SEBI Regulations, the AMC provides an option to the Unit holder to nominate (in the manner prescribed under the SEBI Regulations), a person(s) in whom the Units held by him shall vest in the event of his death. Nomination shall be maintained at the folio or account level and shall be applicable for investments in all schemes in the folio or account.
14. In terms of clause 2.8. of SEBI Circular dated January 10, 2025, it is mandatory for folios with mode of holding as single to either provide nomination or opt-out of nomination. In case a joint account / folio becomes single holding, post the demise of holder(s), then either nomination or "opt-out", is mandatory. An investor having single holding / account / folio can opt-out of nomination, either online or through physical / offline mode.
15. Further, all individual unit holder(s) (with singly or jointly held folios) are encouraged in their own interest to provide nomination/opt out of nomination, as applicable, for ensuring smooth transmission of units held by them.
16. Nomination can be made only by individuals on their own behalf, either singly or jointly. Non-individuals including society, trust, body corporate, partnership firm, Karta of Hindu Undivided Family, holder of Power of Attorney cannot nominate.
17. The facility to nominate will not be available in a folio held on behalf of a minor. Nomination form cannot be signed by Power of Attorney (PoA) holders.
18. Only the following categories of Indian Residents can be nominated: (a) individuals (b) minors through parent/legal guardian and in that event, the name and address of the guardian of the minor nominee shall be provided by the Unit holder (c) religious and charitable trusts and (d) Central Government, State Government, a local authority or any person designated by virtue of his office.
19. The Nominee shall not be a trust other than a religious or charitable trust, society, body corporate, partnership firm, Karta of Hindu Undivided Family or a Power of Attorney holder.
20. A non-resident Indian can be a Nominee subject to the exchange controls in force from time to time.
21. Upon demise of one of the nominees prior to the demise of the investor and if no change is made in the nomination, then the assets shall be distributed to the surviving nominees on pro rata basis upon demise of the investor. In case of a unitholder with incapacitation, the nominee shall not be allowed any service request, including change in bank account, email address, mobile number etc.
22. Where the Units are held by more than one person jointly, the joint Unit holders may together nominate a person(s) in whom all the rights in the Units shall vest in the event of death of all the joint Unit holders.
23. The requirement of nomination shall be optional for jointly held Mutual Fund folios.
24. The surviving member(s) shall receive the assets as owner(s) and not as a trustee.
25. Surviving joint holders shall be entitled to continue with or change or cancel the nominations made previously. The AMC shall provide the option to surviving joint holder(s) to transit the assets held, into another existing or new account / folio.
26. In absence of nomination, the AMC shall transmit the assets in the account / folio to either;
  - the legal heir(s) or legal representative(s) holders as per the rules of intestate succession or
  - as per the Will of the latter, as the case may be, after following the applicable guidelines / procedure.
27. A nomination in respect of the Units does not create an interest in the property after the death of the Unit holder. The nominee(s) shall receive the Units only as an agent and trustee for the legal heirs or legatees as the case may be. The nominee(s) shall receive the assets of deceased sole account / sole holder as trustee on behalf of legal heir(s) of deceased holder(s) thereby effecting due discharge of the AMC. Legal heir(s) of nominee shall not be eligible to inherit the assets of the investor, if the nominee predeceases the investor.
28. In case of multiple nominees, the percentage of allocation / share in favour of each of the nominees should be indicated against their name and such allocation / share should be in whole numbers without any decimals making a total of 100 percent. In the event of Unit holders not indicating the percentage of allocation / share for each of the nominees, the Mutual Fund / the AMC, shall apportion the assets equally among all the nominees. In case of demise of the investor and any one of the nominees, the AMC shall distribute the assets pro rata to the remaining nominees
29. Nomination in respect of the Units stands rescinded upon the Redemption of Units.
30. The nomination facility extended under the Scheme is subject to existing laws. The AMC shall, subject to production of such evidence which in their opinion is sufficient, proceed to effect the payment/transfer to the Nominee(s).
31. Transfer of Units / payment to the nominee(s) of the sums shall discharge the Fund / AMC of all liability towards the estate of the deceased Unit holder and

his/her/their successors/legal heirs. The Fund, the AMC and the Trustee are entitled to be indemnified from the deceased Unit Holder's estate against any liabilities whatsoever that any of them may suffer or incur in connection with a nomination.

32. Every new nomination in a folio will overwrite the existing nomination.
33. In case of investors subscribing to mutual fund units on or after October 1, 2022 under new folios, applications where details of nomination/intention to opt out of nomination, has not been provided, are liable to be rejected.
34. As mandated under SEBI circular on Ease of doing business, "Non-submission of 'choice of nomination' shall not result in freezing of Demat Accounts as well as Mutual Fund Folios."

### 18. DEMAT ACCOUNT DETAILS

If you wish to invest in the scheme through Demat you need to have a beneficiary account with a Depository Participant (DP) of the NSDL/CDSL and specify the same in this Application Form. You must ensure that the sequence of names with other details like address, PAN, etc mentioned under Demat details should match with DP records. Only those applications where the details are matched with the depository data, will be treated as valid application. If the details mentioned in the application are incomplete/incorrect, or does not match with the depository data, the applicant shall be treated as invalid and shall be liable to be rejected and would be allotted in Physical form. Demat option will be applicable for the applications along with SIP option.

Please attach Client Master List along with application form.

19. Non-profit organization" means any entity or organisation, constituted for religious or charitable purposes referred to in clause (15) of section 2 of the Income-tax Act, 1961 (43 of 1961), that is registered as a trust or a society under the Societies Registration Act, 1860 (21 of 1860) or any similar State legislation or a Company registered under the section 8 of the Companies Act, 2013 (18 of 2013).

### 20. MULTIPLE INVESTMENTS

1. Investor can make purchases in up to three schemes within the same Folio by making a single consolidated payment for the investments.
2. Multiple Investments facility is not available for Axis Children's Fund, Axis Liquid Fund, Axis Overnight Fund, Axis Gold ETF, Axis Nifty ETF, any closed ended schemes, and during NFO period.
3. Cheque/ DD/ Debit mandate should be drawn for Total Amount of investment in all three schemes.
4. The Cheque/ DD should be drawn favouring "Axis MF Multiple Schemes".
5. In case of payment through a Debit Mandate, please tick "Axis MF Multiple Schemes" only.
6. If the total amount of investments mentioned on the application is different from the amount mentioned on the accompanying Cheque / Demand Draft / Debit mandate, then the application is liable to be rejected.
7. Please mention all scheme/ plan/ option details in the table in section 7A of the form. If the scheme details are provided in any other format, the application is liable to be rejected.
8. Investments will be accepted subject to minimum investment criteria applicable for the schemes opted for investment. Even if one of the schemes specified for investment does not satisfy the minimum investment criteria, the application will be liable to be rejected for all schemes.
9. This facility is only available for lumpsum purchases.

### 21. FOREIGN ACCOUNT TAX COMPLIANCE (FATCA)

FATCA & CRS TERMS & CONDITIONS : Details under FATCA & CRS: The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income- tax Rules, 1962, which Rules require Indian financial institutions such as Axis MF to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our investors and counter parties. In relevant cases, information will have to be reported to tax authorities / appointed agencies.

Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

The onus to provide accurate, adequate and timely inputs in this regard would be that of the investor or counterparty. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.

Please note that Axis MF will be unable to provide advice to you about any tax status or FATCA/CRS classification relevant to your account. It is your responsibility to ensure that you record your correct tax status / FATCA/CRS classification. You may seek advice from your tax advisor in this regard.

Please note that you may receive more than one request for information if you have multiple relationships with Axis MF or its group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

### FATCA & CRS INSTRUCTIONS:

If you have any questions about your tax residency, please contact your tax advisor. If you are a US citizen or resident or green card holder, please include United States in the foreign country information field along with your US Tax Identification Number. It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

Investors are requested to provide all the necessary information / declarations to facilitate compliance, considering India's commitment to implement FATCA and CRS under the relevant international treaties.

Please consult your professional tax advisor for further guidance on your tax residency, if required.

**INSTRUCTIONS FOR COMPLETING THE APPLICATION FORM (CONTD....)**  
(Please read the SID carefully before signing the application form and tendering payment.)

FATCA & CRS Indicia observed (ticked)		Documentation required for Cure of FATCA/ CRS Indicia
U.S.place of birth	1. Self-certification that the account holder is neither a citizen of United States of America nor a resident for tax purposes; 2. Non-US passport or any non-US government issued document evidencing nationality or citizenship (refer list below);AND 3. Any one of the following documents: Certified Copy of "Certificate of Loss of Nationality" or Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; or Reason the customer did not obtain U.S. citizenship at birth	
Residence/mailing address in a country other than India	1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; <b>and</b> 2. Documentary evidence (refer list below)	
Telephone number in a country other than India	<b>If no Indian telephone number is provided</b> 1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; <b>and</b> 2. Documentary evidence (refer list below) <b>If Indian telephone number is provided along with a foreign country telephone number</b> 1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident for tax purposes of any country other than India; <b>OR</b> 2. Documentary evidence (refer list below)	
Telephone number in a country other than India	1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; <b>and</b> 2. Documentary evidence (refer list below)	

**22 Submission of Aadhar Number**

Pursuant to requirement under Prevention of Money Laundering (Maintenance of Records) Rules, 2005 as amended from time to time, proof of possession of Aadhar can be accepted as a valid document for proof of address or proof of identity of investors, provided the investor redact or blackout his Aadhar number while submitting the applications for investments.

The aforesaid guidelines will be subject to change as per the directives issued by the concerned regulatory/ government authority from time to time.

For further details refer to SAI.

**23. E-mail Communication**

Investors should ensure that the email id provided is that of First /Sole holder or of their Family member. Family means spouse, dependent children or dependent parents. This email address and mobile no. provided shall be registered in the folio for all communications. In case, this section is left blank, the email id and mobile no. of the First/ Sole Holder available in the KYC records shall be registered in the folio.

**24. Declaration for Creating New Folio**

If Name of the holders, Pan Proof, Bank Mandate, Address, Mode of holding & Nominee are in the same order the transaction will process under existing folio.

**25. Legal Entity Identifier no updation**

RBI vide circular dated January 2021 on "Introduction of Legal Entity Identifier for Large Value Transactions in Centralized Payment Systems" decided to introduce the LEI system for all payment transactions of value INR 50 crore and above for Real Time Gross Settlement (RTGS) and National Electronic Funds Transfer (NEFT) from April 1, 2021. In view of the same it will be mandatory to include 20-digit Legal Entity Identifier (LEI) information while initiating any transaction of value INR 50 crore and above by entities (non-Individual) for purchase and redemption transaction.

**26. Instructions for SIP & TOP-UP**

- Multiple SIP registration facility is not available for Axis Children's Fund, ETF schemes and during NFO.
- Investors are required to submit Form along with a photo copy/Cancelled cheque of Debit Bank Account at least 21 days before the first SIP Installment date.
- \*Investor shall have the option of choosing any date. In case the selected date falls on a Non-Business Day or on a date which is not available in a particular month, the SIP will be processed on the immediate next business day/date. If SIP debit date is not mentioned default date would be considered as 7th of every month. If the SIP date falls on a non-business day or a bank holiday, the SIP debit will be processed on the following business day. \*\* Will be triggered and processed only on Business Days. # will be triggered and processed on the day opted by the investor. If the day opted falls on non-business day, it will be triggered and processed on the next business day.

4. Please refer below table for minimum installments:

Schemes	Group	Daily (₹)	Weekly (₹)	Monthly (₹)	Yearly (₹)	Inst.
Axis Balanced Advantage Fund, Axis Large Cap Fund, Axis Gold Fund, Axis Mid Cap Fund, Axis Flexi Cap Fund, Axis Small Cap Fund, Axis Multi Asset Allocation Fund, Axis Value Fund, Axis Multicap Fund, Axis Money Market Fund, Axis Short Duration Fund, Axis Ultra Short Duration Fund.	A	10	100	100	12,000	D/W/M:6 (Yearly:3)
Axis Focused Fund, Axis Income Plus Arbitrage Active FOF, Axis Corporate Bond Fund, Axis Arbitrage Fund, Axis Aggressive Hybrid Fund, Axis Equity Savings Fund, Axis Global Equity	B	100	100	100	12,000	D/W/M:6 (Yearly:3)

**4. Please refer below table for minimum installments: (Contd.)**

Schemes	Group	Daily (₹)	Weekly (₹)	Monthly (₹)	Yearly (₹)	Inst.
Alpha Fund of Fund, Axis Greater China Equity Fund of Fund, Axis Global Innovation Fund of Fund, Axis Strategic Bond Fund, Axis Conservative Hybrid Fund, Axis Quant Fund, Axis NIFTY 100 Index Fund, Axis Large & Mid Cap Fund, Axis NIFTY 50 Index Fund, Axis NIFTY Next 50 Index Fund, Axis Nifty Smallcap 50 Index Fund, Axis Nifty Midcap 50 Index Fund, Axis Nifty Bank Index Fund, Axis Nifty 500 Index Fund, Axis Services Opportunities Fund, Axis Nifty500 Momentum 50 Index Fund, AXIS NIFTY 500 VALUE 50 INDEX FUND.						
Axis Banking & PSU Debt Fund, Axis Children's Fund, Axis Gilt Fund, Axis Dynamic Bond Fund, Axis ESG Integration Strategy Fund, Axis Credit Risk Fund, Axis Floater Fund, Axis Treasury Advantage Fund, Axis Multi Factor Passive FoF, Axis US Specific Equity Passive FoF, Axis Retirement Fund – Conservative Plan, AXIS SILVER FUND OF FUND, Axis US Specific Treasury Dynamic Debt Passive FoF, Axis CRISIL IBX SDL May 2027 Index Fund, Axis Long Duration Fund, Axis CRISIL IBX SDL June 2034 Debt Index Fund, Axis CRISIL-IBX AAA Bond NBFC – Jun 2027 Index Fund, Axis CRISIL-IBX AAA Bond Financial Services – Sep 2027 Index Fund, Axis CRISIL-IBX AAA Bond NBFC-HFC – Jun 2027 Index Fund, Axis CRISIL IBX 50:50 Gilt Plus SDL September 2027 Index Fund.	C	100	100	1000	12,000	D/W/M:6 (Yearly:3)
Axis Consumption Fund, Axis Momentum Fund, Axis India Manufacturing Fund.	D	100	100	500	6,000	D/W/M:6 (Yearly:3)
Axis ELSS Tax Saver Fund.	E	500	500	500	6,000	D/W/M:6 (Yearly:3)
Axis Liquid Fund.	F	100	100	100	NA	D/W/M:6
Axis Overnight Fund.	G	100	100	NA	NA	D/W:6

## INSTRUCTIONS FOR COMPLETING THE APPLICATION FORM (CONTD....)

(Please read the SID carefully before signing the application form and tendering payment.)

5. If no amount is mentioned minimum SIP installment amount would be considered.
6. For details about the Scheme and its facility please refer the SID, SAI & KIM of the respective schemes / Addendum issued from time to time carefully before investing.
7. For daily, weekly and monthly frequency the SIP will be discontinued automatically if payment is not received for three successive installments. In case of Yearly frequency, the SIP registration will stand automatically cancelled, in case of 2 consecutive failed debits.
8. Investors can discontinue a SIP at any time by sending a written request to any Official Point of Acceptance or to the registrar KFin Technologies Limited. Revised timeline for SIP cancellation is T+2 working days. Any transaction presented before cancellation, shall be processed.
9. Mandate will be processed through NACH platform offered by NPCI.
10. Investor will not hold Axis Mutual Fund, its registrars and other service providers responsible if the transaction is delayed or not effected or the investor bank account is debited in advance or after the specific SIP date due to various clearing cycles of NACH Debit/ Local/Bank holiday. Axis Mutual Fund, its registrars and other service providers shall not be held responsible or liable for damages / compensation / loss incurred by the investor as a result of using the SIP or ECS / Auto debit facility. The investor assumes the entire risk of using this facility and takes full responsibility.
11. Investor can change bank details for SIP by submitting a "CHANGE OF BANK MANDATE - FOR SIP" form available on the website or at any Investor Service Centre along with cancelled cheque of the new bank with the investor's name printed on it.
12. TOP-UP Facility: Under this facility the Investor can increase the SIP installment at pre-defined intervals by a fixed amount or any time as per the request. This facility is available for individual investors only. For availing the said facilities, investors are required to note the following:
  - Investor willing to register TOP-UP should provide the TOP-UP details along with the SIP enrolment details.
  - The application form for availing the SIP Top-up facility should be submitted 21 days before the first SIP instalment date.
  - The minimum amount for SIP Top-up facility is Re 1/- and in multiples of Re 1/- for all schemes offering SIP facility; except Axis ELSS Tax Saver Fund, where the minimum amount for SIP Top-up is Re 500 and in multiples of Rs 500 thereafter.
13. The minimum Top-up percentage is 5% of the SIP amount and in multiples of 5% thereafter for all schemes offering SIP facility. Currently, percentage based SIP Top-up is available for physical mode. The percentage based SIP Top-up is unavailable for Axis ELSS Tax Saver Fund.
14. Percentage SIP Top-up would be computed on the immediately preceding SIP installment amount.
15. In case of discrepancy in the Top-Up amount / percentage, SIP will be registered without Top-Up Facility.
16. Top-up frequencies available are Half-Yearly/ Yearly/ Dynamic (i.e. as and when requested).
17. In case Top-Up frequency is not indicated, it will be considered as Yearly by Default.
18. The Top-up date will correspond to the date of registered SIP.
19. Top-up will continue till the end of the SIP tenure by default.
20. In case of Dynamic Top-up option, the gap between SIP registration and first Top-Up request should be at least 6 months and subsequently the gap between two Top-up requests should be at least 3 months.
21. No modification can be made to SIP Top-up frequency / amount / percentage during the SIP tenure. SIP Top-up facility can be discontinued only by cancelling the SIP.
22. Please see the illustration below to know how to calculate SIP Top-Up amount:
  - SIP Starts on 07/May/2016
  - SIP ends on 40 years
  - SIP Amount is ₹1000
  - Top-Up amount is ₹500
  - Top-Up Frequency is Half-yearly

Top-Up date	SIP Amount (₹)	Top-Up Amount (₹)	New SIP Amount (₹)
7-Nov-2016	1000	500	1500
7-May-2017	1500	500	2000
7-Nov-2017	2000	500	2500
7-May-2018	2500	500	3000

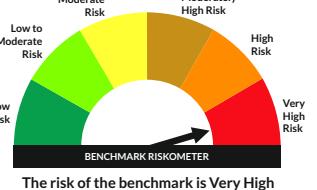
13. If Investor do not wish to opt for One Time Registration (OTM) Mandate, they can submit SIP NACH Registration Form available on website [www.axismf.com](http://www.axismf.com) with SIP Registration Form.

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## APPLICATION FORM

### AXIS BSE INDIA SECTOR LEADERS INDEX FUND

(An Open-Ended Index Fund tracking BSE India Sector Leaders TRI)

Scheme Name and Benchmark	Product Labelling	Scheme Risk-o-meter	Benchmark Risk-o-meter
<b>AXIS BSE INDIA SECTOR LEADERS INDEX FUND</b> (An Open-Ended Index Fund tracking BSE India Sector Leaders TRI)  <b>Benchmark:</b> BSE India Sector Leaders TRI	<p>This product is suitable for investors who are seeking*</p> <ul style="list-style-type: none"> <li>Long term wealth creation solution.</li> <li>An index fund that invests in the constituents of BSE India Sector Leaders Index and aims to achieve returns of the stated total return index, subject to tracking error.</li> </ul> <p>*Investors should consult their financial advisers if in doubt about whether the product is suitable for them.</p>	 <p>The risk of the scheme is <b>Very High</b></p>	 <p>The risk of the benchmark is <b>Very High</b></p> <p><b>BSE India Sector Leaders TRI</b></p>

(The product labelling assigned during the New Fund Offer is based on internal assessment of the Scheme Characteristics or model portfolio and the same may vary post NFO when actual investments are made)

# APPLICATION FORM

## AXIS BSE INDIA SECTOR LEADERS INDEX FUND

(An Open-Ended Index Fund tracking BSE India Sector Leaders TRI)

**NFO OPENS : JANUARY 23, 2026, 2025 AND NFO CLOSES : FEBRUARY 06, 2026**

(PLEASE READ THE INSTRUCTIONS BEFORE FILLING UP THE FORM. ALL SECTIONS TO BE COMPLETED IN ENGLISH IN BLACK/BLUE COLOURED INK AND IN BLOCK LETTERS)

Distributor ARN/ RIA CODE <sup>^</sup> / PMR (Portfolio Manager's Registration) Number <sup>^^</sup>	SUB-Distributor ARN	Internal SUB-Broker/Sol ID	EUIN	Employee Code

Declaration for "Execution-only" transaction (where the above EUIN box is left blank & no investment advice is solicited) / Registered Investment Advisor (RIA) Transaction/EOP (for digital transactions): 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 inappropriateness, if any, provided by the employee / relationship manager / sales person of the distributor / sub broker.

<small style="writing-mode: vertical-rl; transform: rotate(180deg);">SIGNATURE(S)</small> 	<small style="writing-mode: vertical-rl; transform: rotate(180deg);">SIGNATURE(S)</small> 	<small style="writing-mode: vertical-rl; transform: rotate(180deg);">SIGNATURE(S)</small> 
1st Holder/Guardian/POA/Authorised Signatory	2nd Holder/Authorised Signatory	3rd Holder/Authorised Signatory

<b>1</b> <b>UNIT HOLDING OPTION</b>	<input type="checkbox"/> Physical Mode	<input type="checkbox"/> Demat Mode	<b>Existing folio number</b>
(In case of Demat please filled section point 9)			

<b>2</b> <b>INVESTOR DETAILS</b> (To be filled in Block Letters. Please provide the following details in full) (In case of investment "On behalf of minor", Please refer instruction No. 01 & 10)
---

Investor Details	1st Investor/Minor	2nd Investor	3rd Investor
Investor Name (As per income tax)			
PAN Number			
Date of Birth & Date of Incorporation (As per PAN)	<input type="text"/> D <input type="text"/> D <input type="text"/> M <input type="text"/> M <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y	<input type="text"/> D <input type="text"/> D <input type="text"/> M <input type="text"/> M <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y	<input type="text"/> D <input type="text"/> D <input type="text"/> M <input type="text"/> M <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y
Guardian Details (In case of Minor) (Please fill details as per Income Tax)  (Guardian PAN is mandatory)	<small>Guardian Name</small> <input type="text"/>	<small>Relationship with Minor</small> <input type="checkbox"/> Father <input type="checkbox"/> Mother <input type="checkbox"/> Legal Guardian <small>Guardian Date of Birth</small> <input type="text"/> D <input type="text"/> D <input type="text"/> M <input type="text"/> M <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y	<small>Relationship proof attached</small> <input type="checkbox"/> Birth Certificate <input type="checkbox"/> Aadhaar Card <input type="checkbox"/> Passport <input type="checkbox"/> Court Order
Mode of Holding	<input type="checkbox"/> Single <input type="checkbox"/> Joint <input type="checkbox"/> Anyone or Survivor(s) (Default mode of holding)	(Joint applicable not allowed in case of Minor investment)	
CKYC Number (KIN)			
POA Holder Name			
PAN of POA Holder	(POA copy attached)	(POA copy attached)	(POA copy attached)

<b>3</b> <b>CORRESPONDENCE ADDRESS (ADDRESS AS PER KRA RECORDS)</b>	(Please refer instruction No. 16)
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Address for Communication			
Registered Address (Address as per KRA records)	Overseas Address (Mandatory for NRI/PIO/FII applicant)		
City/Town _____	State _____	City/Town _____	State _____
Country _____	Pin <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Country _____	Pin <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Tel. (Res.) _____	Tel. (Off.) _____	Tel. (Res.) _____	Tel. (Off.) _____

<b>Bank Details (Pay-out bank account)</b>	(Please refer instruction No. 06)
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(Please attach Bank Account proof (Original Cancelled cheque/Bank statement is must for bank proof)) The redemption/IDCW proceeds will be credited to this account.

Bank Name							
Branch Address							
A/C Type	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> NRO <input type="checkbox"/> NRE <input type="checkbox"/> FCNR <input type="checkbox"/> Others						
Bank Account No.				IFSC Code	<input type="text"/>		

<b>Legal Entity Identifier (For corporates only) (LEI Copy to be enclosed)</b>	
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LEI No.  Validity  D  D  M  M  Y  Y  Y  Y Note: LEI code mandatory if investment value is equal to or exceeds ₹50 crore limit.

#### 4 CONTACT DETAILS

(Please refer instruction No. 16)

Contact Details	1st Investor/Minor				2nd Investor				3rd Investor			
Mobile Number												
I confirm that given Mobile Number Pertains to	<input type="checkbox"/> Self	<input type="checkbox"/> Dependent Children	<input type="checkbox"/> Self	<input type="checkbox"/> Dependent Children	<input type="checkbox"/> Self	<input type="checkbox"/> Dependent Children	<input type="checkbox"/> Self	<input type="checkbox"/> Dependent Children	<input type="checkbox"/> Spouse	<input type="checkbox"/> Dependent Parents	<input type="checkbox"/> Spouse	<input type="checkbox"/> Dependent Parents
	<input type="checkbox"/> Spouse	<input type="checkbox"/> Dependent Parents	<input type="checkbox"/> Spouse	<input type="checkbox"/> Dependent Parents	<input type="checkbox"/> Spouse	<input type="checkbox"/> Dependent Parents	<input type="checkbox"/> Spouse	<input type="checkbox"/> Dependent Parents	<input type="checkbox"/> Guardian	<input type="checkbox"/> Dependent Sibling	<input type="checkbox"/> Guardian	<input type="checkbox"/> Dependent Sibling
	<input type="checkbox"/> Guardian	<input type="checkbox"/> Dependent Sibling	<input type="checkbox"/> Guardian	<input type="checkbox"/> Dependent Sibling	<input type="checkbox"/> Guardian	<input type="checkbox"/> Dependent Sibling	<input type="checkbox"/> Guardian	<input type="checkbox"/> Dependent Sibling	<input type="checkbox"/> Custodian	<input type="checkbox"/> POA	<input type="checkbox"/> Custodian	<input type="checkbox"/> POA
	<input type="checkbox"/> Custodian	<input type="checkbox"/> POA	<input type="checkbox"/> PMR	<input type="checkbox"/> Custodian	<input type="checkbox"/> POA	<input type="checkbox"/> PMR	<input type="checkbox"/> Custodian	<input type="checkbox"/> POA	<input type="checkbox"/> PMR	<input type="checkbox"/> POA	<input type="checkbox"/> PMR	<input type="checkbox"/> POA
Email ID												
I confirm that given Email ID Pertains to	<input type="checkbox"/> Self	<input type="checkbox"/> Dependent Children	<input type="checkbox"/> Self	<input type="checkbox"/> Dependent Children	<input type="checkbox"/> Self	<input type="checkbox"/> Dependent Children	<input type="checkbox"/> Self	<input type="checkbox"/> Dependent Children	<input type="checkbox"/> Spouse	<input type="checkbox"/> Dependent Parents	<input type="checkbox"/> Spouse	<input type="checkbox"/> Dependent Parents
	<input type="checkbox"/> Spouse	<input type="checkbox"/> Dependent Parents	<input type="checkbox"/> Spouse	<input type="checkbox"/> Dependent Parents	<input type="checkbox"/> Spouse	<input type="checkbox"/> Dependent Parents	<input type="checkbox"/> Spouse	<input type="checkbox"/> Dependent Parents	<input type="checkbox"/> Guardian	<input type="checkbox"/> Dependent Sibling	<input type="checkbox"/> Guardian	<input type="checkbox"/> Dependent Sibling
	<input type="checkbox"/> Guardian	<input type="checkbox"/> Dependent Sibling	<input type="checkbox"/> Guardian	<input type="checkbox"/> Dependent Sibling	<input type="checkbox"/> Guardian	<input type="checkbox"/> Dependent Sibling	<input type="checkbox"/> Guardian	<input type="checkbox"/> Dependent Sibling	<input type="checkbox"/> Custodian	<input type="checkbox"/> POA	<input type="checkbox"/> Custodian	<input type="checkbox"/> POA
	<input type="checkbox"/> Custodian	<input type="checkbox"/> POA	<input type="checkbox"/> PMR	<input type="checkbox"/> Custodian	<input type="checkbox"/> POA	<input type="checkbox"/> PMR	<input type="checkbox"/> Custodian	<input type="checkbox"/> POA	<input type="checkbox"/> PMR	<input type="checkbox"/> POA	<input type="checkbox"/> PMR	<input type="checkbox"/> POA

\*\*I wish to receive Scheme Account Statement along with Annual Report & Abridged Summary:

Online (Preferred & Default)  Physical Copy (Choose online mode to help us save paper & contribute towards a greener & cleaner environment.)

#### 5 NOMINATION DETAILS

(Please refer instruction No. 17)

I/We wish to make a nomination and do here by nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.

Name of the Nominee 1*					Nomination (%)*							
Relationship with applicant*					Mobile Number*							
Email ID*					Residential Address*							
									Pincode*			
Proof of Identity* <input type="checkbox"/> PAN <input type="checkbox"/> Driving License <input type="checkbox"/> Passport number (in case of NRI/ OCI/ PIO)					Identification No*							
Aadhaar (Last 4 digit of aadhar card)									DOB* D D M M Y Y Y Y			
Nominee / Guardian* (In Case of Minor)												
Name of the Nominee 2*					Nomination (%)*							
Relationship with applicant*					Mobile Number*							
Email ID*					Residential Address*							
									Pincode*			
Proof of Identity* <input type="checkbox"/> PAN <input type="checkbox"/> Driving License <input type="checkbox"/> Passport number (in case of NRI/ OCI/ PIO)					Identification No*							
Aadhaar (Last 4 digit of aadhar card)									DOB* D D M M Y Y Y Y			
Nominee / Guardian* (In Case of Minor)												
Name of the Nominee 3*					Nomination (%)*							
Relationship with applicant*					Mobile Number*							
Email ID*					Residential Address*							
									Pincode*			
Proof of Identity* <input type="checkbox"/> PAN <input type="checkbox"/> Driving License <input type="checkbox"/> Passport number (in case of NRI/ OCI/ PIO)					Identification No*							
Aadhaar (Last 4 digit of aadhar card)									DOB* D D M M Y Y Y Y			
Nominee / Guardian* (In Case of Minor)												

\*I/We want the following details on nomination to be printed in the statement of account, provided to me/ us by the AMC / \*DP as follows; (please tick, as appropriate) :  Name of nominee(s)  Nominee Registration Status Yes / No

I/We hereby authorize \_\_\_\_\_ (Nominee No) \_\_\_\_\_ to operate my account on my behalf, in case of my

incapacitation .He/ She is authorized to encash my assets up to \_\_\_\_\_ % of assets in the account / folio or Rs. \_\_\_\_\_/-

I wish to complete the KYC of nominee (For completing KYC of nominee, kindly fill the separate KYC Form)

I do not wish to complete KYC of nominee.

\*Mandatory Fields

#### DECLARATION FOR OPTING-OUT OF NOMINATION

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

Name and Signature of Holder	Signature(s) of holder/ Thumb impression	Witness Name and Address**	Witness Signature**
Sole / First Holder			
Second Holder			
Third Holder			



**9 DEMAT DETAILS** (Please provide details ONLY if you wish to hold units in / under Demat).

(Please refer instruction No. 18)

Depository Participant Name	
<input type="checkbox"/> National Securities Depository Limited (NSDL)	<input type="checkbox"/> Central Depository Securities (India) Limited (CDSL)
DP ID & Client ID	Client ID
<input type="checkbox"/> Proof Attached <input type="checkbox"/> Client Master <input type="checkbox"/> Demat Transaction Statement Copy/DIS Copy	

Note: The sequence of names as mentioned in the MF application form should be as per the sequence of names in Demat account.

**10 INVESTMENTS DETAILS**

(Please refer instruction No. 01, 05, 12 &amp; 20)

\* In case of Purchase investment fill PURCHASE amount, In case of SIP investment fill SIP amount.

\* Default Frequency Monthly if not provided # SIP Maximum Duration of 40 years or OTM/NACH end date.

(Cheque/DD should be in favour of "Scheme Name". Default plan/Option will be applied incase of no information, ambiguity or discrepancy). If the investment is in multiple schemes. "The Cheque/DD should be drawn favouring "Axis MF Multiple Schemes.

	SCHEME 1	SCHEME 2	SCHEME 3	
Investment Type	<input type="checkbox"/> Purchase <input type="checkbox"/> SIP <input type="checkbox"/> Purchase with SIP	<input type="checkbox"/> Purchase <input type="checkbox"/> SIP <input type="checkbox"/> Purchase with SIP	<input type="checkbox"/> Purchase <input type="checkbox"/> SIP <input type="checkbox"/> Purchase with SIP	
Scheme Name				
Plan	<input type="checkbox"/> Regular <input type="checkbox"/> Direct	<input type="checkbox"/> Regular <input type="checkbox"/> Direct	<input type="checkbox"/> Regular <input type="checkbox"/> Direct	
Option	<input type="checkbox"/> Growth <input type="checkbox"/> IDCW	<input type="checkbox"/> Growth <input type="checkbox"/> IDCW	<input type="checkbox"/> Growth <input type="checkbox"/> IDCW	
Purchase in figures				
Purchase in words				
<b>SCHEME (Payment Details)</b>				
Mode of Payment	<input type="checkbox"/> Cheque <input type="checkbox"/> RTGS <input type="checkbox"/> NEFT <input type="checkbox"/> Funds Transfer <input type="checkbox"/> OTM			
Payment Details				
Date	D D M M Y Y Y Y			
Bank Name & Branch				
Account No				
IFSC Code				
	SCHEME 1	SCHEME 2	SCHEME 3	
SIP Payment through	<input type="checkbox"/> New OTM (Attach form) <input type="checkbox"/> Existing OTM Reference No. (if one time mandate are registered)			
SIP Frequency	<input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Monthly <input type="checkbox"/> Yearly	<input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Monthly <input type="checkbox"/> Yearly	<input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Monthly <input type="checkbox"/> Yearly	
SIP Date (Please refer instruction No. 12 (H))	D D (1st to 28th) <input type="checkbox"/> Last date of month	D D (1st to 28th) <input type="checkbox"/> Last date of month	D D (1st to 28th) <input type="checkbox"/> Last date of month	
SIP Start date*	M M Y Y Y Y	M M Y Y Y Y	M M Y Y Y Y	
SIP End date*	M M Y Y Y Y	M M Y Y Y Y	M M Y Y Y Y	
(Optional) TOP-UP Facility Only available for Monthly SIP				
TOP-UP Facility	<input type="checkbox"/> Dynamic TOP-UP <input type="checkbox"/> Fixed Amount <input type="checkbox"/> % Top-Up (in multiples of 5 only) <input type="checkbox"/>	<input type="checkbox"/> Dynamic TOP-UP <input type="checkbox"/> Fixed Amount <input type="checkbox"/> % Top-Up (in multiples of 5 only) <input type="checkbox"/>	<input type="checkbox"/> Dynamic TOP-UP <input type="checkbox"/> Fixed Amount <input type="checkbox"/> % Top-Up (in multiples of 5 only) <input type="checkbox"/>	
	<input type="checkbox"/> Half Yearly <input type="checkbox"/> Yearly	<input type="checkbox"/> Half Yearly <input type="checkbox"/> Yearly	<input type="checkbox"/> Half Yearly <input type="checkbox"/> Yearly	
SIP Amount in figures				
SIP Amount in words				

**11  | QUICK CHECKLIST**

- KYC acknowledgement letter (Compulsory for MICRO SIP)  Self attested PAN card copy  Plan / Option / Sub Option name mentioned in addition to scheme name
- Multiple Bank Accounts Registration form (if you want to register multiple bank accounts so that future payments can be made from any of the accounts)
- Email id and mobile number provided for online transaction facility  SIP Registration Form for SIP investments  Relationship proof between guardian and minor (if application is in the name of a minor)  FATCA Declaration



Having read and understood the contents of the SID / KIM of the scheme and SAI of the Axis Mutual Fund (The Fund), I/we hereby apply for units of the schemes. I have read and understood the terms, conditions, details, rules and regulations governing the schemes. I/We hereby declare that the amount invested in the schemes is through legitimate sources only and does not involve any design for the purpose of the contravention of any Act, Rules, Regulations, Notifications or Directives of the provisions of the Income Tax Act, Anti Money Laundering Laws, Anti Corruption Laws or any other applicable laws enacted by the Government of India from time to time. I/we have not received nor have been induced by any rebate or gifts, directly or indirectly in making this investment. I/We confirm that the funds invested in the Scheme, legally belongs to me/us. The ARN holder has disclosed to me/us all the commissions (trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Funds amongst which the Scheme is being recommended to me/ us. I / we give my / our consent to collect personal data or information as prescribed in the privacy policy which is available on the website of the AMC / Fund. I/We hereby give consent to the Company or its Authorized Agents and third party service providers to use information/data provided by me to contact me through any channel of communication including but not limited to email, telephone, sms, etc. I/We agree that all personal or transactional related information collected/provided by me can be shared/transferred and disclosed with the above mentioned parties including with any regulatory, statutory or judicial authorities for compliance with any law or regulation in accordance with privacy policy as available at the website of the Company.

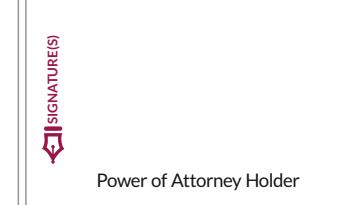
I/We confirm that I/We do not have any existing Micro SIP/Lumpsum investments which together with the current application will result in aggregate investments exceeding ₹ 50,000 in a year (Applicable for Micro investment only.) with your fund house. For NRIs only - I / We confirm that I am/ we are Non Residents of Indian nationality/origin and that I/We have remitted funds from abroad through approved banking channels or from funds in my/ our Non Resident External / Non Resident Ordinary/FCNR account. I/We confirm that details provided by me/us are true and correct.

I/We give my consent to Axis Asset Management Company Limited and its agents to contact me over phone, SMS, email or any other mode to address my investment related queries and/or receive communication pertaining to transactions/ non-commercial transactions/ promotional/ potential investments and other communication/material irrespective of my blocking preferences with the Customer Preference Registration Facility.

I/ We hereby provide my/our consent in accordance with Aadhaar Act, 2016 and regulations made thereunder, for (i) collecting, storing and usage (ii) validating/authenticating and (ii) updating my/ our Aadhaar number(s) (if provided) in accordance with the Aadhaar Act, 2016 (and regulations made thereunder) and PMLA. I/ We hereby provide my/our consent for sharing/disclosing of the Aadhaar number(s) including demographic information with the asset management companies of SEBI registered mutual fund(s) and their Registrar and Transfer Agent (RTA) for the purpose of updating the same in my/our folios with my PAN.

**CERTIFICATION:** I / We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct, and complete. I / We also confirm that I / We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same.

I/We have read and understood the instructions on nomination given below/overleaf and I/We hereby undertake to abide by the same. The instructions contained herein supercedes all previous nominations made by me/us in respect of the folio(s) mentioned above.

 <p>Signature of 1st Holder/ Guardian / Authorised Signatory / Karta/Thumb Impression</p>	 <p>Second Holder</p>	 <p>Third Holder</p>	 <p>Power of Attorney Holder</p>
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# APPLICATION SUPPORTED BY BLOCKED AMOUNT (ASBA) FORM

## AXIS BSE INDIA SECTOR LEADERS INDEX FUND

(An Open-Ended Index Fund tracking BSE India Sector Leaders TRI)

**NFO OPENS : JANUARY 23, 2026 AND NFO CLOSES : FEBRUARY 06, 2026**

BROKER/AGENT INFORMATION				FOR OFFICE USE ONLY			
Name and AMFI Regn No.	SUB-Distributor ARN	EUIN	PMR (Portfolio Manager's Registration) Number ^^	SCSB	SCSB IFSC Code	Syndicate Member Code	SI No.

Upfront commission shall be paid directly by the investor to the AMFI registered distributor based on the investor's assessment of various factors including the service rendered by the distributor. ^I/We, have invested in the scheme(s) of Axis Mutual Fund under Direct Plan. I/We hereby give my/our consent to share/provide the transactions data feed/portfolio holdings/ NAV etc. in respect of my/our investments under Direct Plan of all schemes of Axis Mutual Fund, to the above mentioned SEBI Registered Investment Adviser. ^^I/We, have invested in the scheme(s) of Axis Mutual Fund under Direct Plan. I/We hereby give my/our consent to share/provide the transactions data feed/portfolio holdings/ NAV etc. in respect of my/our investments under Direct Plan of all schemes of Axis Mutual Fund, to the above mentioned SEBI Registered Portfolio Manager.

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 inappropriateness, if any, provided by the employee / relationship manager / sales person of the distributor / sub broker.

You / Sole Applicant /Guardian	Second Applicant	Third Applicant	Power of Attorney Holder
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### NAME OF FIRST APPLICANT (Name should be as available in Demat Account)

Mr. Ms. M/s.
Folio Number <input type="text"/> (If you have an existing folio number, please mention the number here)

### DEPOSITORY ACCOUNT DETAILS

Depository Name <input type="checkbox"/> National Securities Depository Ltd. <input type="checkbox"/> Central Depository Services [India] Limited
Depository Participant Name <input type="text"/>
DP-ID <input type="text"/> Beneficiary Account Number <input type="text"/>

### PAN DETAILS (Permanent Account Number)

1st applicant <input type="text"/>	2nd applicant <input type="text"/>	3rd applicant <input type="text"/>
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### INVESTMENT DETAILS

Scheme	Plan	Option	Amount
	<input type="checkbox"/> Regular <input type="checkbox"/> Direct		

### DETAILS OF BANK ACCOUNT FOR BLOCKING OF FUNDS

Bank Account Number <input type="text"/> Bank Name <input type="text"/>
Branch Name where account is held <input type="text"/>
Total Amount to be blocked <input type="text"/> In figures <input type="text"/> in words <input type="text"/>

### CONTACT DETAILS - FIRST APPLICANT/GUARDIAN/CORPORATE (PO Box address is not sufficient. Mobile number and email is mandatory to avail online facility.)

Contact Person (In case of non Individual Investor) <input type="text"/>
Address <input type="text"/> City <input type="text"/>
State <input type="text"/> Pincode <input type="text"/> Landline No. <input type="text"/>

 <b>ACKNOWLEDGMENT SLIP (to be filled in by the investor)</b>	Date <input type="text"/> D <input type="checkbox"/> D <input type="checkbox"/> M <input type="checkbox"/> M <input type="checkbox"/> Y <input type="checkbox"/> Y <input type="checkbox"/> Y <input type="checkbox"/>
<b>AXIS BSE INDIA SECTOR LEADERS INDEX FUND</b>	
Received from Mr / Ms / Mrs / M/s <input type="text"/> an application for purchase of units	
<b>AXIS BSE INDIA SECTOR LEADERS INDEX FUND</b>	
SCSB Account details: Account No. <input type="text"/>	<input type="text"/>
Bank Name <input type="text"/> Branch <input type="text"/>	<input type="text"/>
Total Amount to be blocked <input type="text"/> In figures <input type="text"/> in words <input type="text"/>	<input type="text"/>
Time of receipt <input type="text"/>	SCSB Stamp, Signature <input type="text"/>

## UNDERTAKING BY ASBA INVESTOR

1) I/We hereby undertake that I/We am/are an ASBA Investor as per the applicable provisions of the SEBI (Issue of Capital and Disclosure Requirements) Regulation 2009 ('SEBI Regulation') as amended from time to time. 2) In accordance with ASBA process provided in the SEBI Regulations and as disclosed in this application, I/We authorize (a) the SCSB to do all necessary acts including blocking of application money towards the Subscription of Units of the Scheme, to the extent mentioned above in the "SCSB/ASBA Account details" or unblocking of funds in the bank account maintained with the SCSB specified in this application form, transfer of funds to the Bank account of the Scheme/Axis Mutual Fund on receipt of instructions from its Registrar and Transfer Agent after the allotment of the Units entitling me/us to receive Units on such transfer of funds, etc. (b) Registrar and Transfer Agent to issue instruction to the SCSB to remove the block on the funds in the bank account specified in the application, upon allotment of Units and to transfer the requisite money to the Scheme's account / Bank account of Axis Mutual Fund. 3) In case the amount available in the bank account specified in the application is insufficient for blocking the amount equivalent to the application money towards the Subscription of Units, the SCSB shall reject the application. 4) If the DP ID, Beneficiary Account No. or PAN furnished by me/us in the application is incorrect or incomplete or not matching with the depository records, the application shall be rejected and the Axis Mutual Fund or Axis Asset Management Company Limited or SCSBs shall not be liable for loss, if any. All future communication in connection with NFO should be addressed to the SCSB/RTA/AMC quoting the full name of the Sole/First Applicant, NFO Application Number, ASBA Application Number, Depository Account details [If it has been provided]. Amount applied for and the account number from where NFO amount was blocked.

## DECLARATION AND SIGNATURES

Having read and understood the content of the SID / SAI of the scheme, I / we hereby apply for units of the scheme. I have read and understood the terms, conditions, rules and regulations governing the scheme. I/We hereby declare that the amount invested in the scheme is through legitimate source only and does not involve designed for the purpose of the contravention of any Act, Rules, Regulations, Notifications or Directives of the provisions of the Income Tax Act, Anti Money Laundering Laws, Anti Corruption Laws or any other applicable laws enacted by the Government of India from time to time. I/We have understood the details of the Scheme & I/ we have not received nor have been induced by any rebate or gifts, directly or indirectly in making this investment. I/We confirm that the funds invested in the Scheme, legally belongs to me / us. In event "Know Your Customer" process is not completed by me / us to the satisfaction of the Mutual Fund, I / we hereby authorize the Mutual Fund, to redeem the funds invested in the Scheme, in favour of the applicant, at the applicable NAV prevailing on the date of such redemption and undertake such other action with such funds that may be required by the law.) The ARN holder has disclosed to me/ us all the commissions (in the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me / us. For NRIs only - I/ We confirm that I am/ we are Non Residents of Indian nationality / origin and that I / We have remitted funds from abroad through approved banking channels or from funds in my/ our Non Resident External / Non Resident Ordinary / FCNR account. I / We confirm that details provided by me / us are true and correct.

Signature of Bank Account Holders

## INSTRUCTIONS FOR FILLING ASBA APPLICATION FORM

### 1. MEANING OF ASBA

ASBA is an application for subscribing to a New Fund Offer (NFO), containing an authorisation to block the application money in a bank account.

### 2. SELFCERTIFIED SYNDICATE BANK (SCSB)

SCSB is a banker to an issue registered with the SEBI which offers the facility of applying through the ASBA process. The list of SCSBs will be displayed by SEBI on its website at [www.sebi.gov.in](http://www.sebi.gov.in) from time to time. ASBAs can be accepted only by SCSBs, whose names appear in the list of SCSBs displayed on SEBI's website. As on April 15, 2010, 27 Banks have been recognised as SCSBs. Investors maintaining their accounts in or of any of these Banks may approach one of the designated branches of these SCSBs for availing this facility. Further it may be noted that from time to time new banks register themselves as SCSBs who become eligible to provide these services and also the existing SCSBs designate additional branches that also provide this facility. An updated list of all the registered SCSBs, their controlling branches, contact details and details of their contact persons, a list of their designated branches which are providing such services is available on the website of SEBI at the address <http://www.sebi.gov.in>. Further these details are also available on the websites of the Stock Exchanges at <http://www.bseindia.com> and <http://www.nseindia.com>. Alternatively, investors may also contact the AMC, R& TA for information about the SCSBs or the ASBA process. These SCSBs are deemed to have entered into an agreement with the Issuer and shall be required to offer the ASBA facility to all its account holders for all issues to which ASBA process is applicable. A SCSB shall identify its Designated Branches (DBs) at which an ASBA bidder shall submit ASBA and shall also identify the Controlling Branch (CB), which shall act as a coordinating branch for the Registrar to the Issue, Stock Exchanges and Merchant Bankers. The SCSB, its DBs and CB shall continue to act as such, for all issues to which ASBA process is applicable. The SCSB may identify new DBs for the purpose of ASBA process and intimate details of the same to SEBI, after which SEBI will add the DB to the list of SCSBs maintained by it. The SCSB shall communicate the following details to Stock Exchanges for making it available on their respective websites. These details shall also be made available by the SCSB on its website: (i) Name and address of the SCSB (ii) Addresses of DBs and CB and other details such as telephone number, fax number and email ids. (iii) Name and contact details of a nodal officer at a senior level from the CB.

### 3. ELIGIBILITY OF INVESTORS

An Investor shall be eligible to apply through ASBA process, if he/she: (i) is a Resident Retail Individual Investor, Non Institutional Investor, QIBs, Eligible NRIs applying on non-repatriation basis. Eligible NRIs applying on repatriation basis i.e. any investor, (ii) is applying through blocking of funds in a bank account with the SCSB; Such investors are hereinafter referred as "ASBA Investors".

### 4. ASBA FACILITY IN BRIEF

Investor shall submit his Bid through an ASBA cum Application Form, either in physical or electronic mode, to the SCSB with whom the bank account of the ASBA Investor or bank account utilised by the ASBA Investor ("ASBA Account") is maintained. The SCSB shall block an amount equal to the NFO application Amount in the bank account specified in the ASBA cum Application Form, physical or electronic, on the basis of an authorisation to this effect given by the account holder at the time of submitting the Application. The Bid Amount shall remain blocked in the aforesaid ASBA Account until the Allotment in the New fund Offer and consequent transfer of the Application Amount against the allocated Units to the Issuer's account designated for this purpose, or until withdrawal/failure of the Offer or until withdrawal/rejection of the ASBA Application, as the case may be. The ASBA data shall thereafter be uploaded by the SCSB in the electronic IPO system of the Stock Exchanges. Once the Allotment is finalised, the R&TA to the NFO shall send an

appropriate request to the Controlling Branch of the SCSB for unblocking the relevant bank accounts and for transferring the amount allocable to the successful ASBA Bidders to the

AMC account designated for this purpose. In case of withdrawal/Rejection of the Offer, the R&TA to the Offer shall notify the SCSBs to unblock the blocked amount of the ASBA Bidders within one day from the day of receipt of such notification.

### 5. OBLIGATIONS OF THE AMC:

AMC shall ensure that adequate arrangements are made by the R&TA for the NFO to obtain information about all ASBAs and to treat these applications similar to non-ASBA applications while allotment of Units, as per the procedure specified in the Securities and Exchange Board of India (Issue of Capital and Disclosure Requirements) Regulations, 2009.

Investors are requested to check with their respective banks about the availability of the ASBA facility.

### 6. OTHER INFORMATION FOR ASBA INVESTORS:

1. SCSB shall not accept any ASBA after the closing time of acceptance on the last day of the NFO period.
2. SCSB shall give ASBA investors an acknowledgment for the receipt of ASBAs.
3. SCSB shall not upload any ASBA in the electronic system of the Stock Exchange(s) unless (i) it has received the ASBA in a physical or electronic form; and (ii) it has blocked the application money in the bank account specified in the ASBA or has systems to ensure that Electronic ASBAs are accepted in the system only after blocking of application money in the relevant bank account opened with it.
4. SCSB shall ensure that complaints of ASBA investors arising out of errors or delay in capturing of data, blocking or unblocking of bank accounts, etc. are satisfactorily redressed.
5. SCSB shall be liable for all its omissions and commissions in discharging responsibilities in the ASBA process.
6. R&TA to the NFO shall act as a nodal agency for redressing complaints of ASBA and non-ASBA investors, including providing guidance to ASBA investors regarding approaching the SCSB concerned.

Grounds for rejection of ASBA applications

ASBA application forms can be rejected by the AMC/Registrar/SCSBs, on the following technical grounds:

1. Applications by persons not competent to contract under the Indian Contract Act, 1872, including but not limited to minors, insane persons etc.
2. Mode of ASBA i.e. either Physical ASBA or Electronic ASBA, not selected or ticked.
3. ASBA Application Form without the stamp of the SCSB.
4. Application by any person outside India if not in compliance with applicable foreign and Indian laws.
5. Bank account details not given/incorrect details given.
6. Duly certified Power of Attorney, if applicable, not submitted alongwith the ASBA application form.
7. No corresponding records available with the Depositories matching the parameters namely (a) Names of the ASBA applicants (including the order of names of joint holders) (b) DP ID (c) Beneficiary account number or any other relevant details pertaining to the Depository Account.
8. Insufficient funds in the investor's account.
9. Application accepted by SCSB and not uploaded on/with the Exchange / Registrar.



## FOR NON-INDIVIDUALS - SUPPLEMENTARY KNOW YOUR CLIENT (KYC), FATCA, CRS & ULTIMATE BENEFICIAL OWNERSHIP (UBO) SELF CERTIFICATION FORM

Name of the entity					
Type of address given at KRA	<input type="checkbox"/> Residential or Business	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office	
"Address of tax residence would be taken as available in KRA database. In case of any change, please approach KRA & notify the changes"					
Folio Number		Folio Number			Folio Number
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
PAN	Date of incorporation <b>D D M M Y Y Y Y</b>				
City of incorporation	Country of incorporation				
Entity Constitution Type (Please <input checked="" type="checkbox"/> as appropriate)	<input type="checkbox"/> Partnership Firm <input type="checkbox"/> HUF <input type="checkbox"/> Private Limited Company <input type="checkbox"/> Public Limited Company <input type="checkbox"/> Society <input type="checkbox"/> AOP/BOI <input type="checkbox"/> Trust <input type="checkbox"/> Liquidator <input type="checkbox"/> Limited Liability Partnership <input type="checkbox"/> Artificial Juridical Person <input type="checkbox"/> Others				
	<b>specify</b>				

Is "Entity" a tax resident of any country other than India  Yes  No

(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

Country	Tax Identification Number %	Identification Type (TIN or Other, please specify)

% In case Tax Identification Number is not available, kindly provide its functional equivalent\$.

In case Tax Identification Number is not available, kindly provide its functional equivalent.

In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here

#### ADDITIONAL KYC INFORMATION

Gross Annual Income (₹)	<input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1 - 5 Lacs <input type="checkbox"/> 5 - 10 Lacs <input type="checkbox"/> 10 - 25 Lacs <input type="checkbox"/> >25 Lacs - 1 Crore <input type="checkbox"/> >1 Crore
OR	
Net-worth (Mandatory for Non-Individuals)	₹ <input type="text"/> as on <input type="checkbox"/> D <input type="checkbox"/> D <input type="checkbox"/> M <input type="checkbox"/> M <input type="checkbox"/> Y <input type="checkbox"/> Y <input type="checkbox"/> Y <input type="checkbox"/> Y <input type="checkbox"/> (Not older than 1 year)
Politically Exposed Person (PEP) Status* (Also applicable for authorised signatories/ Promoters/ Karta/ Trustee/ Whole time Directors)	<input type="checkbox"/> PEP <input type="checkbox"/> Related to PEP <input type="checkbox"/> Not Applicable
Is the entity involved in any of the mentioned services: (Please ✓ as appropriate)	<input type="checkbox"/> Foreign exchange/ Money changer <input type="checkbox"/> Gaming/ Gambling/ Lottery (Casinos, betting syndicates) <input type="checkbox"/> Money lending/ Pawning <input type="checkbox"/> Not applicable

\*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.

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

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

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

1	Is the Entity a publicly traded company <sup>1</sup> (that is, a company whose shares are regularly traded on an established securities market)	Yes <input type="checkbox"/> (If yes, please specify any one stock exchange on which the stock is regularly traded)	
		Name of stock exchange	
2	Is the Entity a related entity <sup>2</sup> of a publicly traded company (a company whose shares are regularly traded on an established securities market)	Yes <input type="checkbox"/> (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded)	
		Name of listed company	
		Nature of relation:	<input type="checkbox"/> Subsidiary of the Listed Co. or <input type="checkbox"/> Controlled by a Listed Co.
		Name of stock exchange	
3	Is the Entity an active <sup>3</sup> NFE	Yes <input type="checkbox"/> Nature of Business	
		Please specify the sub-category of Active NFE	<input type="checkbox"/> (Mention code-refer 2c of Part D)
4	Is the Entity a passive <sup>4</sup> NFE	Yes <input type="checkbox"/> Nature of Business	

**UBO Declaration (Mandatory for all entities except, a Publicly Traded Company or a related entity of Publicly Traded Company)**

<b>Category (Please tick I applicable category)</b>	<input type="checkbox"/> Unlisted Company	<input type="checkbox"/> Partnership Firm	<input type="checkbox"/> Limited Liability Partnership Company	<input type="checkbox"/> Unincorporated association / body of individuals
	<input type="checkbox"/> Private Trust	<input type="checkbox"/> Public Charitable Trust	<input type="checkbox"/> Religious Trust	<input type="checkbox"/> Others

Please list below the details of controlling person(s), confirming ALL countries of tax residency / permanent residency / citizenship and ALL Tax Identification Numbers for EACH controlling person(s). (Please attach additional sheets if necessary)

Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E (Refer 3(vi) of part C)

Details	UBO1	UBO2	UBO3
Name			
PAN			
UBO Code (Refer 3(iv) (A) of Part C)			
Country of Tax residency*			
Tax ID No.%			
Tax ID Type			
Address	_____		_____
	Zip	_____	_____
	State	_____	_____
	Country	_____	_____
Address Type	<input type="checkbox"/> Residence <input type="checkbox"/> Registered office <input type="checkbox"/> Business	<input type="checkbox"/> Residence <input type="checkbox"/> Registered office <input type="checkbox"/> Business	<input type="checkbox"/> Residence <input type="checkbox"/> Registered office <input type="checkbox"/> Business
City of Birth			
Country of birth			
Occupation Type	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____
Nationality			
Father's Name			
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others
Date of Birth	D D M M Y Y Y Y	D D M M Y Y Y Y	D D M M Y Y Y Y
Percentage of Holding (%)^			

# Additional details to be filled by controlling persons with tax residency / permanent residency / citizenship / Green Card in any country other than India:

\* To include US, where controlling person is a US citizen or green card holder

%In case Tax Identification Number is not available, kindly provide functional equivalent

<sup>^</sup>Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory / Company Secretary

<sup>4</sup>Refer 3(iii) of Part C | <sup>11</sup>Refer 3(iv) (A) of Part C

FATCA - CRS Terms and Conditions

The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/ appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.

Please note that you may receive more than one request for information if you have multiple relationships with Axis Mutual Fund or its group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

If you have any questions about your tax residency, please contact your tax advisor. If any controlling person of the entity is a US citizen or resident or green card holder, please include United States in the foreign country information field along with the US Tax Identification Number.

\$It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

## CERTIFICATION

I / We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me / us on this Form is true, correct, and complete. I / We also confirm that I / We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same.

Name \_\_\_\_\_

\_\_\_\_\_

**Designation**

\_\_\_\_\_

Date

D D M M Y Y Y Y Place

## Place

## PART C FATCA Instructions & Definitions

1 Financial Institution (FI) - The term FI means any financial institution that is a Depository Institution, Custodial Institution, Investment Entity or Specified Insurance company, as defined.

- Depository institution: is an entity that accepts deposits in the ordinary course of banking or similar business.
- Custodial institution is an entity that holds as a substantial portion of its business, holds financial assets for the account of others and where its income attributable to holding financial assets and related financial services equals or exceeds 20 percent of the entity's gross income during the shorter of
  - (i) The three financial years preceding the year in which determination is made; or
  - (ii) The period during which the entity has been in existence, whichever is less.
- Investment entity is any entity:
- That primarily conducts a business or operates for or on behalf of a customer for any of the following activities or operations for or on behalf of a customer
  - (I) Trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading; or
  - (ii) Individual and collective portfolio management; or
  - (iii) Investing, administering or managing funds, money or Financial asset or money on behalf of other persons;

OR
- The gross income of which is primarily attributable to investing, reinvesting, or trading in Financial assets, if the entity is managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity described above.

An entity is treated as primarily conducting as a business one or more of the 3 activities described above, or an entity's gross income is primarily attributable to investing, reinvesting, or trading in Financial assets of the entity's gross income attributable to the relevant activities equals or exceeds 50 percent of the entity's gross income during the shorter of:

- (i) The three-year period ending on 31 March of the year preceding the year in which the determination is made;
- OR
- (ii) The period during which the entity has been in existence.

The term "Investment Entity" does not include an entity that is an active non-financial entity as per codes 03, 04, 05 and 06 - refer point 2c.)

- Specified Insurance Company: Entity that is an insurance company (or the holding company of an insurance company) that issues, or is obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract.
- FI not required to apply for GIIN:

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

Code	Sub-category
01	Governmental Entity, International Organization or Central Bank
02	Treaty Qualified Retirement Fund; a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; or a Pension Fund of a Governmental Entity, International Organization or Central Bank
03	Non-public fund of the armed forces, an employees' state insurance fund, a gratuity fund or a provident fund
04	Entity is an Indian FI solely because it is an investment entity
05	Qualified credit card issuer
06	Investment Advisors, Investment Managers & Executing Brokers
07	Exempt collective investment vehicle
08	Trustee of an Indian Trust
09	FI with a local client base
10	Non-registering local banks
11	FFI with only Low-Value Accounts
12	Sponsored investment entity and controlled foreign corporation
13	Sponsored, Closely Held Investment Vehicle
14	Owner Documented FFI

2 Non-financial entity (NFE) - Foreign entity that is not a financial institution

Types of NFEs that are regarded as excluded NFE are:

- a. Publicly traded company (listed company)

A company is publicly traded if its stock are regularly traded on one or more established securities markets

(Established securities market means an exchange that is officially recognized and supervised by a governmental authority in which the securities market is located and that has a meaningful annual value of shares traded on the exchange)

b. Related entity of a publicly traded company

The NFE is a related entity of an entity of which is regularly traded on an established securities market;

c. Active NFE: (is any one of the following):

Code	Sub-category
01	Less than 50 percent of the NFE's gross income for the preceding financial year is passive income and less than 50 percent of the assets held by the NFE during the preceding financial year are assets that produce or are held for the production of passive income;
02	The NFE is a Governmental Entity, an International Organization, a Central Bank, or an entity wholly owned by one or more of the foregoing;
03	Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an entity shall not qualify for this status if the entity functions as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;
04	The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFE;
05	The NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution;
06	The NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution;
07	Any NFE that fulfills all of the following requirements: <ul style="list-style-type: none"> <li>• It is established and operated in India exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in India and it is a professional organization, business league, chamber of commerce, labor organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare;</li> <li>• It is exempt from income tax in India;</li> <li>• It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;</li> </ul> <p>The applicable laws of the NFE's country or territory of residence or the NFE's formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and</p> <p>The applicable laws of the NFE's country or territory of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of the NFE's country or territory of residence or any political subdivision thereof.</p> <p>Explanation:- For the purpose of this sub-clause, the following shall be treated as fulfilling the criteria provided in the said sub-clause, namely:-</p> <ul style="list-style-type: none"> <li>(I) an Investor Protection Fund referred to in clause (23EA);</li> <li>(II) a Credit Guarantee Fund Trust for Small Industries referred to in clause 23EB; and</li> <li>(III) an Investor Protection Fund referred to in clause (23EC), of section 10 of the Act;</li> </ul>

3 Other definitions

- (i) Related entity

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

- (ii) Passive NFE

The term passive NFE means

- (i) any non-financial entity which is not an active non-financial entity including a publicly traded corporation or related entity of a publicly traded company; or
- (ii) an investment entity defined in clause (b) of these instructions

## PART C FATCA Instructions & Definitions

(iii) a withholding foreign partnership or withholding foreign trust;

(Note: Foreign persons having controlling interest in a passive NFE are liable to be reported for tax information compliance purposes)

(iii) Passive income

The term passive income includes income by way of:

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

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

(iv) Controlling persons

Controlling persons are natural persons who exercise control over an entity and includes a beneficial owner under sub-rule (3) of rule 9 of the Prevention of Money-Laundering (Maintenance of Records) Rules, 2005. In the case of a trust, the controlling person means the settlor, or the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust. In the case of a legal arrangement other than a trust, controlling person means persons in equivalent or similar positions.

Pursuant to guidelines on identification of Beneficial Ownership issued vide SEBI circular no. CIR/MIRSD/2/2013 dated January 24, 2013, persons (other than individuals) are required to provide details of Beneficial Owner(s) ('BO'). Accordingly, the Beneficial Owner means '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 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.

Where the client is a trust, the financial institution shall identify the beneficial owners of the client and take reasonable measures to verify the identity of such persons, through the identity of the settler of the trust, the trustee, the protector, the beneficiaries with 15% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

Where no natural person is identified the identity of the relevant natural person who holds the position of senior managing official.

(A) Controlling Person Type:

Code	Sub-category
01	CP of legal person-ownership
02	CP of legal person-other means
03	CP of legal person-senior managing official
04	CP of legal arrangement-trust-settlor
05	CP of legal arrangement--trust-trustee
06	CP of legal arrangement--trust-protector
07	CP of legal arrangement--trust-beneficiary
08	CP of legal arrangement--trust-other
09	CP of legal arrangement-Other-settlor equivalent
10	CP of legal arrangement-Other-trustee equivalent
11	CP of legal arrangement-Other-protector equivalent
12	CP of legal arrangement-Other-beneficiary equivalent
13	CP of legal arrangement-Other-other equivalent
14	Unknown

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

- (i) a corporation the stock of which is regularly traded on one or more established securities markets;
- (ii) any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described in clause (i);
- (iii) the United States or any wholly owned agency or instrumentality thereof;

(iv) any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing;

(v) any organization exempt from taxation under section 501(a) of the U.S. Internal Revenue Code or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code;

(vi) any bank as defined in section 581 of the U.S. Internal Revenue Code;

(vii) any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code;

(viii) any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64);

(ix) any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code;

(x) any trust that is exempt from tax under section 664(c) of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code;

(xi) a dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State;

(xii) a broker as defined in section 6045(c) of the U.S. Internal Revenue Code; or

(xiii) any tax-exempt trust under a plan that is described in section 403(b) or section 457(g) of the U.S. Internal Revenue Code.

(vi) Owner documented FFI

An FFI meets the following requirements:

- (a) The FFI is an FFI solely because it is an investment entity;
- (b) The FFI is not owned by or related to any FFI that is a depository institution, custodial institution, or specified insurance company;
- (c) The FFI does not maintain a financial account for any non participating FFI;
- (d) The FFI provides the designated withholding agent with all of the documentation and agrees to notify the withholding agent if there is a change in circumstances; and
- (e) The designated withholding agent agrees to report to the IRS (or, in the case of a reporting Model 1 IGA, to the relevant foreign government or agency thereof) all of the information described in or (as appropriate) with respect to any specified U.S. persons and (2). Notwithstanding the previous sentence, the designated withholding agent is not required to report information with respect to an indirect owner of the FFI that holds its interest through a participating FFI, a deemed-compliant FFI (other than an owner-documented FFI), an entity that is a U.S. person, an exempt beneficial owner, or an excepted NFE.

(vii) Direct reporting NFFE

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

(viii) Exemption code for U.S. persons

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

# SIP REGISTRATION FORM

for first time investors, submit Common Application form along with this form.

Distributor ARN/ RIA CODE <sup>^</sup> / PMR (Portfolio Manager's Registration) Number <sup>^^</sup>	SUB-Distributor ARN	Internal SUB-Broker/Sol ID	EUIN	Employee Code

Declaration for "Execution-only" transaction (where the above EUIN box is left blank & no investment advice is solicited) / Registered Investment Advisor (RIA) Transaction/EOP (for digital transactions): 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 inappropriateness, if any, provided by the employee / relationship manager / sales person of the distributor / sub broker.

 1st Holder/Guardian/POA/Authorised Signatory	 2nd Holder/Authorised Signatory	 3rd Holder/Authorised Signatory
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## 1 YOUR INFORMATION (MANDATORY)

EXISTING INVESTOR'S FOLIO NUMBER (If you have an existing folio with KYC validated, please mention here)	Folio number	
Your Name (as in PAN Card / KYC records)	Mr. Ms. M/s.	
Name of the Guardian	Mr. Ms. M/s. (In case First / Sole Applicant is minor) / Contact Person - Designation / PoA HOLDER (In case of Non-individual Investors)	
Your PAN	2nd Holder PAN	3rd Holder PAN

## 2 SIP DETAILS

OTM Reference No.	SIP Registration Mode	<input type="checkbox"/> A-OTM	<input type="checkbox"/> K-OTM	<input type="checkbox"/> Mandate along with SIP form																																																	
<table border="1"> <tr> <td colspan="2">Scheme / Plan / Option</td> <td>Frequency (Ref Inst. no. 5)</td> <td>SIP Date/Day (DD) (Ref Inst. no. 5)</td> <td>Enrollment Period (MMYY)</td> <td>SIP Amount</td> <td>TOP-UP Facility (Optional) Only available for Monthly SIP</td> </tr> <tr> <td colspan="2"> <input type="checkbox"/> **Daily  <input type="checkbox"/> #Weekly  <input type="checkbox"/> *Monthly  <input type="checkbox"/> *Yearly         </td> <td> <input type="checkbox"/> D D (1<sup>st</sup> to 28<sup>th</sup>)         </td> <td>From</td> <td> </td> <td>₹   in figures  in words</td> <td> <input type="checkbox"/> % Top-Up  <input type="checkbox"/> Fixed Amount         </td> </tr> <tr> <td colspan="2"> <input type="checkbox"/> **Daily  <input type="checkbox"/> #Weekly  <input type="checkbox"/> *Monthly  <input type="checkbox"/> *Yearly         </td> <td> <input type="checkbox"/> Last date of month         </td> <td>To</td> <td>Maximum Duration of 40 years</td> <td>₹   in figures  in words</td> <td> <input type="checkbox"/> % Top-Up  <input type="checkbox"/> Fixed Amount         </td> </tr> <tr> <td colspan="2"> <input type="checkbox"/> **Daily  <input type="checkbox"/> #Weekly  <input type="checkbox"/> *Monthly  <input type="checkbox"/> *Yearly         </td> <td> <input type="checkbox"/> D D (1<sup>st</sup> to 28<sup>th</sup>)         </td> <td>From</td> <td> </td> <td>₹   in figures  in words</td> <td> <input type="checkbox"/> % Top-Up  <input type="checkbox"/> Fixed Amount         </td> </tr> <tr> <td colspan="2"> <input type="checkbox"/> **Daily  <input type="checkbox"/> #Weekly  <input type="checkbox"/> *Monthly  <input type="checkbox"/> *Yearly         </td> <td> <input type="checkbox"/> Last date of month         </td> <td>To</td> <td>Maximum Duration of 40 years</td> <td>₹   in figures  in words</td> <td> <input type="checkbox"/> % Top-Up  <input type="checkbox"/> Fixed Amount         </td> </tr> <tr> <td colspan="2"> <input type="checkbox"/> **Daily  <input type="checkbox"/> #Weekly  <input type="checkbox"/> *Monthly  <input type="checkbox"/> *Yearly         </td> <td> <input type="checkbox"/> D D (1<sup>st</sup> to 28<sup>th</sup>)         </td> <td>From</td> <td> </td> <td>₹   in figures  in words</td> <td> <input type="checkbox"/> % Top-Up  <input type="checkbox"/> Fixed Amount         </td> </tr> <tr> <td colspan="2"> <input type="checkbox"/> **Daily  <input type="checkbox"/> #Weekly  <input type="checkbox"/> *Monthly  <input type="checkbox"/> *Yearly         </td> <td> <input type="checkbox"/> Last date of month         </td> <td>To</td> <td>Maximum Duration of 40 years</td> <td>₹   in figures  in words</td> <td> <input type="checkbox"/> % Top-Up  <input type="checkbox"/> Fixed Amount         </td> </tr> </table>					Scheme / Plan / Option		Frequency (Ref Inst. no. 5)	SIP Date/Day (DD) (Ref Inst. no. 5)	Enrollment Period (MMYY)	SIP Amount	TOP-UP Facility (Optional) Only available for Monthly SIP	<input type="checkbox"/> **Daily <input type="checkbox"/> #Weekly <input type="checkbox"/> *Monthly <input type="checkbox"/> *Yearly		<input type="checkbox"/> D D (1 <sup>st</sup> to 28 <sup>th</sup> )	From		₹ in figures  in words	<input type="checkbox"/> % Top-Up <input type="checkbox"/> Fixed Amount	<input type="checkbox"/> **Daily <input type="checkbox"/> #Weekly <input type="checkbox"/> *Monthly <input type="checkbox"/> *Yearly		<input type="checkbox"/> Last date of month	To	Maximum Duration of 40 years	₹ in figures  in words	<input type="checkbox"/> % Top-Up <input type="checkbox"/> Fixed Amount	<input type="checkbox"/> **Daily <input type="checkbox"/> #Weekly <input type="checkbox"/> *Monthly <input type="checkbox"/> *Yearly		<input type="checkbox"/> D D (1 <sup>st</sup> to 28 <sup>th</sup> )	From		₹ in figures  in words	<input type="checkbox"/> % Top-Up <input type="checkbox"/> Fixed Amount	<input type="checkbox"/> **Daily <input type="checkbox"/> #Weekly <input type="checkbox"/> *Monthly <input type="checkbox"/> *Yearly		<input type="checkbox"/> Last date of month	To	Maximum Duration of 40 years	₹ in figures  in words	<input type="checkbox"/> % Top-Up <input type="checkbox"/> Fixed Amount	<input type="checkbox"/> **Daily <input type="checkbox"/> #Weekly <input type="checkbox"/> *Monthly <input type="checkbox"/> *Yearly		<input type="checkbox"/> D D (1 <sup>st</sup> to 28 <sup>th</sup> )	From		₹ in figures  in words	<input type="checkbox"/> % Top-Up <input type="checkbox"/> Fixed Amount	<input type="checkbox"/> **Daily <input type="checkbox"/> #Weekly <input type="checkbox"/> *Monthly <input type="checkbox"/> *Yearly		<input type="checkbox"/> Last date of month	To	Maximum Duration of 40 years	₹ in figures  in words	<input type="checkbox"/> % Top-Up <input type="checkbox"/> Fixed Amount
Scheme / Plan / Option		Frequency (Ref Inst. no. 5)	SIP Date/Day (DD) (Ref Inst. no. 5)	Enrollment Period (MMYY)	SIP Amount	TOP-UP Facility (Optional) Only available for Monthly SIP																																															
<input type="checkbox"/> **Daily <input type="checkbox"/> #Weekly <input type="checkbox"/> *Monthly <input type="checkbox"/> *Yearly		<input type="checkbox"/> D D (1 <sup>st</sup> to 28 <sup>th</sup> )	From		₹ in figures  in words	<input type="checkbox"/> % Top-Up <input type="checkbox"/> Fixed Amount																																															
<input type="checkbox"/> **Daily <input type="checkbox"/> #Weekly <input type="checkbox"/> *Monthly <input type="checkbox"/> *Yearly		<input type="checkbox"/> Last date of month	To	Maximum Duration of 40 years	₹ in figures  in words	<input type="checkbox"/> % Top-Up <input type="checkbox"/> Fixed Amount																																															
<input type="checkbox"/> **Daily <input type="checkbox"/> #Weekly <input type="checkbox"/> *Monthly <input type="checkbox"/> *Yearly		<input type="checkbox"/> D D (1 <sup>st</sup> to 28 <sup>th</sup> )	From		₹ in figures  in words	<input type="checkbox"/> % Top-Up <input type="checkbox"/> Fixed Amount																																															
<input type="checkbox"/> **Daily <input type="checkbox"/> #Weekly <input type="checkbox"/> *Monthly <input type="checkbox"/> *Yearly		<input type="checkbox"/> Last date of month	To	Maximum Duration of 40 years	₹ in figures  in words	<input type="checkbox"/> % Top-Up <input type="checkbox"/> Fixed Amount																																															
<input type="checkbox"/> **Daily <input type="checkbox"/> #Weekly <input type="checkbox"/> *Monthly <input type="checkbox"/> *Yearly		<input type="checkbox"/> D D (1 <sup>st</sup> to 28 <sup>th</sup> )	From		₹ in figures  in words	<input type="checkbox"/> % Top-Up <input type="checkbox"/> Fixed Amount																																															
<input type="checkbox"/> **Daily <input type="checkbox"/> #Weekly <input type="checkbox"/> *Monthly <input type="checkbox"/> *Yearly		<input type="checkbox"/> Last date of month	To	Maximum Duration of 40 years	₹ in figures  in words	<input type="checkbox"/> % Top-Up <input type="checkbox"/> Fixed Amount																																															

In case of multiple selection, SIP Top Up will be registered with 'Fixed Amount mentioned'.

SIP minimum Top-up amount is ₹ 1/- and in multiple of ₹1/- for all schemes except Axis ELSS Tax Saver Fund the minimum amount is ₹ 500/- and in multiples of ₹ 500/- thereafter.

SIP initial payment details (Optional)

Drawn on bank / branch name	Amount
Mode <input type="checkbox"/> Cheque/DD	Cheque/DD <input type="checkbox"/> Dated D D M M Y Y Y Y

In case of multiple SIP, mention "Axis MF Multiple Schemes" on the payment instrument.

## 3 DECLARATION AND SIGNATURE (to be signed by all unit holders if mode of holding is 'joint')

I / We declare that the particulars furnished here are correct. I / We authorize Axis Mutual Fund acting through its service providers to debit my / our bank account towards payment of SIP installments and/ or any lumpsum payments through an Electronic Debit arrangement / NACH (National Automated Clearing House) as per my request from time to time. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information, I/We would not hold the user institution responsible. I/We will also inform Axis Mutual Fund about any changes in my bank account. I/We hereby authorize to honour such payments and have signed and endorsed the Mandate Form. Further, I authorize my representative (the bearer of this request) to get the above Mandate verified. Mandate verification charges, if any, may be charged to my/our account.

 You/ Sole Applicant /Guardian	 Second Applicant	 Third Applicant
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Investor Name		 Stamp & Signature
SIP Scheme 1	Top-up <input type="checkbox"/> Yes <input type="checkbox"/> No	
SIP Scheme 2	Top-up <input type="checkbox"/> Yes <input type="checkbox"/> No	
SIP Scheme 3	Top-up <input type="checkbox"/> Yes <input type="checkbox"/> No	

## INSTRUCTIONS FOR SIP & TOP-UP

1. Multiple SIP registration facility is not available for Axis Children's Fund, ETF schemes and during NFO Axis BSE India Sector Leaders Index Fund - For digital mode, SIP will commence from 18th February 2026. For physical mode, SIP will commence from 4th March 2026.
2. OTM end date cannot be more than 40 years from the date of the mandate.
3. The end date mentioned on SIP Application should be equal to or, less than the end date mentioned on SIP NACH/OTM. If SIP end date exceeds from the date mentioned on the NACH/OTM then, SIP will be registered as per NACH/OTM end date.
4. Investors are required to submit Form along with a photo copy/cancelled cheque of Debit Bank Account at least 21 days before the first SIP Installment date.
5. \*Investor shall have the option of choosing any date. In case the selected date falls on a Non-Business Day or on a date which is not available in a particular month, the SIP will be processed on the immediate next business day/date. If SIP debit date is not mentioned default date would be considered as 7th of every month. If the SIP date falls on a non-business day or a bank holiday, the SIP debit will be processed on the following business day. \*\* Will be triggered and processed only on Business Days. # will be triggered and processed on the day opted by the investor. If the day opted falls on non-business day, it will be triggered and processed on the next business day.

6. Please refer below table for minimum installments:

Schemes	Group	Daily (₹)	Weekly (₹)	Monthly (₹)	Yearly (₹)	Inst.
Axis Balanced Advantage Fund, Axis Large Cap Fund, Axis Gold Fund, Axis Mid Cap Fund, Axis Flexi Cap Fund, Axis Small Cap Fund, Axis Multi Asset Allocation Fund, Axis Value Fund, Axis Multicap Fund, Axis Money Market Fund, Axis Short Duration Fund, Axis Ultra Short Duration Fund.	A	10	100	100	12,000	D/W/M:6 (Yearly:3)
Axis Focused Fund, Axis Income Plus Arbitrage Active FOF, Axis Corporate Bond Fund, Axis Arbitrage Fund, Axis Aggressive Hybrid Fund, Axis Equity Savings Fund, Axis Global Equity Alpha Fund of Fund, Axis Greater China Equity Fund of Fund, Axis Global Innovation Fund of Fund, Axis Strategic Bond Fund, Axis Conservative Hybrid Fund, Axis Quant Fund, Axis NIFTY 100 Index Fund, Axis Large & Mid Cap Fund, Axis NIFTY 50 Index Fund, Axis NIFTY Next 50 Index Fund, Axis Nifty Smallcap 50 Index Fund, Axis Nifty Midcap 50 Index Fund, Axis Nifty Bank Index Fund, Axis Nifty 500 Index Fund, Axis Services Opportunities Fund, Axis Nifty500 Momentum 50 Index Fund, AXIS NIFTY 500 VALUE 50 INDEX FUND.	B	100	100	100	12,000	D/W/M:6 (Yearly:3)
Axis Banking & PSU Debt Fund, Axis Children's Fund, Axis Gilt Fund, Axis Dynamic Bond Fund, Axis ESG Integration Strategy Fund, Axis Credit Risk Fund, Axis Floater Fund, Axis Treasury Advantage Fund, Axis Multi Factor Passive FoF, Axis US Specific Equity Passive FOF, Axis Retirement Fund - Conservative Plan, AXIS SILVER FUND OF FUND, Axis US Specific Treasury Dynamic Debt Passive FOF, Axis CRISIL IBX SDL May 2027 Index Fund, Axis Long Duration Fund, Axis CRISIL IBX SDL June 2034 Debt Index Fund, Axis CRISIL-IBX AAA Bond NBFC - Jun 2027 Index Fund, Axis CRISIL-IBX AAA Bond Financial Services - Sep 2027 Index Fund, Axis CRISIL-IBX	C	100	100	1000	12,000	D/W/M:6 (Yearly:3)

AAA Bond NBFC-HFC – Jun 2027 Index Fund, Axis CRISIL IBX 50:50 Gilt Plus SDL September 2027 Index Fund.						
Axis Consumption Fund, Axis Momentum Fund, Axis India Manufacturing Fund.	D	100	100	500	6,000	D/W/M:6 (Yearly:3)
Axis ELSS Tax Saver Fund.	E	500	500	500	6,000	D/W/M:6 (Yearly:3)
Axis Liquid Fund.	F	100	100	100	NA	D/W/M:6
Axis Overnight Fund.	G	100	100	NA	NA	D/W:6

7. If no amount is mentioned minimum SIP installment amount would be considered.
8. For details about the Scheme and its facility please refer the SID, SAI & KIM of the respective schemes / Addendum issued from time to time carefully before investing.
9. For daily, weekly and monthly frequency the SIP will be discontinued automatically if payment is not received for three successive installments. In case of Yearly frequency, the SIP registration will stand automatically cancelled, in case of 2 consecutive failed debits.
10. Investors can discontinue a SIP at any time by sending a written request to any Official Point of Acceptance or to the registrar KFin Technologies Limited. Revised timeline for SIP cancellation is T+2 working days. Any transaction presented before cancellation, shall be processed.
11. Mandate will be processed through NACH platform offered by NPCI.
12. Investor will not hold Axis Mutual Fund, its registrars and other service providers responsible if the transaction is delayed or not effected or the investor bank account is debited in advance or after the specific SIP date due to various clearing cycles of NACH Debit/ Local/Bank holiday. Axis Mutual Fund, its registrars and other service providers shall not be held responsible or liable for damages / compensation / loss incurred by the investor as a result of using the SIP or ECS / Auto debt facility. The investor assumes the entire risk of using this facility and takes full responsibility.
13. Investor can change bank details for SIP by submitting a "CHANGE OF BANK MANDATE - FOR SIP" form available on the website or at any Investor Service Centre along with cancelled cheque of the new bank with the investor's name printed on it.
14. TOP-UP Facility: Under this facility the Investor can increase the SIP installment at pre-defined intervals by a fixed amount or any time as per the request. This facility is available for individual investors only. For availing the said facilities, investors are required to note the following:
  - Investor willing to register TOP-UP should provide the TOP-UP details along with the SIP enrolment details.
  - The application form for availing the SIP Top-up facility should be submitted 21 days before the first SIP instalment date.
  - The minimum amount for SIP Top-up facility is Re 1/- and in multiples of Re 1/- for all schemes offering SIP facility; except Axis ELSS Tax Saver Fund, where the minimum amount for SIP Top-up is Re 500 and in multiples of Rs 500 thereafter.
  - The minimum Top-up percentage is 5% of the SIP amount and in multiples of 5% thereafter for all schemes offering SIP facility. Currently, percentage based SIP Top-up is available for physical mode. The percentage based SIP Top-up is unavailable for Axis ELSS Tax Saver Fund.
  - Percentage SIP Top-up will be computed on the immediately preceding SIP instalment amount.
  - In case of discrepancy in the Top-Up amount/percentage, SIP will be registered without Top-Up Facility.
  - Top-up frequencies available are Half-Yearly/ Yearly/ Dynamic (i.e. as and when requested).
  - In case Top-Up frequency is not indicated, it will be considered as Yearly by Default.
  - The Top-up date will correspond to the date of registered SIP.
  - Top-up will continue till the end of the SIP tenure by default.
  - In case of Dynamic Top-up option, the gap between SIP registration and first Top-Up request should be at least 6 months and subsequently the gap between two Top-up requests should be at least 3 months.
  - No modification can be made to SIP Top-up frequency / amount / percentage during the SIP tenure. SIP Top-up facility can be discontinued only by cancelling the SIP.
  - Please see the illustration below to know how to calculate SIP Top-Up amount:
    - SIP Starts on 07/05/2016 • SIP ends on 07/12/2099 • SIP amount is ₹1000
    - Top-Up amount is ₹500 • Top-Up Frequency is Half-yearly

Top-Up date	SIP Amount (₹)	Top-Up Amount (₹)	New SIP Amount (₹)
7-Nov-2016	1000	500	1500
7-May-2017	1500	500	2000
7-Nov-2017	2000	500	2500
7-May-2018	2500	500	3000

## SYSTEMATIC TRANSFER PLAN (STP)

Distributor ARN/ RIA CODE <sup>^</sup> / PMR (Portfolio Manager's Registration) Number <sup>^^</sup>	SUB-Distributor ARN	Internal SUB-Broker/Sol ID	EUIN	Employee Code

Declaration for "Execution-only" transaction (where the above EUIN box is left blank & no investment advice is solicited) / Registered Investment Advisor (RIA) Transaction/EOP (for digital transactions): 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 inappropriateness, if any, provided by the employee / relationship manager / sales person of the distributor / sub broker.

 1st Holder/Guardian/POA/Authorised Signatory	 2nd Holder/Authorised Signatory	 3rd Holder/Authorised Signatory
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### 1 APPLICANT DETAILS

Folio No.

Sole / 1st Unitholder (as in PAN Card / KYC records)	<input type="text"/>
Guardian's Name (as case of minor)	<input type="text"/> First Name <input type="text"/> Middle Name <input type="text"/> Last Name
1st Holder PAN	<input type="text"/> 1st Applicant <input type="text"/> 2nd Holder PAN <input type="text"/> 2nd Applicant
3rd Holder PAN	<input type="text"/> 3rd Applicant <input type="text"/>

### 2 SYSTEMATIC TRANSFER PLAN (STP) (To be submitted at least 4 working days before the 1st due date for transfer).

From Scheme <sup>#</sup> <input type="text"/>	Plan <input type="checkbox"/> Direct <input type="checkbox"/> Regular
Option (tick ✓) <input type="checkbox"/> Growth <input type="checkbox"/> IDCW Reinvestment <input type="checkbox"/> IDCW Payout	ICDW Frequency <input type="text"/>
To Scheme <input type="text"/>	Plan <input type="checkbox"/> Direct <input type="checkbox"/> Regular
Option (tick ✓) <input type="checkbox"/> Growth <input type="checkbox"/> IDCW Reinvestment <input type="checkbox"/> IDCW Payout	ICDW Frequency <input type="text"/>
<input type="checkbox"/> <b>Systematic Transfer Plan (STP) (Ref. Instruction 5)</b> <input type="checkbox"/> <b>Capital Appreciation Systematic Transfer Plan (CapSTP) (Ref Instruction 6)</b>	
Transfer Frequency (Please tick (✓) any one of the below frequencies)	
<input type="checkbox"/> Daily	
<input type="checkbox"/> Weekly* (Monday To Friday) Day of transfer <input type="text"/>	
<input type="checkbox"/> Fortnightly (Every Alternate Wednesday)	
<input type="checkbox"/> Monthly <sup>\$</sup> <input type="checkbox"/> 1st <input type="checkbox"/> 7th <input type="checkbox"/> 10th <input type="checkbox"/> 15th <input type="checkbox"/> 25th	
<input type="checkbox"/> Quarterly <sup>\$</sup> <input type="checkbox"/> 1st <input type="checkbox"/> 7th <input type="checkbox"/> 10th <input type="checkbox"/> 15th <input type="checkbox"/> 25th	
<sup>\$</sup> Please ref instruction no. 12.	
Transfer Instalment ₹ <input type="text"/>	No. of Instalments <input type="text"/>
OR Transfer Period From <input type="text"/> D <input type="text"/> D <input type="text"/> M <input type="text"/> M <input type="text"/> Y <input type="text"/> Y <input type="text"/> D <input type="text"/> D <input type="text"/> M <input type="text"/> M <input type="text"/> Y <input type="text"/> Y	
(First Instalment) <input type="text"/> (Last Instalment) <input type="text"/>	

Having read and understood the contents of the Scheme Information Document of the Scheme(s), I / we hereby apply for units of the Scheme(s) and agree to abide by the terms, conditions, rules and regulations governing the Scheme(s). I / We hereby declare that the amount invested in the Scheme(s) is through legitimate sources only and does not involve and is not designed for the purpose of the contravention of any Act, Rules, Regulations, Notifications or Directions of the provisions of the Income Tax Act, Anti Money Laundering Laws, Anti Corruption Laws or any other applicable laws enacted by the Government of India from time to time. I / We have understood the details of the Scheme(s) & I / we have not received nor have been induced by any rebate or gifts, directly or indirectly in making this investment. I / We confirm that the funds invested in the Scheme(s), legally belong to me / us. In the event "Know Your Customer" process is not completed by me / us to the satisfaction of the Mutual Fund, I / we hereby authorise the Mutual Fund, to redeem the funds invested in the Scheme(s), in favour of the applicant, at the applicable NAV prevailing on the date of such redemption and undertake such other action with such funds that may be required by the Law.

The ARN holder has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us.

For NRIs only: I / We confirm that I am / we are Non Residents of Indian nationality / origin and that I / we have remitted funds from abroad through approved banking channels or from funds in my / our Non-Resident External/Non-Resident Ordinary/FCNR account.

I / We confirm that details provided by me / us are true and correct.

 First / Sole Applicant / Guardian	 Second Applicant	 Third Applicant	 POA Holder
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### ACKNOWLEDGMENT SLIP (To be filled in by the investor)

Folio No. <input type="text"/> Investor Name <input type="text"/>	
From Scheme <input type="text"/>	To Scheme <input type="text"/>
Amount <input type="text"/>	Frequency <input type="text"/>
Stamp & Signature <input type="text"/>	

## STP Enrolment Form - Instruction

1. The STP Enrolment Form should be completed in English and in Block Letters only. Please tick in the appropriate box, where boxes have been provided. The STP Enrolment Form complete in all respects, should be submitted at any of the Official Points of Acceptance of Axis Mutual Fund.
2. One STP Enrolment Form can be filled for one Scheme/Plan/Option only.
3. Investors are advised to read the Key Information Memorandum(s) (KIMs) and Scheme Information Document(s) (SIDs) of the Transferee Scheme(s) and Statement of Additional Information (SAI) carefully before investing. The SIDs / KIMs of the respective Scheme(s) and SAI are available with the ISCs of Axis Mutual Fund, brokers/distributors and also displayed at the Axis Mutual Fund website i.e. [www.axismf.com](http://www.axismf.com)
4. Unit holders should note that unit holders' details and mode of holding (single, joint, anyone or survivor) in the Transferee Scheme will be as per the existing folio number of the Transferor Scheme. Units will be allotted under the same folio number. Unit holders' names should match with the details in the existing folio number, failing which; the application is liable to be rejected.
5. STP offers unit holders the following two Plans:
  1. Systematic Transfer Plan (STP)
  2. Capital Appreciation Systematic Transfer Plan (CapSTP)

Investor's can opt for any of the above facility.

Systematic Transfer Plan (STP) offers transfer facility at Daily, Weekly, Fortnightly, Monthly and Quarterly intervals.

Capital Appreciation STP (CapSTP) offers transfer facility at Weekly, Monthly and Quarterly intervals. If no frequency is chosen, Monthly frequency shall be treated as the Default Frequency.

6. Under the CapSTP-Weekly Interval, unit holders will be eligible to transfer the entire capital appreciation amount (minimum ₹ 500) by way of capital appreciation from Monday to Friday.

Monthly Interval, unit holders will be eligible to transfer the entire capital appreciation amount (minimum ₹ 500) by way of capital appreciation on the 1st, 7th, 10th, 15th or 25th of each month.

Under the CapSTP-Quarterly Interval, unit holders will be eligible to transfer the entire capital appreciation amount (minimum ₹ 1,000) by way of capital appreciation on the 1st, 7th, 10th, 15th or 25th of the first month of each quarter. The beginning of the quarter could be of any month e.g. January, March, July, September, etc. Please note that no transfers will take place if there is no minimum capital appreciation amount (except for last transfer leading to closure of account). The initial capital appreciation, if any, will be calculated based on the available units as of the first transfer date. Any subsequent capital appreciation will be determined as the difference between the previous CapSTP date (where CapSTP was processed and paid) and the next scheduled CapSTP date.

7. The provision of 'Minimum Redemption Amount' as specified in the Scheme Information Document(s) of the respective designated Transferor Schemes and 'Minimum Application Amount' specified in the Scheme Information Document(s) of the respective designated Transferee Schemes will not be applicable for STP.
8. Unit holders are required to fill in either the number of instalments OR the enrolment period in the STP Form, failing which the STP shall be registered as per No. of Instalments mentioned.
9. In case Day of Transfer has not been indicated under STP- Weekly frequency, Wednesday shall be treated as Default day.
10. In case, the Enrolment Period has been filled, but the STP Date and/or Frequency (Monthly/Quarterly) has not been indicated, Monthly frequency shall be treated as Default frequency and 10th shall be treated as Default Date.
11. The application for STP/ Cap STP enrolment - Monthly & Quarterly Interval should be submitted at least 4 working days and not more than 90 days before the desired commencement date.
12. Please refer below table for min. no. of installments and minimum amount per installment:

STP Frequency	Cycle Date	Minimum Amount* (in ₹)	Minimum Installment
Daily	Monday To Friday	1,000/-	6
Weekly	Monday To Friday	1,000/-	6
Fortnightly	Alternate Wednesday	1,000/-	6
Monthly	1st, 7th, 10th, 15th or 25th	1,000/-	6
Quarterly	1st, 7th, 10th, 15th or 25th	3,000/-	2

If the Transferee scheme is Axis Long Term Equity Fund, minimum STP amount is ₹500.

13. In respect of STP, the Load Structure prevalent at the time of enrolment shall govern the investors during the tenure of the STP.
14. A minimum period of 4 working days shall be required for registration under STP. Units will be allotted/redeemed at the applicable NAV of the respective dates of the Scheme on which such investments/withdrawals are sought from the Scheme.
15. The AMC reserves the right to introduce STPs at any other frequencies or on any other dates as the AMC may feel appropriate from time to time. In the event that such a day is a Holiday, the transfer would be affected on the next Business Day.
16. The requests for discontinuation of STP/CapSTP shall be subject to an advance notice of 4 working days before the next due date for STP.
17. STP will terminate automatically if all Units are liquidated or withdrawn from the account or upon the Funds' receipt of notification of death or incapacity of the Unit holder. Further, in case where the balance amount in a folio is less than the STP/CapSTP amount, the entire amount will be transferred to the transferee scheme.
18. If STP date/day is a non-Business Day, then the next Business Day shall be the STP Date / Day and the same will be considered for the purpose of determining the applicability of NAV.
19. The Trustee reserves the right to change/modify the terms and conditions of the STP. For the updated terms and conditions of STP, contact the nearest ISC or visit our website [www.axismf.com](http://www.axismf.com)

## ONE TIME MANDATE (OTM) FORM

- One Time Mandate (OTM) is a common application form for registration of mandate centrally and not being folio specific.
- OTM registration will be PAN Based and will be available for investment in all folios available with Axis Mutual Fund for Multiple SIPs and additional purchases.
- One Time Mandate is only available to HUFs, Proprietor Firms and individual investors with "Single" or "Either or Survivor" mode of holding.

**01**  **INVESTOR DETAILS** (If One Time Mandate registration is not required, skip this section and only fill the NACH Mandate below.)

Name of Applicant

PAN

Bank Name  Account No.

I / We declare that the particulars furnished here are correct. I / We authorize Axis Mutual Fund acting through its service providers to debit my / our bank account towards payment of SIP installments and/ or any lumpsum payments through an Electronic Debit arrangement / NACH (National Automated Clearing House) as per my request from time to time.

If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information, I/We would not hold the user institution responsible.

I/We will also inform Axis Mutual Fund about any changes in my bank account.

I/We hereby authorize to honour such payments and have signed and endorsed the Mandate Form.

Further, I authorize my representative (the bearer of this request) to get the above Mandate verified. Mandate verification charges, if any, may be charged to my/our account.

I/We hereby agree to read the respective SID and SAI of the mutual fund before investing in any scheme of Axis Mutual Fund using this facility.

I/We request you to make provisions for me/ us and/ or an advisor authorized by me to be able to utilize this mandate for any transaction (not limited to SIP and/ or Lumpsum payments) in all the folios associated with my PAN mentioned above any mode of transaction available to me time to time from Axis Mutual Fund.

I/ We give my consent to Axis Asset Management Company Limited and its agents to contact me over phone, SMS, email or any other mode to address my investment related queries and/or receive communication pertaining to transactions/ non-commercial transactions/ promotional/ potential investments and other communication/ material irrespective of my blocking preferences with the Customer Preference Registration Facility.

Date

Place

 SIGNATURE(S)

Signature of PAN Holder (as per folio record)

AXIS MUTUAL FUND		UMRN <input type="text"/>	Bank use <input type="text"/>	Date <input type="text"/>
<input checked="" type="checkbox"/> Tick (✓)	Sponsor Bank Code <input type="text"/>	Utility Code <input type="text"/>	Bank use <input type="text"/>	
<input checked="" type="checkbox"/> CREATE	I/We hereby authorize <input type="text"/>	to debit (tick✓) <input type="checkbox"/> SB <input type="checkbox"/> CA <input type="checkbox"/> CC <input type="checkbox"/> SB-NRE <input type="checkbox"/> SB-NRO <input type="checkbox"/> Other	<input type="checkbox"/> As & when presented	
<input type="checkbox"/> MODIFY	<input type="checkbox"/> Axis Mutual Fund	<input type="checkbox"/> Bank a/c number <input type="text"/>		
<input type="checkbox"/> CANCEL	<input type="checkbox"/> Bank a/c number <input type="text"/>			

with Bank  Name of customers bank  IFSC  or MICR

an amount of Rupees  In Words  ₹  In Figures

FREQUENCY  Mthly  Qtly  H-Yrly  Yrly  As & when presented DEBIT TYPE  Fixed Amount  Maximum Amount

Reference 1  PAN No.  Phone No.

Reference 2  All Schemes of Axis Mutual Fund  Email ID

I agree for the debit of mandate processing charges by the bank whom I am authorizing to debit my accounts as per latest schedule of charges of the bank.

PERIOD				
From <input type="text"/>	<input type="text"/>	Signature Primary Account holder	Signature of Account holder	Signature of Account holder
To <input type="text"/>	<input type="text"/>			
Maximum period of validity of this mandate is 40 years only		1. <input type="text"/> Name as in bank records	2. <input type="text"/> Name as in bank records	3. <input type="text"/> Name as in bank records

This is to confirm that the declaration (as mentioned overleaf) has been carefully read, understood & made by me / us. I am authorizing the User Entity / Corporate to debit my account, based on the instructions as agreed and signed by me. I have understood that I am authorized to cancel / amend this mandate by appropriately communicating the cancellation / amendment request to the User entity / Corporate or the bank where I have authorized the debit.

**MANDATORY FIELDS :** • Instrument Date • Account type • Bank A/c number (core banking a/c no only) • Bank name • IFSC code or MICR code (as per the cheque / pass book) • Amount (in words & in figures) • Period start date and end date • Account holder signature • Account holder name as per bank records

**ACKNOWLEDGMENT SLIP (To be filled by the investor)**

Investor Name

PAN

 SIGNATURE(S)

Stamp & Signature

## INSTRUCTIONS FOR ONE TIME MANDATE

1. One Time Mandate is currently available to HUFs, Proprietor Firms and individual investors with "Single" or "Either or Survivor" the mode of holding.
2. OTM end date cannot be more than 40 years from the date of the mandate.
3. The end date mentioned on SIP application should be equal to or, less than the end date mentioned on SIP NACH/OTM. If SIP end date exceeds from the date mentioned on the NACH/OTM then, SIP will be registered as per NACH/OTM end date.
4. Registration of One Time Mandate will take 21 days from the date of submission of form.
5. Mandate will be processed through NACH platform offered by NPCI.
6. "National Automated Clearing House (NACH)" is Direct Electronic Debit mode implemented by National Payments Corporation of India (NPCI), list of banks is available on NPCI website [www.npci.org.in](http://www.npci.org.in). The said list is subject to modifications. The investor agrees to abide by the terms and conditions of NACH Debit/ECS of Reserve Bank of India/Banks.
7. In case the Mandatory fields on the Mandate are not filled, the mandate will be rejected.
8. Maximum Amount: The MAXIMUM AMOUNT is the per transaction maximum limit. As investor can register for multiple SIPs with one time NACH mandate. The transaction amount should not exceed the maximum amount mentioned in the NACH mandate. It is suggested to choose a higher amount to commence additional investments in future or to absorb Top-Up increments.
9. Axis One Time Mandate cannot be utilized for Liquid schemes, ETF schemes, closed ended schemes, and during NFO period.
10. The Investor/s shall not hold the AMC liable for the following:
  - For any transaction using the Facility carried out in good faith by the AMC on instructions of the Investor/s.
  - For unauthorized usage/ unauthorized transactions conducted by using the Facility.
  - For any loss or damage incurred or suffered by the Investor/s due to any error, defect, failure or interruption in the provision of the Facility arising from or caused by any reason whatsoever.
  - For any negligence/mistake or misconduct by the Investor/s.
  - For any breach or non-compliance by the Investor/s of the rules/ terms and conditions stated in the Scheme Information Document.
  - For not verifying the identity of the person giving the telephone instructions in the Investor/s name.
  - For not carrying out any such instructions where the AMC has reason to believe (which decision of the AMC the Investor/s shall not question or dispute) that the instructions given are not genuine or are otherwise improper, unclear, vague or cause for doubt.
  - For carrying out a transaction after such reasonable verification as the AMC may deem fit regarding the identity of the Investor/s.
  - In case of error in NAV communication.
  - For accepting instructions given by any one of the Investor/s or his/her authorized person.
11. Axis Asset Management Company Limited (AMC) has the right to ask such information (Key Information) from the available data of the Investor/s before allowing him/her access to avail the One Time Mandate facility (the Facility). If for any reason, the AMC is not satisfied with the replies of the Investor/s, the AMC has at its sole discretion the right of refusing access without assigning any reason/s to the Investor/s.
12. It is clarified that the Facility is only with a view to accommodate / facilitate the Investor/s and offered at the sole discretion of the AMC. The AMC is not bound and/or obliged in any way to give access to the Facility to Investor/s.
13. The Investor/s shall check his/ her account records carefully and promptly. If the Investor/s believes that there has been a mistake in any transaction using the Facility, or that an unauthorized transaction has been effected, the Investor/s shall notify the AMC immediately. If the Investor/s defaults in intimating the discrepancies in the statement within a period of fifteen days of receipt of the statements, he waives all his rights to raise the same in favor of the AMC, unless the discrepancy/ error is apparent on the face of it. By opting for the facility the Investor/s hereby irrevocably authorizes and instructs the AMC to act as his/ her agent and to do all such acts as AMC may find necessary to provide the Facility.
14. The Investor/s shall at all times be bound by any modifications and/ or variations made to these Terms and Conditions by the AMC at their sole discretion and without notice to them.
15. The Investor/s agrees and confirms that the AMC has the right to ask the Investor/s for an oral or written confirmation of any transaction request using the Facility and/ or any additional information regarding the Account of the Investor/s.
16. The Investor/s agrees and confirms that the AMC may at its sole discretion suspend the Facility in whole or in part at any time without prior notice.
17. The Investor/s shall not assign any right or interest or delegate any obligation arising herein.
18. The Investor/s shall take responsibility for all the transactions conducted by using the Facility and will abide by the record of transactions generated by the AMC. Further, the Investor/s confirms that such records generated by the AMC shall be conclusive proof and binding for all purposes and may be used as evidence in any proceedings and unconditionally waives all objections in this behalf.
19. The Investor/s agrees that use of the Facility will be deemed acceptance of the Terms and Conditions and the Investor/s will unequivocally be bound by these Terms and Conditions.

## DECLARATION FORM OF NON-PROFIT ORGANIZATION (NPO)

(MANDATORY FOR TRUSTS/SOCIETY)

Investor Name

PAN

I/We hereby confirm that above stated entity / organization is falling under "**Non-profit organization**" [NPO] which has been constituted for religious or charitable purposes referred to in clause (15) of section 2 of the Income-tax Act, 1961 (43 of 1961), and is registered as a trust or a society under the Societies Registration Act, 1860 (21 of 1860) or any similar State legislation or a Company registered under the section 8 of the Companies Act, 2013 (18 of 2013).

Enclosed relevant documentary proof evidencing the above definition.

We further confirm that we have registered with DAR PAN Portal of NITI Aayog as NPO and registration details are as follows:

Registration Number of DAR PAN portal

If not, please register immediately and confirm with the above information. In absence of receipt of the Darpan portal registration details, MF/AMC/RTA will be required to register your entity on the said portal and/or report to the relevant authorities as applicable.

I/We hereby confirm that the above stated entity / organization is **NOT** falling under Non-profit organization as defined above or in PMLA Act/Rules thereof.

I/We acknowledge and confirm that the information provided above is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/We may be liable for it for any fines or consequences as required under the respective statutory requirements and authorize you to deduct such fines/charges under intimation to me/us or collect such fines/charges in any other manner as might be applicable. I/We hereby authorize you [RTA/Fund/AMC/Other participating entities] to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to any of the Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me/us of the same. Further, I/We authorize to share the given information to other SEBI Registered Intermediaries or any other statutory authorities to facilitate single submission / update & for regulatory purposes. I/We also undertake to keep you informed in writing about any changes / modification to the above information in future within 30 days of such changes and undertake to provide any other additional information as may be required at your / Fund's end or by domestic or overseas regulators/tax authorities.

Signature with relevant seal:

 Authorized Signatory	 Authorized Signatory	 Authorized Signatory
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Date

Place

# SMART SWITCH FACILITY

## ENROLMENT FORM

(PLEASE READ THE INSTRUCTIONS BEFORE FILLING UP THE FORM. ALL SECTIONS TO BE COMPLETED IN ENGLISH IN BLACK/BLUE COLOURED INK & IN BLOCK LETTERS)

Distributor ARN	Sub-Distributor ARN	Internal Sub-Broker/Sol ID	EUIN	Employee Code	RIA CODE^	PMR (Portfolio Manager's Registration) Number ^^	Serial No., Date & Time Stamp

Upfront commission shall be paid directly by the investor to the AMFI registered distributor based on the investor's assessment of various factors including the service rendered by the distributor. ^I/We, have invested in the scheme(s) of Axis Mutual Fund under Direct Plan. I/We hereby give my/our consent to share/provide the transaction data feed/portfolio holdings/ NAV etc. in respect of my/our investments under Direct Plan of all schemes of Axis Mutual Fund, to the above mentioned SEBI Registered Investment Adviser. ^^I/We, have invested in the scheme(s) of Axis Mutual Fund under Direct Plan. I/We hereby give my/our consent to share/provide the transaction data feed/portfolio holdings/NAV etc. in respect of my/our investments under Direct Plan of all schemes of Axis Mutual Fund, to the above mentioned SEBI Registered Portfolio Manager.

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 inappropriateness, if any, provided by the employee / relationship manager / sales person of the distributor / sub broker.

You/ Sole Applicant /Guardian	Second Applicant	Third Applicant	Power of Attorney Holder
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### 01 INVESTOR DETAILS

Existing folio number	<input type="text"/>	PAN/PEKRN (1st Applicant)	<input type="text"/>
My Name	<input type="text"/>		

### 02 SCHEME DETAILS (for Lumpsum investment / Switch Out Scheme) (Purchase applications would be accepted only upto applicable cut -off timings on February 5, 2026..)

Scheme name (Please ✓ choice of Scheme)	<input type="checkbox"/> Axis Overnight Fund
Plan (Please ✓ choice of Scheme)	<input type="checkbox"/> Regular Plan <input type="checkbox"/> Direct Plan

Option  Growth Option

### 03 INVESTMENT DETAILS

DD/Cheque No.	<input type="text"/>	NEFT/ RTGS/ Fund Transfer	<input type="text"/>	One Time Mandate (OTM)	<input type="text"/>
Amount ₹ (in figures)	<input type="text"/>	₹ (in words)	<input type="text"/>		
Dated	<input type="text"/> D <input type="text"/> D <input type="text"/> M <input type="text"/> M <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y	Bank & Branch	<input type="text"/>		

### 04 SWITCH - IN SCHEME DETAILS

Scheme name	<b>AXIS BSE INDIA SECTOR LEADERS INDEX FUND</b>	Plan	<input type="checkbox"/> Regular Plan	<input type="checkbox"/> Direct Plan
Option	<input checked="" type="checkbox"/> Growth Option			

I have read and understood the terms & conditions of SMART SWITCH Facility.

### 05 DECLARATION AND SIGNATURE

Having read and understood the content of the SID / KIM of the scheme and SAI of the Axis Mutual Fund (The Fund), I/we hereby apply for units of the scheme. I have read and understood the terms, conditions, details, rules and regulations governing the scheme. I/We hereby declare that the amount invested in the scheme is through legitimate source only and does not involve designed for the purpose of the contravention of any Act, Rules, Regulations, Notifications or Directives of the provisions of the Income Tax Act, Anti Money Laundering Laws, Anti Corruption Laws or any other applicable laws enacted by the Government of India from time to time. I/we have not received nor have been induced by any rebate or gifts, directly or indirectly in making this investment. I/We confirm that the funds invested in the Scheme, legally belongs to me/us. In event "Know Your Customer" process is not completed by me/us to the satisfaction of the Mutual Fund, I/we hereby authorize the Mutual Fund, to redeem the funds invested in the Scheme, in favour of the applicant, at the applicable NAV prevailing on the date of such redemption and undertake such other action with such funds that may be required by the law. The ARN holder has disclosed to me/us all the commissions (trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Funds amongst which the Scheme is being recommended to me/ us. I/ we give my / our consent to collect personal data or information as prescribed in the privacy policy which is available on the website of the AMC / Fund. I/We hereby give consent to the Company or its Authorized Agents and third party service providers to use information/data provided by me to contact me through any channel of communication including but not limited to email, telephone, sms, etc. and further authorise the disclosure of the information contained herein to its affiliates/group companies or their Authorized Agents or Third Party Service Providers in order to provide information and updates to me on various financial and investment products and offering of other services. I/We agree that all personal or transactional related information collected/provided by me can be shared/transferred and disclosed with the above mentioned parties including with any regulatory, statutory or judicial authorities for compliance with any law or regulation in accordance with privacy policy as available at the website of the Company.

I/We confirm that I/We do not have any existing Micro SIP/Lumpsum investments which together with the current application will result in aggregate investments exceeding ₹50,000 in a year (Applicable for Micro investment only), with your fund house. For NRIs only - I/ We confirm that I am/ we are Non Residents of Indian nationality/origin and that I/We have remitted funds from abroad through approved banking channels or from funds in my/ our Non Resident External / Non Resident Ordinary / FCNR account. I/We confirm that details provided by me/us are true and correct.

I/ We give my consent to Axis Asset Management Company Limited and its agents to contact me over phone, SMS, email or any other mode to address my investment related queries and/or receive communication pertaining to transactions/ non-commercial transactions/ promotional/ potential investments and other communication/ material irrespective of my blocking preferences with the Customer Preference Registration Facility.

I/We hereby provide my/our consent in accordance with Aadhaar Act, 2016 and regulations made thereunder. for (i) collecting, storing and usage (ii) validating/authenticating and (ii) updating my/ our Aadhaar number(s) (if provided) in accordance with the Aadhaar Act, 2016 (and regulations made thereunder) and PMLA. I/ We hereby provide my/our consent for sharing/disclosed of the Aadhaar number(s) including demographic information with the asset management companies of SEBI registered mutual fund (s) and their Registrar and Transfer Agent (RTA) for the purpose of updating the same in my/our folios with my PAN.

**CERTIFICATION:** I/ We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct, and complete. I/ We also confirm that I/ We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same.

I/We have read and understood the instructions on nomination given below/overleaf and I/We hereby undertake to abide by the same. The instructions contained herein supercedes all previous nominations made by me/us in respect of the folio(s) mentioned above.

**Declaration:** I/We have read and understood the instructions of SMART SWITCH Facility on aforesaid page and hereby request you to switch all units allotted in source scheme for amount invested through Smart Switch Form to Axis BSE India Sector Leaders Index Fund subject to terms & conditions of the target scheme. (Please refer to the SID and KIM of respective funds for complete details).

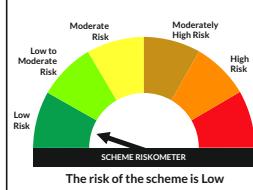
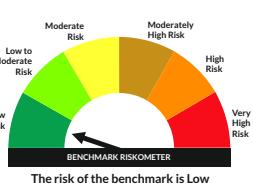
You/ Sole Applicant /Guardian	Second Applicant	Third Applicant	Power of Attorney Holder
Date <input type="text"/> D <input type="text"/> D <input type="text"/> M <input type="text"/> M <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y	Place <input type="text"/>		

## TERMS AND CONDITIONS FOR SMART SWITCH FACILITY

1. SMART SWITCH Facility ("the Facility") allows investors to first invest in the Source Scheme and then automatically Switch invested principle amount into scheme whose NFO is going on. The switch from source scheme to NFO scheme takes place on the last day of the NFO.
2. Currently, Axis Overnight Fund will act as the Source Scheme. Investments would be allowed only under the Growth Option of these Schemes.
3. In case of existing investments in any of the Source Schemes and additional purchase through this facility, the switch will be effected on FIFO basis and to the extent of the additional units purchased through this facility.

**Example:** Investor A (having exiting 5,000 units) in Axis Overnight Fund, done additional purchase of ₹ 150000 (15000 units appx) through Smart Switch. In that case, the switch out will be processed only for 15,000 units (refer point 3) and not for 20,000 units. Further, the switch- out of 15000 units will be done as per FIFO method, 5,000 units from existing investment + 10,000 units from Smart Switch Investments = 15,000 units irrespective of valuation (Gain/Loss) on switch out date.

4. New / First Time Investors with Axis Mutual Fund are required to fill in the Application Form along with the SMART SWITCH Enrollment Form.
5. Switch out will be subject to applicable taxes and exit Load, if any in the Source Scheme.
6. This facility is applicable for units held in non-demat mode.
7. The purchase/switch in application should meet the Minimum Application Amount requirement under each Scheme. In case, the minimum application amount requirement is not met, the application will be rejected.
8. Investments in the specified source schemes will be accepted till applicable cut off time for the respective schemes on February 5, 2026 and if the corresponding units in the source scheme are allotted on or before February 5, 2026, then the NFO switch will be executed on February 6, 2026. In case the units in the source scheme are allotted after February 5, 2026 the NFO switch will not be executed.
9. The enrollment form not complete in all respects is liable to be rejected. Axis Mutual Fund / Axis AMC reserves the right to reject any application without assigning any reason thereof.
10. Axis Mutual Fund / Axis AMC reserves the right to change/modify the facility or withdraw the facility at any given point in time.
11. NFO switch (out) will be subject to availability of amount in source scheme, on the last day of ongoing NFO.

Fund Name & Benchmark	Product Labelling	Scheme Risk-o-meter	Benchmark Risk-o-meter	Potential Risk Class Matrix																				
<b>AXIS OVERNIGHT FUND</b> (An open ended debt scheme investing in overnight securities. A relatively low interest risk & relatively low credit risk) <b>Benchmark:</b> NIFTY 1D Rate Index	This product is suitable for investors who are seeking*: <ul style="list-style-type: none"> <li>• Regular income with high levels of safety and liquidity over short term.</li> <li>• Investment in debt and money market instruments with overnight maturity.</li> </ul> *Investors should consult their financial advisers if in doubt about whether the product is suitable for them.	 <p><b>SCHEME RISKOMETER</b> The risk of the scheme is Low</p>	 <p><b>BENCHMARK RISKOMETER</b> The risk of the benchmark is Low</p>	<table border="1"> <tr> <td>Credit Risk ➔</td> <td>Relatively Low (Class A)</td> <td>Moderate (Class B)</td> <td>Relatively High (Class C)</td> </tr> <tr> <td>Interest Rate Risk</td> <td>A-1</td> <td></td> <td></td> </tr> <tr> <td>Relatively Low (Class I)</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Moderate (Class II)</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Relatively High (Class III)</td> <td></td> <td></td> <td></td> </tr> </table>	Credit Risk ➔	Relatively Low (Class A)	Moderate (Class B)	Relatively High (Class C)	Interest Rate Risk	A-1			Relatively Low (Class I)				Moderate (Class II)				Relatively High (Class III)			
Credit Risk ➔	Relatively Low (Class A)	Moderate (Class B)	Relatively High (Class C)																					
Interest Rate Risk	A-1																							
Relatively Low (Class I)																								
Moderate (Class II)																								
Relatively High (Class III)																								
<b>AXIS BSE INDIA SECTOR LEADERS INDEX FUND</b> (An Open-Ended Index Fund tracking BSE India Sector Leaders TRI) <b>Benchmark:</b> BSE India Sector Leaders TRI	This product is suitable for investors who are seeking*: <ul style="list-style-type: none"> <li>• Long term wealth creation solution.</li> <li>• An index fund that invests in the constituents of BSE India Sector Leaders Index and aims to achieve returns of the stated total return index, subject to tracking error.</li> </ul> *Investors should consult their financial advisers if in doubt about whether the product is suitable for them.	 <p><b>SCHEME RISKOMETER</b> The risk of the scheme is Very High</p>	 <p><b>BENCHMARK RISKOMETER</b> The risk of the benchmark is Very High</p>																					