FORM 1 - FOR LUMP SUM / SIP INVESTMENTS



Application No.

	ibutor ARN	Sub-Distributor	ARN In	ternal Sub-Broker / Sol ID	Employee Code	EUIN	RIA C	ODE^	Serial	IVU., Da	te & Tii	ne Sta	mp
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nentioned SEBI	I Registered Investmen	nt Adviser:		my/our consent to share/provide the tra	·	ings/ wav etc. in respect	or my/our investment	ts under Dire	ect Plan of all si	chemes of A	xis iviutuai	FUND, TO	ne abo
"I/We hereb xecuted witho listributor/sub	ut any interaction or broker or notwiths	JIN box has been intentionally I advice by the employee/relation tanding_the_advice_of_in-app	left blank by me/us as t nship manager/sales per ropriateness, if any,	rson of the above provided by the Gi	le Applicant /	Second Applicant	Th	ird Applic	ant	Powe	er of Atto	rney H	older
		person of the distributor/sub bro FOR APPLICATIONS		RIBUTORS ONLY (Refer 20)		s ₹ 10,000	I confirm th	nat I am a	a first time	investor	across I	/lutual	Fund
r more and you		ed to receive Transaction Charg		tible as applicable from the purchase/			I confirm th						
		OPTION (To be filed in ca	ase of demat holding onl	y)			ING INVES				-		
		PHYSICAL MODE irst / Sole Applicant 🦳				Folio Number	sting folio with KYC	validated, p	please mention	here and sk	ip to section	on 6/8.)	
Name should	d be as per demat a	account)											
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NSDL	DP ID Beneficiery ID	IN		Beneficiery ID ease attach copy of Client Maste	er list	LUMP S		UNIP 50	M WITH S	P []	LUMP S		1H 2
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				ase fill in FATCA / CRS, UBO annexure	and attach along with application] Female		/01
	(As in PAN card/											-	
PAN (Minor/1				KIN (Defer 9.4)				CKYC F	ORM 🗌 S	UPPI FM	FNTARY	СКАС	FOR
Ref. 10 Aadhaar Ni	0 (Bef 23)			(Refer 8A)									
Father's Na							Dirth (Minor / 1st H	older)	D D	MM	v	v	
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	e Guarulan (in cas		proof of date of bit	rth) / POA (Contact person for i									-
				Guardian Aadha	ar No.								
Country of				Place of Birth		Nationali							
For Invest	ments "On beha	If of Minor" (Refer 11)	Birth Certifica	te 🗌 School Certificate 🗌	Passport 🗌 Other 🔤	Guardian	named above is	s 🗌	Father 🗌	Mother	Coui	rt Appo	intec
Overseas a City	address (For FIIs/N	RIs/PIOs)	State		Сог	Intry			Pin Code				
Email					Mobile				Tel.				
Status	Resident I		roprietor	HUF	Minor	Society	FII			IRI			
Occupatio	Partnersh Dn 🗌 Pvt. Secto		rust ublic Sector	Company Gov. Service	NPO* Housewife	<pre>Other</pre> Defence	Profes	Speci sional		Retired		*Other t	ian NP sines
•	Agricultur		tudent	Forex Dealer	Other			ecify					
		pliant (Please tick any on			ease fill below details)								
		nce would be taken RA 🔲 Residential or B		n KRA database. In case Residential 🔅 Busines:	, , ,		A & notify th	ie chan	ges				
	e documents are				Card Driving License		NREGA J	ob Card	🗌 Other	s	spe	cify	
	nual Income	<pre>1L 1.5L 5.10</pre>	L 10-25L >	25L 🛛	<1L 1.5L 5.10L	10-25L > 25L	25L-1C	>1C Is	the entity inv	olved in ar	ly of the f	ollowing	:
Gross Ann	JR vrth*in₹ STAT			AI				-	reign Exchang		Changer	Yes	N
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Country [#]	Tax identification number [%]	Identification type (TIN or Other, please specify)
#To also include USA, where the individual is a citizen / green card holder of the USA SECOND APPLICANT'S DETAILS (All fields are mandatory)	%In case Tax Identification Number is not available, kindly provide its functional equivalent \$	Gender 🗌 Male 🗌 Female
Name (2 nd) (As in PAN card/ KYC/ Aadhaar records)		
Father's Name		Email
PAN (Ref. 10)	KIN (Refer 8A)	CKYC FORM SUPPLEMENTARY CKYC FO
Aadhaar No. (Ref. 23)		
Mobile	Date of birth (as per Aadhaar records) D M Y Y	close 🗌 Attested PAN card copy 🗌 KYC Acknowledgment (Ref
Country of Birth Place	e of Birth Natio	nality
Status 🗌 Resident Individual 🗌 Proprietor 🗌 HUF 🔄	Minor 🗆 Society, 🗆 FII 🔄 💁 Gross Annual Income	
NRI PIO Partnership Firm Trust	Not worth* in 7	as on D D M M Y
Occupation Pvt. Sector Service Public Sector Gov. Servi Professional Business Agriculture Stude	ce Housewife Defence Retired	
	Any other information	
Are you FATCA Compliant (Please tick any one) Yes	No (if no, please fill below details)	KRA & notify the changes
	Residential Business Registered Office	NIN & HULLY LIE FIIdliges
	PAN Card Govt. ID Card Driving License UIDAI C	Card 🗌 NREGA Job Card 🗌 Others specify
Are you a tax resident of any country other than India?	Yes No (If yes, please indicate all countries in which you are resident for tax pu	rposes and the associated Tax ID Numbers below.)
Country [#]	Tax identification number $^{\rm \%}$	Identification type (TIN or Other, please specify)
Name (3 ^{cr}) (As in PAN card/		
		Email
Father's Name	KIN (Refer 8A)	
PAN (Ref. 10)	KIN (Refer 8A)	
Father's Name PAN (Ref. 10) Aadhaar No. (Ref. 23)		CKYC FORM SUPPLEMENTARY CKYC FO
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7 BANK ACCOUNT DETAILS FOR PAY-OUT (Mandatory. Refer 6 and avail of Multiple Bank Registration Facility.) (Please attach cancelled cheque copy or latest bank account statement.) (All fields are mandatory)	
Bank Name	
Bank A/c No. Type Current Savings NRO NRE FCNR Others Specification	ý
Branch Name City Pin Pin	
IFSC Code (11 digit)* MICR Code (9 digit)* MICR Code (9 digit)* * Mentioned on your cheque leaf	
8 INVESTMENT & PAYMENT DETAILS (Investors applying under Direct Plan must mention "Direct" against scheme name, refer 2) (All fields are mandatory)	
Payment type Non-Third Party Payment Third Party Payment (Please attach 'Third Party Payment Declaration Form')	
Scheme Plan Option Sub Option [#] Dividend Frequency (Quarterly/ Half Yearly/ July)	Annual)*
# Dividend Re-Investment is not available for Axis Long Term Equity Fund * Applicable only for Axis In	ncome Saver
BA LUMP SUM Do not submit SIP Registration Mandate - NACH (Form 2) Mode Cheque DD Axis Bank Debit Mandate (Please fill section 6.) Cheque / DD no. Dated D M M M	
Amount (figures) (words)	<u>г ү</u>
Pay-in A/c no.	
Drawn on bank /	
Account type Savings NRO NRE Current FCNR Others Specify	
Monthly SIP Amount (figure) (words)	
SIP frequency (tick 🗸 any one) Monthly Yearly (Default Frequency Monthly) Preferred Debit Date (Any date except 29 th , 30 th and 31 th) (ref 13(b))	ate would
SIP period Start Date M M Y Y End Date M M Y Y OR End date (ref 13(i)) 1 2 9 9 If end date is not mentioned then the SIP will be considered for perpetuity (Dec 2099).	
First SIP Installment details Mode Cheque / DD Axis Bank Debit Mandate (Please fill section 3.) Dated D M M Y Y	
Drawn on bank / branch name Cheque / DD no.	
NOMINATION DETAILS (All fields are mandatory) (Refer 18)	
First Nominee Second Nominee Third Nominee	
Name (as in PAN card/KYC records)	
PAN	
Date of Birth D D M M Y Y Y D D M Y <	Y
Relationship with Investor	
Address	
Guardian Name	
(in case Nominee is a Minor) Signature	
Guardian in case Nominee is a Minor)	

10 DECLARATION AND SIGNATURE

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, 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, 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 mole), payable to him for the different competing Schemes of various Mutual Funds amongst which the Scheme is being recommended to me/us. If we onfirm that I/We do not have any existing Micro SIP/Lumpsum investments which together with the current application will regult in aggregate investments exceeding ₹ 50,000 in a year (Applicable for Micro investment only.) with your fund house. For NRIs only - 1 We confirm that I am/ we are Non Residents of India nationality/origin and that I/We have remitted funds from abroad through approved banking channels or from funds in my/ our Non Resident Ordinary / FCNR account. I/We confirm that details provided by me/us are true and correct.

CERTIFICATION

Unit Holder's Signature If you do not wish to nominate sign here

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.

AADHAAR DECLARATION

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) 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.

First / Sole Applicant / Guardian	Second Applicant	Third Applicant	Power of Attorney Holder
Date : D D M M Y Y Place			

INSTRUCTIONS FOR COMPLETING THE APPLICATION FORM (Continued from page no. 16)

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

PERMANENT ACCOUNT NUMBER (PAN) 10.

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 Iquidator, Court receiver etc. (under the category of Government) subject to Axis AMC confirming the above mentioned status.

PAN 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").

(nereatter reterred 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 proprietory 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.

11. 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.
- h 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.
- 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 e. other suitable proof evidencing the relationship. Where the guardian is not a natural guardian (father or mother) and is a court appointed legal
- f.
- 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.
 APPLICATIONS UNDER POWER OF ATTORNEY

An applicant wanting to transact through a power of attorney must lodge the photocopy of the An applicative waiting to trace through a power of atomey must bog high protocopy 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.

13. SIP matlab SLEEP IN PEACE (SYSTEMATIC INVESTMENT PLAN)

- A minimum gap of 21 days and not more than 90 days needs to be maintained between date of Application & SIP start date. a.
- Investor shall have the option of choosing any date of the month as the SIP date except the dates 29th, 30th and 31st. If SIP debit date is not mentioned default date would be considered as 7th of every month. If selected 29th, 30th or 31st, default SIP date would be considered as 28th of every month. b.
- All SIP installment cheques/payment instructions must be of the same amount and the same monthly debit date (excluding first cheque).
- The SIP will be discontinued automatically if payment is not received for three successive installments.
- Investors can discontinue a SIP at any time by sending a written request to any Official Point e. Increase of a calculation of a call any time by seriaing a written request to any Official Point of Acceptance or to the registrar Karvy. Notice of such discontinuance should be received at least 20 days prior to the next due date of the installment / debit. In case payment is made using "At Par" cheques, investors must mention the MICR number of his bank branch. Where he hold's the bank account.
- f.
- of his bank branch. Where he hold's the bank account. 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. Please refer below table for min. no. of installments and minimum amount per installments: g.

h.

Scheme	IVION	uny	192	iriy
	Minimum	Minimum	Minimum	Minimum
	Amount (₹)	Installments	Amount (₹)	Installments
All Schemes except Axis Liquid Fund	1000	12	12000	3
Axis Long Term Equity Fund*	500	6	6000	3

Note: For all scheme minimum amount is as per above table and thereafter in multiple of ₹ 1. For Long Term Equity Fund Minimum amount is as per above table and thereafter in multiple of ₹500*

- 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 perpetuity (December i. 2099).
- If no amount is mentioned minimum scheme amount would be considered. Please refer j. KIM & SID of the respective scheme. Change of Debit Bank Details (SIP Auto Debit Form)

- Investor can change debit bank details mentioned on SIP Auto Debit form by ticking the check a. box provided on the form and attaching signed cancelled cheque of the new bank along with the mandate.
- The cheque copy should have the investor's name printed on it. b.
- A minimum gap of 21 days is required for incorporation of new bank details. c.
- 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 d. 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.

NATIONAL AUTOMATED CLEARING HOUSE (NACH) 14.

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. NCPI would provide robust payment solutions to banks and financial institutions across India.

AUTO DEBIT PARTNERING BANKS 15

Partnering Banks: Axis Bank, Federal Bank, HDFC Bank, ICICI Bank, Punjab National Bank, State Bank of India & Union Bank Of India. 16 NRIs, FIIs

Repatriation basis a.

- NRIs: Payment may be made either by inward remittance through normal banking I. 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.
- Flls can pay their subscription either by inward remittance through normal banking channels or from funds held in Foreign Currency Account or Non-Resident Rupee Ш.
- 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 Ш. 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.
- 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 17. ELECTRONIC SERVICES

- The AMC provides electronic transaction services through its website and over the phone.
- a. KTRACK: Transactions through electronic platform(s) of Karvy Computershare Pvt. Ltd. (effective from January 2, 2017): Investors will be allowed to transact through www.karvymfs.com, an electronic platform provided by M/s. Karvy Computershare Pvt. Ltd. ('Karvy'), Registrar & Transfer Agent, in Schemes of Axis Mutual Fund ('Fund') (except Axis Gold ETF). The facility will also be available through mobile application of Karvy i.e. 'KTRACK'.

Online Schedule Transaction Facility ('the OST facility'/ 'the Facility'): b.

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), subject to completion of lock-in, if any. Further, subscription transaction in Axis Liquid Fund, will not be allowed to be executed using the Facility.
- 2 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 / Easycall mandate/ equivalent mandate registration 3. 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 4 business day.
- The Facility shall be available on online transaction platform(s) viz website of Axis AMC i.e. www.axismf.com. Axis AMC may extend the Facility to other transaction platforms from time to time, at its discretion. 5.
- 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 7. and will be executed on the specified date at the applicable NAV of the relevant scheme.
- 8. 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 9 redemption.
- 10. 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 or call us on 1800.221322 or 1800 3000 3300 From Monday to Friday 8 AM to 7 PM On Saturday - 9 AM to 6 PM.
- SMS alerts facility Applicants who wish to receive transaction alerts on their mobile phone need to provide their mobile no. d.
- Online investment facility New or existing investors can invest with us online at www.axismf.com. To avail of this facility, applicants are requested to provide both their mobile no. and email address in the spaces provided.
- f. EasyCall Facility-New or existing investors can buy or sell units of schemes over the phone without having to remember PINs and Passwords. To do so an investor must register for our unique Easy Call facility. By filling in the registration form available on www.axismf.com.
- In case mobile no. & email ID is not provided on the application form then it will be capture g. as per KYC record.

18. NOMINATION

- a.
- MINATION Nomination is mandatory for all the folios/accounts, where the mode of holding is single or the folio/account is opened by an individual without any joint holding. New subscriptions received from individuals without nomination will be rejected. The nomination can be made only by individuals holding units on their own behalf singly or jointly. Non-Individuals including Society, Trust, Body Corporate, Partnership Firm, Karta of Hindu Undivided Family, holder of Power of Attorney cannot nominate. If the units are held jointly, all joint holders must sign against the nomination.
- Nomination is not allowed for folios/accounts opened in the name of minors.
- A minor can be nominated against a folio/account. In such a case, the name and address of the Guardian of the minor nominee must be provided. If no Guardian name is provided, the nomination of the minor will be invalid. The Guardian of the minor nominee should be a person other than the holder of that folio/account. Nomination can also be in favour of the Central d. Govt, State Govt, a local authority, any person designated by virtue of his office or a religious charitable trust.
- The Nominee cannot be a trust (other than a religious or charitable trust), society, body corporate, partnership firm, Karta of HUF or a Power of Attorney holder. A non-resident Indian can be a Nominee subject to the exchange controls in force, from time to time.
- Nomination stands rescinded upon transfer of units or cancellation of nomination.
- 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 g. effect the payment / transfer to the Nominee(s) in the event of demise of the unit holder. Transfer of units / payment to the nominee(s) of the sums shall discharge Axis Mutual Fund / Axis AMC of all liability towards the estate of the deceased unit holder and his / her / their successors / legal heirs.
- Cancellation of nomination can only be made only by those individuals who hold units on their h own behalf singly or jointly and who made the original nomination. (Please note that if one of the Joint Holders die, the other surviving holders cannot cancel or change the nomination.)

FORM 2 - SIP REGISTRATION MANDATE - NACH (Investor must read Key Scheme Features and Instructions before completing this form.)

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