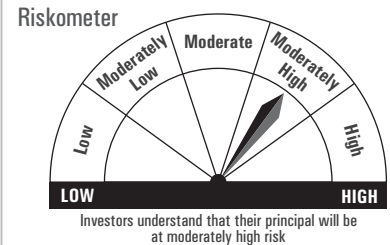


**KEY INFORMATION MEMORANDUM AND APPLICATION FORM FOR**
**AXIS EQUITY SAVER FUND (An Open Ended Equity Scheme)**

This product is suitable for investors who are seeking\*

- Capital appreciation while generating income over medium to long term
- Provide capital appreciation and income distribution to the investors by using equity and equity related instruments, arbitrage opportunities, and investments in debt and money market instruments

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


**Offer for units of ₹ 10 per unit for cash during the New Fund Offer**
**New Fund Offer Opens on: July 27, 2015**
**New Fund Offer Closes on: August 10, 2015**
**Scheme Re-opens for continuous sale and repurchase on or before August 20, 2015.**

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 &amp; services, risk factors, penalties &amp; 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.

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 document is dated : July 14, 2015

<b>Name of scheme</b>	<b>AXIS EQUITY SAVER FUND (An Open Ended Equity Scheme)</b>		
<b>Investment Objective</b>	The investment objective of the scheme is to provide capital appreciation and income distribution to the investors by using equity and equity related instruments, arbitrage opportunities, and investments in debt and money market instruments. However, there is no assurance or guarantee that the investment objective of the Scheme will be achieved. The Scheme does not assure or guarantee any returns.		
<b>Asset Allocation Pattern of the scheme</b>	<b>Instruments</b>	<b>Indicative Allocation (% of net assets)</b>	
	Equity and Equity related securities# of which	65- 80%	
	i) Equities & equity related instruments (unhedged)*	20 - 45%	
	ii) Equities, equity related instruments and derivatives including index futures, stock futures, index options, & stock options, etc. as part of hedged / arbitrage exposure*	20 - 60 %	
	Debt & Money Market Instruments#§	20 - 35 %	
	* Equity allocation is measured as the Gross exposure to equities, equity related instruments and derivatives. The scheme will enter into derivatives transactions for hedging. The derivative positions will be hedged against corresponding positions in either equity or derivative markets depending on the strategies involved and execution costs. On the total portfolio level the scheme does not intend to take a net short exposure to equity markets. Unhedged positions in the portfolio (investments in equity shares without corresponding exposure to equity derivative) shall not exceed 45% of the net assets.		
	#The Scheme may also use derivatives for such purposes as maybe permitted by the Regulations, including for the purpose of hedging and portfolio balancing, based on the opportunities available and subject to guidelines issued by SEBI from time to time. The Scheme may also use fixed income derivative instruments subject to the guidelines as maybe issued by SEBI and RBI and for such purposes as maybe permitted from time to time.		
	§Investment in Securitised debt (excluding foreign securitized debt), if undertaken, would not exceed 20% of the net assets of the Scheme.		
	If the debt / money market instruments offer better returns than the arbitrage opportunities available in cash and derivatives segments of equity markets then the investment manager may choose to have a lower equity exposure. In such defensive circumstances the asset allocation will be as per the below table:		
	<b>Instruments</b>	<b>Indicative Allocation (% of net assets)</b>	<b>Risk Profile</b>
	Equity and Equity related securities# Of which	20-70 %	High
	i) Equities & equity related instruments (unhedged)*	20-45%	High
	ii) Equities, equity related instruments and derivatives including index futures, stock futures, index options, & stock options, etc. as part of hedged / arbitrage exposure*	0-25%	Medium to High
	Debt & Money Market Instruments#§	30-80 %	Low to Medium
	* Equity allocation is measured as the Gross exposure to equities, equity related instruments and derivatives. The scheme will enter into derivatives transactions for hedging. The derivative positions will be hedged against corresponding positions in either equity or derivative markets depending on the strategies involved and execution costs. On the total portfolio level the scheme does not intend to take a net short exposure to equity markets. Unhedged positions in the portfolio (investments in equity shares without corresponding exposure to equity derivative) shall not exceed 45% of the net assets.		
	#The Scheme may also use derivatives for such purposes as maybe permitted by the Regulations, including for the purpose of hedging and portfolio balancing, based on the opportunities available and subject to guidelines issued by SEBI from time to time. The Scheme may also use fixed income derivative instruments subject to the guidelines as maybe issued by SEBI and RBI and for such purposes as maybe permitted from time to time.		
	§ Investment in Securitised debt, if undertaken, would not exceed 20% of the net assets of the Scheme.		
	The scheme may undertake repo transactions in corporate debt securities in accordance with the directions issued by RBI and SEBI from time to time. Such investment shall be made subject to the guidelines which may be prescribed by the Board of Directors of the Asset Management Company and Trustee Company.		
	In accordance with SEBI Circular No. CIR/IMD/DF/21/2012 dated 13th September, 2012, the total exposure in a particular sector (excluding investments in Bank CDs, CBLO, Government Securities, T-Bills and AAA rated securities issued by Public Financial Institutions and Public Sector Banks) shall not exceed 30% of the net assets of the Scheme.		

	<p>Provided that an additional exposure to financial services sector (over and above the limit of 30%) not exceeding 10% of the net assets of the scheme shall be allowed by way of increase in exposure to Housing Finance Companies (HFCs) only. Provided further that the additional exposure to such securities issued by HFCs are rated AA and above and these HFCs are registered with National Housing Bank (NBH) and the total Investment/exposure in HFCs shall not exceed 30% of the net assets of the scheme.</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 SEBI vide its circular dated April 16, 2007, as may be amended from time to time.</p> <p>Subject to the Regulations, the asset allocation pattern indicated above may change from time to time, keeping in view market conditions, market opportunities, applicable regulations and political and economic factors. It must be clearly understood that the percentages stated above are only indicative and not absolute. These proportions can vary substantially depending upon the perception of the fund manager; the intention being at all times to seek to protect the interests of the Unit holders. Such changes in the investment pattern will be for short term and for defensive considerations only. In the event of deviations, the fund manager will carry out rebalancing within 30 Calendar Days. Where the portfolio is not rebalanced within 30 calendar Days, justification for the same shall be placed before the Investment Review Committee and reasons for the same shall be recorded in writing. The Investment Review committee shall then decide on the course of action. However, at all times the portfolio will adhere to the overall investment objectives of the Scheme.</p> <p>Axis Equity Saver Fund, an open ended equity scheme is a new scheme offered by Axis Mutual Fund and is not a minor modification of any other existing scheme/product of Axis Mutual Fund. Differentiation as follows:</p>
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**Comparison of existing open ended equity and debt schemes of the Fund**

Name of the existing scheme	Asset Allocation Pattern			Primary Investment Objective	Differentiation	AUM as on June 30, 2015 (Rs. In crores)	No. of Folios as on June 30, 2015
	Instruments	Indicative Allocation (% of net assets)					
		Minimum	Maximum				
Axis Long Term Equity Fund	Equity and Equity related securities	80	100	<p>The investment objective of the Scheme is to generate income and long-term capital appreciation from a diversified portfolio of predominantly equity and equity-related Securities. However, there can be no assurance that the investment objective of the Scheme will be achieved.</p> <p><b>Investment Strategy :</b> The Fund will invest in a diversified portfolio of strong growth companies with sustainable business models. Though the benchmark is BSE-200, the investments will not be limited to the companies constituting the benchmark. The Fund will have the flexibility to invest across the market capitalization spectrum (i.e. Large, mid and small cap companies) and across industries / sectors.</p> <p>The companies would be individually researched and selected only when the fund management team has satisfied itself on robustness of the company's business model, sustainability of its competitive advantage and the credibility of its top management team.</p> <p>The Fund will endeavor that the corpus of the scheme remains fully invested in equity and equity-related instruments at all times.</p>	Equity Linked Savings Scheme with a lock-in period of 3 years from the date of allotment/ investment	5,444.455	466,061
	Debt and Money Market Instruments	0	20				
Axis Equity Fund	Equity and Equity Related Instruments	80%	100%	<p>To achieve long term capital appreciation by investing in a diversified portfolio predominantly consisting of equity and equity related securities including derivatives. However, there can be no assurance that the investment objective of the Scheme will be achieved.</p> <p><b>Investment Strategy :</b> The Fund will actively manage a diversified portfolio of strong growth companies with sustainable business models, whilst managing risk. The Fund will have the flexibility to invest across the market capitalization (i.e. large, mid and small cap companies) spectrum and industries / sectors. The companies would be individually researched and selected only when the fund management team has satisfied itself on robustness of the company's business model, sustainability of its competitive advantage and the credibility of its top management team.</p>	Diversified portfolio predominantly consisting of equity and equity related securities	1,833.393	198,170
	Debt and Money Market Instruments	0%	20%				

Name of the existing scheme	Asset Allocation Pattern		Primary Investment Objective	Differentiation	AUM as on June 30, 2015 (Rs. In crores)	No. of Folios as on June 30, 2015
Axis Midcap Fund	Instruments	Indicative Allocation (% of net assets)		To achieve long term capital appreciation by investing predominantly in equity & equity related instruments of mid size companies. The focus of the fund would be to invest in relatively larger companies within this category. <b>Investment Strategy :</b> The scheme seeks to generate capital appreciation through an actively managed diversified portfolio of primarily larger Midcap companies. Larger Midcap companies combine the flexible, innovative, high-growth features of mid and small size companies with the proven management and liquidity of larger companies. The Fund intends to benefit from this "best of both worlds" characteristic of larger Midcap companies. The portfolio will be built utilizing a bottom-up stock selection process, focusing on appreciation potential of individual stocks from a fundamental perspective.	1,185.917	105,298
		Minimum	Maximum			
	Equity and Equity Related Instruments of Midcap companies of which: Larger midcap Companies 75% – 100% Smaller mid-cap Companies 0 – 25%	80	100			
	Equity and Equity Related Instruments of Non mid-cap Companies	0	20			
	Debt and Money Market Instruments	0	20			
Axis Focused 25 Fund	Instruments	Indicative Allocation (% of net assets)		To generate long term capital appreciation by investing in a concentrated portfolio of equity & equity related instruments of up to 25 companies. <b>Investment Strategy :</b> The scheme aims to generate long term capital appreciation by investing in a concentrated portfolio of equity & equity related instruments of up to 25 companies. In order to have a concentrated portfolio, the scheme will follow a bottom up stock selection approach.  The portfolio will be built utilising a bottom-up stock selection process, focusing on appreciation potential of individual stocks from a fundamental perspective. The AMC employs a "Fair value" based research process to analyse the appreciation potential of each stock in its universe (Fair value is a measure of the intrinsic worth of a company). The universe of stocks is carefully selected to include companies having a robust business models and enjoying sustainable competitive advantages as compared to their competitors.  While 65 - 100% of the corpus will be invested in equities (no less than 20 companies and up to 25 companies), it is expected that under normal market conditions at least 80% of the corpus will be invested in equities (no less than 20 companies and up to 25 companies). The Scheme will primarily invest in companies among the top 200 in terms of market cap.	298.167	24,929
		Minimum	Maximum			
	Equity and Equity Related Instruments (of not exceeding 25 companies) Of which: Companies among the top 200 in terms of market capitalization - 90% - 100% Other equities - 0 - 10%	65	100			
	Debt and Money Market Instruments	0	35			
Axis Equity Saver Fund	Instruments	Indicative Allocation (% of net assets)		The investment objective of the scheme is to provide capital appreciation and income distribution to the investors by using equity and equity related instruments, arbitrage opportunities, and investments in debt and money market instruments.  The fund is an asset allocation fund that invests across equity, fixed income and arbitrage. Currently, Axis doesn't have such a scheme	-	-
		Minimum	Maximum			
	Equity and Equity related securities# Of which	65	80			
	i) Equities & equity related instruments (unhedged)*	20	45			
	ii) Equities, equity related instruments and derivatives including index futures, stock futures, index options, & stock options, etc. as part of hedged / arbitrage exposure*	20	45			
Debt & Money Market Instruments*# \$	20	35				

<b>Investment Strategy of the Scheme</b>	<p>The scheme has a dual objective of providing capital appreciation and income distribution to the investors by using equity and equity related instruments, arbitrage opportunities, and investments in debt and money market instruments.</p> <p>The scheme seeks to benefit from the concept of asset allocation. The aim of asset allocation is to provide superior risk adjusted returns through diversification across various asset classes like equity, fixed income &amp; arbitrage which have historically had low correlation with each other.</p> <p><b>Equity and Equity Related Instruments:</b> The equity allocation will be managed actively. The focus would be to build a diversified portfolio of strong growth companies, reflecting our most attractive investment ideas, at all points of time. The portfolio will be built utilizing a bottom-up stock selection process, focusing on appreciation potential of individual stocks from a fundamental perspective. The AMC employs a "Fair value" based research process to analyse the appreciation potential of each stock in its universe (Fair value is a measure of the intrinsic worth of a company). The universe of stocks is carefully selected to include companies having a robust business models and enjoying sustainable competitive advantages as compared to their competitors. The Fund will have the flexibility to invest across the market capitalization spectrum. The Fund by utilizing a holistic risk management strategy will endeavor to manage risks associated with investing in equity markets.</p> <p>The Fund has identified the following risks and designed risk management strategies, which are embedded in the investment process to manage these risks</p> <ul style="list-style-type: none"> <li>i) Quality Risk - Risk of investing in unsustainable / weak companies.</li> <li>ii) Price Risk - Risk of overpaying for a company</li> <li>iii) Liquidity Risk - High Impact cost of entry and exit</li> <li>iv) Volatility Risk - Volatility in price due to company or portfolio specific factors</li> <li>v) Event Risk - Price risk due to a company / sector specific or market event</li> </ul> <p><b>Fixed Income:</b> The Scheme proposes to invest in a diversified portfolio of high quality debt and money market instruments to generate regular income. The fund manager will allocate the assets of the scheme taking into consideration the prevailing interest rate scenario &amp; the liquidity of the different instruments. The portfolio duration and credit exposures will be decided based on a thorough research of the general macroeconomic condition, political and fiscal environment, systemic liquidity, inflationary expectations, corporate performance and other economic considerations. The fund manager will keep in mind the yield structure of different asset classes (e.g. the sovereign yield curve and the corporate bond yield curve) as well as the kinks within a particular yield curve (e.g. the different points of the sovereign yield curve) while making investment decisions.</p> <p><b>Cash-Futures Arbitrage:</b> The fund would look for market opportunities between the spot and the futures market. The cash futures arbitrage strategy can be employed when the price of the futures exceeds the price of the underlying stock. The fund would first buy the stocks in cash market and then sell in the futures market to lock the spread known as arbitrage return. Buying the stock in cash market and selling the futures results into a hedge where the fund have locked in a spread and is not affected by the price movement of cash market and futures market. The arbitrage position can be continued till expiry of the future contracts. The future contracts are settled based on the last half an hour's weighted average trade of the cash market. Thus there is a convergence between the cash market and the futures market on expiry. This convergence helps the fund to generate the arbitrage return locked in earlier. However, the position could even be closed earlier in case the price differential is realized before expiry or better opportunities are available in other stocks.</p>																																				
<b>Risk Profile of the Scheme</b>	<p>The scheme attempts to manage risk through active asset allocation. According to detailed historical analysis done by the AMC, such a scheme is able to generate a much lower risk profile compared to a 100% equity investment strategy. However there is no certainty that the active asset allocation approach will be able to deliver the risk management going forward.</p> <p>Please refer to the SID for further details.</p>																																				
<b>Risk Management</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>																																				
<b>Plans and Options</b>	<p><b>Axis Equity Saver Fund offers the following plans:</b></p> <ol style="list-style-type: none"> <li>1. Regular Plan</li> <li>2. Direct Plan</li> </ol> <p><b>Regular Plan</b> Regular Plan is available for all type of investors investing through a Distributor.</p> <p><b>Direct Plan</b> 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>All the plans will have common portfolio.</p> <p>The investor must clearly specify his choice of plan. Investors subscribing under Direct Plan of a Scheme will have to indicate "Direct Plan" against the Scheme name in the application form. 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. In case the Distributor code is not mentioned but the name of the Plan is mentioned (whether regular plan or direct plan), the application will be processed under the Direct plan. Further, If neither Distributor code is mentioned in the application form, nor Plan is indicated against the Scheme name, the application will be processed under Direct Plan. The investors may refer to the following table for applicability of Direct Plan/ Regular Plan under different scenario :-</p> <table border="1" data-bbox="347 1419 1497 1661"> <thead> <tr> <th>Scenario</th> <th>Broker Code mentioned by the investor</th> <th>Plan mentioned by the investor</th> <th>Default Plan to be captured</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>Not mentioned</td> <td>Not mentioned</td> <td>Direct Plan</td> </tr> <tr> <td>2</td> <td>Not mentioned</td> <td>Direct</td> <td>Direct Plan</td> </tr> <tr> <td>3</td> <td>Not mentioned</td> <td>Regular</td> <td>Direct Plan</td> </tr> <tr> <td>4</td> <td>Mentioned</td> <td>Direct</td> <td>Direct Plan</td> </tr> <tr> <td>5</td> <td>Direct</td> <td>Not Mentioned</td> <td>Direct Plan</td> </tr> <tr> <td>6</td> <td>Direct</td> <td>Regular</td> <td>Direct Plan</td> </tr> <tr> <td>7</td> <td>Mentioned</td> <td>Regular</td> <td>Regular Plan</td> </tr> <tr> <td>8</td> <td>Mentioned</td> <td>Not Mentioned</td> <td>Regular Plan</td> </tr> </tbody> </table> <p>In cases of wrong/ invalid/ incomplete ARN codes mentioned on the application form, the application shall be processed under Regular Plan. The AMC shall contact and obtain the correct ARN code within 30 calendar days of the receipt of the application form from the investor/ distributor. In case, the correct code is not received within 30 calendar days, the AMC shall reprocess the transaction under Direct Plan from the date of application without any exit load.</p> <p>Each plan offers the following options:</p> <ol style="list-style-type: none"> <li>a) Growth Option</li> <li>b) Dividend Option Dividend Payout and Dividend Reinvestment option (Monthly and Quarterly Dividend frequency)</li> </ol> <p>Dividends may or may not be declared under this option at the discretion of the Trustee.</p> <p>In case of Units held in dematerialized mode, the Depositories (NSDL/CDSL) will give the list of demat account holders and the number of Units held by them in electronic form on the Record date to the Registrars and Transfer Agent of the Mutual Fund.</p> <p><b>Default plan - Direct Plan (i.e. Name of the Plan and distributor code is not indicated in the application form)</b></p> <p><b>Default Option - Growth Option</b></p> <p><b>Default Facility - Dividend Reinvestment</b></p>	Scenario	Broker Code mentioned by the investor	Plan mentioned by the investor	Default Plan to be captured	1	Not mentioned	Not mentioned	Direct Plan	2	Not mentioned	Direct	Direct Plan	3	Not mentioned	Regular	Direct Plan	4	Mentioned	Direct	Direct Plan	5	Direct	Not Mentioned	Direct Plan	6	Direct	Regular	Direct Plan	7	Mentioned	Regular	Regular Plan	8	Mentioned	Not Mentioned	Regular Plan
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6	Direct	Regular	Direct Plan																																		
7	Mentioned	Regular	Regular Plan																																		
8	Mentioned	Not Mentioned	Regular Plan																																		

<b>Applicable NAV</b>	<p>Subscriptions/ Purchases including Switch - ins:</p> <p>The following cut-off timings shall be observed by the Mutual Fund in respect of purchase of Units of the Scheme, and the following NAVs shall be applied for such purchase:</p> <ol style="list-style-type: none"> <li>where the application is received upto 3.00 pm for an amount less than Rs. 2 lakh with a local cheque or demand draft payable at par at the place where it is received – closing NAV of the day of receipt of application;</li> <li>where the application is received after 3.00 pm for an amount less than Rs. 2 lakh with a local cheque or demand draft payable at par at the place where it is received – closing NAV of the next Business Day ; and</li> <li>where the application is received with an outstation cheque or demand draft which is not payable on par at the place where it is received – closing NAV of day on which the cheque or demand draft is credited.</li> <li>where the purchase/ switch-in applications received before the cut-off timing for units of an amount equal to or more than Rs.2 lakh, the closing Net Asset Value (NAV) of the business day on which the funds are available for utilization, i.e. upto 3.00 p.m., shall be applicable, irrespective of the time of receipt of such application.</li> </ol> <p><b>Redemptions including Switch - outs:</b></p> <p>The following cut-off timings shall be observed by the Mutual Fund in respect of Repurchase of Units:</p> <ol style="list-style-type: none"> <li>where the application received upto 3.00 pm – closing NAV of the day of receipt of application; and</li> <li>an application received after 3.00 pm – closing NAV of the next Business Day.</li> </ol> <p>The above mentioned cut off timing shall be applicable to transactions through the online trading platform.</p> <p>The Date of Acceptance will be reckoned as per the date &amp; time; the transaction is entered in stock exchange’s infrastructure for which a system generated confirmation slip will be issued to the investor.</p>		
<b>Minimum Application Amount/ Number of Units</b>	<b>Purchase</b> Rs. 5,000 and in multiples of Rs. 1/- thereafter Additional Purchase	<b>Additional Purchase</b> Rs. 100 and in multiple of Rs. 1/- thereafter Repurchase	<b>Repurchase</b> Rs. 1000 or 100 Unit or account balance in respect of each Option whichever is lower
<b>Despatch of Repurchase (Redemption) Request</b>	The redemption proceeds shall be dispatched to the unit holders within 10 working days from the receipt of the redemption request at the Authorised Center of Axis Mutual Fund.		
<b>Benchmark Index</b>	Crisil MIP Blended Fund Index		
<b>Dividend Policy</b>	The Trustee will endeavor to declare the Dividend as specified, subject to availability of distributable surplus calculated in accordance with the Regulations. The actual declaration of Dividend and frequency will inter-alia, depend on availability of distributable surplus calculated in accordance with SEBI (MF) Regulations and the decisions of the Trustee shall be final in this regard. There is no assurance or guarantee to the Unit holders as to the rate of Dividend nor that will the Dividend be paid regularly.		
<b>Name of the Fund Manager</b>	Mr. R. Sivakumar and Mr. Jinesh Gopani		
<b>Name of the Trustee Company</b>	Axis Mutual Fund Trustee Limited		
<b>Performance of the scheme Expenses of the Scheme</b>	<p>This Scheme is a new scheme and does not have any performance track record.</p> <p><b>(i) Load Structure</b></p> <p>For the New Fund Offer Period and Continuous Offer</p> <p><b>Entry load :</b> Not Applicable</p> <p><b>Exit load :</b> 1% if redeemed/switched out within 12 months from date of allotment.</p> <p>The above mentioned load structure shall be equally applicable to the special products such as SIP, STP, switches, etc. offered by the AMC. However, no load will be charged for switching 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 service tax.</p> <p>SEBI vide its circular no. SEBI/IMD/CIR No. 4/ 168230/09 dated June 30, 2009 has decided that there shall be no entry Load for all Mutual Fund Schemes. The upfront commission on investment made by the investor, if any, shall be paid to the ARN Holder (AMFI registered Distributor) directly by the investor, based on the investor’s assessment of various factors including service rendered by the ARN Holder.</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 recurring expenses under the Scheme (including the Investment Management and Advisory Fees) shall be as per the limits prescribed under the SEBI (MF) Regulations. These are as follows:</p> <p>On the first Rs. 100 crores of the daily net assets - 2.5%</p> <p>On the next Rs. 300 crores of the daily net assets - 2.25%</p> <p>On the next Rs. 300 crores of the daily net assets – 2%</p> <p>On the balance of the assets - 1.75%</p> <p>AMC fees charged by Axis AMC to the scheme will be within the Total Expense Limit as prescribed by SEBI Regulations, as amended from time to time.</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>The total expenses of the Scheme including the investment management and advisory fee shall not exceed the limit stated in Regulation 52(6) of the SEBI (MF) Regulations.</p> <p>In addition to the limits as specified in Regulation 52(6) of SEBI (Mutual Funds) Regulations 1996 [‘SEBI Regulations’] or the Total Recurring Expenses (Total Expense Limit) as specified above, the following costs or expenses may be charged to the scheme namely-</p> <p>(a) expenses not exceeding of 0.30 per cent of daily net assets, if the new inflows from such cities as specified by SEBI/AMFI from time to time are at least -</p> <ol style="list-style-type: none"> <li>30 per cent of gross new inflows in the scheme, or;</li> <li>15 per cent of the average assets under management (year to date) of the scheme, whichever is higher.:</li> </ol> <p>Provided that if inflows from such cities is less than the higher of sub-clause (i) or sub-clause (ii), such expenses on daily net assets of the scheme shall be charged on proportionate basis.</p> <p>Provided further that, expenses charged under this clause shall be utilised for distribution expenses incurred for bringing inflows from such cities.</p> <p>Provided further that amount incurred as expense on account of inflows from such cities shall be credited back to the scheme in case the said inflows are redeemed within a period of one year from the date of investment.</p> <p>(b) additional expenses, incurred towards different heads mentioned under Regulations 52(2) and 52(4), not exceeding 0.20 per cent of daily net assets of the scheme;</p> <p>(c) service tax payable on investment and advisory service fees (‘AMC fees’) charged by Axis Asset Management Company Limited (‘Axis AMC’);</p> <p>Further, brokerage and transaction costs which are incurred for the purpose of execution of trade and is included in the cost of investment shall not exceed 0.12 per cent in case of cash market transactions and 0.05 per cent in case of derivatives transactions.</p> <p>Within the Total Expense Limit chargeable to the scheme, following will be charged to the Scheme:</p> <ol style="list-style-type: none"> <li>Service Tax on other than investment and advisory fees, if any, (including on brokerage and transaction costs on execution of trades) shall be borne by the Scheme</li> <li>Investor education and awareness initiative fees of at least 2 basis points on daily net assets of respective Scheme.</li> </ol>		

<b>Transaction charge</b>	<p>In terms of SEBI circular no. CIR/ IMD/ DF/ 13/ 2011 dated August 22, 2011, as amended from time to time, Transaction Charge per subscription of Rs. 10, 000/ – and above shall be charged from the investors and shall be payable to the distributors/ brokers (who have opted in for charging the transaction charge) in respect of applications routed through distributor/ broker relating to Purchases / subscription / new inflows only (lump sum and SIP). The transaction charge (based on the type of the product), if any shall be deducted by AMC from the subscription amount and paid to the distributor; and the balance shall be invested and accordingly units allotted. The statement of account shall clearly state the net investment as gross subscription less transaction charge. The charge is, subject to the following:</p> <ul style="list-style-type: none"> <li>● For Existing / New investors: Rs.100 / Rs.150 as applicable per subscription of 10,000/ – and above</li> <li>● Transaction charge for SIP shall be applicable only if the total commitment through SIP amounts to Rs.10,000/ – and above. In such cases the transaction charge would be recovered in maximum 3/4 successful installments.</li> <li>● There shall be no transaction charge on subscription below Rs. 10,000/-.</li> <li>● There shall be no transaction charges on direct investments.</li> <li>● There shall be no transaction charges for transaction other than purchases / subscriptions relating to new inflows such as Switches, etc.</li> <li>● Transactions carried out through the Stock Exchange platforms for mutual funds shall not be subject to transaction charges.</li> </ul> <p>SEBI vide its circular no. SEBI/IMD/CIR No. 4/ 168230/09 dated June 30, 2009 has decided that there shall be no entry Load for all Mutual Fund Schemes. The upfront commission on investment made by the investor, if any, shall be paid to the ARN Holder (AMFI registered Distributor) directly by the investor, based on the investor's assessment of various factors including service rendered by the ARN Holder.</p> <p>The requirement of minimum application amount shall not be applicable if the investment amount falls below the minimum amount required due to deduction of transaction charges from the subscription amount.</p> <p>The Transaction Charge as mentioned above shall be deducted by the AMC from the subscription amount of the Unit Holder and paid to the distributor and the balance shall be invested in the Scheme. The statement of account shall clearly state that the net investment as gross subscription less transaction charge and give the number of units allotted against the net investment.</p>	
<b>Waiver of Load for Direct Applications</b>	Not applicable	
<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</b>	The NAV will be declared on all business days and will be published in 2 newspapers. 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> [You can also call us at 1800 221322 / 1800 3000 3300.]	
<b>For Investor Grievances please contact</b>	<p><b>Name and Address of Registrar</b>  Karvy Computershare Private Limited  Unit - Axis Mutual Fund  Karvy Plaza,  H No 8-2-596, Street 1, Banjara Hills  Hyderabad - 34.  Tel : 040 - 23312454  Fax : 040 - 23311968</p>	<p><b>Axis Mutual Fund</b>  Mr. Milind Vengurlekar  Axis Asset Management Co. Ltd.  "Axis House", 1st Floor, C-2, Wadia International Centre,  Pandurang Budhkar Marg, Worli, Mumbai - 400025.  Tel. No: 022 - 4325 4138 / 4123, Fax No: 022 4325 5199  Toll Free: 1800 221322 or 1800 3000 3300 From Monday to Friday -  8 AM to 7 PM On Saturday - 9 AM to 6 PM  E-mail: <a href="mailto:customerservice@axismf.com">customerservice@axismf.com</a></p>
<b>Unit holders' information</b>	<p>Account Statements:  On acceptance of the application for subscription, an allotment confirmation specifying the number of units allotted by way of e-mail and/or SMS within 5 business days from the date of receipt of transaction request/closure of NFO period will be sent to the Unit Holders registered e-mail address and/or mobile number.</p> <p><b>Consolidated Account Statement</b>  Consolidated account statement for each calendar month shall be issued, on or before tenth day of succeeding month, detailing all the transactions and holding at the end of the month including transaction charges paid to the distributor, across all schemes of all mutual funds, to all the investors in whose folios transaction has taken place during that month. The AMC shall ensure that a consolidated account statement every half yearly (September/ March) is issued, on or before tenth day of succeeding month, detailing holding at the end of the six month, across all schemes of all mutual funds, to all such investors in whose folios no transaction has taken place during that period.</p> <p>The AMC shall identify common investors across fund houses by their permanent account number for the purposes of sending consolidated account statement. In case of specific request received from the Unit Holders, the AMC/Fund will provide the Account Statement to the Investors within 5 business days from the receipt of such request. In the event the account has more than one registered holder, the first named Unit Holder shall receive the Account Statement. The word transaction will include purchase, redemption, switch, dividend payout, dividend reinvestment, systematic investment plan, systematic withdrawal plan and systematic transfer plan.</p> <p>The AMC will endeavor to send statement of accounts by e-mail where the Investor has provided the e-mail id. The statement of holding of the beneficiary account holder for units held in demat will be sent by the respective Depository Participants periodically. Additionally, the AMC may at its discretion send Account Statements individually to the investors.</p> <p><b>Half Yearly Account Statement</b>  The Mutual Fund shall provide the Account Statement to the Unit holders who have not transacted during the last six months prior to the date of generation of account statements. The account statements in such cases may be generated and issued along with the Portfolio Statement or Annual Report of the Scheme.</p> <p><b>Annual Report:</b>  Scheme-wise Annual Report or an abridged summary thereof shall be mailed to all Unit Holders within four months from the date of closure of the relevant accounting year i.e. 31st March each year.</p> <p><b>Half yearly disclosures</b>  The Mutual Fund shall publish a complete statement of the Scheme portfolio within one month from the close of each half year (i.e. 31st March and 30th September), by way of an advertisement at least, in one National English daily and one regional newspaper in the language of the region where the head office of the Mutual Fund is located.</p> <p>The Mutual Fund may opt to send the portfolio to all Unit holders in lieu of the advertisement (if applicable).</p> <p>The Portfolio Statement will also be displayed on the website of the AMC and AMFI.</p> <p>The Mutual Fund shall within one month from the close of each half year, that is on 31st March and on 30th September, host a soft copy of its unaudited financial results on their website.</p> <p>The mutual fund shall publish an advertisement disclosing the hosting of such financial results on their website, in atleast one English daily newspaper having nationwide circulation and in a newspaper having wide circulation published in the language of the region where the Head Office of the Mutual Fund is situated.</p> <p>The Annual Report, portfolio statement and the un audited financial results will also be displayed on the website of the Mutual Fund (<a href="http://www.axismf.com">www.axismf.com</a>) and Association of Mutual Funds in India (<a href="http://www.amfiindia.com">www.amfiindia.com</a>).</p>	

## INSTRUCTIONS FOR COMPLETING THE APPLICATION FORM

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

### 1. GENERAL INSTRUCTIONS

- The application form should be completed in ENGLISH and in BLOCK LETTERS.
- 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."
- 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.
- Application forms along with supporting documents can be submitted to NFO collection centers, contact details of which are available on [www.axismf.com](http://www.axismf.com).
- Investors must write the application form number / folio number on the reverse of the cheque / demand draft.
- 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.
- Units will be allotted subject to realization of payment proceeds.

### 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 EQUITY SAVER 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 Existing Plan without Distributor code or "Direct" mentioned in the ARN Column, the application will be processed under Direct Plan.

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

Investor investing through distributor shall mention EJIN 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 EJIN box has been intentionally left blank by me/us as this transaction is executed without any interaction or advice by the employee/relationship manager/sales person of the above distributor/sub broker or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor/sub broker" on the form. SEBI has made it mandatory to obtain EJIN no. for every employee/ relationship manager/ sales person of the distributor for selling mutual fund products.

### 4. DECLARATION AND SIGNATURES

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

### 5. PAYMENTS

- The AMC intends using electronic payment services (like NEFT, RTGS, ECS (Credits) 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.
- 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.
- Any communication, dispatch of redemption / dividend proceeds / account statements etc. would be made by the Registrar / AMC as per reasonable standards of servicing.
- The Debit Mandate is an additional facility available to Axis Bank account holders only.

### 6. BANK DETAILS

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 (except for minors for amounts less than ₹ 50,000 and Corporates / non-individuals).

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. THIRD PARTY PAYMENTS

When payment is made through instruments issued from a bank account other than that of the investor, the same is referred to as a Third Party payment. Where an investor has opted to register multiple bank accounts (using the "Multiple Bank Accounts Registration Form"), and purchase payment is made from an account different from what is registered, any one of the following documents need to be provided as proof along with the payment instrument.

- Banker's certificate stating that the investment is from the investor's own bank account along with mention of his name and PAN
- Bank account passbook or statement mentioning the investor's name / PAN

Restriction on acceptance of Third Party payments for subscriptions, and exceptions thereto

- In case of payments from a joint bank account, one of the joint holders of the bank account must be the first account holder under the investment application.
- The Asset Management Company shall not accept subscriptions with Third Party payments except in the following situations:
  - Where payment is made by parents/grand parents/related persons on behalf of a minor in consideration of natural love and affection or as gift for a value not exceeding ₹ 50,000 (each regular purchase or per SIP installment). However this

restriction will not be applicable for payment made by a guardian whose name is registered in the records of Mutual Fund in that folio.

- Where payment is made by an employer on behalf of an employee under Systematic Investment Plans through payroll deductions.
- Custodian on behalf of an FI or a client.

Documents to be submitted for exceptional cases

- KYC is mandatory for all investors (guardian in case of minor) and the person making the payment i.e. the third party. Investors and the person making the payment should attach their valid KYC acknowledgement letter to the application form.
- Submission of a separate, complete and valid 'Third Party Payment Declaration Form' from the investors (guardian in case of minor) and the person making the payment i.e. third party. The said Declaration Form shall, inter-alia, contain the details of the bank account from which the payment is made and the relationship with the investor(s). Please contact the nearest OPA/ISC of Axis Mutual Fund or visit our website [www.axismf.com](http://www.axismf.com) for the declaration form.

### 8. 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.

- 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).
- 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 Dec '11.
- It is mandatory to carry out In-Person Verification (IPV) for processing the KYC of its new / existing investors from January 1, 2012.
- 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.
- Existing KYC compliant investors of the Mutual Fund can continue to invest as per the current practice.
- Non-individual investors will have to do a fresh KYC due to significant changes in KYC requirements.
- 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.

### 8. Ultimate Beneficial Owners(s)

Pursuant to SEBI Master Circular No. CIR/ISD/AML/3/2010 dated December 31, 2010 on Anti Money Laundering Standards and Guidelines on identification of Beneficial Ownership issued by SEBI vide its Circular No. CIR/MIRSD/2/2013 dated January 24, 2013, Investors (other than Individuals) are required to provide details of 'Ultimate Beneficial Owner(s) (UBO(s))' in the separate format enclosed with this form & also available at [www.axismf.com](http://www.axismf.com). In case the investor or owner of the controlling interest is a company listed on a stock exchange or is a majority owned subsidiary of such a company, the details of shareholders or beneficial owners are not required to be provided.

Non-individual applicants/investors are mandated to provide the details on 'Ultimate Beneficial Owner(s) (UBO(s))' by filling up the declaration form for 'Ultimate Beneficial Ownership'. Please contact the nearest Investor Service Centre (ISC) of Axis Mutual Fund or visit our website [www.axismf.com](http://www.axismf.com). SEBI has prescribed its 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 exercise ultimate effective control over a legal person or arrangement. In this regard, all categories of investors (except individuals, companies listed on a stock exchange or majority-owned subsidiary of such companies) are required to provide details about beneficial ownership for all investments. The Fund reserves the right to reject applications/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)

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 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.

### 10. APPLICATIONS ON BEHALF OF MINORS

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

- The Minor shall be the first and sole holder in the account.
- No Joint holders are allowed. In case an investor provides joint holder details, these shall be ignored.
- Guardian should be either a natural guardian (i.e. father or mother) or a court appointed legal guardian.

## INSTRUCTIONS FOR COMPLETING THE APPLICATION FORM

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

- a. New and Existing investors can enroll for an SIP during NFO by filling up Lumpsum/SIP application form along with SIP Auto debit form.
  - b. The first investment in SIP during the NFO shall be through a cheque/debit/instrument. Minimum SIP application amount would be as per SID/KIM.
  - c. There will be a gap of 25 days between the first SIP installment and second installment. During NFO Subsequent SIP debit date would be effective from September 14, 2015 onwards.
  - d. Investor shall have the option of choosing any date of the month as his SIP date except the dates 29th, 30th and 31st.
  - e. All SIP installment cheques/payment instructions must be of the same amount and the same monthly debit date (excluding first cheque).
  - f. The SIP will be discontinued automatically if payment is not received for three consecutive installments.
  - g. Please refer below table for Min. No. of installments and minimum amount per installments:
- | Scheme                 | Monthly            |                      | Yearly             |                      |
|------------------------|--------------------|----------------------|--------------------|----------------------|
|                        | Minimum Amount (₹) | Minimum Installments | Minimum Amount (₹) | Minimum Installments |
| Axis Equity Saver Fund | 1000               | 12                   | 12000              | 3                    |
- h. Investors can discontinue an SIP at any time by sending 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 due date of the next installment / debit.
  - i. In case payment is made using "At Par" cheques, investors must mention the MICR number of his actual bank branch.
  - j. 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). 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 and / or ECS facility.

### 13. SIP AUTO DEBIT LOCATIONS & PARTNERING BANKS

Partnering Banks: Axis Bank, Bank of Baroda, Bank of India, Citi Bank, HDFC Bank, ICICI Bank, IDBI Bank, Indusind Bank, Kotak Mahindra Bank, Punjab National Bank, State Bank of India, Union Bank of India & Vysya Bank

SIP Auto Debit facility is currently available at

Agra, Ahmedabad, Allahabad, Amritsar, Anand, Asansol, Assam, Aurangabad, Bangalore, Belgaum, Bhavnagar, Bhillwara, Bhopal, Bhubaneswar, Bijapur, Bikaner, Burdwan, Chandigarh, Chennai, Coimbatore, Cuttack, Davangere, Dehradun, Delhi, Dhanbad, Durgapur, Erode, Gadag, Gangtok, Goa, Gorakhpur, Gulbarga, Guwahati, Gwalior, Haldia, Hubli, Hyderabad, Indore, Jabalpur, Jaipur, Jalandhar, Jammu, Jangnagar, Jamshedpur, Jodhpur, Kakinada, Kanpur, Karnataka, Kerala, Kolhapur, Kolkata, Kochi, Kota, Kozhikode, Lucknow, Ludhiana, Madurai, Mandya, Mangalore, Mumbai, Mysore, Nagpur, Nasik, Nellore, Patna, Pondicherry, Pune, Raichur, Raipur, Rajkot, Ranchi, Salem, Shillong, Shimla, Shimoga, Sholapur, Siliguri, Surat, Tirunelveli, Tirupati, Tiruppur, Trichur, Trichy, Trivandrum, Tumkur, Udaipur, Udipi, Varanasi, Vijaywada, Vizag.

### 14. NRIs, FIs

- a. Repatriation basis
  - I. 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.
  - II. FIs 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 FI with a designated branch of an authorised dealer.
  - III. 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 effective from 10th March '14. (Please refer the Addendum dated 7th March '14).
- 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.

### 15. ELECTRONIC SERVICES

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

- a. 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.
- b. SMS alerts facility - Applicants who wish to receive transaction alerts on their mobile phone need to provide their mobile no.
- c. 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.
- d. 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 EasyCall facility by filling in the registration form available on www.axismf.com.
- e. In case mobile no. & email ID is not provided on the application form then it will be capture as per KYC record.

### 16. NOMINATION

- a. 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.
- b. 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.
- c. Nomination is not allowed for folios/accounts opened in the name of minors.
- d. 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 Govt, State Govt, a local authority, any person designated by virtue of his office or a religious charitable trust.
- e. 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.
- f. Nomination stands rescinded upon transfer of units or cancellation of nomination.
- g. 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) 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.
- h. Cancellation of nomination can only be made only by those individuals who hold units on their 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.)
- i. Nomination shall be registered only if the form is filled in completely.
- j. Nomination will be updated at folio/account level and not at scheme level.
- k. Nomination can be made for maximum of 3 nominees. 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, by invoking default option shall settle the claim equally amongst all the nominees.
- l. The investor(s) who nominate is / are deemed to have read and understood the provisions of Regulation 29 A of SEBI (Mutual Funds) Regulations, 1996, read with SEBI circular dated Feb. 16, 2004 and / or any amendments thereto or any rules / regulations framed in pursuance thereof governing the nomination facility and agree/s to be bound by the same.
- m. Fresh nominee registrations will override older nominations under the folio.
- n. In case an investor does not wish to nominate for a specific folio / account, he/she should strike off the nomination fields and mention "Nomination not required".
- o. Even those investors who do not wish to nominate must sign separately confirming their non-intention to nominate.

### 17. DEMAT ACCOUNT DETAILS

If the investor intends to invest in the scheme through Demat will require to have a beneficiary account with a Depository Participant (DP), of the NSDL CDSL and will be requested to mention in the Application Form DP ID No and Beneficiary Account No. at the time of purchasing Units. Applicants must ensure that the sequence of names as mentioned in the Application Form matches to that of the account held with the Depository, Participant, Names Address, PAN detail, KYC details etc. mentioned in the Application Form will be verified against the Depository data. Only those applications where the details are matched with the depository data, will be treated as valid applicants. If the details mentioned in the application are incompletely / incorrect, not matched with the depository data, the applicant shall be treated as invalid and shall be liable to be rejected.

### 18. TRANSACTION CHARGE

As per SEBI circular dated August 22, 2011, Transaction Charge per subscription of ₹ 10,000/- and above shall be charged from the investors and shall be payable to the distributors/ brokers (who have not opted out of charging the transaction charge) in respect of applications routed through distributor/broker relating to Purchases / subscription / new inflows only (lumpsum and SIP), subject to the following:

- For Existing / New investors: ₹100 / ₹ 150 as applicable per subscription of ₹ 10,000/- and above
- Transaction charge for SIP shall be applicable only if the total commitment through SIP amounts to ₹ 10,000/- and above. In such cases the transaction charge would be recovered in maximum 4 successful installments.
- There shall be no transaction charge on subscription below ₹ 10,000/-.
- There shall be no transaction charges on direct investments.
- There shall be no transaction charges for transaction other than purchases/subscriptions relating to new inflows such as Switches, etc.
- Transactions carried out through the Stock Exchange platforms for mutual funds shall not be subject to transaction charges.

The requirement of minimum application amount shall not be applicable if the investment amount falls below the minimum requirement due to deduction of transaction charges from the subscription amount.

However, the option to charge "transaction charges" is at the discretion of the distributors. Investors may note that distributors can opt to receive transaction charges based on type of the Scheme. Accordingly, the transaction charges would be deducted from the subscription amounts, as applicable.

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

Details under FATCA/Foreign Tax Laws: Tax Regulations require us to collect information about each investor's tax residency. In certain circumstances (including if we do not receive a valid self-certification from you) we may be obliged to share information on your account with relevant tax authorities. If you have any questions about your tax residency, please contact your tax advisor. Should there be any change in information provided, please ensure you advise us promptly, i.e., within 30 days. 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. Foreign Account Tax Compliance provisions (commonly known as FATCA) are contained in the US Hire Act 2010. Please visit our website www.axismf.com for FATCA details Form. If you are classified as a passive Non-Financial Foreign Entity (NFFE) for FATCA purposes, please include in the section relating to Ultimate beneficial Owner (UBO), details of any specified US persons having controlling interest in the foreign country information field along with your US Tax Identification Number for FATCA purposes. Foreign Account Tax Compliance provisions (commonly known as FATCA) are contained in the US Hire Act 2010. The Fund reserves the right to reject applications/restrict further investments or seek additional information from investors who have not provided the requisite information.

20. A non-profit organization means any entity or organization that is registered as a Trust or a society under the Societies Registration Act, 1860 or any similar State legislation or a company registered under section 25 of the companies act, 1956 or under Section 8 of the Companies Act, 2013. NPOs are requested to submit a copy of certificate of registration under applicable laws (example Bombay Public Trust Act) and/ or certificate from Charity Commissioner (as applicable) and/ or copy of appropriate registration certificate under Income Tax Act.



# FORM 1 - APPLICATION FORM FOR AXIS EQUITY SAVER FUND (An open ended equity scheme)



Application No. \_\_\_\_\_

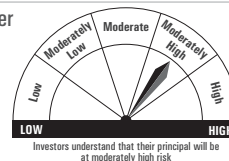
NFO opens : July 27, 2015 NFO closes : August 10, 2015

**This product is suitable for investors who are seeking\***

- Capital appreciation while generating income over medium to long term
- Provide capital appreciation and income distribution to the investors by using equity and equity related instruments, arbitrage opportunities, and investments in debt and money market instruments

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

Riskmeter



Distributor ARN	Sub-Distributor ARN	Sol ID / Internal Sub-Broker	Employee Code	EUIN	Serial No., Date & Time Stamp
ARN	ARN			E	

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

First / Sole Applicant / Guardian

Second Applicant

Third Applicant

Power of Attorney Holder

**TRANSACTION CHARGES FOR APPLICATIONS THROUGH DISTRIBUTORS ONLY** (Refer 18) In case the subscription amount is ₹ 10,000 or more and your Distributor has opted to receive Transaction Charges, the same are deductible as applicable from the purchase/ subscription amount and payable to the Distributor. Units will be issued against the balance amount invested. I confirm that I am a first time investor across Mutual Funds. I confirm that I am an existing investor in Mutual Funds.**1 EXISTING INVESTOR'S FOLIO NUMBER** (If you have an existing folio with KYC validated, please mention here and skip to section 3/4.)**2 FIRST APPLICANT'S DETAILS** (Non-individual investors please fill in UBO annexure and attach along with application form) Mr.  Ms.  M/sName (1<sup>st</sup>) \_\_\_\_\_Date of birth 

D	D	M	M	Y	Y
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 PAN Refer 9 

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 Nationality \_\_\_\_\_ Country of Birth \_\_\_\_\_**For Investments "On behalf of Minor"** (Refer 10)  Birth Certificate  School Certificate  Passport  Other \_\_\_\_\_ Guardian named below is  Father  Mother  Court Appointed^Name of the Guardian if minor attach proof of date of birth / Contact person for non individuals / PoA holder name \_\_\_\_\_ Guardian / PoA PAN 

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Correspondence / Overseas address (For FIIs/NRIs/PIOs) \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Pin Code 

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Overseas address \_\_\_\_\_ Country \_\_\_\_\_

Email (Refer 15a) \_\_\_\_\_ Mobile 

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 Tel. \_\_\_\_\_**Are you a tax resident of any country other than India?**  No  Yes (Please attach / complete the Ultimate Beneficial Ownership (UBO) Declaration Form & FATCA Declaration Form). (Refer 8.8 & 19)Status  Resident Individual  Proprietor  HUF  Minor  FII  NRI  PIO  Partnership Firm  Society\*  Trust\*  Company\*  Non-Profit Organization (NPO) (Ref 20)  Other Specify \_\_\_\_\_

\*Other than NPO

Occupation  Pvt. Sector Service  Public Sector  Gov. Service  Housewife  Defence  Professional  Retired  Business  Agriculture  Student  Forex Dealer  Other Specify \_\_\_\_\_Gross Annual Income OR Net-worth\* in ₹ 

<input type="checkbox"/> <1L	<input type="checkbox"/> 1-5L	<input type="checkbox"/> 5-10L	<input type="checkbox"/> 10-25L	<input type="checkbox"/> >25L
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as on 

D	D	M	M	Y	Y
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 Politically Exposed Person (PEP)  Related to a PEP

Any other information \_\_\_\_\_

<input type="checkbox"/> <1L	<input type="checkbox"/> 1-5L	<input type="checkbox"/> 5-10L	<input type="checkbox"/> 10-25L	<input type="checkbox"/> >25L	<input type="checkbox"/> 25L-1C	<input type="checkbox"/> >1C
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as on 

D	D	M	M	Y	Y
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Any other information \_\_\_\_\_

Is the entity involved in any of the following:

Foreign Exchange/ Money Changer  Yes  NoGaming/ Gambling/ Lottery (casinos, betting syndicates)  Yes  NoMoney Lending/ Pawning  Yes  No**SECOND APPLICANT'S DETAILS** Mode of Holding  Joint (Default)  Anyone or Survivor Nationality \_\_\_\_\_ Country of Birth \_\_\_\_\_  Mr.  Ms.  M/sName (2<sup>nd</sup>) \_\_\_\_\_PAN 

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 Mobile 

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 Email \_\_\_\_\_**Are you a tax resident of any country other than India?**  No  YesStatus  Resident Individual  Proprietor  HUF  Minor  Society  FII  NRI  PIO  Partnership Firm  Trust  Company  Other Specify \_\_\_\_\_Gross Annual Income OR Net-worth\* in ₹ 

<input type="checkbox"/> <1L	<input type="checkbox"/> 1-5L	<input type="checkbox"/> 5-10L	<input type="checkbox"/> 10-25L	<input type="checkbox"/> >25L
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as on 

D	D	M	M	Y	Y
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 Politically Exposed Person (PEP)  Related to a PEP

\*Should not be older than one year

Any other information \_\_\_\_\_

**3 DEBIT MANDATE** (For Axis Bank A/c only.) To be processed in CMS software under client code "AXISMF"

TO BE DETACHED BY KARVY &amp; PRESENTED TO AXIS BANK CMS

Application No. \_\_\_\_\_

I/ We \_\_\_\_\_ Name of the account holder(s) \_\_\_\_\_ authorise you to debit my/our account no. \_\_\_\_\_ Date 

D	D	M	M	Y	Y
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Account type  Savings  NRO  NRE  Current  FCNR  Others \_\_\_\_\_ Specify \_\_\_\_\_to pay for the purchase of **AXIS EQUITY SAVER FUND** Plan \_\_\_\_\_ Option \_\_\_\_\_Amount 

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 (figures) \_\_\_\_\_ (words) \_\_\_\_\_

Signature of First Account Holder

Signature of Second Account Holder

Signature of Third Account Holder

**ACKNOWLEDGMENT SLIP** Received subject to realisation, verification and conditions, an application for purchase of Units as mentioned in the application form.

Application No. \_\_\_\_\_

From \_\_\_\_\_

Cheque no.	Date	Amount	Scheme
			<b>AXIS EQUITY SAVER FUND</b>

Stamp &amp; Signature

### THIRD APPLICANT'S DETAILS

Name (3<sup>rd</sup>)  Nationality  Country of Birth   Mr.  Ms.  M/s

PAN  Mobile  Email ID

Are you a tax resident of any country other than India?  No  Yes

Status  Resident Individual  Proprietor  HUF  Minor  Society  FII  NRI  PIO  Partnership Firm  Trust  Company  Other  Specify

Gross Annual Income OR  as on   < 1L  1-5L  5-10L  10-25L  > 25L

Net-worth\* in ₹   Politically Exposed Person (PEP)  Related to a PEP

Occupation  Pvt. Sector Service  Public Sector  Gov. Service  Housewife  Defence  Retired  Professional  Business  Agriculture  Student  Forex Dealer  Other  Specify

\*Should not be older than one year  
Any other information

### 4 INVESTMENT & PAYMENT DETAILS (Investors applying under Direct Plan must mention "Direct" against scheme name, refer 2)

Payment type  Non-Third Party Payment  Third Party Payment (Please attach 'Third Party Payment Declaration Form')

**AXIS EQUITY SAVER FUND**  Regular Plan  Direct Plan  Dividend Frequency  Growth  Dividend Payout  Dividend Reinvestment  Growth  Dividend Payout  Dividend Reinvestment  Monthly  Quarterly

LUMP SUM (Fill 4A only)  SIP AXIS BANK DEBIT MANDATE (Fill 4B)  SIP ELECTRONIC AUTO DEBIT (Fill 4B)

### 4A LUMPSUM Do not submit SIP Auto Debit Form

Mode  Cheque  DD  Axis Bank Debit Mandate (Please fill section 3.)  RTGS (Refer 6)  NEFT (Refer 6) Cheque / DD no.  Dated

Amount (figures)  (words)

Pay-in A/c no.

Account type  Savings  NRO  NRE  Current  FCNR  Others  Specify

Drawn on bank / branch name

### 4B SIP (For SIP through Electronic Auto Debit submit SIP Auto Debit (Form 2) with Form 1 ref 12 & 13)

Monthly SIP Amount (figure)  (words)

SIP frequency (tick ✓ any one)  Monthly  Yearly Preferred Debit Date (Any date except 29<sup>th</sup>, 30<sup>th</sup> and 31<sup>st</sup>)

SIP period  Till you instruct to discontinue OR no. of installments  (ref 12(g))\* from  to  \*Fill only if no. of installments have been specified, else leave blank.

First SIP Installment details Drawn on bank / branch name

Mode  Cheque / DD  Axis Bank Debit Mandate (Please fill section 3.) Cheque / DD no.  Dated

### DEMAT ACCOUNT DETAILS OF FIRST / SOLE APPLICANT (Name should be as per the demat account. Refer 17) NSDL CDSL

Depository Participant (DP) Name

DP ID  Beneficiary A/c No.

### 5 BANK ACCOUNT DETAILS FOR PAY-OUT (Mandatory. Refer 6 and avail of Multiple Bank Registration Facility.)

Bank Name

Bank A/c No.  Type  Current  Savings  NRO  NRE  FCNR  Others  Specify

Branch Name  City  Pin

IFSC Code (11 digit)\*  MICR Code (9 digit)\*  \*Mentioned on your cheque leaf

### 6 NOMINATION DETAILS (Refer 16)

Name (Date of Birth if nominee is minor)	Address	Guardian Name (in case Nominee is a Minor)	Signature (Guardian in case Nominee is a Minor)	Allocation %

Unit Holder's Signature If you do not wish to nominate sign here.	First / Sole Applicant / Guardian	Second Applicant	Third Applicant	Power of Attorney Holder	0
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### 7 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, 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 release 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 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.

First / Sole Applicant / Guardian  Second Applicant  Third Applicant  Power of Attorney Holder

### QUICK CHECKLIST

- KYC acknowledgement letter (Compulsory for MICRO Investments)
- Self attested PAN card copy
- Email id and mobile number provided for online transaction facility
- Plan / Option name mentioned in addition to scheme name
- SIP Auto Debit Form for SIP investments
- 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)
- Relationship proof between Guardian and Minor (if application is in the name of a Minor) attached
- Additional documents attached for Third Party payments. Refer instructions.

AXIS MUTUAL FUND HELPS YOU RELAX WITH,



**EasyApp**  
SMS EasyApp to 92120 10033  
to download. Invest with ease on your Android smartphone.



**EasyCall**  
1800 221322 / 1800 3000 3300  
Buy / Sell units without PINs or Passwords.



**EasySMS**  
SMS HELP to 92120 10033  
to download. Invest with ease on the go.



**EasyInvest**  
https://online.axismf.com  
Invest online without any prior registration.

\*Buy\* means purchase and \*Sell\* means redemption of units of Axis Mutual Fund schemes.



# APPLICATION SUPPORTED BY BLOCKED AMOUNT (ASBA) FORM



Application No.

Date

BROKER/AGENT INFORMATION			FOR OFFICE USE ONLY			
Name and AMFI Regn No.	Sub Broker Name & Code	EUIN	SCSB	SCSB IFSC Code	Syndicate Member Code	SI No.
ARN:			[Name & Code]	[11 digit code]	[Name and Code]	

Upfront commission shall be paid directly by the investor to the AMFI registered Distributors based on the investors' assessment of various factors including the service rendered by the distributor.

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

First / Sole Applicant / Guardian	Second Applicant	Third Applicant	Power of Attorney Holder
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**1 NAME OF FIRST APPLICANT** (Name should be as available in Demat Account)  Title  Mr.  Ms.  M/s

**2 FOLIO NUMBER**  (If you have an existing folio number, please mention the number here)

**3 DEPOSITORY ACCOUNT DETAILS**

Depository Name  National Securities Depository Ltd.  Central Depository Services (India) Limited

Depository Participant Name

DP-ID  Beneficiary Account Number

**4 PAN DETAILS** (Permanent Account Number)

1st applicant  2nd applicant  3rd applicant

**5 INVESTMENT DETAILS - AXIS EQUITY SAVER FUND (AN OPEN ENDED EQUITY SCHEME)**  Growth  Dividend Payout

**6 DETAILS OF BANK ACCOUNT FOR BLOCKING OF FUNDS**

Bank Account Number

Bank Name

Branch Name where account is held

Total Amount to be blocked  In figures  in words

**7 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)

Address

City

State  Pincode  Landline No.

**8 UNDERTAKING BY ASBA INVESTOR**

1) I/We hereby under take 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.

**9 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

**ACKNOWLEDGMENT SLIP** (to be filled in by the investor) Application No.

**AXIS EQUITY SAVER FUND (AN OPEN ENDED EQUITY SCHEME)** Date

Received from Mr / Ms / Mrs / M/s

an application for purchase of units in **AXIS EQUITY SAVER FUND (AN OPEN ENDED EQUITY SCHEME)**

**SCSB Account details:** Account No.

Bank Name

Branch  Total Amount to be blocked  In figures

in words

Time of receipt

SCSB Stamp, Signature

# 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. SELF CERTIFIED 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 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.

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Investment Manager to Axis Mutual Fund

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