

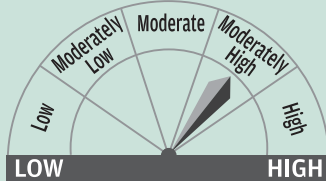


## KEY INFORMATION MEMORANDUM

### BNP PARIBAS BALANCED FUND

(An open ended balanced scheme)

**Offer of units of Rs. 10 each during the New Fund Offer Period and continuous offer for units at NAV based prices**

<p><b>This product is suitable for investors who are seeking*:</b></p>	<p><b>Riskometer for the Scheme</b></p>
<ul style="list-style-type: none"> <li>• Wealth creation in long term.</li> <li>• Investment primarily in equity &amp; equity-related securities and the rest in debt securities &amp; money market instruments to generate income and capital appreciation</li> </ul>	 <p>Investors understand that their principal will be at moderately high risk</p>

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

<p><b>New Fund Offer opens on</b></p>	<p><b>New Fund Offer closes on</b></p>	<p><b>Scheme re-opens on</b></p>
<p>March 17, 2017</p>	<p>March 31, 2017</p>	<p>Within 5 business days from date of allotment</p>

<p><b>Sponsor</b></p>	<p><b>BNP Paribas Investment Partners Asia Limited</b> Registered Office: 30/F, Three Exchange Square, 8 Connaught Place, Central, Hong Kong.</p>
<p><b>Name of Mutual Fund (Mutual Fund)</b></p>	<p><b>BNP Paribas Mutual Fund</b></p>
<p><b>Asset Management Company (AMC)</b></p>	<p><b>BNP Paribas Asset Management India Private Limited</b> Corporate Identity Number (CIN) : U65991MH2003PTC142972 Registered Office: BNP Paribas House, 1 North Avenue, Maker Maxity, Bandra Kurla Complex, Bandra (East), Mumbai - 400 051, Maharashtra, India.</p>
<p><b>Name of Trustee Company (Trustee)</b></p>	<p><b>BNP Paribas Trustee India Private Limited</b> Corporate Identity Number (CIN) : U65991MH2003PTC142971 Registered Office: BNP Paribas House, 1 North Avenue, Maker Maxity, Bandra Kurla Complex, Bandra (East), Mumbai - 400 051, Maharashtra, India.</p>
<p>Website of the entity : <a href="http://www.bnpparibasmf.in">www.bnpparibasmf.in</a></p>	

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

The Scheme particulars have been prepared in accordance with Securities and Exchange Board of India (Mutual Funds) Regulations 1996 (SEBI (MF) Regulations), 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 KIM is dated February 27, 2017.

Name of the Scheme	<b>BNP PARIBAS BALANCED FUND</b>																																			
<b>Type of the Scheme</b>	An open ended balanced scheme																																			
<b>Investment objective</b>	<p>The Scheme seeks to generate income and capital appreciation by investing in a diversified portfolio of equity and equity related instruments and fixed income instruments.</p> <p>However, there can be no assurance that the investment objectives of the Scheme will be realized. The Scheme does not guarantee/indicate any returns.</p>																																			
<b>Asset Allocation Pattern</b>	<p>The asset allocation of the Scheme under normal circumstances would be:</p> <table border="1" data-bbox="405 416 1485 622"> <thead> <tr> <th data-bbox="405 416 963 454" rowspan="2">Instruments</th> <th colspan="2" data-bbox="963 416 1331 454">Indicative allocations (% of total assets)</th> <th data-bbox="1331 416 1485 454" rowspan="2">Risk Profile</th> </tr> <tr> <th data-bbox="963 454 1145 492">Minimum</th> <th data-bbox="1145 454 1331 492">Maximum</th> </tr> </thead> <tbody> <tr> <td data-bbox="405 492 963 530">Equity and equity related instruments*</td> <td data-bbox="963 492 1145 530">30</td> <td data-bbox="1145 492 1331 530">60</td> <td data-bbox="1331 492 1485 530">Medium to High</td> </tr> <tr> <td data-bbox="405 530 963 568">Net Equity Arbitrage Exposure*</td> <td data-bbox="963 530 1145 568">5</td> <td data-bbox="1145 530 1331 568">10</td> <td data-bbox="1331 530 1485 568">Medium to High</td> </tr> <tr> <td data-bbox="405 568 963 622">Debt and Money market instruments and/or units of liquid fund\$*</td> <td data-bbox="963 568 1145 622">30</td> <td data-bbox="1145 568 1331 622">60</td> <td data-bbox="1331 568 1485 622">Low</td> </tr> </tbody> </table> <p>Alternate asset allocation when very few opportunities are available or no opportunities are available, the asset allocation is expected to be as follows:</p> <table border="1" data-bbox="405 701 1485 869"> <thead> <tr> <th data-bbox="405 701 963 739" rowspan="2">Instruments</th> <th colspan="2" data-bbox="963 701 1331 739">Indicative allocations (% of total assets)</th> <th data-bbox="1331 701 1485 739" rowspan="2">Risk Profile</th> </tr> <tr> <th data-bbox="963 739 1145 777">Minimum</th> <th data-bbox="1145 739 1331 777">Maximum</th> </tr> </thead> <tbody> <tr> <td data-bbox="405 777 963 815">Equity and equity related instruments*</td> <td data-bbox="963 777 1145 815">30</td> <td data-bbox="1145 777 1331 815">60</td> <td data-bbox="1331 777 1485 815">Medium to High</td> </tr> <tr> <td data-bbox="405 815 963 869">Debt and Money market instruments and/or units of liquid fund\$*</td> <td data-bbox="963 815 1145 869">40</td> <td data-bbox="1145 815 1331 869">70</td> <td data-bbox="1331 815 1485 869">Low</td> </tr> </tbody> </table> <p>\$Debt instruments may include securitised debt up to 10% of the net assets. It may be noted that the AMC has to adhere to the asset allocation pattern indicated in the Scheme Information Document under normal circumstances.</p> <p>* Includes investments in derivatives (gross exposure shall not exceed 50% of the asset allocation stipulated above for the relevant instrument category).</p> <p>The cumulative gross exposure through debt and money market instruments, equity &amp; equity related instruments, and derivative instruments will not exceed 100% of the net assets of the Scheme. The Scheme will not invest in foreign equities including ADR/GDR and foreign debt securities including foreign securitised debt. The Scheme will not indulge in short selling and securities lending and borrowing.</p> <p>The Scheme will not participate in Credit Default Swaps (CDS) for Corporate Bonds.</p> <p>The Scheme may enter into repos/reverse repos as may be permitted by RBI other than repo in corporate debt securities. From time to time, the Scheme may hold cash. A part of the net assets may be invested in the Collateralised Borrowing &amp; Lending Obligations (CBLO) or repo or in an alternative investment as may be provided by RBI.</p> <p>It may be noted that AMC has to adhere to the asset allocation pattern indicated in the Scheme Information Document under normal circumstances.</p> <p>According to SEBI circulars (reference no. SEBI/IMD/CIR No. 1/ 91171/07 dated April 16, 2007, SEBI/IMD/CIR No. 8/107311/07 dated October 26, 2007 and SEBI/IMD/CIR No. 7/129592/08 dated June 23, 2008), pending deployment of funds of the Scheme in securities in terms of investment objective of the Scheme, the Mutual Fund may invest the funds of the Scheme in short term deposits of scheduled commercial banks subject to restrictions laid down under the SEBI Regulations from time to time.</p> <p><b>Portfolio rebalancing</b></p> <p>The Scheme shall rebalance the portfolio in case of any deviation to the either of above asset allocation. Such rebalancing shall be done within 30 days from the date of occurrence of deviation. In the event of the Scheme not being rebalanced within the aforesaid period, justification for the same shall be placed before Investment Committee of the AMC and reasons for the same shall be recorded in writing. Investment Committee shall then decide on the course of action and may suggest rebalancing of the portfolio. However, at all times the AMC shall ensure that the portfolio would adhere to the overall investment objective of the Scheme.</p> <p><b>Change in investment pattern</b></p> <p>Subject to the SEBI Regulations, the asset allocation pattern indicated above may change from time to time, depending on liquidity considerations or on account of high levels of repurchase or redemptions relative to Scheme size, or upon considerations that optimise returns of the Scheme through investment opportunities or upon various defensive considerations including market conditions, market opportunities, applicable regulations and political and economic factors. Asset Allocation proportions may vary substantially depending upon the perception of the AMC 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 only for defensive considerations. In addition, as part of the investment process, the Investment Committee of the AMC will conduct a periodic review of the asset allocation and may suggest rebalancing of the portfolio.</p>				Instruments	Indicative allocations (% of total assets)		Risk Profile	Minimum	Maximum	Equity and equity related instruments*	30	60	Medium to High	Net Equity Arbitrage Exposure*	5	10	Medium to High	Debt and Money market instruments and/or units of liquid fund\$*	30	60	Low	Instruments	Indicative allocations (% of total assets)		Risk Profile	Minimum	Maximum	Equity and equity related instruments*	30	60	Medium to High	Debt and Money market instruments and/or units of liquid fund\$*	40	70	Low
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<b>Sector level and Group Level exposure restriction</b>	<p><b>Sector level exposure limits:</b></p> <p>The Mutual Fund/AMC shall ensure that total exposure of the Scheme in a particular sector (excluding investments in Bank CDs, CBLO, G-Secs, TBills, short term deposits of scheduled commercial banks and AAA rated securities issued by Public Financial Institutions and Public Sector Banks) shall not exceed 25% of the net assets of the Scheme;</p> <p>Provided that an additional exposure to financial services sector (over and above the limit of 25%) not exceeding 15% of the net assets of the Scheme shall be allowed by way of increase in exposure to Housing Finance Companies (HFCs) only;</p> <p>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 (NHB) and the total investment/ exposure in HFCs shall not exceed 25% of the net assets of the Scheme.</p>																																			

	<p><b>Group level exposure limits:</b></p> <p>The total exposure of the Scheme in a group (excluding investments in securities issued by Public Sector Units, Public Financial Institutions and Public Sector Banks) shall not exceed 20% of the net assets of the Scheme. Such investment limit may be extended to 25% of the net assets of the Scheme with the prior approval of the Board of Trustees.</p> <p><i>For this purpose, a group means a group as defined under regulation 2 (mm) of SEBI (Mutual Funds) Regulations, 1996 and shall include an entity, its subsidiaries, fellow subsidiaries, its holding company and its associates.</i></p> <p>For the purpose of identifying sector, AMFI sector definitions shall be referred to. For unlisted / non traded securities, where sector classification does not exist, AMC will have the discretion to decide the classification as per their best judgment.</p>
<b>Investment Strategy</b>	<p>The funds strategy seeks to generate income and capital appreciation by taking advantage of diversification by investing in a mix of asset classes comprising equity &amp; equity related instruments and fixed income securities including money market instruments. It also aims to manage risk through active selection within the specified asset allocation range. The aim is to improve risk adjusted returns through diversification across these asset classes.</p> <p>The equity portion of the portfolio will aim to provide long-term capital growth through a diversified and actively managed portfolio of equity and equity related securities. In case of using equity strategy the Scheme will follow a bottom-up approach for stock-picking and choose companies across sectors and the Scheme will primarily focus on companies that have demonstrated characteristics such as market leadership, strong financials and quality management, and have the potential to create wealth for their shareholders by delivering steady performance through the ups and downs of the market. The focus would be to build a diversified portfolio of both value and growth companies, all companies selected will be analysed taking into account the business fundamentals, the company's financial strength, industry structure, management quality, future earnings expectations and sensitivity of earnings.</p> <p>The debt portion of the portfolio will be actively managed based on the AMC's view on interest rates. The price of fixed income instruments varies with changes in interest rates. As interest rates decline, the value of fixed income securities rise and as interest rates rise, their value declines. The AMC forms views on the likely direction of interest rates and the portfolio is structured consistent with these views. Individual instruments are bought and sold based on the conformity with the interest rate view and the instrument specific factors (credit risk, exposure). By actively managing the portfolio, the Scheme attempts to achieve its objective through both interest yield and capital appreciation. As such, the Scheme may not invest solely based on the best available yields in the market at all points of time.</p>
<b>Risk Profile of the Scheme</b>	<p>Mutual Fund units involve investment risks including the possible loss of principal. Please read the Scheme Information Document (SID) carefully for details on risk factors before investment. Scheme specific risk factors are summarized below:</p> <p><b>Risks associated with investing in equities:</b></p> <p>The risks associated with investments in equities and similar instruments include significant fluctuations in prices. The impact of fluctuations is likely to be accentuated for short-term investments. The risk that the performance of one or more companies declines or stagnates may have a negative impact on the performance of the Scheme as a whole at any given time.</p> <p>Stock markets are volatile and can decline significantly in response to political, regulatory, economic, market and stock-specific developments etc. Different parts of the market can react differently to these developments. The stock-specific volatility may also change over a period of time as the characteristic of the stock undergoes a change in terms of market-cap category.</p> <p>The Scheme may hold such securities for only a very short time, which could tend to increase the costs. The Scheme may invest in growth stocks which may be more volatile than the market in general and may react differently to economic, political and market developments and to specific information about the issuer. Growth stocks traditionally show higher volatility than other stocks, especially over short periods. These stocks may also be more expensive in relation to their profits than the market in general. Consequently, growth stocks may react with more volatility to variations in profit growth.</p> <p>The Fund Manager may temporarily adopt a more defensive approach if it considers that the equity market or economy is experiencing excessive volatility, a persistent general decline, or other unfavourable conditions. In such circumstances, the Scheme may be unable to achieve or pursue its investment objective.</p> <p>The Scheme may invest in companies making an initial public offering. In such cases there is a risk that the price of the newly floated share is more volatile due to factors such as the absence of previous trading, unseasonal transactions and the limited number of securities available for trading.</p> <p><b>Concentration Risk:</b></p> <p>The Scheme may pursue only a limited degree of diversification. It may invest a greater proportion of assets in the securities of very few issuers (within the limits permitted by regulation) or be concentrated on a few market sectors. This could have implications on the performance of the Scheme. The Scheme may be more sensitive to economic, business, political or other changes and this may lead to sizeable fluctuation in the Net Asset Value of the Scheme.</p> <p><b>Risks related to arbitrage strategy:</b></p> <p>In case of a large redemption, the Scheme may need to reverse the spot-futures transaction before the date of futures' settlement. This eventuality may lead to the basis risk. While reversing the spot-futures transaction on the Futures &amp; Options settlement day on the Exchange, there could be a risk of volume-weighted-average-price of the market being different from the price at which the actual reversal is processed. This may result in basis risk.</p> <p>On the date of expiry, when the arbitrage is to be unwound, it is not necessary for the stock price and its future contract to coincide. There could be a discrepancy in their prices even a minute before the market closes. Thus, there is a possibility that the arbitrage strategy gets unwound at different prices.</p> <p>In addition to above and to the extent of the corpus of the Scheme investments in certain securities, the Scheme shall be subject to various risk factors including, but not limited to, risks associated with: investments in Fixed Income Securities such as Credit and Counterparty risk, Liquidity risk, Market risk, Interest Rate risk &amp; Re-investment risk etc., investments in Derivatives (The fund may use various derivative instruments and techniques, permitted within SEBI (MF) Regulations from time to time only for portfolio balancing and hedging purpose, which may increase the volatility of fund's performance. Usage of derivatives will expose the Scheme to certain risks inherent to such derivatives. The risks associated with the use of derivatives are different from or possibly greater than, the risks associated with investing directly in securities and other traditional investments), investments in securitised debt and investments in liquid funds. The Scheme shall also be subject to other risks including risk associated with inflation, legal risk, taxation risk, valuation risk, operational risk &amp; risk factors associated with processing of transaction, in case of investors investing in mutual fund units, through Stock Exchange Mechanism as provided in SID.</p>

	<p>Different types of securities in which the Scheme would invest as given in the Scheme Information Document/Key Information Memorandum carry different levels and types of risk. The above are some of the common risks associated with investments in various securities.</p> <p>Investors may, if they wish, consult their legal, tax, investment and other professional advisors to determine possible legal, tax, financial or other considerations of subscribing to or redeeming Units, i.e. before making a decision to invest/redeem Units.</p> <p><b>Investors in the Scheme are not being offered any guaranteed returns. Please refer to SID for detailed scheme specific risk factors.</b></p>																																				
<b>Risk Control Measures</b>	<p>Since investing requires disciplined risk management, the AMC would incorporate adequate safeguards for controlling risks in the portfolio construction process. Subject to the stated investment objective, since this is a relatively concentrated investment strategy, the Investment Manager will aim to diversify by gaining broad exposure to different industries and companies while allocating and choosing securities, in order to reduce risk.</p> <p>For investments in fixed income instruments, a credit evaluation of each investment opportunity will be undertaken to manage credit risk. The AMC will utilise ratings of recognised rating agencies as an input in the decision making process. The fund manager shall follow the asset allocation pattern in SID under normal circumstances and residual cash may be invested in the collateralised borrowing &amp; lending obligations (CBLO) / repo market, units of mutual fund which seeks to ensure liquidity in the Scheme under normal circumstances. There can however be no guarantee against liquidity risk within the Scheme.</p> <p>The AMC may also implement certain internal control procedures / risk &amp; exposure limits etc. for controlling risks which may be varied from time to time. The Scheme may utilise derivative instruments for hedging &amp; portfolio balancing purposes. All Interest Rate Swaps will be undertaken with approved counter parties under pre-approved International Swaps and Derivatives Association (ISDA) agreements. The Scheme may also use various derivatives and hedging products from time to time, as would be available and permitted by SEBI/RBI for the purpose of hedging and portfolio rebalancing.</p> <p>The above risk control measures shall be implemented by the AMC on best effort basis however there can be no guarantee that such measures can completely mitigate the risks involved in Scheme.</p>																																				
<b>Plans &amp; Options</b>	<p>The Scheme offers following two plans:</p> <ul style="list-style-type: none"> <li>● BNP Paribas Balanced Fund - Regular Plan</li> <li>● BNP Paribas Balanced Fund - Direct Plan</li> </ul> <p>Each plan has the following options:</p> <ul style="list-style-type: none"> <li>● Growth Option</li> <li>● Dividend Option</li> </ul> <p>The above dividend option shall have dividend payout and dividend reinvestment facilities. There shall be a single portfolio under the Scheme.</p> <p><b>Default Plan:</b></p> <p>The following matrix shall apply for default plan:</p> <table border="1" data-bbox="403 1153 1495 1458"> <thead> <tr> <th>Scenarios</th> <th>Broker Code mentioned by the investor in application form</th> <th>Plan mentioned by the investor in application form</th> <th>Default Plan to apply</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 Plan</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 Plan</td> <td>Direct Plan</td> </tr> <tr> <td>7</td> <td>Mentioned</td> <td>Regular Plan</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>Direct Plan shall be the default plan if the investor doesn't indicate any plan and distributor code in the application form or in case of any ambiguity.</p> <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 endeavor to 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 (remediation period), the AMC shall re-process the transaction under Direct Plan from the date of application without any exit load, subject to following exceptions/ conditions:</p> <ol style="list-style-type: none"> <li>1. Such re-processing <b>shall not</b> be carried out in case of already redeemed units. i.e. re-processing shall only be carried out for balance units as maybe available after 30 calendar days.</li> <li>2. Any subsequent switch-out or STP (transfer out) request for units allotted under wrong/ invalid/ incomplete ARN codes <b>shall not</b> be processed unless: <ol style="list-style-type: none"> <li>a. Such switch or STP request is for 'switching-in' to direct plan of target scheme / same scheme, as maybe applicable or</li> <li>b. Correct ARN code is provided and verified by AMC/Mutual Fund, to its satisfaction, prior to processing of such switch request or registration of STP request.</li> </ol> </li> <li>3. In case of SIP transaction, the above time period for remediation shall be applicable from first installment/registration only. In case correct ARN code is not provided within 30 calendar days of such first installment, re-processing shall be carried out and subsequent SIP triggers shall happen in Direct Plan.</li> <li>4. Notwithstanding any of the clauses as above, re-processing <b>shall not</b> be carried out, for units allotted under wrong/ invalid/ incomplete ARN codes under Dividend option, in case any dividend has been declared during the aforesaid remediation period of 30 calendar days.</li> <li>5. Subject to above, once the units are re-processed under Direct Plan, no submission of correct ARN code shall be accepted by AMC for such re-processed units.</li> </ol>	Scenarios	Broker Code mentioned by the investor in application form	Plan mentioned by the investor in application form	Default Plan to apply	1	Not mentioned	Not mentioned	Direct Plan	2	Not mentioned	Direct	Direct Plan	3	Not mentioned	Regular Plan	Direct Plan	4	Mentioned	Direct	Direct Plan	5	Direct	Not Mentioned	Direct Plan	6	Direct	Regular Plan	Direct Plan	7	Mentioned	Regular Plan	Regular Plan	8	Mentioned	Not Mentioned	Regular Plan
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	<p>6. Investors are requested to note that pursuant to such re-processing, the number of units to the credit of such investors may change and AMC / Mutual Fund/ Trustees /Sponsors shall not be liable for any loss that may occur to investors/ distributors or any scheme of Mutual Fund consequent to such re-processing.</p> <p><b>7. Investors are strongly advised to provide the correct ARN codes in case they wish to subscribe to units of the Scheme under Regular Plan.</b></p> <p><b>Default Option/Facility:</b>          In case no option is indicated in the application form, then Growth option shall be considered as default option. Further, under dividend option, reinvestment facility shall be the default facility.          Investors may also opt to simultaneously invest in any / all option(s) of the Scheme subject to minimum subscription requirements under such option(s)/ Scheme.</p>																				
<b>Applicable NAV (after the Scheme opens for repurchase and sale)</b>	<p><b>1. Investment Amount less than Rs. 2 lakh</b></p> <table border="1" data-bbox="384 517 1473 674"> <thead> <tr> <th>Subscriptions and Switch-ins</th> <th>Applicable NAV</th> </tr> </thead> <tbody> <tr> <td>Receipt of valid application up to 3 p.m. on a Business Day.</td> <td>The NAV of the Business Day on which the application is received.</td> </tr> <tr> <td>Receipt of valid application after 3 p.m. on a Business Day</td> <td>The NAV of the next Business Day on which the application is received.</td> </tr> </tbody> </table> <p><b>2. 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In case the funds are received under the Scheme on separate days and are available for utilization on different Business days before the cut off time, then the applicable NAV shall be the Business day on which the cleared funds are available for the respective amount.</li> <li>The aggregation shall be done on the basis of investor/s PAN. In case of joint holding, transactions with similar holding structures to be aggregated, similar to the principle applied for compilation of Consolidated Account Statement (CAS).</li> <li>The transactions shall be aggregated at Scheme level irrespective of the plan/option in which the transaction is received. Such aggregation shall be done irrespective of the number of folios under which the investor has invested or through direct/through distributor route.</li> <li>The transactions in the name of minor received through guardian will not be aggregated with the transaction in the name of same guardian. Further, transactions of two minors received through same guardian shall not be aggregated.</li> </ol>	Subscriptions and Switch-ins	Applicable NAV	Receipt of valid application up to 3 p.m. on a Business Day.	The NAV of the Business Day on which the application is received.	Receipt of valid application after 3 p.m. on a Business Day	The NAV of the next Business Day on which the application is received.	Subscriptions and Switch-ins*	Applicable NAV	In respect of valid application received up to 3.00 p.m. on a Business Day and funds for the entire amount of subscription/ purchase/switch-in as per application/request are credited to the bank account of the Scheme before cut-off time i.e. available for utilization before the cut-off time.	The NAV of the day on which the funds are available for utilization.	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<b>Minimum Application Amount</b>	<b>Purchase</b>	<b>Lumpsum investment:</b> Rs. 5,000 and in multiples of Re. 1 thereafter. <b>Systematic Investment Plan:</b> Rs. 500 and in multiples of Re. 1 thereafter.																		
	<b>Additional Purchase</b>	Rs. 1,000 and in multiples of Re.1 thereafter																		
	<b>Redemption / Switch Out</b>	Rs. 1,000 and in multiples of Re. 1 thereafter or a minimum of 100 units (unless redemption request is for all units)																		
<p>There is no upper limit on the amount for application.</p> <p>The Trustee / AMC reserves the right to change the minimum amount for application and the additional amount for application from time to time in the Scheme and these could be different under different plan(s) / option(s).</p>																				
<b>Despatch of Repurchase (Redemption) Request</b>	As per the SEBI (MF) Regulations, the Mutual Fund shall despatch redemption proceeds within 10 Business Days of receiving the valid redemption / repurchase request at any of the Official Points of Acceptance of Transactions (OPAT). A penal interest of 15% per annum or such other rate as may be prescribed by SEBI from time to time, will be paid in case the redemption proceeds are not despatched within 10 Business Days of the date of valid redemption request.																			
<b>Benchmark Index</b>	CRISIL Balanced Fund Index																			
<b>Dividend Policy</b>	Dividend declaration shall be in line with provisions mentioned in SEBI Circular IMD/Cir. No. 1/64057/06 dated April 4, 2006 read with further clarifications issued from time to time.																			
<b>Name of the Fund Manager</b>	Mr. Mayank Prakash (for Fixed Income Portfolio) & Mr. Karthikraj Lakshmanan (for Equity Portfolio)																			
<b>Name of the Trustee Company</b>	BNP Paribas Trustee India Private Limited																			
<b>Performance of the Scheme</b>	This Scheme is a new Scheme and does not have any performance track record.																			
<b>Expenses of the Scheme</b>	<p><b>(i) Load Structure</b>  <b>Entry Load:</b> Nil  <b>Exit Load:</b></p> <ul style="list-style-type: none"> <li>• 1.00%, if redeemed or switched-out upto 1 year from the date of allotment of units.</li> <li>• Nil, if redeemed or switched-out after 1 year from the date of allotment of units.</li> </ul> <p>The above load shall also be applicable for switches between the schemes of the Fund and all Systematic Investment Plans, Systematic Transfer Plans, Systematic Withdrawal Plans. No load will be charged on dividend re-investment units and bonus units.</p> <p>Switch of investments from Regular Plan to Direct Plan under the same Scheme/Plan shall be subject to applicable exit load, unless the investments were made directly i.e. without any distributor code. However, any subsequent switch-out or redemption of such investments from Direct Plan will not be subject to any exit load. No exit load shall be levied for switch-out from Direct Plan to Regular Plan. However, any subsequent switch-out or redemption of such investment from Regular Plan shall be subject to exit load based on the date of switch in of investment into the Regular Plan.</p> <p>In accordance with the requirements specified by the SEBI circular no. SEBI/ IMD/ CIR No. 4/ 168230/09 dated June 30, 2009 no entry load will be charged for purchase/additional purchase/ switch-in accepted by the Fund. The upfront commission on investment made by the investor, if any, shall be paid to the ARN Holder directly by the investor, based on the investor's assessment of various factors including service rendered by the ARN Holder.</p> <p>The exit load charged, if any, shall be credited to the Scheme.</p> <p><b>(ii) Recurring Expenses</b>  The maximum recurring expenses including the investment management and advisory fee that can be charged to the Scheme shall be subject to a percentage limit of average daily net assets as given in the table below. Expenses over and above the prescribed ceiling will be borne by the AMC.</p> <p>The AMC has estimated the annual recurring expenses under the Scheme as per the table below:</p> <table border="1"> <thead> <tr> <th>Particulars</th> <th>% of daily Net Assets</th> </tr> </thead> <tbody> <tr> <td>Investment Management &amp; Advisory Fee</td> <td rowspan="15">Upto 2.50%</td> </tr> <tr> <td>Trustee fee</td> </tr> <tr> <td>Audit fees</td> </tr> <tr> <td>Custodian Fees</td> </tr> <tr> <td>Registrar &amp; Transfer Agent Fees</td> </tr> <tr> <td>Marketing &amp; Selling Expenses including Agents Commission</td> </tr> <tr> <td>Costs related to investor communications</td> </tr> <tr> <td>Costs of fund transfer from location to location</td> </tr> <tr> <td>Cost of providing account statements and dividend redemption cheques and warrants</td> </tr> <tr> <td>Costs of statutory Advertisements</td> </tr> <tr> <td>Cost towards investor education &amp; awareness (at least 2 bps)</td> </tr> <tr> <td>Brokerage &amp; transaction cost over and above 12 bps and 5 bps for cash and derivative market trades respectively@</td> </tr> <tr> <td>Service tax on expenses other than investment management and advisory fees</td> </tr> <tr> <td>Service tax on brokerage and transaction cost</td> </tr> <tr> <td>Other Expenses</td> </tr> </tbody> </table>		Particulars	% of daily Net Assets	Investment Management & Advisory Fee	Upto 2.50%	Trustee fee	Audit fees	Custodian Fees	Registrar & Transfer Agent Fees	Marketing & Selling Expenses including Agents Commission	Costs related to investor communications	Costs of fund transfer from location to location	Cost of providing account statements and dividend redemption cheques and warrants	Costs of statutory Advertisements	Cost towards investor education & awareness (at least 2 bps)	Brokerage & transaction cost over and above 12 bps and 5 bps for cash and derivative market trades respectively@	Service tax on expenses other than investment management and advisory fees	Service tax on brokerage and transaction cost	Other Expenses
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Particulars	% of daily Net Assets
Maximum total expense ratio (TER) permissible under Regulation 52 (6) (c) (i)	Upto 2.50%
Additional expenses under regulation 52 (6A) (c)	Upto 0.20%
Additional expenses for gross new inflows from specified cities	Upto 0.30%

In case where the exposure of Scheme is predominantly towards fixed income securities, the following annual recurring expenses shall apply:

Particulars	% of daily Net Assets
Investment Management & Advisory Fee	Upto 2.25%
Trustee fee	
Audit fees	
Custodian Fees	
Registrar & Transfer Agent Fees	
Marketing & Selling Expenses including Agents Commission	
Costs related to investor communications	
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Cost towards investor education & awareness (at least 2 bps)	
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Maximum total expense ratio (TER) permissible under Regulation 52 (6) (c) (i)	Upto 2.25%
Additional expenses under regulation 52 (6A) (c)	Upto 0.20%
Additional expenses for gross new inflows from specified cities	Upto 0.30%

**Further, the BNP Paribas Balanced Fund - Direct Plan shall have a lower expense ratio excluding distribution expenses, commission etc. since no commission shall be paid from this plan.**

As per Regulation 52(6)(c)(i) of SEBI (MF) Regulations, the total expenses of the Scheme, including Investment Management and Advisory Fees, shall be subject to following limits as specified below:

- (i) On the first Rs. 100 crore of the daily net assets 2.50%^;
- (ii) On the next Rs. 300 crore of the daily net assets 2.25%^;
- (iii) On the next Rs. 300 crore of the daily net assets 2.00%^;
- (iv) On the balance of the assets 1.75%

^In case where the exposure of Scheme is predominantly towards fixed income securities, the recurring expenses shall be lesser by at least 0.25% of the daily net assets.

Further, the following costs or expenses shall be charged to the Scheme:

- (a) expenses not exceeding 0.30 per cent of daily net assets, if the new inflows from beyond top 15 cities are at least -
  - (i) 30 per cent of gross new inflows in the Scheme, or;
  - (ii) 15 per cent of the average assets under management (year to date) of the Scheme, whichever is higher:

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.

The top 15 cities shall mean top 15 cities based on Association of Mutual Funds in India (AMFI) data on 'AUM by Geography - Consolidated Data for Mutual Fund Industry' as at the end of the previous financial year.

Provided further that expenses charged under this clause shall be utilised for distribution expenses incurred for bringing inflows from such cities.

The said additional expenses on account of inflows from beyond top 15 cities so charged shall be clawed back in the Scheme, in case the said inflow is redeemed within a period of 1 year from the date of investment.
- (b) additional expenses under Regulation 52(6A) (c) at 0.20%;
- (c) The AMC may charge service tax on investment management and advisory service fees (AMC Fees) which shall be borne by the Scheme in addition to the total expense ratio mentioned in table above;
- (d) @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.

It is clarified that the brokerage and transaction cost incurred for the purpose of execution of trade may be capitalized to the extent of 12bps and 5bps for cash market transactions and derivatives transactions respectively. Any payment towards brokerage and transaction cost, over and above the said 12 bps and 5bps for cash market transactions and derivatives transactions respectively may be charged to the Scheme within the maximum limit of TER as prescribed under regulation 52 of the SEBI (MF) Regulations. Any expenditure in excess of the said prescribed limit (including brokerage and transaction cost, if any) shall be borne by the AMC or by the trustee or sponsors.

	<p>The total fungible expense charged to the Scheme shall be the maximum limit of TER as prescribed under regulation 52 and additional expenses prescribed under 52 (6A) (c) i.e. upto 2.70% of the daily net assets of the Scheme and 2.45% of the daily net assets of the Scheme in case where exposure of Scheme is predominantly towards fixed income securities.</p> <p>Investors should note that the total recurring expenses of the Scheme excluding issue or redemption expenses, whether initially borne by the Mutual Fund or by the AMC, but including the investment management and advisory fee, shall not exceed the limits as prescribed under Regulation 52 of the SEBI (MF) Regulations. Subject to the SEBI (MF) Regulations, expenses over and above the prescribed ceiling will be borne by the AMC.</p> <p>For the actual current expenses being charged, the investor should refer to the website of the mutual fund. The mutual fund would update the current expense ratios on the website within two working days mentioning the effective date of the change.</p> <p>These estimates have been made in good faith as per the information available to the Investment Manager based on past experience and are subject to change inter-se. Types of expenses charged shall be as per SEBI (MF) Regulations.</p> <p><b>An Illustration of impact of expense ratio on Scheme's returns:</b></p> <p>If an investor A invests in a regular plan of a Scheme with an expense of 2% p.a. and an investor B invests in Direct Plan of the same scheme with an expense of 1% p.a. Assuming the gross return of this fund is 10% for that given year, investor A will make a return of 8% (post expense) for that year, whereas investor B will make 9% return for same period.</p> <p>Also, please take a look at below illustration which shows impact of different expense ratio assumed on initial investment of Rs. 10,000 invested over period of 10 years with an average annualized gain of 10% p.a.</p> <table border="1" data-bbox="403 674 1495 1144"> <thead> <tr> <th rowspan="2">Value at End of Year</th> <th rowspan="2">Assuming 10% p.a. gain (without any expense ratio)</th> <th colspan="5">Assuming 10% p.a. gain</th> </tr> <tr> <th>with an average expense of 0.5% p.a.</th> <th>with an average expense of 1.00% p.a.</th> <th>with an average expense of 1.50% p.a.</th> <th>with an average expense of 2.00% p.a.</th> <th>with an average expense of 2.50% p.a.</th> </tr> </thead> <tbody> <tr><td>0*</td><td>10000.00</td><td>10000.00</td><td>10000.00</td><td>10000.00</td><td>10000.00</td><td>10000.00</td></tr> <tr><td>1</td><td>11000.00</td><td>10950.00</td><td>10900.00</td><td>10850.00</td><td>10800.00</td><td>10750.00</td></tr> <tr><td>2</td><td>12100.00</td><td>11990.25</td><td>11881.00</td><td>11772.25</td><td>11664.00</td><td>11556.25</td></tr> <tr><td>3</td><td>13310.00</td><td>13129.32</td><td>12950.29</td><td>12772.89</td><td>12597.12</td><td>12422.97</td></tr> <tr><td>4</td><td>14641.00</td><td>14376.61</td><td>14115.82</td><td>13858.59</td><td>13604.89</td><td>13354.69</td></tr> <tr><td>5</td><td>16105.10</td><td>15742.39</td><td>15386.24</td><td>15036.57</td><td>14693.28</td><td>14356.29</td></tr> <tr><td>6</td><td>17715.61</td><td>17237.91</td><td>16771.00</td><td>16314.68</td><td>15868.74</td><td>15433.02</td></tr> <tr><td>7</td><td>19487.17</td><td>18875.52</td><td>18280.39</td><td>17701.42</td><td>17138.24</td><td>16590.49</td></tr> <tr><td>8</td><td>21435.89</td><td>20668.69</td><td>19925.63</td><td>19206.04</td><td>18509.30</td><td>17834.78</td></tr> <tr><td>9</td><td>23579.48</td><td>22632.22</td><td>21718.93</td><td>20838.56</td><td>19990.05</td><td>19172.39</td></tr> <tr><td>10</td><td>25937.42</td><td>24782.28</td><td>23673.64</td><td>22609.83</td><td>21589.25</td><td>20610.32</td></tr> </tbody> </table> <p>*initial investment amount</p>	Value at End of Year	Assuming 10% p.a. gain (without any expense ratio)	Assuming 10% p.a. gain					with an average expense of 0.5% p.a.	with an average expense of 1.00% p.a.	with an average expense of 1.50% p.a.	with an average expense of 2.00% p.a.	with an average expense of 2.50% p.a.	0*	10000.00	10000.00	10000.00	10000.00	10000.00	10000.00	1	11000.00	10950.00	10900.00	10850.00	10800.00	10750.00	2	12100.00	11990.25	11881.00	11772.25	11664.00	11556.25	3	13310.00	13129.32	12950.29	12772.89	12597.12	12422.97	4	14641.00	14376.61	14115.82	13858.59	13604.89	13354.69	5	16105.10	15742.39	15386.24	15036.57	14693.28	14356.29	6	17715.61	17237.91	16771.00	16314.68	15868.74	15433.02	7	19487.17	18875.52	18280.39	17701.42	17138.24	16590.49	8	21435.89	20668.69	19925.63	19206.04	18509.30	17834.78	9	23579.48	22632.22	21718.93	20838.56	19990.05	19172.39	10	25937.42	24782.28	23673.64	22609.83	21589.25	20610.32
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<p><b>Transaction charges</b> (For Lumpsum Purchases and SIP Investments routed through distributor / agent)</p>	<p>Pursuant to SEBI Circular No. Cir/ IMD/ DF/13/ 2011 dated August 22, 2011, the AMC shall deduct transaction charges as per the following details from the subscription amount. The amount so deducted shall be paid to the distributor/agent of the investor (in case they have "opted in") and the balance shall be invested. In accordance with SEBI circular no. CIR/IMD/DF/21/2012 dated September 13, 2012, the distributors shall have an option either to opt in or opt out of levying transaction charge based on type of the product.</p> <ol style="list-style-type: none"> <li><b>First time investor in Mutual Fund (across all the Mutual Funds):</b> Transaction charge of Rs. 150/- for subscription of Rs. 10,000 and above shall be deducted.</li> <li><b>Existing investor in Mutual Funds (across all the Mutual Funds):</b> Transaction charge of Rs. 100/- per subscription of Rs. 10,000 and above shall be deducted.</li> <li><b>For SIP -</b> The transaction charges in case of investments through SIP shall be deducted only if the total commitment (i.e. amount per SIP installment x No. of installments) amounts to Rs. 10,000/- and above. The transaction charges shall be deducted in 3-4 installments.</li> <li>Transaction charges shall not be deducted for: <ol style="list-style-type: none"> <li>purchases /subscriptions for an amount less than Rs. 10,000/-</li> <li>transaction other than purchases/ subscriptions relating to new inflows such as Switch/ Systematic Transfer Plan (STP), Systematic Withdrawal Plan (SWP) etc.</li> <li>purchases /subscriptions made directly with the Fund (i.e. not through any distributor/agent).</li> <li>Transactions through stock exchange.</li> </ol> </li> <li>The statement of account shall reflect the net investment as gross subscription less transaction charge and the number of units allotted against the net investment.</li> <li>As per SEBI circular no. SEBI/ IMD/ CIR No. 4/ 168230/09 dated June 30, 2009, the upfront commission to distributors shall be paid by the investor directly to the distributor by a separate cheque based on the investor's assessment of various factors including service rendered by the distributor.</li> </ol>																																																																																									
<p><b>Waiver of Load for Direct Applications</b></p>	<p>In accordance with the requirements specified by the SEBI circular no. SEBI / IMD/CIR No. 4 / 168230/ 09 dated June 30, 2009 no entry load will be charged for purchase / additional purchase / switch-in accepted by the Fund. Hence provision for waiver of load for direct application is not applicable.</p>																																																																																									
<p><b>Tax treatment for the Investors (unitholders)</b></p>	<p>Investors are advised to refer to the details in the Statement of Additional Information and also independently refer to his tax advisor.</p>																																																																																									



<b>Daily Net Asset Value (NAV) Publication</b>	<p>The AMC will calculate and disclose the first NAV(s) of the Scheme not later than 5 Business Days from the date of allotment.</p> <p>The AMC shall declare the Net Asset Value of the Scheme on every Business Day on AMFI's website (<a href="http://www.amfiindia.com">www.amfiindia.com</a>) by 9.00 p.m. and also on its website (<a href="http://www.bnpparibasmf.in">www.bnpparibasmf.in</a>). The NAV shall be calculated for all Business Days. In case of any delay, the reasons for such delay would be explained to AMFI and SEBI in writing and the number of such instances would also be reported to SEBI on bi-monthly basis. If the NAVs are not available before the commencement of business hours of the following day due to any reason, the Mutual Fund shall issue a press release providing reasons and explaining when the Mutual Fund would be able to publish the NAVs.</p> <p>The NAV will be declared on all Business Days and will be published in atleast 2 daily newspapers in accordance with SEBI (MF) Regulations.</p>
<b>For Investor Grievances, please contact</b>	<p><b>Investor grievances will normally be received directly by the Registrar and Transfer Agent or at the Investor Service Centres or at the office the AMC.</b></p> <p><b>Sundaram BNP Paribas Fund Services Limited</b>  No. 23, Cathedral Garden Road, Nungambakkam, Chennai - 600034 (Corporate Office)</p> <p><b>Name, address, telephone number, fax number, e-mail id of Investor Relations Officer: Mr. Allwyn Monteiro</b></p> <p><b>BNP Paribas Asset Management India Private Limited</b>  1, North Avenue, Maker Maxity, Bandra Kurla Complex, Bandra (E), Mumbai - 400051  Phone: 91-22-3370 4000 or 1800-102-2595 (Tollfree), Fax: 91-22-3370 4294  E-mail: <a href="mailto:customer.care@bnpparibasmf.in">customer.care@bnpparibasmf.in</a></p>
<b>Unitolders' Information</b>	<p><b>Allotment:</b> The process of allotment of units will be completed within 5 (five) business days from the date of closure of the New Fund Offer Period.</p> <p><b>Account Statements:</b>  AMCs shall send confirmation regarding allotment of units specifying the number of units allotted to the applicant by way of email and/or SMS's to the applicant's registered email address and/or mobile number as soon as possible but not later than five working days from the date of closure of the new fund offer period and / or from date of receipt of the request from the unit holder. Further, Consolidated Account Statement (CAS) shall be issued for each calendar month 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 the schemes of all mutual funds in whose folios transaction has taken place during that month.</p> <p><b>No Account statements will be issued to investors opted to hold units in electronic (demat) mode, since the statement of account furnished by depository participant periodically will contain the details of transactions</b>  For more details, Investors are requested to refer the Scheme Information Document (SID).</p> <p><b>Half Yearly Disclosures (Unaudited Financial Results / Portfolio):</b>  Mutual Fund / AMC shall within one month from the close of each half year, (i.e. 31st March and on 30th September), host a soft copy of its unaudited financial results on its website (<a href="http://www.bnpparibasmf.in">www.bnpparibasmf.in</a>). Further, the Mutual Fund / AMC shall publish an advertisement disclosing the hosting of such unaudited half yearly financial results on their website, in atleast one national English daily newspaper and a regional newspaper published in the language of the region where the Head Office of the Mutual Fund is situated.</p> <p>The Mutual Fund / AMC shall before the expiry of one month from the close of each half year (i.e. 31st March and 30th September), publish complete statement of the scheme portfolio in prescribed format as at end of such half year in one national English daily newspaper and in a regional newspaper published in the language of the region where the Head Office of the Mutual Fund is situated.</p> <p><b>Monthly Portfolio Disclosures:</b> The monthly portfolio of the Scheme (alongwith ISIN) shall also be made available on the website of Mutual Fund (<a href="http://www.bnpparibasmf.in">www.bnpparibasmf.in</a>) on or before tenth day of the succeeding month. The same shall be disclosed on website at <a href="http://bnpparibasmf.in/Downloads/index.aspx">http://bnpparibasmf.in/Downloads/index.aspx</a></p> <p><b>Annual Report or abridged summary thereof:</b>  SEBI Circular No. Cir/ IMD/ DF/16/ 2011 dated September 8, 2011 shall be complied with in order to bring cost effectiveness in printing and dispatching the annual reports or abridged summary thereof.  For more details, Investors are requested to refer the Scheme Information Document (SID).</p>
<b>Application Supported by Blocked Amount or ASBA</b>	<p>ASBA is an application containing an authorization to a Self Certified Syndicate Bank (SCSB) to block the application money in the bank account maintained with the SCSB, for subscribing to an issue. Investors wish to apply through ASBA facility may approach Self Certified Syndicate Banks (SCSBs) authorized by SEBI for this purpose. Please visit the website <a href="http://www.sebi.gov.in">www.sebi.gov.in</a> for further details on ASBA. Presently, ASBA facility is available for investors holding demat account.</p> <p>Applicants applying through the ASBA process should carefully read the provisions applicable to such applications before making their application through the ASBA process. Notwithstanding any of the above conditions, any application may be accepted or rejected at the sole and absolute discretion of the Trustee.</p>
<b>Compliance with Foreign Accounts Tax Compliance Act ("FATCA") and Common Reporting Standards (CRS) requirements</b>	<p><b>FATCA and CRS requirements may require disclosure regarding your investment in the units of the Scheme.</b></p> <p>Investors are further informed that the AMC / the Fund are required to adhere to various requirements inter alia including submission of various information / details relating to the investors in the schemes of the mutual fund, to authorities/third parties including the U.S Internal Revenue Service ('IRS') or the Indian tax authorities, for the purpose of onward transmission to the U.S. Internal Revenue Service or such other authority as specified under the applicable laws from time to time. The information disclosed may include (but is not limited to) the identity of investors and their direct or indirect beneficiaries, beneficial owners and controlling persons, their residential status / details. Accordingly, Investors are requested to provide all the necessary information / declarations and to comply with any reasonable request from the AMC/ the Fund to allow the AMC/ the Fund to comply with such information reporting requirements.</p> <p><b>For more details, investors are requested to refer to SID.</b></p>

Notwithstanding anything contained in the Key Information Memorandum, the provisions of SEBI (Mutual Funds) Regulations, 1996 and Guidelines thereunder shall be applicable. Further, investors may ascertain about any further changes from the Mutual Fund/Investor Service Centres / Distributors or Brokers.

### COMPARISON OF EXISTING OPEN ENDED EQUITY SCHEMES OF THE FUND

Name of the Scheme	Investment Objective	Asset Allocation				Product Differentiation	Number of folios as on 31-Jan-17	AUM as on 31-Jan-17 (Rs. in crores)
		Type of Instruments	Allocation (as % of Net Assets)					
	Normal		Min	Max				
BNP Paribas Equity Fund	The investment objective of the Scheme is to generate long-term capital growth from a diversified and actively managed portfolio of equity and equity related securities.	Equities and Equity Related Securities	95		100	Medium to High	53,409	1,192.15
			5		35	Low to Medium		
		Debt Instruments and Money Market Instruments (including cash and money at call)						
BNP Paribas Dividend Yield Fund	To generate long term capital growth from an actively managed portfolio of equity and equity related securities primarily being high dividend yield stocks. High dividend yield stocks are defined as stocks of companies that have a dividend yield in excess of 0.5%, at the time of investment.	Equities and Equity Related Securities of companies that are high dividend yield stocks	75	65	100	High	12,110	282.06
			20	0	35	High		
		Equities and Equity Related Securities of companies instruments that are not high dividend yield stocks						
		Debt Instruments and Money Market instruments (including money at call)	5	0	35	Low		
BNP Paribas Long Term Equity Fund [Equity Linked Tax Savings Scheme having 3 year lock-in period]	The investment objective of the Scheme is to generate long-term capital growth from a diversified and actively managed portfolio of equity and equity related securities along with income tax rebate, as may be prevalent from time to time.	Equities and Equity Related Securities of companies	95	80	100	High	63,845	486.65
			5	0	20	Low		
		Debt Instruments and Money Market instruments (including money at call)						
BNP Paribas Mid Cap Fund	To seek to generate long-term capital appreciation by investing primarily in companies with high growth opportunities in the middle and small capitalization segment, defined as 'Future Leaders'.	Equity and equity related securities of companies categorised as Future Leaders	65		100	Medium to High	56,960	700.11
			0		35	Medium to High		
		Equity and Equity related securities of Companies other than Future Leaders						
		Debt Instruments and Money Market instruments (including money at call)	0		35	Low to Medium		

COMPARISON OF EXISTING OPEN ENDED EQUITY SCHEMES OF THE FUND									
Name of the Scheme	Investment Objective	Asset Allocation			Product Differentiation	Number of folios as on 31-Jan-17	AUM as on 31-Jan-17 (Rs. in crores)		
BNP Paribas Enhanced Arbitrage Fund	The primary investment objective of the scheme is to generate income and capital appreciation by investing in a combination of diversified portfolio of equity and equity related instruments, including use of equity derivatives strategies and arbitrage opportunities with exposure in debt and fixed income instruments.	<b>Type of Instruments</b>	<b>Allocation (as % of Net Assets)</b>		<b>Risk Profile</b>	1,098	108.29		
			<b>Min</b>	<b>Max</b>					
		Equities, equity related instruments (unhedged)*	0	10	Medium to High				
		Equities, equity related instruments and derivatives including index futures, stock futures, index options, & stock options, etc. as partly hedged / arbitrage exposure*	65	90	Medium to High				
		Debt Securities and Money market instruments with maturity upto 91 days only and/or units of liquid fund\$	10	35	Low				
		<p>*Equity allocation is measured as the gross exposure to equities, equity related instruments and derivatives. The Scheme will enter into derivatives transactions for arbitrage/partial hedging. The derivative positions will be hedged against corresponding positions in either equity or derivative markets depending on the strategies involved. 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 10% of the net assets.</p> <p>\$Debt instruments may include securitized debt up to 10% of the net assets. Includes investments in derivatives.</p>							
BNP Paribas Balanced Fund	The Scheme seeks to generate income and capital appreciation by investing in a diversified portfolio of equity and equity related instruments and fixed income instruments.	Under normal circumstances:			The funds strategy seeks to generate income and capital appreciation by taking advantage of diversification by investing in a mix of asset classes comprising equity & equity related instruments and fixed income securities including money market instruments.	N.A.	N.A.		
		<b>Type of Instruments</b>	<b>Allocation (% of total assets)</b>					<b>Risk Profile</b>	
			<b>Min</b>	<b>Max</b>					
		Equity and equity related instruments	30	60				Medium to High	
		Net Equity Arbitrage Exposure	5	10				Medium to High	
		Debt and Money market instruments and/or units of liquid fund	30	60				Low	
		Alternate asset allocation when very few opportunities are available or no opportunities are available, the asset allocation is expected to be as follows:							
		<b>Type of Instruments</b>	<b>Allocation (% of total assets)</b>					<b>Risk Profile</b>	
	<b>Min</b>	<b>Max</b>							
Equity and equity related instruments	30	60	Medium to High						
Debt and Money market instruments and/or units of liquid fund	40	70	Low						

For further details on asset allocation and investment pattern and investment strategy of each of the above schemes, please refer to the Scheme Information Document of the respective scheme.



## INSTRUCTIONS

### 1. GENERAL INFORMATION

a) The Application Form should be completed in ENGLISH in BLOCK LETTERS only. Please Tick (✓) in the appropriate box (☐), where boxes have been provided. Please refer to the Scheme Information Document, Statement of Additional Information, Key Information Memorandum and these Instructions carefully before filling the Application Form. All applicants are deemed to have accepted the terms of the Scheme Information Document subject to which this offer is being made and bind themselves to such terms of the Scheme Information Document, Statement of Additional Information, Key Information Memorandum upon signing the Application Form and tendering the payment.

### b) Directions to investors applying under the Scheme of the Fund directly

All existing / prospective investors are requested to note and follow the below-mentioned directions while applying for the units of the Scheme of BNP Paribas Mutual Fund to enable the AMC to treat them as direct applications:

1. In case of receipt of application form having broker code as blank space at the time of processing and allotting the units by the Registrars, AMC will consider such application as "Direct". However, the Investors are requested to fill the blank space with the words such as "Not Applicable" or "Direct" so as to ensure that their application is processed as direct. Alternatively, investors can also strike off the blank space in the broker code field.
2. Investors subscribing under Direct Plan of a scheme will have to indicate "Direct Plan" 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 Distributor code will not be considered and the application will be processed under Direct Plan. Further, where application is received for distributor plan without Distributor code or "Direct" mentioned in the ARN Column, the application will be processed under Direct Plan. If the Distributor Code is mentioned, but the Plan is not mentioned, the application shall be processed under Distributor Plan. Direct Plan shall be the default plan if the investor doesn't indicate any plan in the application form or in case of any ambiguity.
3. In case, the Broker code is pre-printed on the application form, investors (any / all in case of joint holders) must strike-off the code & countersign before submitting the application form at the applicable collections centres / Official Points of Acceptance of Transaction, if investors requires change in the broker / direct status.
4. Investors must provide their full signatures for the changes on the pre-printed application forms. Investors are also informed that if the changes / alterations carried out in the broker code are not accompanied with the full countersignature by the investor(s) on the said modification, the application will be processed with existing broker code details as recorded with the AMC. In case of multiple brokers preprinted on the transaction slip, the additional investment will be under "Direct", if the investor does not mention a specific broker.
5. The Registrar shall be diligent in effecting the received changes in the broker code within a reasonable period from the time of receipt of the written request from the investors at the designated Official Points of Acceptance of Transaction.
6. The detailed list of all the Official Points of Acceptance of Transactions will be available on the AMC website from time to time. The application received shall be considered "Direct" if they are submitted at the designated Official Points of Acceptance of Transactions, as notified from time to time.
7. If the Scheme name on the application form and on the payment instrument are different, the application may be processed and units allotted at applicable NAV of the scheme mentioned in the application / transaction slip duly signed by investor(s).

Investors should note that the AMC, the Trustee and the Mutual Fund should not be held liable for any claims in case the application forms are not completed in the manner stated as above.

### c) Employees unique identity number (EUIIN)

1. Investors should provide EUIIN of the distributor, particularly in advisory transactions. This would assist in tackling the problem of mis-selling even if the employee / relationship manager / sales person leaves the employment of the distributor.
2. EUIIN is applicable to sales persons of non individual ARN holders only. Individual / Sole Proprietorship ARN holders should intimate AMFI-unit of CAMS in case they employ any Sales Person for selling mutual funds so that EUIIN could be allotted to them by AMFI. EUIIN will not be applicable for overseas distributors who comply with the requirements as per AMFI circular CIR/ARN-14/12-13 dated July 13, 2012.
3. Transactions that will be considered for this purpose are purchases, switches, SIP / STP / STP Triggers registration, Dividend Transfer Plan. Transactions that will be excluded are auto SIP / STP / SWP / STP Triggers Installments, Dividend Reinvestments, Bonus Units, Redemption, SWP Registration, Zero Balance Folio creation and Dividend Transfer Plan installments.
4. Distributors shall ensure that the sub broker affixes his / her ARN code and the EUIIN of the Sales Person in the columns separately provided in addition to the current practice of affixing the internal code issued by the main ARN holder.
5. In case EUIIN is not provided or fails the validation test, ARN holder shall remediate the same within 90 days either by providing the EUIIN or submitting the declaration signed by the investor in the format prescribed by AMFI.
6. The remediation period of 30 days from the date of transaction for transactions submitted post June 30, 2014.
7. In case EUIIN or the above declaration is not provided within aforesaid remediation period, brokerage on the transaction shall be forfeited permanently.

8. AMC reserves the right to conduct a due diligence on the distributor's activities if it is observed that significantly large number of transactions is being submitted without EUIIN.
9. The EUIIN requirement shall be applicable for all modes of transactions including transaction through Stock Exchange Platform. The AMC shall comply with AMFI guidelines on this matter from time to time.

### Applications under Power of Attorney / Body Corporate / Registered Society / Trust / Partnership

In case of an application under a Power of Attorney, the application should be accompanied by an original Power of Attorney or by a duly notarised copy of the Power of Attorney. The Mutual Fund / Trustee / AMC reserves the right to reject the application forms not accompanied by a Power of Attorney. Further, the Mutual Fund / Trustee / AMC reserves the right to hold Redemption proceeds in case the requisite documents are not submitted.

Prerequisites for registration of POA are as follows:

1. POA document should contain the clause for empowering investment in units of Mutual Fund / shares & securities and should bear signatures of Power of Attorney grantor & holder.
2. A copy of PAN of POA holder is mandatory. The KYC compliance requirements are mandatory for both the POA issuer (i.e. Investor) and the Attorney (i.e. the holder of POA), both of whom should be KYC compliant in their independent capacity.
3. POA holder should not be a resident of United States of America and Canada.
4. Further, in case an application has been signed by POA holder, and the POA documents are not valid for any of the reasons mentioned above, then the application shall be rejected.
5. The Mutual Fund / Trustee / AMC reserve the right to reject the application at the applicable NAV as on the date of rejection of subscription without any load, in case of non submission of requisite documents w.r.t. POA registration as above.
6. The above POA process is also applicable for Partnership firm / Corporate / Trust.
7. For all communication, the address of the Investors shall be captured.

For applications by a company, body corporate, eligible institutions, registered society, trusts, partnership or other eligible non-individuals who apply in the Scheme should furnish a certified copy of resolution or authority to make the application as the case may be, a list of specimen signatures of the authorised officials, duly certified / attested and a certified copy of the Memorandum and Articles of Association and / or bye-laws and / or Trust Deed and / or Partnership Deed and certificate of registration or any other document as the case may be. In case of a trust / fund, it shall submit a certified true copy of the resolution from the trustee(s) authorising such Subscriptions and Redemptions. The authorised officials should sign the application under their official designation.

### e) Fax / Scan Submission

In order to facilitate quick processing of financial transactions and / or Financial transaction instructions of investors the AMC / Trustee / Mutual Fund may (at its sole discretion and without being obliged in any manner to do so and without being responsible and / or liable in any manner whatsoever) accept and process any financial transactions towards an Initial Purchase, additional purchase, SIP, STP, SWP along with necessary prerequisite supporting documents and / or instructions submitted by an investor / unit holder by facsimile (fax) / scan image by electronic mail (email) to designated email ids mentioned hereunder and the Investor / unit holder voluntarily and with full knowledge takes and assumes any and all risks associated therewith. The AMC / Trustee / Mutual Fund shall have no obligation to check or verify the authenticity or accuracy of fax / scan requests purporting to have been sent by the Investor and may act thereon as if same had been duly given by the Investors.

Wherever an investor chooses to submit fax / scan requests, investor should adopt the following safeguards to mitigate risks:

- i. The investor shall seek a confirmation from the AMC for successful receipt of the fax / scan submission by the AMC. The confirmation can be sought from respective branch of AMC, contact details of which are available on the website of Mutual Fund ([www.bnpparibasmf.in](http://www.bnpparibasmf.in)). In case, the transaction is not received by the AMC, then the AMC shall not be liable to indemnify the investor for such action.
- ii. The investor must submit the original within 24 hours of submission of the fax / scan request. Hence, Investors are requested to choose from amongst email ids based on nearest feasible location.
- iii. The investor must indicate by marking / stamping "Original for record purpose only" on the face of the original request submitted. It may be noted that if such indication is not there on the original request when submitted, there is a risk of processing the original again as a fresh transaction and the investor could be faced with adverse consequences.
- iv. It may be noted that in the event the processing is based on the fax / scan request, any discrepancy between the original and fax request may not be rectifiable.

The investor / unit holder shall indemnify the AMC / Trustee / Mutual Fund at all times and keep the AMC / Trustee / Mutual Fund indemnified and save harmless against any and all claims, losses, damages, costs, liabilities and expense (including without limitation, interest and legal fees) actually incurred, suffered or paid by the AMC / Trustee / Mutual Fund (directly or indirectly) and also against all demands, actions, suits, proceedings made, filed, instituted against the AMC / Trustee / Mutual Fund (by the investor or any third party), in connection with or arising out of or relating to the AMC / Trustee / Mutual Fund accepting and acting pursuant to, in accordance with or relying upon, any fax/ scan request signed by the Investor or authorised representative of the Investor.

## INSTRUCTIONS (Contd...)

The designated email ids for submission of the scan request shall be as follows:

Mumbai@bnpparibasmf.in; Delhi@bnpparibasmf.in; Pune@bnpparibasmf.in;  
Kolkatta@bnpparibasmf.in; Chennai@bnpparibasmf.in; Ahmedabad@bnpparibasmf.in;  
Bangalore@bnpparibasmf.in

### f) Unitholding option

1. Please fill up this section to indicate your preference of holding units in physical mode or dematerialized (demat) mode.
2. Please provide latest "Client Investor Master" or "Demat Account Statement" for opting units in demat form. If any of the document is not provided, the units by default will be allotted in physical mode.
3. In case there is any mismatch in the information provided in the application form, the details appearing on Client Investor Master or Demat Account statement shall be considered.
4. In case units are held in demat form, the request for redemption or any other non-financial request shall be submitted directly to the depositories participant (DP) and not to the AMC / RTA of the Fund. Further, investors will receive an account statement from their respective DPs and not from AMC / RTA of the Fund in case units are held in demat form.
5. Units will be credited in the demat account only based on fund realization.
6. The facility of availing the units in demat / remat form is available subject to such processes, operating guidelines and terms & conditions as may be prescribed by the DPs and the depositories from time to time.
7. Presently, the option to hold units in demat form shall not be available for systematic transactions like Systematic Transfer Plan (STP), Systematic Withdrawal Plan (SWP) etc. Similarly, such option shall not be provided to the investors investing in the plans with daily, weekly & fortnightly dividend frequency. Such investors shall be mandatorily allotted units in physical form.
8. Pursuant to SEBI circular no. CIR/IMD/DF/9/2011 dated May 19, 2011 and AMFI communication no. 35P/MEM-COR/35/11-12 dated December 23, 2011 an option to hold units in demat form shall be available for Systematic Investment Plan (SIP) transactions. However, the units will be allotted based on the applicable NAV as per the SID and will be credited to investors demat account on weekly basis upon realization of funds. For e.g. units will be credited to investors demat account every Monday (or immediate next business day in case Monday happens to be a non-business day) for realization status received in last week from Monday to Friday. Investors are requested to note that if an investor has opted to hold units in demat form for Systematic Investment Plan (SIP) transactions, he will be able to redeem / transfer only those units which are credited to his demat account till the date of submission of redemption / transfer request. Accordingly, redemption / transfer request shall be liable to be rejected in case of non-availability of sufficient units in the investor's demat account as on date of submission of redemption / transfer request.
9. In case details of more than one demat account are provided, the Fund may choose any one of the demat accounts for the purpose of verification and processing of application.
10. In case of valid demat account details provided, the bank account details, joint holding details, mode of holding (joint / anyone or survivor) in case of joint holdings, address details and nominee details as per the demat account shall prevail over the corresponding details provided on the application form.
11. Investors applying as Joint holders, need to provide Demat details of their Joint Demat Account.

### g) Email Communication

1. All investors are requested to note that as a part of "Go Green" initiative, electronic mail (e-mail) shall be the default mode of communication for those investors whose e-mail id is available in the database of BNP Paribas Mutual Fund. In case, email address is not available, the AMC shall send all the communication in physical copies at the address available in the records of the AMC. In case the unitholder submits a request to receive any communication in physical mode then AMC shall provide the same within five working days from the date of receipt of request.
2. In case an investor wishes to receive communication via physical copies, please tick the option provided.
3. In accordance with SEBI Circular No. Cir/IMD/DF/16/2011 dated September 8, 2011, in order to bring cost effectiveness in printing and dispatching the annual reports or abridged summary thereof, the following shall be applicable:
  - In case the unit holder has provided the email address, the AMC shall send the scheme annual reports or abridged summary only via email.
  - In case email address is not available, the AMC shall send the physical copies of these reports at the address available in the records of the AMC.
  - In case of any request from the unit holder for physical copies notwithstanding their registration of email addresses, AMC shall provide the same within five working days from the date of receipt of request.

## 2. APPLICANT'S INFORMATION

Individual Applicants must provide all the details for all applicants under Applicant's Information in Section 2 of the Application Form.

- ai) Name and address must be given in full (P.O. Box Address alone is not sufficient). In case of NRIs / FILs, 'Overseas Address' is mandatory. Investors are requested to note with effect from April 16, 2012, self attested copies of following documents shall be submitted for change in address along with original for verification at any of the AMC branches / ISCs of SBFS. In case the original of any document is not produced for

verification, then the copies should be properly attested / verified by entities authorized for attesting / verification of the documents.

For KYC not complied folios:

- Proof of new address and
- Proof of identity (POI): Only PAN card copy shall be considered if PAN is updated in the folio or other proof of identity if PAN is not updated in the folio.

For KYC complied folios:

- Proof of new address (POA) and
- Any other document / form that the KYC Registration Agency (KRA) may specify from time to time.

The AMC reserves the right to collect proof of old address on a case to case basis while effecting the change of address. The self attested copies of above stated documents shall be submitted along with original for verification at any of the AMC branches / ISCs of SBFS. The original document shall be returned to the investors over the counter upon verification. In case the original of any document is not produced for verification, then the copies should be properly attested / verified by entities authorized for attesting / verification of the documents. List of admissible documents for POA & POI mentioned in SEBI Circular MIRS/SE/Cir-21/2011 dated October 05, 2011 shall be considered.

- aii) If the applicant is minor, the minor shall be the first and the sole holder in an account. Minor Application with joint holding shall be rejected. There shall not be any joint accounts with minor as the first or joint holder. Also, minor cannot appoint a nominee. Guardian in the folio on behalf of the minor should either be a natural guardian (i.e. father or mother) or a court appointed legal guardian. It is mandatory to provide information on the relationship / status of the guardian as father, mother or legal guardian in the application form. In case of natural guardian, a document evidencing the relationship has to be submitted. If the above documents are not submitted, the application will be liable to be rejected. The account of the minor shall be frozen for operation by the guardian on the day the minor attains the age of majority and no transactions shall be permitted. The request for change in status of the accounts shall be submitted in the required form along with the requisite documents. Please refer Checklist for the documents to be submitted for establishing date of birth or relationship status in case of application on behalf of minor.
- aiii) Investors are requested to note that prior to minor attaining majority, the Fund shall send an advance notice to the registered correspondence address advising the guardian and the minor to submit an application form along with prescribed documents to change the status of the account to "major". It is to be noted that the guardian cannot undertake any financial and non-financial transactions including fresh registration of Systematic Transfer Plan (STP), Systematic Investment Plan (SIP) and Systematic Withdrawal Plan (SWP) after the date of the minor attaining majority till the time the above application form along with the prescribed documents are submitted to the Fund. The Fund will continue to process the standing instructions like SIP, STP, SWP ETC. and will send an advance notice to the guardian and the minor stating that the existing standing instructions will continue to be processed beyond the date of the minor attaining majority till the time a instruction from the major to terminate the standing instruction is received by the Fund along with the prescribed documents. Such standing instruction shall be terminated within 30 days from the date of receiving the instruction. Mutual funds shall send such advance notice by email or mobile alerts where email ids and mobile numbers are available with the Fund. The request form with details of the list of standard documents to change account status from minor to major is available on our website [www.bnpparibasmf.in](http://www.bnpparibasmf.in). The applications, if not conforming to the above requirements, shall be liable to be rejected.
- aiv) When there is a change in guardian either due to mutual consent or demise of the existing guardian, a request along with requisite documents shall be sent to the Fund. The new guardian must be a natural guardian (i.e. father or mother) or a court appointed legal guardian. The request form along with the list of requisite documents is available on our website [www.bnpparibasmf.in](http://www.bnpparibasmf.in). The applications, if not conforming to the above requirements, shall be liable to be rejected.
- av) 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.
- bi) **PAN Information**  
**It is mandatory for investors (except ASBA investors) making an application for investment to furnish copy of PAN. A copy of PAN has to be self certified by the investor and the original PAN card should be made available for verification in the manner and to the entity as may be specified by the BNP Paribas Asset Management India Private Limited (AMC) from time to time.**
- If your investment is being jointly made with other co-applicants, the PAN for each of the co-applicants should be furnished along with a copy of a document, evidencing the PAN for each of the co-applicant.

## INSTRUCTIONS (Contd..)

- Where the person making an application is a minor, Guardian PAN copy is mandatory even if minor has his / her own valid PAN.
- Applications, where the details of the documents submitted as evidence for PAN do not match with the Applicants / existing information available with BNP Paribas Mutual Fund, will be rejected.
- In case of Micro Investment, under SIP or lumpsum investments where aggregate of installments in a rolling 12 month period or in a financial year i.e. April to March does not exceed ₹ 50,000 (to be referred as "Micro Investments" hereinafter) shall be exempted from the requirement of PAN. This exemption will be applicable only to investments by individuals, NRIs, minors, joint holders and sole proprietary firms (but not including PIOs, HUFs and other categories). Those investors (including Joint holders) subscribing to a Micro Investments will be required to submit a self attested photocopy / attested by the ARN holder (mentioning the ARN) of any one of the current and valid documents as mentioned on the page no. 26 along with their applications. Further, these Investors are required to undergo Know Your Customer (KYC) procedure with any of the SEBI registered KYC Registration Authorities (KRA). Eligible Investors must quote PAN Exempt KYC Reference Number (PEKRN) issued by the KRA under the KYC acknowledgement letter in the application form and submit a copy thereof along with the application form. In case the applicant is a minor, PAN /PEKRN details of the Guardian shall be submitted, as applicable. Eligible Investors (i.e. the First Holder) must not possess a PAN at the time of submission of application form. Eligible investors must hold only one PEKRN issued by any one of the KRAs.
- The AMC will reject an application if it is found that the registration of the application will result in the aggregate of Micro Investments to exceed ₹ 50,000 in a financial year or if there are deficiencies in the supporting documents. In case the first SIP installment is processed (as the cheque may be banked), and the application is found to be defective, the SIP registration will be ceased for future installments. No refunds will be made for the units already allotted. Investor will be sent a communication to this effect. However, redemptions shall be allowed.

Applications not complying with the above requirements will be deemed to be incomplete and will be rejected.

### bii) Know Your Client (KYC) information / documents

**Investors are requested to note that with effect from January 01, 2011, KYC compliance is mandatory for all the investments irrespective of amount of application.** SEBI vide circular no. MIRSD/SE/Cir-21/2011 dated October 5, 2011 has mandated that the uniform KYC form and supporting documents shall be used by all SEBI registered intermediaries in respect of all new clients from January 1, 2012. Further, SEBI vide circular no. MIRSD/Cir-23/2011 dated December 2, 2011, has developed a mechanism for centralization of the KYC records in the securities market to bring about uniformity in securities markets. Accordingly, KYC registration is being centralised through KYC Registration Agencies (KRA) registered with SEBI. Thus each investor has to undergo a uniform KYC process only once in the securities market and the details would be shared with other intermediaries by the KRA. Investors are requested to note the following:

#### • Additional KYC requirements:

Investors are requested to note that with effect from December 03, 2012, investors who have completed their KYC through CDSL Ventures Ltd (CVL) upto December 31, 2011 wish to invest in a new mutual fund where they have not invested earlier (or not opened a folio earlier), they will be required to submit 'missing / not available' KYC information and complete the 'In Person Verification' (IPV) requirements.

- In case of Individual investors, the following details need to be submitted:

1. Father's / Spouse's Name,
2. Marital Status,
3. Nationality,
4. Gross Annual Income or Net worth (not older than 1 year)
5. In-Person Verification (IPV)

Individual investors are requested to fill in 'KYC Details Change Form' issued by CVL - KRA and also available on the AMC website [www.bnpparibasmf.in](http://www.bnpparibasmf.in). This duly filled form along with IPV completed status can be submitted along with purchase application, to the new mutual fund where the investor is investing or opening an account. Alternatively, investors may also approach their existing mutual funds at any investor service centre for completion of this KYC requirement.

- In case of Non Individuals, KYC is required to be done again with any SEBI registered KRA due to significant changes in KYC requirements, else they will not be able to invest with a new mutual fund from the effective date.

#### For new investors in mutual funds from January 01, 2012:

Investors who have not completed the KYC process with CVL for investments in mutual funds in the old format, has to comply with new uniform KYC norm (including submission of new KYC forms along with relevant supporting documents & and in-person verification. Please refer to our website [www.bnpparibasmf.in](http://www.bnpparibasmf.in) for KYC forms). The KYC acknowledgement issued by the KRA can be used for all investments in securities market, including mutual funds.

Investors who have completed KYC process through any of the intermediaries on or after January 01, 2012 and hold a valid acknowledgement issued by KRA for the same may invest with any of the mutual funds. However, BNP Paribas Mutual Fund / AMC / Trustee reserves the right to carry out enhanced due diligence based on its internal client due diligence policy.

Investors are requested to further note that:

1. **Minors:** In respect of a Minor applicant, the Guardian should obtain a KYC confirmation / acknowledgement in his / her own name and quote it while investing in the name of the minor. The Minor, upon attaining majority, should immediately apply for a KYC Confirmation in his / her own capacity and intimate it to BNP Paribas Mutual Fund, in order to transact further in his / her own capacity. Guardian's KYC Compliance is mandatory even if minor has his / her own KYC acknowledgement.
2. **Power of Attorney (PoA) Holder:** Investors desirous of investing through a PoA must note that the KYC confirmation / acknowledgement is required to be obtained by both the PoA issuer (i.e. Investor) and the Attorney (i.e., the holder of PoA).
3. **Transmission (in case of death of the unit holder):** If an individual becomes a BNP Paribas Mutual Fund Investor due to an operation of law, e.g., transmission of units upon death of an investor, the claimant will be required to obtain KYC confirmation / acknowledgement. If the deceased is the sole applicant, the claimant should submit his / her KYC confirmation / acknowledgement along with the other relevant documents to effect the transmission of units in his / her favour.

Non-individual investors are requested to note that they have to furnish mandated certain additional documents as stated under SEBI circular no. MIRSD/SE/Cir-21/2011 dated October 5, 2011 otherwise application shall be liable to be rejected. It shall be further noted that if it comes to the knowledge of the AMC subsequently that the KYC of the applicant has failed then further purchase, switch and other related transactions shall not be permitted.

AMC reserves the right to validate the investors details with the records of KRA, income tax database; as the case may be either before allotting the units or subsequently. AMC further reserves the right to refund the investments made subsequently, if it is found that a valid KYC confirmation / acknowledgement is not provided & valid PAN is not quoted on such application(s), refund will be done at applicable NAV, subject to payment of applicable exit load.

It may be noted that the Mutual Fund, Trustees or AMC shall not be liable for any failure to perform its obligations, to the extent that such performance has been delayed, hindered or prevented by systems failures, network errors, delay or loss of data / document during transit, due to interoperability issues amongst multi-intermediaries involved therein.

For those who have updated the KYC confirmation / acknowledgement with the Fund, it may be noted that communication with respect to change in address should be sent to KRA & not to the Registrar.

**In accordance with SEBI Circular No. CIR/MIRSD/13/2013 dated December 26, 2013, Investors are also requested to provide additional KYC details viz. net-worth / Income details, occupation, kind of business, etc. This information shall be mandatory. AMC reserves the right to reject the application in case these details are not provided.**

#### Operationalisation of CKYC:

Pursuant to SEBI circular no. CIR/MIRSD/66/2016 dated July 21, 2016, SEBI Circular no. CIR/MIRSD/120/2016 dated November 10, 2016 and AMFI Best Practices Guidelines Circular No. 68/2016-17 pertaining to implementation of Central KYC ('CKYC') norms, new individual investors investing in Schemes of the Fund are requested to note the following effective February 01, 2017:

1. New individual investors who have never done KYC under KYC Registration Agency (KRA) regime will be required to fill in the new CKYC forms while investing with the Fund. (It may be noted that the requirement of PAN shall be mandatory for completing CKYC process).  
Currently, CKYC is not applicable for Non-Individual investors and Non-Individual investors shall continue to use old KRA KYC forms.
2. If any new individual investor uses the old KRA KYC form, which does not have all information needed for registration with CKYC, then such customer will be either be required to fill the new 'CKYC Form' or provide additional/missing information using a 'Supplementary CKYC Form'.
3. Investors who have already completed CKYC & have obtained their KYC Identification Number (KIN) from CKYC platform can invest in the Fund using their KIN. In case of minors, KIN of the Guardian shall be applicable. However, in case the PAN of the investor is not updated in the CKYC system, then the investor will be required to provide a self-certified copy of PAN card.

The aforesaid forms are available on our website ([www.bnpparibasmf.in](http://www.bnpparibasmf.in)).

#### biii) Country of Tax Residence and Foreign Tax ID number:

Tax Regulations require us to collect information about each Investor's tax residency. Please indicate all countries in which you are resident for tax purposes and the associated Tax ID numbers. 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 any information provided change in the future, please ensure you advise us of the changes with updated self-declaration within 30 days. If you are a US citizen or resident, please include United States in this related field along with your US Tax Identification Number. If you declare more than one country of Tax Residence, please provide the exhaustive list in free form along with the associated Tax ID numbers with the application form.

## INSTRUCTIONS (Contd..)

**biv) FATCA & CRS Instructions:**

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

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

In case customer has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, customer to provide relevant Curing Documents as mentioned below:

FATCA & CRS Indicia observed (ticked)	Documentation required for Cure of FATCA / CRS indicia
U.S. place of birth	<ol style="list-style-type: none"> <li>Self-certification that the account holder is neither a citizen of United States of America nor a resident for tax purposes;</li> <li>Non-US passport or any non-US government issued document evidencing nationality or citizenship (refer list below);AND</li> <li>Any one of the following documents: Certified Copy of "Certificate of Loss of Nationality or Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; or Reason the customer did not obtain U.S. citizenship at birth</li> </ol>
Residence / mailing address in a country other than India	<ol style="list-style-type: none"> <li>Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and</li> <li>Documentary evidence (refer list below)</li> </ol>
Telephone number in a country other than India	<p><b>If no Indian telephone number is provided</b></p> <ol style="list-style-type: none"> <li>Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and</li> <li>Documentary evidence (refer list below)</li> </ol> <p><b>If Indian telephone number is provided along with a foreign country telephone number</b></p> <ol style="list-style-type: none"> <li>Self-certification that the account holder is neither a citizen of United States of America nor a tax resident for tax purposes of any country other than India; OR</li> <li>Documentary evidence (refer list below)</li> </ol>
Telephone number in a country other than India	<ol style="list-style-type: none"> <li>Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and</li> <li>Documentary evidence (refer list below)</li> </ol>

List of acceptable documentary evidence needed to establish the residence(s) for tax purposes:

- Certificate of residence issued by an authorized government body\*
- Valid identification issued by an authorized government body\* (e.g. Passport, National Identity card, etc.)

\* **Government or agency thereof or a municipality of the country or territory in which the payee claims to be a resident.**

**bv) Non acceptance of Third Party payment under the Scheme:**

Definition of Third Party payment:

- When payment is made through instruments issued from an account other than that of the beneficiary investor, the same is referred to as Third Party payment.
- It is clarified that in case of payments from a joint bank account, the first holder of the mutual fund folio has to be one of the joint holders of the bank account from which payment is made.

Exceptions:

Third Party payments shall be rejected except in the following exceptional situations:

- Payment 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 the Fund in that folio.
- Custodian on behalf of an FII or a client.
- Payment by Employer on behalf of employee under Systematic Investment Plans or lump sum / one time subscription through Payroll deductions or deductions out of expense reimbursements. The AMC shall exercise extra due diligence in terms of ensuring the authenticity of such arrangements from a fraud prevention and KYC perspectives.
- Payment by the AMC to an empanelled distributor on account of omission/incentive etc. in the form of Mutual Fund Units of the schemes managed by the AMC through SIP or lump sum / one-time subscription, subject to compliance with SEBI regulations and Guidelines issued by AMFI, from time to time.

- Payment by a Corporate to its Agent/Distributor /Dealer (similar arrangement with principal-Agent relationship), on account of commission or incentive payable for sale of its goods/services, in form of the Mutual fund units through SIP or lump sum / one-time subscription, subject to compliance with SEBI regulations and Guidelines issued by AMFI, from time to time.

For iv & v above, AMC shall exercise extra due diligence in terms of ensuring the authenticity of such arrangements from a fraud prevention and ensure compliance with provisions of PMLA, 2002 regarding prevention of money laundering etc.

If applicant belongs to any of the above categories, please fill in the required block (Block No. 4) in the Application Form and also provide KYC acknowledgement of the Third Party along with declaration in required format.

Applications with Demand Drafts should be supported by a Banker's Certificate as per format attached.

Applications with Third Party payments not conforming to the above requirements shall be rejected and the amounts received shall be refunded.

Transfer letter format to clearly state the source Bank Name and Account Number.

- Please provide the name of the Guardian in case of investments on behalf of minor or the name of the Contact Person in case of investments by a Company / Body Corporate / Partnership Firm / Trust / Society / FIs / Association of Persons / Body of Individuals.
- Applications not complying with the above requirements will be deemed to be incomplete and will be rejected.

- Investors are requested to note that transaction requests such as subscriptions, redemptions, switches etc. submitted by the investor must be correct, complete, clear and unambiguous in all respects and should conform to the procedure / documentation requirements prescribed for such requests, failing which the Trustee / AMC reserves the right to reject the same and in such a case the Trustee / AMC will not be responsible for any consequence therefrom.

If the investor submits the transaction request in a format other than the one prescribed by AMC, the same shall also need to conform to the above requirements. Further, in such cases, it would be implied that the investor has read and understood the contents of the Statement of Additional Information, respective Scheme Information Document, and Key Information Memorandum and Application form of the Fund and that the investor agrees to abide by the provisions thereof including such other terms and conditions as may be amended from time to time.

### 3. BANK ACCOUNT DETAILS (MANDATORY)

- Applicants should provide the name of the bank, branch address, account type and account number of the Sole / First Applicant. Please note that as per SEBI guidelines, it is mandatory for investors to mention their bank account details in the Application Form. Applications without this information will be deemed to be incomplete and will not be accepted by the Mutual Fund.
- Investments or redemptions should be made from / to domestic accounts i.e. accounts within Indian Banking system. Investors should make subscription of units of the Fund in their own name and through their own bank accounts only and no third party subscription will be allowed.
- In addition to providing the redemption bank mandate, it is mandatory for applicants to mention their Bank Account number, instrument number and the Bank name from which the subscription is funded, in their each Subscription request.

#### d) Direct Credit Facility

We offer a Direct Credit Facility with the following banks for payout of Dividend entitlement / Redemption proceeds:

BNP Paribas Bank	Citibank N.A	Deutsche Bank
HDFC Bank	HSBC	ICICI Bank
IDBI Bank	Kotak Mahindra Bank	Axis Bank
Standard Chartered Bank	Yes Bank	

Direct Credit facility (RTGS / NEFT or such other means introduced by RBI from time to time) shall be considered as default mode of payment i.e. for your dividend entitlement / redemption proceeds. This facility will be provided to unitholders having bank accounts with other banks as and when the same is facilitated by AMC. Please provide correct IFSC, NEFT, MICR code for ensuring correct direct credit into your account.

Investors should provide original of any of the following documents of the bank account to be registered:

- Cancelled original cheque of the bank mandate with first unitholder name and bank account number printed on the face of the cheque OR
- Self attested copy of bank statement OR
- Bank pass book page with account number; account holder's name and address with current entries not older than 3 months OR
- Bank Letter duly signed by branch manager / authorized personnel. Bank letter should be on its letterhead certifying that the Unit holder maintains / maintained an account with the bank, the bank account information like PAN, bank account number; bank branch, account type, the MICR code of the branch & IFSC Code.

If photocopies of the above stated documents are submitted, investors must produce original for verification of bank account details to the AMC branches / ISCs of SBFS. The original bank account statement or passbook shall be returned to the investors over the counter upon verification. Photocopies can also be attested by the concerned Bank. It should be noted that attestation by the Bank should be done only by the branch manager or authorized personnel of the Bank with the full signature, name, employee code, bank seal and contact number stated.

## INSTRUCTIONS (Contd...)

If you wish to receive cheque payout instead of direct credit facility, please indicate your preference for the same by ticking in the box provided.

The investor shall not hold AMC / Fund liable for any non-receipt or delay or deficiency in service by the banks executing direct credit or due to any incorrect bank account details provided by the bank.

### e) Process for change in Bank Account

Investors shall submit duly filled in "Change of bank mandate & Registration of multiple bank accounts form" at any of the Official Point of Acceptance of Transactions (OPAT) of the Fund. The request form alongwith the list of requisite documents is available on our website [www.bnpparibasmf.in](http://www.bnpparibasmf.in).

1. The original of any of the following documents of the new bank account shall be required:
  - (i) Cancelled original cheque of the new bank mandate with first unitholder name and bank account number printed on the face of the cheque OR
  - (ii) Self attested copy of bank statement OR
  - (iii) Bank pass book page with account number, account holder's name and address with current entries not older than 3 months OR
  - (iv) Bank Letter\* duly signed by branch manager / authorized personnel
2. Self attested photocopy of any of the above stated document of the old bank account with first unitholder name and bank account number printed on the face of the cheque. In case, old bank account is already closed, a duly signed and stamped original letter from such bank\* on the letter head of bank, confirming the closure of said account shall be required.

\* Bank letter should be on its letterhead certifying that the Unit holder maintains / maintained an account with the bank, the bank account information like PAN, bank account number, bank branch, account type, the MICR code of the branch & IFSC Code.

If photocopies of the above stated documents are submitted, investors must produce original for verification of bank account details to the AMC branches / ISCs of SBFS. The original bank account statement or passbook shall be returned to the investors over the counter upon verification. Photocopies can also be attested by the concerned Bank. It should be noted that attestation by the Bank should be done only by the branch manager or authorized personnel of the Bank with the full signature, name, employee code, bank seal and contact number stated on it.

There shall be a cooling period of not more than 10 calendar days for validation and registration of new bank account. Post the completion of such validation, redemption proceeds shall be released within a period of 10 working days.

In case, the request for change in bank account information being invalid / incomplete / dissatisfactory in respect of signature mismatch / document insufficiency / not complying with any requirements as stated above, the request for such change will not be processed. Redemptions / dividend payments, if any, will be processed as per specified service standards and the last registered bank account information will be used for such payments to Unit holders.

### f) Registration of multiple bank accounts

Unitholders can also register multiple bank accounts in his folio. The "Change of Bank Mandate & Registration of Multiple Bank Account Form" shall be used by the unitholders for change in existing bank mandate or for registration of multiple bank account details for all investments held in the specified folio (existing or new). Individuals / HUF / Sole Proprietor firm can register upto 5 different bank accounts for a folio by using this form. Non individuals can register upto 10 different bank accounts for a folio. The request form alongwith the list of requisite documents is available on our website [www.bnpparibasmf.in](http://www.bnpparibasmf.in).

## 4. INVESTMENT DETAILS & PAYMENT DETAILS

- a) Applicants should indicate the Plan / Option and Dividend Mode, for which the application is made, by indicating the choice in the appropriate box provided for this purpose in the Application Form.
- b) In case Applicants wish to opt for both the Plans / Options, separate Application Forms will have to be filled.
- c) If no indication of plan / option / facility is given, the provision as stated in the Scheme Information Document of the scheme shall be applicable.
- d) The application amount can be tendered by cheque / demand draft payable locally at any of the ISCs and designated collection centres. Application Forms accompanied with outstation cheques / stockinvests / postal orders / money orders / cash / post dated cheques (except for SIP) will not be accepted. The AMC reserves the rights to refund such application money if deposited by the Collecting Banks in inadvertently.

All cheques and bank drafts must be drawn in the name of the Scheme / Plan as applicable and crossed "Account Payee only". For e.g. "BNP Paribas Balanced Fund". A separate cheque or bank draft must accompany each Application.

Investors residing in Centres where the Investor Service Centres / Collection Centres are not located are requested to make payment by demand drafts payable at the place where the application is submitted.

Bank charges for outstation demand drafts will be borne by the AMC and will be limited to the bank charges levied by State Bank of India, if a demand draft issued by a bank in a place where there is no ISC / Collection Centre provided for the investors. In all other cases, the AMC will not accept any request for refund of demand draft charges.

### e) Cheque Bouncing

In cases where the cheque(s) given by the investor for the application made by him / her in the Scheme, are bounced (i.e. not realised) on presentation to the Bank on which it is drawn, the AMC / Trustee / Mutual Fund reserves the right to reject the application and also restrain the said investor from making any further investment in any of the Schemes of the Mutual Fund. The AMC / Trustee / Mutual Fund will not be responsible in any manner whatsoever for any losses / damages (whether direct, indirect or otherwise including opportunity loss) caused to the investor as result of the AMC / Trustee / Mutual Fund rejecting the application on the basis of cheque bouncing and also for restraining the investor from making any further investment in any of the Schemes of the Mutual Fund.

### f) Direct Plan

1. 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.
2. All Plans / Options / Sub-Options offered under the Scheme will also be available for subscription under the Direct Plan.
3. All categories of investors (whether existing or new Unitholders) as permitted under the Scheme Information Document of the Scheme are eligible to subscribe under Direct Plan. Investments under Direct Plan can be made through various modes offered for investing directly with BNP Paribas Mutual Fund (except Stock Exchange Platform(s) and all other Platform(s) where investors' applications for subscription of units are routed through Distributors).

### g) NRIs, Persons of Indian Origin, FIIs

Payment by FIIs / NRIs / Persons of Indian Origin must be made by cheque out of funds held in the NRE / FCNR account, in the case of purchases on a repatriation basis or out of funds held in the NRO / NRE / FCNR account, in the case of purchases on a non-repatriation basis.

## 5. NOMINATION INSTRUCTIONS

- a) Nomination will be maintained at the folio or account level and shall be applicable for investments in all schemes in the folio or account.
- b) In case of joint holders, all joint holders should sign the request for nomination / cancellation of nomination, even if the mode of holding is not "joint".
- c) Nomination form cannot be signed by Power of attorney (PoA) holders. In case PoA holder provides nomination form, such application will be processed. However information regarding nomination will not be considered. Such information will be ignored.
- d) Every new nomination for a folio / account will overwrite the existing nomination.
- e) Nomination shall be mandatory for all the new folios / accounts opened by individuals (with single holding) and sole proprietor. Investors who do not wish to nominate must mention about their non-intention to nominate and sign the relevant section under nomination.
- f) Nomination is not allowed in a folio held on behalf of a minor. Hence any information provided shall not be considered in the folio.
- g) Pursuant to the SEBI Regulation 29A, the AMC is introducing Multiple Nomination Facility to enable Unitholders to nominate more than one person in whom the Units held by the Unitholder shall vest in the event of the demise of the Unitholder. Accordingly, Multiple nominees can be designated per folio maximum upto 3 nominees.
- h) The investor has an option to provide nomination details of maximum upto 3 nominees.
- i) The Unitholders are further informed that additional nominee(s) can be added to the existing nominee(s) in their investments with BNP Paribas Mutual Fund. Such request form is available on the website.
- j) The nomination can be made only by individuals including proprietorship firms applying for / 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.
- k) A minor can be nominated and in that event, the name and address of the Guardian of the minor Nominee shall be provided by the Unitholder. Nomination can also be in favour of Central / State Government, a local authority, any person designated by a virtue of his office or a religious or a charitable trust.
- l) The Nominee shall not be a trust (other than a religious or charitable trust), society, body corporate, partnership firm, Karta of Hindu Undivided Family or a Power of Attorney holder. A non-resident Indian can be a Nominee subject to the exchange controls in force from time to time.
- m) Nomination in respect of the Units stands rescinded upon the Redemption / transfer of Units.
- n) The nomination facility extended under the Scheme is in accordance with the SEBI Regulations and subject to other applicable laws. Transmission of the Units in the name of the nominee shall discharge the Mutual Fund, the Trustee and the AMC from any liability towards the successor(s) / heir(s) of the deceased Unitholder(s). However, the Mutual Fund / Trustee / AMC may request the nominee to execute suitable indemnities in favour of the Mutual Fund and / or the Trustee and / or the AMC, and to submit necessary documentation to the satisfaction of the Mutual Fund before transmitting Units to his / her favour. Nominations received in the form prescribed by the AMC alone shall be valid.
- o) Unitholders are requested to note that in case of multiple nominations, it is mandatory to clearly indicate the percentage of allocation in favour each of the nominees against their Name and such allocation should be in whole numbers without any decimals



## INSTRUCTIONS (Contd..)

making a total of 100 percent. It may be noted that if the percentage allocation is not mentioned or is left blank or is ambiguous, in the Nomination Form then the AMC shall apply the default option of equal distribution among all the nominees as designated by the deceased Unitholder.

- p) Request form for changing the Nomination / Cancellation of Nomination is available on our website [www.bnpparibasmf.in](http://www.bnpparibasmf.in). The applications, if not conforming to the above requirements, shall be liable to be rejected.

The nomination details as registered with the Depository Participant shall be applicable to unitholders who have opted to hold units in Demat mode.

### 6. DECLARATION AND SIGNATURES

Signatures can be in English or in any Indian language. Thumb impressions must be attested by a Magistrate / Notary Public under his / her official seal. In case of HUF, the Karta will sign on behalf of the HUF.

### 7. WHO CANNOT INVEST

It should be noted that the following persons cannot invest in the Scheme:

1. Any person who is a foreign national.
2. Overseas Corporate Bodies (OCBs) shall not be allowed to invest in the Scheme. These would be firms and societies, which are held directly or indirectly but ultimately to the extent of at least 60% by NRIs and trusts in which at least 60% of the beneficial interest is similarly held irrevocably by such persons (OCBs).
3. Non-Resident Indians residing in the United States of America and Canada. (Kindly note that units of the Scheme are not being offered in US and Canada)
4. Individual investors defined as US persons which shall include the following:
  - Designation of the unitholder as a US citizen or resident; or
  - Unitholder with a US place of birth; or
  - Unitholder with a current US residence address or US mailing address (including a US post office box); or
  - Unitholder with a current US telephone number (regardless of whether such number is the only telephone number associated with the account holder); or
  - Unitholder with a current power of attorney or signatory authority granted to a person with a US address as above;
  - (i) Accordingly, no fresh purchases in the Scheme would be allowed to be made by US persons as defined above.
  - (ii) In case AMC / Fund subsequently identifies, that the subscription amount has been received from US person, then the AMC / BNP Paribas Mutual Fund at its sole discretion shall reject the application at the applicable NAV (at the time of investment) without any load, within 10 working days of identification of their status as US person.
  - (iii) If an existing unit holder(s) subsequently becomes a US person, then such unit holder(s) will not be able to purchase any additional Units in any of the Schemes of BNP Paribas Mutual Fund. In case the AMC / Fund subsequently identifies, that the subscription amount has been received from US person, either through its own source or through intimation from the investor, then the AMC / Fund at its sole discretion shall redeem all the existing investment at the applicable NAV on date of redemption, subject to exit load, if any, within 10 working days of identification of such change.

It is further clarified that the provisions in clause (ii) and (iii) as above shall, mutadis mutandis, also be applicable for investments received from Non-Resident Indians / PIOs residing in Canada.
5. NRIs residing in Non-Compliant Countries and Territories (NCCTs) as determined by the Financial Action Task Force (FATF), from time to time.
6. Religious and charitable trusts, wakfs or other public trusts that have not received necessary approvals and a private trust that is not authorised to invest in Mutual Fund schemes under its trust deed. The Mutual Fund will not be responsible for or any adverse consequences as a result of an investment by a public or a private trust if it is ineligible to make such investments.
7. Investors are requested to note that the Fund/AMC and its Group companies (in India and outside India) are required to and may take any action to meet their obligations pertaining to (i) laws or international guidance and internal policies or procedures, (ii) any demand or request from authorities or reporting, disclosure or other obligations under laws, and (iii) laws requiring us to verify the identity of our customers relating to or in connection with the detection, investigation and prevention of money laundering and other financial crimes in accordance with the laws, regulations and requests of public and regulatory authorities operating in various jurisdictions which relate to money laundering and other financial crimes.

Accordingly, the Fund/AMC may take, and may instruct (or be instructed by) any of its Group Companies to take, any action which it or such other member, in its sole and absolute discretion, considers appropriate to take in accordance with all such laws, regulations and requests. Such action may include but is not limited to (a) combining investor information with other related information in the possession of the BNP Paribas Group, and/or (b) making further enquiries as to the status of a person or entity, whether they are subject to a sanctions regime, or confirming investor's identity and status (c) share information on a confidential basis with such Group offices whether located in India or overseas in relation to prevention of money laundering and other financial crimes.

Further, the Fund/AMC shall restrict investments from investors, in case such investor and/or its/their Related Parties<sup>(4)</sup> who are subject to sanctions, or have any of their addresses or residing in major sanctioned countries and such other sensitive countries. The AMC/the Fund may also seek additional information/performance additional due diligence for such investor (and/or its/their Related Parties) having any of their addresses or residing in any of the sensitive countries. Considering the above obligations, the Fund and/or AMC shall be entitled to:

- (a) (i) reject any application/transaction, prevent further transactions\* by a unit holder; (ii) to mandatorily redeem the units held by the unit holder at the applicable NAV prevalent at the time of such redemption and/or (iii) reject the transaction/redemption/freeze or seize Unit holder's account. \*(including Systematic Investment Plans, Systematic Transfer Plans and Dividend Transfer Plans)/additional purchases/switches in any Schemes of BNP Paribas Mutual Fund. In case AMC/the Fund subsequently identifies, that the subscription amount or any existing SIP subscription has been received from investors (i.e. NRIs/PIOs/OCIs/FPIs) residing and/or having place of business in such countries, either through its own source or through intimation from the investor, then the AMC/the Fund at its sole discretion may take any necessary action enumerated in point (i) till (iii) as above including cancelling any such existing SIP instruction. Also, if an existing Unit Holder(s) subsequently becomes a resident/citizen/establishes a place of business in such countries, then such Unit Holder(s) may not be able to purchase any additional Units in any of the Schemes of BNP Paribas Mutual Fund.
- (b) Seek additional information/performance additional due diligence on subscriptions (including fresh or existing SIP applications) received from investors. Accordingly, the AMC shall (i) scrutinize and verify the identity of the investor (including its/their Related Parties), unit holder, person making the payment on behalf of the investor and the source of the funds invested, to be invested in the Fund; (ii) ask for the required additional information to substantiate that the source of investments is genuine; (iii) In case of any existing SIP in any scheme of BNP Paribas Mutual Fund, the AMC reserves the right to take necessary actions in line with point (i) and (ii) in this para. In case AMC is not satisfied with the details provided available, the AMC/Mutual Fund at its sole discretion shall reserve the right to reject the application/ transaction received and/or force redeem the investments at the applicable NAV (at the time of investment) without any load and/or cancel the fresh or existing SIP instruction and/or reject the SIP subscription amount and/or freeze or seize Unit holder's account/transaction.

BNP Paribas Mutual Fund/AMC reserves the right to make changes as required to the above provisions at a later date.

<sup>(4)</sup>Related Parties would include but not limited to any joint holder, any legal representative, beneficial owners for an entity, any senior representative(s) of the investor who is/are in a position to respond on behalf of the entity and/or responsible for managing affairs of the entity for eg. MD, Director, CEO, CFO, COO, President, Treasurer, Legal or Compliance Representative, or other authorized representative.

8. Any other person determined by the AMC or the Trustee as not being eligible to invest in the Scheme

The Fund reserves the right to include / exclude new / existing categories of investors to invest in the Schemes from time to time, subject to SEBI Regulations and other prevailing statutory regulations, if any. As Units may not be held by any person in breach of the SEBI Regulations, any law or requirements of any governmental, statutory authority including, without limitation, exchange control regulations, the Mutual Fund / Trustee / AMC may mandatorily redeem all the Units of any Unitholder where the Units are held by a Unitholder in breach of the same. The Mutual Fund / Trustee / AMC may redeem Units of any Unitholder in the event it is found that the Unitholder has submitted information either in the application or otherwise that is false, misleading or incomplete.

### 8. THE TRUSTEE / AMC RETAINS THE SOLE AND ABSOLUTE DISCRETION TO REJECT ANY APPLICATION.

### 9. CONSOLIDATED ACCOUNT STATEMENT:

Pursuant to amendment to Regulation 36 of SEBI (Mutual Funds) Regulations, 1996 read with SEBI circular no. Cir/IMD/DF/16/2011 dated September 8, 2011, the following shall be applicable with respect to dispatch of account statement:

- a) The AMC shall issue a Consolidated Account Statement (CAS) for each calendar month on or before the tenth day of the succeeding month detailing all the transactions and holding at the end of the month including transaction charges paid to the distributor, across all the schemes of all mutual funds in whose folios transaction has taken place during that month. Accordingly, for all the transactions from the month of October 2011, the CAS shall be issued on or before 10th day succeeding month. CAS is a statement reflecting holdings / transactions across all the mutual funds by the investor. The CAS for each calendar month will be issued on or before the tenth day of the succeeding month to the investors who have provided valid Permanent Account Number (PAN). Due to this regulatory change, AMC shall now cease to send physical account statement to the investors after every financial transaction including systematic transactions. Further, CAS will be sent via email where any of the folios which are consolidated has an email id or to the email id of the first unit holder as per KYC records. Further, in terms of SEBI circular SEBI/HO/IMD/DF2/CIR/PP/2016/89 dated September 20, 2016, each CAS issued to the investors shall also provide the total purchase value / cost of investment in each scheme.
- b) For folios not included in the Consolidated Account Statement (CAS), the AMC shall henceforth issue account statement to the investors on a monthly basis, pursuant to

## INSTRUCTIONS (Contd...)

any financial transaction in such folios on or before the tenth day of the succeeding month. In case of a New Fund Offer (NFO), the AMC shall send confirmation specifying the number of units allotted to the applicant by way of a physical account statement or an email and / or SMS's to the investor's registered address and / or mobile number not later than five business days from the date of closure of the NFO.

- c) The AMC shall issue a CAS every half year (September / March) on or before the tenth day of the 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.

Further, in terms of SEBI circular SEBI/HO/IMD/DF2/CIR/P/2016/89 dated September 20, 2016, CAS issued for the half-year (ended September/ March) shall also provide:

- The amount of actual commission paid by AMC/Mutual Fund to distributors (in absolute terms) during the half-year period against the concerned investor's total investments in each scheme. The term 'commission' here refers to all direct monetary payments and other payments made in the form of gifts / rewards, trips, event sponsorships etc. by AMCs/MFs to distributors. Further, a mention shall be made in such CAS indicating that the commission disclosed is gross commission and does not exclude costs incurred by distributors such as service tax (wherever applicable, as per existing rates), operating expenses, etc.
  - The Scheme's average Total Expense Ratio (in percentage terms) for the half-year period for each Scheme's applicable plan (regular or direct or both) where the concerned investor has actually invested in.
  - Such half-yearly CAS shall be issued to all investors, excluding those investors who do not have any holdings in Schemes and where no commission against their investment has been paid to distributors, during the concerned half-year period.
- d) The AMC shall send confirmation specifying the number of units allotted to the applicant by way of an email and / or SMS's to the applicant's registered email address and / or mobile number as soon as possible but not later than five working days from the date of receipt of the request from the unit holder.
- e) In case of a specific request received from the unit holder, the AMC shall provide the account statement to the investor within 5 business days from the receipt of such request.
- f) In case the folio / account have more than one registered holder, the first named unit holder / guardian (in case of minor) shall receive the CAS.
- g) CAS shall not be issued to the investor who has not updated their Permanent Account Number (PAN) in their respective folios. The unit holders are requested to ensure that the PAN details are updated in all their folio(s).
- h) For this purpose, common investors across mutual funds shall be identified by their PAN.
- i) The statement of holding of the beneficiary account holder for units held in demat shall be sent by the respective DPs periodically.
- j) The word 'transaction' for the issuance of CAS shall include purchase, redemption, switch, dividend payout, dividend reinvestment, SIP, SWP, STP etc.
- k) Further, in accordance with SEBI circular CIR/MRD/DP/31/2014 dated November 12, 2014, investors are requested to note that a single consolidated view of all the investments of an investor in Mutual Funds and securities held in demat form with the depositories is being enabled.
- l) Consolidation of account statement shall be done on the basis of PAN and for PANs which are common between depositories and AMCs, the depositories shall send the CAS. In other cases, (i.e. PANs with no demat account and only MF units holding), the AMC / RTA shall continue to send the CAS to their unitholders in compliance with Regulations 36(4) of the SEBI (Mutual Funds) Regulations, 1996 and guidelines issued thereunder.
- m) Accordingly, the AMC / RTA shall provide the data with respect to common PANs to the depositories within three days from the month end. The depositories shall then consolidate and dispatch the CAS within ten days from the month end. AMC / RTA shall be responsible for the authenticity of the information provided through CAS in respect of Mutual Fund investments and timely sharing of information with depositories.
- n) The depositories and the AMC / RTA shall ensure data integrity and confidentiality in respect of shared information. The depositories shall utilize the shared data only for the purpose of providing CAS and shall not share the same with their depository participants.

### 10. ADDITIONAL INSTRUCTIONS FOR APPLICATIONS SUPPORTED BY BLOCKED AMOUNT (ASBA)

- A. BNP Paribas Mutual Fund extends ASBA facility to the Investors subscribing for the Units under this New Fund Offer ("NFO") in addition to its existing mode of subscriptions, subject to the same being extended by all the concerned intermediaries involved in the ASBA process. For availing this facility, Investors are requested to check with the Designated Branches ("DBs") of the Self Certified Syndicate Banks ("SCSBs"). For the complete list of SCSBs with details of controlling/ designated branches please refer to websites : <http://www.sebi.gov.in>, <http://www.nseindia.com> and <http://www.bseindia.com>.

Investors shall use the ASBA Application Form bearing the stamp of the Syndicate Members and/or the DBs of SCSB, as the case may be, for the purpose of making

an application for Subscription of Units of Plan(s) under the Scheme. Investors are required to submit their applications, either in physical or electronic mode. In case of application in physical mode, the Investor shall submit the application at the DBs of the SCSB. In case of application in electronic form, the Investor shall submit the application either through the internet banking facility available with the SCSB, or such other electronically enabled mechanism for blocking funds in the ASBA account held with SCSB, and accordingly registering such Applications. On submission of the application, the Investors are deemed to have authorised (i) the SCSB to do all acts as are necessary to make the application including, blocking or unblocking of funds in the bank account maintained with the SCSB specified in the application, transfer of funds to the Bank Account of the Scheme/BNP Paribas Mutual Fund on receipt of instructions from the Registrar and Transfer Agent after the allotment is made; and (ii) the Registrar and Transfer Agent to issue instructions to the SCSB to remove the block on the funds in the bank account specified in the application ("ASBA Account"), upon rejection of the application/ winding up of the Scheme, as the case may be.

Applications completed in all respects, must be submitted at the SCSBs with whom the bank account is maintained.

In case the ASBA application form is erroneously submitted at any of the official points of acceptance of the Fund, the same shall be rejected.

The SCSB shall block amount equivalent to the application amount mentioned in the Form, after verifying that sufficient funds are available in the bank account ("ASBA Account") till the date of allotment of Units or upon rejection of the application/ winding up of the Scheme, as the case may be.

**No request for withdrawal of ASBA application form will be allowed after the closure of New Fund Offer Period.**

### B. SCSB DETAILS

Investors shall correctly mention the bank account number in the application and should ensure that funds equal to the application amount towards the Subscription of Units are available in the ASBA Account before submitting the application to the respective DBs. In case the amount available in the ASBA Account specified in the applications is insufficient, the SCSB shall reject the application.

### C. DEMATERIALIZATION

Investors desiring to get allotment of units through ASBA process must have an active beneficiary account with a Depository Participant (DP) of the Depositories i.e. National Securities Depositories Limited (NSDL) / Central Depository Services Limited (CDSL). Investors may note that if the DP-ID, beneficiary account and the PAN provided in the form are incomplete, incorrect or do not match with the Depository records, the application shall be rejected.

### D. REDRESSAL OF COMPLAINTS

All grievances related to ASBA facility shall be addressed to the SCSB, where the application form was submitted or to the RTA viz. Sundaram BNP Paribas Fund Services Ltd.

### 11. TRANSACTION CHARGES

Pursuant to SEBI Circular No. Cir/ MD/DF/13/2011 dated August 22, 2011, the AMC / the Fund shall deduct transaction charges as per the following details from the subscription amount. The amount so deducted shall be paid to the distributor / agent of the investor (in case they have "opted in" to receive the transaction charge) and the balance shall be invested. In accordance with SEBI circular no. CIR/IMD/DF/21/2012 dated September 13, 2012, the distributors shall have an option either to opt in or opt out of levying transaction charge based on type of the product.

1. First time investor in Mutual Fund (across all the Mutual Funds):  
Transaction charge of ₹ 150/- for subscription of ₹ 10,000 and above shall be deducted. First time investors for this purpose shall be mean an investor who invests for the first time ever in any mutual fund by way of lumpsum investment or systematic investment plan (SIP).
2. Existing investor in Mutual Funds (across all the Mutual Funds):  
Transaction charge of ₹ 100/- per subscription of ₹ 10,000 and above shall be deducted.
3. For SIP - The transaction charges in case of investments through SIP shall be deducted only if the total commitment (i.e. amount per SIP installment x No. of installments) amounts to ₹ 10,000/- and above. The transaction charges shall be deducted in 3-4 installments.
4. Transaction charges shall not be deducted for:
  - (i) Purchases / subscriptions for an amount less than ₹ 10,000/-
  - (ii) Transaction other than purchases / subscriptions relating to new inflows such as Switch / Systematic Transfer Plan (STP), Systematic Withdrawal Plan (SWP) etc.
  - (iii) Purchases / subscriptions made directly with the Fund (i.e. not through any distributor / agent).
  - (iv) Transactions carried out through stock exchange mechanism.
5. The statement of account shall reflect the net investment as gross subscription less transaction charge and the number of units allotted against the net investment.
6. As per SEBI circular no. SEBI/IMD/CIR No. 4/168230/09 dated June 30, 2009, the upfront commission to distributors shall be paid by the investor directly to the distributor by a separate cheque based on the investor's assessment of various factors including service rendered by the distributor.

- Investors must read the Key Information Memorandum and the instructions before completing this Form.
- The Application Form should be completed in English and in BLOCK LETTERS only.
- Non Individual investors should mandatorily fill separate FATCA / CRS & UBO declarations for Non-Individuals (Refer General Instructions 2 biv).

<b>BNP PARIBAS BALANCED FUND (An open ended balanced scheme)</b> <b>This product is suitable for investors who are seeking*:</b> <ul style="list-style-type: none"> <li>Wealth creation in long term.</li> <li>Investment primarily in equity &amp; equity-related securities and the rest in debt securities &amp; money market instruments to generate income and capital appreciation</li> </ul> <small>*Investors should consult their financial advisers if in doubt about whether the product is suitable for them.</small>		<b>Riskometer for the Scheme</b>  <small>Investors understand that their principal will be at moderately high risk</small>	<b>Application No.</b> <b>NFO Opens : March 17, 2017</b> <b>NFO Closes : March 31, 2017</b> <small>Scheme reopens for continuous sale and repurchase from : Within 5 Business Days from the date of allotment</small>		
<b>Name and AMFI Reg. No.</b>	<b>Sub Agent's Name and AMFI Reg. No.</b>	<b>Bank Serial No.</b>	<b>SBFS Serial No.</b>	<b>Sub-Broker Code</b>	<b>EUIN</b>
ARN-	ARN-			(As allotted by ARN holder)	

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.

**TRANSACTION CHARGES for Rs. 10,000 and above** (✓ any one) (See Instruction on page 18)

Existing Investor - Rs. 100     New Investor - Rs. 150

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**    Folio No. \_\_\_\_\_    The details in our records under the Folio number mentioned alongside will apply for this application.

**2. APPLICANT'S INFORMATION**

**First / Sole Applicant**     Mr.     Ms.     M/s.     Minor

Name: FIRST \_\_\_\_\_ MIDDLE \_\_\_\_\_ LAST \_\_\_\_\_

PAN / PEKRN \_\_\_\_\_ Date of Birth / Incorporation (D D M M Y Y Y Y) \* Required for First holder / Minor    KYC Identification Number (KIN) \_\_\_\_\_

**Name of Guardian (in case of First / Sole Applicant is a Minor) / Name of Contact Person (incase of non-individual Investors)**

Mr.     Ms. Name: FIRST \_\_\_\_\_ MIDDLE \_\_\_\_\_ LAST \_\_\_\_\_

Guardian PAN / PEKRN \_\_\_\_\_ Contact No. \_\_\_\_\_ KYC Identification Number (KIN) \_\_\_\_\_

**For Investment "on behalf of Minor"**     Birth Certificate     School Certificate     Passport     Other    **Relationship with Minor (Mandatory)**     Father     Mother     Court Appointed Legal Guardian

Mailing Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Pin Code (Mandatory) \_\_\_\_\_

Country \_\_\_\_\_ STD Code \_\_\_\_\_ Tel. Off. \_\_\_\_\_

Overseas Address (Mandatory for NRI / FII Applicant) (See Instruction 2.ai) on page 17) \_\_\_\_\_ Country \_\_\_\_\_

**GO GREEN (Default mode of Communication)**     Mobile \_\_\_\_\_     E-Mail \_\_\_\_\_

**Tax Status:**

**Individual**  
 Resident     NRI-Repatriation     NRI-Non Repatriation     Sole-Proprietorship     On Behalf of Minor  
 NRI - On Behalf of Minor     PIO / OCI     HUF     Others (Please Specify) \_\_\_\_\_

**Non-Individual**  
 Company     Trust     Society / Club     Partnership / LLP     AOP / BOI     FPI  
 Non Profit Organisation     Others (Please Specify) \_\_\_\_\_

**Occupation:**     Private Sector Service     Public Sector Service     Government Service     Student     Professional     Housewife     Business     Retired     Agriculturist     Proprietorship  
 Defence     Others (Please Specify) \_\_\_\_\_

**Gross Annual Income (₹)**     Below 1 Lac     1-5 Lacs     5-10 Lacs     10-25 Lacs     > 25 Lacs - 1 Crore     > 1 Crore    OR    Net worth ₹ \_\_\_\_\_

**Second Applicant's Details**    **Mode of Holding (please ✓)**     Joint#     Anyone or Survivor (# Default, in case of more than one applicant and not ticked)

Name:  Mr.     Ms.    FIRST \_\_\_\_\_ MIDDLE \_\_\_\_\_ LAST \_\_\_\_\_

PAN / PEKRN \_\_\_\_\_ Date of Birth (D D M M Y Y Y Y)    Mobile \_\_\_\_\_    KYC Identification Number (KIN) \_\_\_\_\_

**Occupation**     Pvt. Sector Service     Pub. Sector Service     Gov. Service     Housewife     Student     Professional     Housewife     Business     Retired     Defence     Agriculturist     Forex Dealer     Others

**Gross Annual Income (₹)**     Below 1 Lac     1-5 Lacs     5-10 Lacs     10-25 Lacs     > 25 Lacs - 1 Crore     > 1 Crore    OR    Net worth ₹ \_\_\_\_\_

**Third Applicant's Details**

Name:  Mr.     Ms.    FIRST \_\_\_\_\_ MIDDLE \_\_\_\_\_ LAST \_\_\_\_\_

PAN / PEKRN \_\_\_\_\_ Date of Birth (D D M M Y Y Y Y)    Mobile \_\_\_\_\_    KYC Identification Number (KIN) \_\_\_\_\_

**Occupation**     Pvt. Sector Service     Pub. Sector Service     Gov. Service     Housewife     Student     Professional     Housewife     Business     Retired     Defence     Agriculturist     Forex Dealer     Others

**Gross Annual Income (₹)**     Below 1 Lac     1-5 Lacs     5-10 Lacs     10-25 Lacs     > 25 Lacs - 1 Crore     > 1 Crore    OR    Net worth ₹ \_\_\_\_\_

**Additional Details**

	<b>Politically Exposed Person (PEP) Status :</b> (Also applicable for authorised signatories / Promoters / Karta / Trustee / Whole time Directors)	<b>Are you / entity involved in any of the services mentioned below? If yes write down it in the following box</b>
<b>First / Sole Applicant</b>	<input type="radio"/> I am PEP <input type="radio"/> I am Related to PEP <input type="radio"/> Not Applicable	
<b>Second Applicant</b>	<input type="radio"/> I am PEP <input type="radio"/> I am Related to PEP <input type="radio"/> Not Applicable	
<b>Third Applicant</b>	<input type="radio"/> I am PEP <input type="radio"/> I am Related to PEP <input type="radio"/> Not Applicable	

**Are you / entity involved in any of the following :**    • Precious metals (in particular buying-selling Gold) and Gems    • Luxury Cars    • Boats    • Race-horses    • Jewellery    • Money Service Businesses (MSB) & their agents (excluding Banks)    • Currency dealers or Exchanges    • Sellers for redeemers of traveler's cheques Money Orders/Remittance services    • Pawn shops    • Street Market stall    • Hotels    • Restaurants    • Internet Cafes    • Door to door sales companies    • Taxi    • Bars    • Night Clubs    • Second hand Goods sales    • Second hand vehicle dealers (excluding Automobile Franchise)    • Casinos    • Lotteries    • Gambling Clubs    • Slot machines Antiques    • Art Galleries    • Art Dealers    • Auctioneer    • Art Expert    • None of the above

**3. POWER OF ATTORNEY (PoA) HOLDER DETAILS (If the investment is being made by a Constituted Attorney, please furnish the details of PoA Holder)**

First / Sole Applicant     Second Applicant     Third Applicant

Mr.     Ms.     M/s.     Others \_\_\_\_\_    Name of PoA Holder \_\_\_\_\_

PAN \_\_\_\_\_    KYC Identification Number (KIN) \_\_\_\_\_

Enclosed  PAN card proof     KYC Confirmation proof

**Signature of (PoA) Holder**

**BNP PARIBAS MUTUAL FUND    ACKNOWLEDGEMENT SLIP (To be filled in by the Applicant)**

**BNP PARIBAS BALANCED FUND (An open ended balanced scheme)**

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

an application for allotment of Units of the scheme BNP Paribas Balanced Fund (as mentioned overleaf) Plan \_\_\_\_\_

Option \_\_\_\_\_ along with Cheque / Demand Draft / Payment Instrument as detailed overleaf.

**Please Note :** Application form received for purchase of units, subject to realization of payment instrument, verification of application and conditions

Application No. \_\_\_\_\_    ISC Stamp, Date & Signature \_\_\_\_\_

... continued overleaf

**4. INVESTMENT & PAYMENT DETAILS : (Please ✓) (Refer Instruction 4 for Scheme details and Payment & Third Party Payment Details)**  
 The name of the first / sole applicant must be pre-printed on the cheque for lumpsum Investment / SIP Registration.

<b>Scheme Name</b> BNP PARIBAS BALANCED FUND	<b>Select your Plan</b> <input type="radio"/> Regular Plan <input type="radio"/> Direct Plan	<b>Select your Option</b> <input type="radio"/> Dividend Payout <input type="radio"/> Dividend Reinvestment <input type="radio"/> Growth
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**Note:** Multiple cheques not permitted with single application form. **Note:** For Default options, please refer KIM.

**For Lumpsum Investment** Payment Type :  Non-Third Party Payment  Third Party Payment Please attach 'Third Party Payment Declaration Form'

Amount of Cheque / DD / Payment Instrument / RTGS / NEFT in figures (Rs.)	DD Charges, if any	Net Cheque / DD Amount	Cheque / DD / Payment Instrument / UTR No. & Date	Drawn on Bank / Branch	Bank Account Number

**For Investment through SIP mode (Refer General Instruction 7)** Payment Type :  Non-Third Party Payment  Third Party Payment Please attach 'Third Party Payment Declaration Form'

Each SIP Amount (Rs.) \_\_\_\_\_ Frequency  Weekly  Monthly\*  Quarterly (\*Default Frequency)

SIP Date Weekly SIP (Monday to Friday): Day of transfer \_\_\_\_\_ Monthly and Quarterly SIP: Preferred Debit Date (Any date except 29th, 30th and 31st) \_\_\_\_\_

SIP Period Start From [M M Y Y Y Y] End on [M M Y Y Y Y] OR  Until cancelled Cheque Amount\* (Rs.) \_\_\_\_\_

First SIP Transaction via Cheque No. \_\_\_\_\_ Cheque Dated [D D M M Y Y Y Y] Bank \_\_\_\_\_

**Mandatory Enclosure** (for existing investors if 1st SIP installment is not by cheque)  Blank cancelled cheque  Copy of cheque

**Note** for SIP through Auto Debit / Nach please also fill & attach SIP Registration cum Debt Mandate Form ^ The first SIP cheque amount should be same as each SIP Amount

**5. DEMAT ACCOUNT DETAILS (refer instruction 1f)**

National Securities Depository Ltd. Depository Participant Name \_\_\_\_\_

Central Depository Services (India) Ltd. DP ID No. \_\_\_\_\_ Beneficiary Account No. \_\_\_\_\_

Investor willing to invest in Demat option, may provide a copy of the DP Statement enabling us to match the Demat details as stated in the Application Form. In case the form is not filled, the default option will be physical mode.

**6. BANK ACCOUNT DETAILS (See Instruction 3 on page 15) (Mandatory, as per SEBI Regulations)**

Bank Name \_\_\_\_\_

Bank A/c. No. \_\_\_\_\_ A/c. Type  Savings  Current  NRE  NRO  FCNR

Branch Name \_\_\_\_\_ City \_\_\_\_\_ Pin Code \_\_\_\_\_

MICR Code \_\_\_\_\_ (9 Digit No. next to your Cheque No.) IFSC Code \_\_\_\_\_

**7. MANDATORY ONLY FOR CORPORATES / BANKS / FINANCIAL INSTITUTIONS**

- A. Does your Company (including your offices/branches and your subsidiaries and/or their offices/branches) have ONLY domestic business transactions, investments and activities?  Yes  No
- B. In Cuba, Iran, Syria, North Korea, Crimea/Sevastopol and/or Sudan, does your Company have:
- presence through offices or investments: (a) in these countries or, (b) in entities incorporated in these countries or, (c) In entities with shareholders of these countries?  Yes  No
  - transactions, activities or planned activities: (a) directly or indirectly with these countries or, (b) with any person or entity from these countries (located, resident, organized)?  Yes  No

**8. FATCA DETAILS For Individual (Mandatory) Non Individual investors including HUF should Mandatorily fill separate FATCA detail form**

Details under Foreign Tax Laws:	First / Sole Applicant / Guardian	Second Applicant	<input type="radio"/> Third Applicant <input type="radio"/> PoA
Place & Country of Birth			
Nationality	<input type="radio"/> Indian <input type="radio"/> US <input type="radio"/> Others (Please Specify)	<input type="radio"/> Indian <input type="radio"/> US <input type="radio"/> Others (Please Specify)	<input type="radio"/> Indian <input type="radio"/> US <input type="radio"/> Others (Please Specify)
Address Type	<input type="radio"/> Residential <input type="radio"/> Registered Office <input type="radio"/> Business	<input type="radio"/> Residential <input type="radio"/> Registered Office <input type="radio"/> Business	<input type="radio"/> Residential <input type="radio"/> Registered Office <input type="radio"/> Business

**Are you a tax resident (i.e. are you assessed for Tax) in any other country outside India?**  Yes  No (If Yes, please provide information below)

Country of Tax Residency			
Tax Identification Number or Functional Equivalent Identification Type (TIN or Other, please specify)			
If TIN is not available, please tick Reason <input type="radio"/> A <input type="radio"/> B <input type="radio"/> C (Please Specify)			
Country of Tax Residency			
Tax Identification Number or Functional Equivalent Identification Type (TIN or Other, please specify)			
If TIN is not available, please tick Reason <input type="radio"/> A <input type="radio"/> B <input type="radio"/> C (Please Specify)			

**Reason A:** The country where Account Holder is liable to pay tax does not issue TIN to its residents do not require the TIN to be collected) **Reason C:** others, please specify the reason above **Reason B:** No TIN Required (Select this only if the authorities of the respective country of tax residents

**9. NOMINATION - MANDATORY, even if no intention to nominate. Minor & PoA holder cannot nominate and should not fill this section (See Instruction 5 on page 16)**

1. I/We do not wish to nominate	SIGNATURE(S)	First / Sole Applicant	Second Applicant	Third Applicant
2. Having read and understood the instruction for Nomination, I / We hereby nominate the person(s) more particularly described hereunder in respect of the Units under the Folio held by me/us in the event of my death.				
Nominee 1	Nominee Name	Date of Birth^	Allocation %#	Guardian Signature^
Nominee 2				
Nominee 3				

^ In case Nominee is minor. # Please indicate the percentage of allocation / share for each of the nominees in whole numbers only without any decimals making a total of 100 per cent.

**10. DECLARATION & SIGNATURES**

I / We am / are not prohibited from accessing capital markets under any order/ruling/judgment etc., of any regulation, including SEBI. I / We confirm that my application is in compliance with applicable Indian and foreign laws. I / We hereby confirm and declare as under: I / We have neither received nor been induced by any rebate or gifts, directly or indirectly in making this investment. I / We hereby declare that I am / we are not a US person, within the meaning of the United States Securities Act, 1933, as amended from time to time; and that I am / we are not applying on behalf of or as proxyholders of a person who is a US person. I / We hereby declare that I am / we are competent under the applicable laws and duly authorised where required, to make this investment in the above mentioned scheme. I / We confirm that I am / we are not NRIs/PIOs residing in any of the prohibited / banned countries mentioned in the SID/addendums to the SID. I / We have read, understood and hereby agree to comply with the terms and conditions of the scheme related documents and apply for allotment of Units of the BNP Paribas Balanced Fund (the Scheme) of BNP Paribas Mutual Fund (the Fund) indicated above. I / We hereby confirm that the proposed investment is being made from known, identifiable and legitimate sources of funds / income of mine only and I am / we are the rightful beneficial owner(s) of the funds and the resulting investments therefrom. The abovementioned investment does not involve and is not designed for the purpose of any contravention or evasion of any Act, Rules, Regulations, Notifications or Directions or of the provisions of any law in India including but not limited to The Income Tax Act, the Prevention of Money Laundering Act, 2002, The Prevention of Corruption Act, 1988 and / or any other relevant rules/ guidelines notified in this regard or applicable laws enacted by the Government of India / any other regulatory body from time to time. I / we hereby understand and agree that if any of the aforesaid disclosures made/ information provided by me/us is found to be contradictory or non-reliable to the above statements or if I / we fail to provide adequate and complete information, the AMC / Mutual Fund / Trustees reserve the right to not create a folio / account, reject the application / withhold the investments made by me / us and/or make disclosures and report the relevant details to the competent authority and take such other actions as may be required to comply with the applicable law as the AMC / Mutual Fund / Trustees may deem proper at their sole option. I / We hereby authorize the Fund, AMC and its Agents to disclose my / our details including investment details to my / our bank(s) / Fund's bank(s) and / or Distributor / Broker / Investment Advisor and to verify my / our bank details provided by me / us, or to disclose to such service providers as deemed necessary for conduct of business. I / We confirm that I / We do not have any existing Micro SIP / Investments which together with the current application will result in aggregate investments exceeding Rs. 50,000/- in a financial year or a rolling period of one year (Applicable for PAN exempt category of investors). I / We will indemnify the Fund, AMC, Trustee, RTA and other intermediaries in case of any dispute regarding the eligibility, validity and authorization of my/our transactions. The ARN holder (AMFI registered Distributor) has disclosed to me / us all the commissions in the form of trail commission or any other mode, payable to him / them for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me / us. I / WE HEREBY CONFIRM THAT I / WE HAVE NOT BEEN OFFERED / COMMUNICATED ANY INDICATIVE PORTFOLIO AND / OR ANY INDICATIVE YIELD BY THE FUND / AMC / ITS DISTRIBUTOR FOR THIS INVESTMENT. I / We declare that the information provided in this form is, to the best of my knowledge and belief, accurate and complete and further agree to furnish such other further/additional information as may be required by the BNP Paribas Asset Management India Pvt Ltd (AMC) / Fund. I further undertake to advise the AMC / Mutual Fund / Trustees promptly of any change in circumstances which causes the information contained herein to become incorrect and to provide the AMC / Mutual Fund / Trustees with a suitably updated self-declaration within 30 days of such change in circumstances. I hereby declare that the AMC / Fund can provide my information to any institution / tax authorities / governmental body for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

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

**Additional declaration for Foreign Nationals Resident in India only:** I / We will redeem my/our entire investment/s before I / We change my / our Indian residency status. I / We shall be fully liable for all consequences (including taxation) arising out of the failure to redeem on account of change in residential status.

**Additional declaration for NRIs / PIO / OCIs only:** I / We am / are not prohibited from accessing capital markets under any order / ruling / judgment etc., of any regulation, including SEBI. I / We confirm that my application is in compliance with applicable Indian and foreign laws. please (✓)  Yes  No If yes, (✓)  Repatriation basis  Non-Repatriation basis


Dated _____	First / Sole Applicant / Guardian / POA Holder / Authorised Signatory	Second Applicant / Guardian / POA Holder	Third Applicant / Guardian / POA Holder
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Scheme Name	Select your Plan (Please ✓)	Select your Option (Please ✓)
BNP PARIBAS BALANCED FUND	<input type="radio"/> Regular Plan <input type="radio"/> Direct Plan	<input type="radio"/> Dividend Payout <input type="radio"/> Dividend Reinvestment <input type="radio"/> Growth
Cheque / DD / Payment Instrument No. & Date	Drawn on (Bank & Branch)	Amount in Figures (Rs.)

Please read ASBA instructions before filling the Form

**BNP PARIBAS BALANCED FUND**  
 (An open ended balanced scheme)

NFO Opens : March 17, 2017
NFO Closes : March 31, 2017
<b>Scheme reopens for continuous sale and repurchase from : Within 5 Business Days from the date of allotment</b>

<b>This product is suitable for investors who are seeking*:</b> <ul style="list-style-type: none"> <li>Wealth creation in long term.</li> <li>Investment primarily in equity &amp; equity-related securities and the rest in debt securities &amp; money market instruments to generate income and capital appreciation</li> </ul> * Investors should consult their financial advisers if in doubt about whether the product is suitable for them.	Riskometer for the Scheme  Investors understand that their principal will be at moderately high risk
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Name and AMFI Reg. No.	Sub Agent's Name and AMFI Reg. No.	Bank Serial No.	SBFS Serial No.	Sub-Broker Code	EUIN
ARN-	ARN-			(As allotted by ARN holder)	

**EUIN Declaration (only where EUIN box is left blank) (Refer General Instruction 1)**
 I/We hereby confirm that the EUIN box has been intentionally left blank by me / us as this transaction is executed without any interaction or advice by the employee / relationship manager / sales person of the above distributor / sub broker or notwithstanding the advice of in-appropriateness, if any, provided by the employee / relationship manager / sales person of the distributor / sub broker.

**TRANSACTION CHARGES FOR APPLICATIONS THROUGH DISTRIBUTORS ONLY (Refer General Instruction on page12)**

 [Please (✓) any one]  I confirm that I am a first time investor across Mutual Funds.  I confirm that I am an existing investor in Mutual Funds.

 In case the purchase/ subscription amount is Rs. 10,000 or more and your Distributor has opted in to receive Transaction Charges, the same are deductible as applicable from the purchase / subscription amount and payable to the Distributor. Transaction Charges in case of investments through SIP / Micro SIP are deductible only if the total commitment of investment (i.e. amount per SIP / Micro SIP installment x No. of installments) amounts to Rs. 10,000/- or more and shall be deducted in 3-4 installments. Units will be issued against the balance amount invested. Upfront commission shall be paid directly by the investor to the ARN Holder (AMFI registered Distributor) based on the investors' assessment of various factors including the service rendered by the ARN Holder.

Sign Here Sole/First Applicant/Guardian/Karta	Sign Here Second Applicant	Sign Here Third Applicant
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**1. APPLICANT'S PERSONAL DETAILS (IN BLOCK LETTERS)**

First / Sole Applicant	Second Applicant / Guardian / PoA Holder	Third Applicant
Name <input type="text"/>	<input type="text"/>	<input type="text"/>
PAN <input type="text"/>	<input type="text"/>	<input type="text"/>

Applicants must ensure that the sequence of the names as mentioned in the application form matches with that of beneficiary account held with the Depository Participant.

**2. DETAILS OF BANK ACCOUNT FOR BLOCKING OF FUNDS**

Bank Account Number <input type="text"/>	Bank Name <input type="text"/>
Bank Address <input type="text"/>	
Account to be blocked (Rs. in figures) <input type="text"/>	Account to be blocked (Rs. in words) <input type="text"/>

Sub-Plan(s) / Option(s)	Amount (in Rs.)	ISIN
Regular Plan - Growth		
Regular Plan - Dividend Payout / Reinvestment		
Direct Plan - Growth		
Direct Plan - Dividend Payout / Reinvestment		
<b>Total Amount</b>		

**3. DEMAT ACCOUNT DETAILS (MANDATORY) Please (✓)**

NSDL	DP Name <input type="text"/>	DP ID <input type="text"/>	Beneficiary Account No. <input type="text"/>
CDSL	DP Name <input type="text"/>	Beneficiary Account No. <input type="text"/>	

The investors shall receive payments of Redemption/Dividend proceeds in the Bank Account linked to the Demat A/c as mentioned above.

Received from <input type="text"/>	
ASBA Form Dated <input type="text"/>	Amount to be Blocked (Rs.) <input type="text"/>
SCSB (Bank & Branch) <input type="text"/>	Bank Account No. <input type="text"/> Submission Date <input type="text"/>

#### 4. DECLARATIONS & SIGNATURES

##### General Declaration:

I/We am/are not prohibited from accessing capital markets under any order/ruling/judgment etc., of any regulation, including SEBI. I/We confirm that my application is in compliance with applicable Indian and foreign laws. I/We hereby confirm and declare as under:-

- (1) I / We have read, understood and hereby agree to comply with the terms and conditions of the scheme related documents (i.e. Scheme Information Document, Statement of Additional Information and Key Information Memorandum) and apply for allotment of Units of the BNP Paribas Balanced Fund ('the Scheme') of BNP Paribas Mutual Fund ('the Fund') indicated above.
- (2) I/We am/are eligible Investor(s) as per the scheme related documents and am/are authorised to make this investment as per the Constitutive documents / authorization(s). The amount invested in the Scheme is derived through legitimate sources only and is not held or designed for the purpose of contravention of any Act, Rules, Regulations or any statute or legislation or any other applicable laws or any Notifications, 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 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 Fund, I/we hereby authorize the 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.
- (3) I / We have not received nor have been induced by any rebate or gifts, directly or indirectly, in making this investment.
- (4) The information given in / with this application form is true and correct and further agree to furnish such other further/additional information as may be required by the BNP Paribas Asset Management Private Limited (AMC) / the Fund and undertake to inform the AMC / the Fund/Registrars and Transfer Agent (RTA) in writing about any change in the information furnished from time to time.
- (5) That in the event, the above information and/or any part of it is/are found to be false/ untrue/misleading, I/We will be liable for the consequences arising therefrom.
- (6) I/We hereby authorize you to disclose, share, remit in any form/manner/mode the above information and/or any part of it including the changes/updates that may be provided by me/us to the Fund, its Sponsor/s, Trustees, AMC, its employees, agents and third party service providers, SEBI registered intermediaries for single updation / submission, any Indian or foreign statutory, regulatory, judicial, quasijudicial authorities / agencies including but not limited to Financial Intelligence Unit-India (FIU-IND) etc without any intimation/advice to me/us.
- (7) If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information, I/We would not hold the AMC / the Fund, their appointed service providers or representatives responsible. I/We will indemnify the Fund, AMC, Trustee, RTA and other intermediaries in case of any dispute regarding the eligibility, validity and authorization of my/our transactions.
- (8) The ARN holder (AMFI registered Distributor) has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him/them for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us.
- (9) I/We do not have any existing Micro Investments which together with the current Micro Investment application will result in aggregate investments exceeding Rs. 50,000/- in a year (applicable to Micro Investment investors only).
- (10) I / We confirm that I / We are not United States person(s) under the laws of United States or residents(s) of Canada as defined under the applicable laws of Canada.
- (11) I/WE HEREBY CONFIRM THAT I/WE HAVE NOT BEEN OFFERED/ COMMUNICATED ANY INDICATIVE PORTFOLIO AND/ OR ANY INDICATIVE YIELD BY THE FUND / AMC / ITS DISTRIBUTOR FOR THIS INVESTMENT.

##### Applicable to NRIs only :

I / We confirm that I am / we are Non-Residents of Indian Nationality / Origin and that the funds are remitted from abroad through approved banking channels or from my / our NRE / NRO / FCNR Account. I / We confirm that the details provided by me / us are true and correct.

##### ASBA Authorizations:

- 1) I/We hereby undertake that I/We am/are an ASBA applicant(s) as per the applicable provisions of the SEBI (Issue of Capital and Disclosure Requirements) (Amendment) Regulations, 2011.
- 2) In accordance with ASBA process provided in the SEBI (Issue of Capital and Disclosure Requirements) (Amendment) Regulations, 2011, I/We authorize (a) the SCSB to do all acts as are necessary to make an application in the NFO of the BNP Paribas Balanced Fund, including uploading of application details, blocking the amount to the extent mentioned above in the "Details of Bank Account for Blocking of Funds" or unblocking of funds in the bank account maintained with the SCSB specified in the form, transfer of funds to the nominated BNP Paribas Mutual Fund Bank Account on receipt of instruction from the Registrar to the New Fund Offer after finalisation of allotment entitling me/us to receive Units on such transfer of funds. (b) Registrar to the BNP Paribas Mutual Fund to issue instructions to the SCSB to remove the block on the funds in the bank account specified in the ASBA Form, upon allotment and to transfer the requisite money to BNP Paribas Mutual Fund's nominated Bank account.
- 3) In case the amount available in the bank account specified in the ASBA Form is insufficient for blocking the amount equivalent to the application money, the SCSB shall reject the application.
- 4) If the DP ID, Beneficiary ID or PAN furnished by me/us in the ASBA Form is incorrect or incomplete, the application shall be rejected and BNP Paribas Asset Management Private Limited. (Investment Manager to BNP Paribas Mutual Fund), their appointed service providers and the SCSBs representatives shall not be liable for losses, if any.

Date  Place

Sign Here Sole/First Applicant/Guardian/Karta	Sign Here Second Applicant	Sign Here Third Applicant
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**Note:** To be signed as per mode of operation of the Bank Account

#### ASBA INSTRUCTIONS

- A. Self Certified Syndicate Bank (SCSB): SCSB is a bank which offers the facility of applying through the ASBA process.  
For the complete list of SCSBs with details of controlling/designated branches please refer to websites : <http://www.sebi.gov.in> , <http://www.nseindia.com> and <http://www.bseindia.com>.
- B. Investors Demat Account details:
  - It is mandatory to provide Demat Account details in ASBA Application Form as the units will be credited in the Demat Account specified in ASBA Application Form.
  - Applicant should ensure that the Demat Accounts specified in the ASBA Application Form are active i.e. not frozen or suspended.
  - Applicant to note that in case the DP-ID, beneficiary account no. or PAN provided in the ASBA Application Form are incorrect or do not match with the records of Depositories (NSDL or CDSL), the applications will be rejected.
- C. Bank Account details:
  - Applicants should provide Bank Account details from which the application amount is to be blocked along with Bank & Branch name and application amount.
  - Applicant should maintain sufficient balance in the Bank Account in which application amount is to be blocked. In case of insufficient funds in the specified Bank Account the application is liable to be rejected.
  - Applicant can make application for maximum upto 5 ASBA Applications from a single Bank Account with a Bank.
  - It may be noted that no application will be accepted for subscription to units of schemes of BNP Paribas Mutual Fund where such application is accompanied by Third Party Payment other than the exceptions allowed. 'Third-Party Payment' means a payment made through instruments issued from a bank account other than that of bank account of first named applicant/investor. Please refer to point no. 8 of the General Instructions for details.
- D. Please refer to point no. 18 of General Instructions.



DISTRIBUTOR / BROKER INFORMATION [refer instruction 1(b)]					
Name and AMFI Reg. No.	Sub Agent's Name and AMFI Reg. No.	Bank Serial No.	SBFS Serial No.	Sub-Broker Code	EUIN
ARN-	ARN-			(As allotted by ARN holder)	

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 / POA Holder / Authorised Signatory	Second Applicant / Guardian / POA Holder	Third Applicant / Guardian / POA Holder
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**1. APPLICANT'S INFORMATION (Mandatory, if left blank, the application is liable to be rejected)**

Name of Sole / First Unit Holder  First Name  Middle Name  Last Name

Folio No.  Application No.

Mode of Holding (please ✓)  Single  Joint  Anyone or Survivor PAN (First Unit Holder)

Mobile No. +91  E-mail ID

**2. SYSTEMATIC INVESTMENT PLAN DETAILS**

Scheme / Plan / Option

Frequency (Please ✓)  Weekly SIP  Monthly SIP  Quarterly SIP (Calendar Quarter i.e. January, April, July and October)

SIP Date Weekly SIP (Monday to Friday): Day of transfer  Monthly and Quarterly SIP: Preferred Debit Date (Any date except 29th, 30th and 31st)

Enrolment Period  Regular From  To   Perpetual From  To

Each SIP Amount ₹  No. of instalments  Total Amount ₹  First SIP Instalment via: Cheque No.

Drawn on Bank

Branch  A/c. No.

SIP Top UP (Optional) Top Up Amount\*  Amount in multiples of ₹ 500 only Top Up Frequency  Half Yearly  Yearly\*

**3. DECLARATION & SIGNATURES**

This is to inform that I/We have registered for the RBI's Electronic Clearing Service (Debit Clearing) / Direct Debit / Standing Instruction and that my payment towards my investment in BNP Paribas Mutual Fund shall be made from my/our below mentioned bank account with your bank. I/We authorise the representative carrying this ECS (Debit Clearing) / Direct Debit / Standing Instruction mandate Form to get it verified & executed. I/We hereby declare that the particulars given above are correct and express my willingness to make payments referred above through participation in ECS (Debit Clearing) / Direct Debit / Standing Instruction. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information, I/We would not hold the user institution responsible. I/We will also inform BNP Paribas Mutual Fund/ BNP Paribas Asset Management India Limited, about any changes in my bank account. I/We have read and agreed to the terms and conditions mentioned overleaf. I/We undertake to keep sufficient funds in the funding account on the date of execution of standing instruction. I hereby declare that the particulars given above are correct and complete. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information, I would not hold the Mutual Fund or the Bank responsible. If the date of debit to my/ our account happens to be a non business day as per the Mutual Fund, execution of the SIP will happen on the day of holiday and allotment of units will happen as per the Terms and Conditions listed in the Offer Document of the Mutual Fund. Bank shall not be liable for, nor be in default by reason of, any failure or delay in completion of its obligations under this Agreement, where such failure or delay is caused, in whole or in part, by any acts of God, civil war, civil commotion, riot, strike, mutiny, revolution, fire, flood, fog, war, lightning, earthquake, change of Government policies, Unavailability of Bank's computer system, force majeure events, or any other cause of peril which is beyond Bank's reasonable control and which has the effect of preventing the performance of the contract by the Bank. I/We acknowledge that no separate intimation will be received from Bank in case of non-execution of the instructions for any reasons whatsoever.

SIGNATURE AS PER BNP PARIBAS MUTUAL FUND (To be signed as per Mode of Holding)	
Sole/First Applicant/Guardian	<input type="text"/>
Second Applicant (Not applicable if first applicant is minor)	<input type="text"/>
Third Applicant (Not applicable if first applicant is minor)	<input type="text"/>

SIGNATURE AS PER BANK RECORDS (To be signed by all holder if Mode of Operation in the Bank is Joint)	
Sole / First Holder	<input type="text"/>
Second Holder	<input type="text"/>
Third Holder	<input type="text"/>

**ECS/NACH/SI Mandate** UMRN  Date

Sponsor Bank Code  Utility Code

Tick (✓)  CREATE  MODIFY  CANCEL

I/We hereby authorize  BNP PARIBAS MUTUAL FUND to debit (tick ✓)  SB  CA  CC  SB-NRE  SB-NRO  Other

Bank a/c number

with Bank  Name of customers bank IFSC  or MICR

an amount of Rupees  ₹

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

Reference 1  Phone No.

Reference 2  Email ID

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

PERIOD From  To

Or  Until Cancelled

Signature Primary Account holder  Signature of Account holder  Signature of Account holder

1.  Name as in bank records 2.  Name as in bank records 3.  Name as in bank records

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

## SIP - INSTRUCTIONS

- The SIP Enrolment Form should be completed in English and in Block Letters only. Please tick (✓) in the appropriate box (□), where boxes have been provided. The SIP Enrolment Form, complete in all respects, should be submitted to any of the Official Points of Acceptance of Transactions.
- A single SIP Enrolment Form can be used for one Scheme / Plan / Option / SIP Date only. Investor should use separate forms for more than one Scheme / Plan / Option.
- Existing unit holders are required to submit only the SIP Enrolment Form. Existing unit holders should note that unit holders' details and mode of holding (single, jointly, anyone or survivor) will be as per the existing folio number.
- New investors who wish to enroll for SIP are required to fill the Common Application Form and SIP Application Form. New investors are advised to read the Key Information Memorandum(s) and Scheme Information Document carefully before investing and the same are available with the ISCs / distributors.
- To start an SIP, an investor has to provide the specified number of postdated cheques in advance, for the minimum amount for the facility chosen by the investor (as given in instruction no. 9). The 1st cheque can be of any date but the subsequent cheques should be of the same amount and same date. The enrolment form should reach at least 30 days before the due date at any of the Official Points of Acceptance of Transactions.
- Under SIP the investor can for a continuous period of time invest a fixed amount at regular intervals for purchasing additional Units of the Scheme(s) at the Applicable NAV, subject to applicable Load.
- SIP offers investors the following three facilities and the minimum application amount for SIP will be as follows:
  - Weekly Systematic Investment Facility (WSIF):** ₹ 500/- and in multiples of ₹ 1/- thereafter on a weekly basis by providing in advance a minimum of 6 post-dated cheques.
  - Monthly Systematic Investment Facility (MSIF):** ₹ 500/- and in multiples of ₹ 1/- thereafter on a monthly basis by providing for a minimum of 6 installments.
  - Quarterly Systematic Investment Facility (QSIF):** ₹ 500/- and in multiples of ₹ 1/- thereafter on a quarterly basis by (i.e., January, April, July, October) providing for a minimum of 6 installments.Accordingly, the provision for SIP facility which requires the standing instruction for SIP (including Post Dated Cheque (PDC) or Auto Debit / NACH) to be such that the criteria of minimum application amount of that particular scheme in which investment is intended via SIP facility is complied with, shall no longer be applicable.
- In case the date falls on a Non-Business Day or falls during a book closure period, the immediate next Business Day will be considered for the purpose of determining the applicability of NAV subject to the realization of cheques. Units will be allotted on the above applicable dates. If both from date and SIP date is not ticked in the SIP investment application, 7th of every month shall be considered as default SIP date.
- Applicable Load Structure for SIP**

**Entry Load:** Nil

The provisions of Exit Load as applicable to the normal investments as on the date of enrollment will be applicable to fresh SIP investments.
- Separate SIP Enrolment Forms are required to be filled for WSIF, MSIF and QSIF.
- The cheques should be drawn in favour of the respective "Scheme / Plan / Option" and crossed "A/c Payee Only" and must be payable at the locations where applications are submitted at the Official Points of Acceptance of Transactions. Unit holders must write the SIP Enrolment Form number, if any, on the reverse of the cheques accompanying the SIP Enrolment Forms. Outstation cheques will not be accepted and applications accompanied by such cheques are liable to be rejected. No cash, money orders or postal orders will be accepted.
- Returned cheque(s) will not be presented again for collection. In case of bouncing of cheque / no credit receipt for SIP for 3 consecutive times, such SIP application shall be cancelled. In case, the reason mentioned by the respective bank for returning the cheque is 'A/C Closed', the SIP will stand cancelled immediately on receipt of this feed from the respective banks.
- Investors have the right to discontinue the SIP facility at any time by sending a written request to any of the Official Points of Acceptance of Transactions. Such notice should be received at least 14 days prior to the due date of the next cheque. On receipt of such request, the SIP facility will be terminated and the remaining un-utilised post-dated cheque(s) will be returned to the investor.
- The enrolment period of SIP will be as per the instruction given by the investor. In case it is instructed to continue SIP "Till instruction to discontinue the SIP is submitted" investors will have to submit SIP cancellation request to discontinue the SIP. In case of any ambiguity in enrolment period or if the end date of SIP is not mentioned, the default period for SIP will be 5 years.
- In case investor has not selected any frequency or in case of any ambiguity, monthly frequency shall be considered as default option. Similarly, 7th day shall be considered as default execution date. In case of any ambiguity in the enrolment form, the SIP enrolment request shall be liable to be rejected.
- In case of minor application, AMC will register standing instructions till the date of the minor attaining majority, though the instructions may be for a period beyond that date. Prior to minor attaining majority, AMC shall send advance notice to the registered correspondence address advising the guardian and the minor to submit an application form along with prescribed documents to change the status of the account to "major". The account shall be frozen for operation by the guardian on the day the minor attains the age of majority and no fresh transactions shall be permitted till the documents for changing the status are received.
- The Trustee / AMC reserves the right to change / modify the terms of the SIP. The above load structure will be in force till further notice. This load structure is subject to change and may be imposed / modified prospectively from time to time, as may be decided by the Trustee / AMC from time to time.
- If no start date is mentioned by the investors, the SIP will be registered to start from a period after 30 days from the date of submission of the application form.

### The terms and conditions for availing the 'Top-Up SIP' shall be as follows:

#### 1. Frequency for Top-Up SIP

##### (i) For Monthly SIP:

- Half Yearly Top-Up SIP: Under this option, the amount of investment through SIP installment shall be increased by amount chosen / designated by Investor post every 6th (sixth) SIP installment.
- Yearly Top-Up SIP: Under this option, the amount of investment through SIP installment shall be increased by amount chosen / designated by Investor post every 12th (twelfth) SIP installment.

##### (ii) For Quarterly SIP:

- Yearly Top-Up SIP: Under this option, the amount of investment through SIP installment shall be increased by amount chosen / designated by Investor post every 4th (fourth) SIP installment. In case the investor who has registered under Quarterly SIP opts for Half Yearly Top-Up SIP, the same shall be registered and processed as Yearly Top-Up SIP.

#### 2. Minimum Top-Up SIP Amount:

₹ 500 and in multiples of ₹ 500 thereafter.

#### 3. Default Top-Up SIP Frequency and amount:

In case the investor fails to specify either the frequency or amount for Top-Up SIP, the same shall be deemed as Yearly Top-Up SIP and ₹ 500 respectively and the application form shall be processed accordingly. In case the investor fails to specify both, i.e. the frequency for Top-Up SIP and amount for Top-Up SIP, the application form may be processed as conventional SIP, subject to it being complete in all other aspects.

- Top-Up SIP shall be available for SIP Investments only through NACH / ECS (Debit Clearing) / Direct Debit Facility only. Top-Up SIP shall not be available under SIP facility availed by Investors through Standing Instructions / PDCs or investing through Channel Partners or through Stock Exchange Platforms.
- Top-Up SIP facility shall not be available under Weekly SIP option.
- Top-Up SIP facility can be availed by the investors only at the time of registration of SIP or renewal of SIP.
- Investors should note that for modification of any of the details of Top-Up SIP details, the existing SIP with Top-Up facility shall be required to be cancelled and investor would be required to enroll a fresh SIP with modified Top-Up facility details.

**Declaration:** I / We hereby declare that the particulars provided in this mandate are correct and complete and hereby agree to participate in the NACH / ECS / Direct Debit / Standing Instructions (SI) and make payments through the NACH platform according to the terms and conditions thereof. I / We further hereby agree and acknowledge that I / we will not hold the AMC and/or responsible for any delay and / or failure in debiting my bank account for reasons not attributable to the negligence and / or misconduct on the part of the AMC I / We hereby declare and confirm that, irrespective of my / our registration of the above mobile number in the 'DO NOT DISTURB (DND)', 'or in any similar register maintained under applicable laws, now or subsequent to the date hereof, I / We hereby consent to the Bank communicating with me/us in any manner whatsoever on the said mobile number with respect to the transactions carried out in my / our aforementioned bank account(s). I / We hereby agree to abide by the terms and conditions that may be intimated to me / us by the AMC / Bank with respect to the NACH / ECS / Direct Debit / SI from time to time.

**Authorisation to Bank:** This is to inform that I / We have registered for ECS / NACH (Debit Clearing) / Direct Debit / SI facility and that the payment towards my / our investments in the Schemes of BNP Paribas Mutual Fund shall be made from my / our above mentioned bank account with your Bank. I / We hereby authorize the representatives of BNP Paribas Asset Management India Private Limited, Investment Manager to BNP Paribas Mutual Fund carrying this mandate form to get it verified and executed. I / We authorize the Bank to debit my / our above-mentioned bank account for any charges towards mandate verification, registration, transactions, returns, etc, as applicable for my / our participation in NACH / ECS / Direct Debit / SI.



# ELECTRONIC CLEARING SYSTEM (ECS) / AUTO DEBIT / NACH / STANDING INSTRUCTION (SI) - TERMS & CONDITIONS

SIP payment through Electronic Clearing System (ECS) / NACH / Auto Debit / Standing Instruction (SI) of the Reserve Bank of India (RBI)

- This facility is offered to the investors having bank accounts in **select cities mentioned below**. The bank branch through which you want your SIP Auto-Debits to take place should be a participant in local MICR Clearing.
- SIP Auto-Debit Facility is offered to you using RBI's Electronic Clearing System (ECS) / Auto Debit / NACH / Standing Instruction (SI) for effecting SIP payments. By opting for this facility, you agree to abide by the terms and conditions of ECS / Auto debit / SI Facility of Reserve Bank of India.
- New investors need to submit:
  - SIP Application Form for the chosen Scheme duly filled in
  - Completed SIP Auto Debit Facility Form
  - Cheque for the First Installment of the SIP
  - Cancelled copy of the cheque of the bank whose details have been mentioned in the ECS / Auto debit bank account.
- These details have to be submitted at least 30 days before the first SIP installment date. In addition all the other corporate / other documents as mentioned in the common application form needs to be submitted.
- Existing investors need to mention the Folio Number and submit the following:
  - Completed SIP Auto Debit Facility Form
  - Cheque for the First Installment of the SIP
  - Cancelled copy of the cheque of the bank whose details have been mentioned in the ECS / Auto debit bank account.These details have to be submitted at least 30 days before the first SIP installment date.
- Investors can opt for SIP on a monthly or quarterly basis under the ECS / NACH / Auto debit / SI facility. The first debit will be basis the SIP cheque. In case the chosen date falls on a Non-Business Day, the SIP will be processed on the immediate next Business Day.
- The cheque should be drawn in favour of "the respective Scheme / Plan / Option" as applicable and crossed "A/c. Payee Only".
- A separate SIP Enrolment Form must be filled for each Scheme / Plans, Unit Holders must write the Folio Number on the reverse of the Cheque accompanying the Application Form.
- BNP Paribas Mutual Fund, its Investment Manager, Registrar and other service providers responsible if the transaction is delayed or not effected or your bank account is debited in advance or after the specific SIP date due to various clearing cycles of ECS / NACH / Auto debit / SI.
- BNP Paribas Asset Management India Private Limited, its registrars and other service providers shall not be held responsible and liable for any damages / compensation / loss incurred by the investor. For any reason whatsoever the investor assumes the entire risk of using this facility and takes full responsibility.
- Please refer the Key Information Memorandum for applicable NAV, Risk Factors, Load and other information before investing.
- BNP Paribas Mutual Fund / AMC, reserves the right to reject any application inter alia in the absence of fulfillment of regulatory requirements, fulfillment of requirements of the Scheme Information Document / Addendum(s) and furnishing necessary information to the satisfaction of the Mutual Fund / AMC.
- BNP Paribas Asset Management India Private Limited and its service providers reserve the right to disclose the details of the Investors and their transactions using the SIP Auto Debit Facility to third parties for the purposes of verification and execution of the Auto Debit Facility as also for the purpose of law enforcement, fraud prevention, audit and inspection requirement etc. In case of discontinuance of business by the existing ECS / NACH / Auto debit / SI Service Provider / change in ECS / NACH / Auto debit / SI Service Provider, the investor may be required to resubmit a completed SIP Auto Debit Facility Form to the AMC.
- The Investor undertakes and agrees that the SIP Auto Debit Facility requested for via this Form is subject to acceptance of the terms and conditions mentioned in the Key Information Memorandum / Scheme Information Document.
- If you wish to change / modify the SIP amount, you will have to submit the following documents atleast 1 month in advance:
  - New SIP Auto Debit Facility Form with revised SIP amount
  - Letter to discontinue the SIP existing amount
- If you have already an existing investor and have provided the post dated cheques and you now wish to avail of the ECS / NACH / Auto debit / SI facility, you will need to submit the following documents atleast 1 month in advance:
  - SIP Auto Debit Facility Form
  - Letter to discontinue and return the existing post dated cheques.
- Change in debit bank account details for SIP transactions:** Investors are requested to note that in case they wish to change their bank account details for any of their ongoing SIP, the following documents should be submitted atleast 30 days in advance of the next SIP debit date: (a) A request letter to change the existing bank account details for SIP transaction mentioning old and new bank account details and details of ongoing SIP transaction. (b) New SIP Auto Debit Facility Form with new bank account details.
- In case of rejection of SIP form for any reason whatsoever, the Mutual Fund will not accept/ entertain any request for refund of proceeds of first cheque that would have been processed.
- Investors agree that the AMC may discontinue the SIP facility for any investor / folio at its discretion and can advise bank to cancel SI in case one or more debits are rejected and funds not received for any reason.

## Instructions applicable to Standing Instructions (SI)

- The facility of giving Standing Instruction (SI) is available only to the investors having bank account with HDFC Bank Limited.
- The facility of SI shall be available to opt all the frequencies of SIP i.e. weekly, monthly & quarterly.
- Investors should submit the SIP application form atleast 15 working days prior to the intended date of SIP at any of the official point of acceptance of the transactions of the Fund. If the form is not submitted prior to atleast 15 working days, the SIP instalment shall be deducted from the same date of the next month.
- In case of insufficient balance in the investor's account on the date of SIP, the transaction shall be rejected and the AMC / Bank will not retry further to debit the amount from the investor's bank account.
- Investors are requested to provide information of start date & end date of SIP clearly on the application form. Forms with multiple tick options or forms with ambiguity shall be liable to be rejected. Further, no alteration should be made on the SI form. Alterations, if any shall be counter signed / authenticated by the investor, otherwise form shall be liable to be rejected. Further, incomplete form or mutilated form shall be liable to be rejected.
- Investors should note that the signature provided on the Section - "Authorisation of Bank Account Holder" should match exactly with that of signature of the investor in the bank's record otherwise the bank shall reject the SI registration request.
- Investors wishing to cancel / discontinue the SIP would need to give a written request to the Bank / AMC / RTA stating that they wish to discontinue the SIP and request the Bank not to deduct any further amount from their account atleast 15 working days prior to the next execution date. Forms shall be submitted at any of official point of acceptance of the transactions of the Fund.
- For Investors who have availed Standing Instructions facility with HDFC Bank Ltd. and wish to change their bank account details for any of their ongoing SIP, the following documents should be submitted atleast 30 days in advance of the next SIP debit date: (a) A request letter to discontinue such ongoing SIP transaction. (b) New SIP Auto Debit Facility Form with new bank account details

**In case of 3 successive rejections of ECS / NACH / Auto Debit / SI by the respective bank, the SIP shall be cancelled. In case, the reason mentioned in the feed from the respective bank for rejection of ECS / NACH / Auto Debit / SI request is "A/C Closed", the SIP will stand cancelled immediately on receipt of this feed.**

**The Trustee / AMC reserve the right to change / modify the terms of the SIP from time to time on prospective basis**

## Locations for SIP Auto Debit Facility via ECS (Debit Clearing) : As listed by RBI from time to time

\*\* Please note that for locations in Tamil nadu, the transactions will be processed through Chennai RECS.

## Please note that for Tumkur, the transactions will be processed through Bangalore RECS. Going forward for these locations refer to the MICR list published.

The cities in the list may be modified / updated / changed / removed at any time in future entirely at the discretion of BNP Paribas Mutual Fund without assigning any reason or prior notice. If any city is removed from the list, SIP instructions for investors in such cities via ECS (Debit) route will be discontinued without prior notice.

## COMMON CHECKLIST

**Please ensure that :**

- I. Please ensure that your Application Form is complete in all respect and signed by all applicants:
  - Name, Address and Contact Details are mentioned in full. • Status of First/Sole Applicant is correctly indicated. • Bank Account Details are entered completely and correctly. • Permanent Account Number (PAN) of all Applicants is mentioned irrespective of the amount of purchase and proof attached (if not already validated) OR PAN Exempt KYC Reference Number (PEKRN) in case of PAN exempt investment. • Please attach proof of KYC Compliance status if not already validated. • Appropriate Plan / Option is selected. • If units are applied by more than one applicant, Mode of Operation of account is indicated.
- II. Your investment Cheque / DD is drawn in favour of 'the Specific Scheme A/c. PAN' or 'the Specific Scheme A/c Investor Name' dated, signed and crossed 'A/c Payee only'. Application Number / Folio No. is mentioned on the reverse of the Cheque/DD.
- III. Documents as listed below are submitted along with the Application Form (as applicable to your specific case).

Documents	Companies / Trusts / Societies/ Partnership Firms / LLP / FIs*	FPI	NRI / OCI / PIO	Minor	Investments through Constituted Attorney
1. Board/ Committee Resolution / Authority Letter	✓				
2. List of Authorised Signatories with Specimen Signature(s) @	✓	✓			✓
3. Notarised Power of Attorney					✓
4. Account Debit Certificate in case payment is made by DD from NRE / FCNR A/c. where applicable			✓		
5. PAN Proof	✓	✓	✓	✓#	✓
6. KYC Acknowledgement Letter / Print out of KYC Compliance Status downloaded from KRA website / KIN number in case CKYC compliant	✓	✓	✓	✓#	✓
7. Proof of Date of Birth				✓	
8. Proof of Relationship with Guardian				✓	
9. PIO / OCI Card (as applicable)			✓		
10. Certificate of registration granted by Designated Depository Participant on behalf of SEBI		✓		✓	

@ Should be original or true copy by the Director / Trustee / Company Secretary / Authorised Signatory / Notary Public, as applicable.

\* For FIs, copy of SEBI registration certificate should be provided.

# If PAN/PEKRN/KYC proof of Minor is not available, PAN/PEKRN/KYC proof of Guardian should be provided.

## SIP AUTO DEBIT - CHECKLIST

- I. Please ensure that if you are an existing investor, you have quoted your Folio No. in the SIP Application Form.
- II. Investment Scheme / Plan / Option in which you wish to do systematic investments is clearly indicated in the SIP Application Form.
- III. The SIP Amount, the SIP Frequency, your preferred SIP Date and Period are clearly indicated in the SIP Application Form.
- IV. Your First SIP Cheque from the same bank from which you wish your Auto-Debits to happen is enclosed and the cheque details are clearly indicated in the SIP Auto Debit Facility Form.
- V. Your Bank Account Details are correctly and completely furnished including the 9 Digit MICR Code.
- VI. Cancelled Cheque leaf of the Bank Account mentioned in the SIP Auto Debit (ECS) Account to be attached.
- VII. In case of current account, please affix company's seal at columns "ECS DEBIT BANK ACCOUNT DETAILS (MANDATORY)" and AUTHORISATION OF BANK ACCOUNT HOLDER section.
- VIII. Authorisation of Bank Account is signed in the same manner as your signatures in Bank Records.

## MICRO INVESTMENT - CHECKLIST

**Documents required for Micro SIP applications (any one of the following):**

Ref. No.	Documents
I.	Voter Identity Card
II.	Driving License
III.	Government / Defence identification card
IV.	Passport
V.	Photo Ration Card
VI.	Photo Debit Card
VII.	Employee ID cards issued by companies registered with Registrar of Companies
VIII.	Photo Identification issued by Bank Managers of Scheduled Commercial Banks / Gazetted Officer / Elected Representatives to the Legislative Assembly / Parliament
IX.	ID card issued to employees of Scheduled Commercial / State / District Co-operative Banks.
X.	Senior Citizen / Freedom Fighter ID card issued by Government.
XI.	Cards issued by Universities / deemed Universities or institutes under statutes like ICAI, ICWA, ICSI.
XII.	Permanent Retirement Account No (PRAN) card issued to New Pension System (NPS) subscribers by CRA (NSDL).
XIII.	Any other photo ID card issued by Central Government / State Governments /Municipal authorities / Government organizations like ESIC / EPFO.

In addition to the photo identification documents prescribed above, a copy of the proof of address which is self attested and also attested by the ARN Holder will be required.

## CHECKLIST FOR "APPLICATIONS ON BEHALF OF MINOR"

I.	Birth certificate of the minor, or School leaving certificate / Mark sheet issued by Higher Secondary Board of respective states, ICSE, CBSE etc., or Passport of the minor, or Any other suitable proof evidencing the date of birth of the minor / relationship.
II.	Copy of PAN of Guardian.
III.	KYC acknowledgement of Guardian.

Name of the entity

Type of address given at KRA  Residential or Business  Residential  Business  Registered Office

PAN  Date of Incorporation   /   /

City of Incorporation

Country of Incorporation

Please tick the applicable tax resident declaration-

1. Is "Entity" a tax resident of any country other than India  Yes  No  
(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below)

Country	Tax Identification Number ^	Identification Type (TIN ro Other, please specify)

^ In case Tax Identification Number is not available, kindly provide its functional equivalent<sup>5</sup>

In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Identification Number or GIIN, etc.

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

Please refer to para 3(vii) Exemption code for U.S. person under Part D of FATCA Instructions & Definitions.

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

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

1. We are a  
Financial Institution<sup>3</sup>   
or  
Direct reporting NFE<sup>4</sup>   
(Please tick as appropriate)

**Global Intermediary Identification Number (GIIN)** \_\_\_\_\_  
Note: If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below  
Name of sponsoring entity \_\_\_\_\_

**GIIN not available (Please tick as appropriate)**  **Applied for**  
If the entity is a financial institution,  
 Not required to apply for - please specify 2 digits sub-category<sup>10</sup>   
 Not obtained - Non-participating FI

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

1.	Is the Entity a publicly traded company (that is, a company whose shares are regularly traded on an established securities market)	No <input type="checkbox"/>	Yes <input type="checkbox"/> (If yes, please specify any one stock exchange on which the stock is regularly traded) Name of stock exchange _____
2.	Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market)	No <input type="checkbox"/>	Yes <input type="checkbox"/> (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded) Name of listed company _____ Nature of relation <input type="checkbox"/> Subsidiary of the Listed Company or <input type="checkbox"/> Controlled by a Listed Company Name of stock exchange _____
3.	Is the Entity an active <sup>1</sup> non-financial Entity (NFE)	No <input type="checkbox"/>	Yes <input type="checkbox"/> Name of Business _____ Please specify the sub-category of Active NFE <input type="text"/> <input type="text"/> (Mention code - refer 2c of Part D)
4.	Is the Entity a passive <sup>2</sup> NFE	No <input type="checkbox"/>	Yes <input type="checkbox"/> (If yes, please fill UBO declaration in the next section) Name of Business _____

<sup>1</sup> Refer 2 of Part D | <sup>2</sup> Refer 3(ii) of Part D | <sup>3</sup> Refer 1(i) of Part D | <sup>4</sup> Refer 3(vi) of Part D |

**# If passive NFE, please provide below additional details for each of Controlling person. (Please attach additional sheets if necessary)**

Name and PAN / Any other Identification Number (PAN, Adhar, Passport, Election ID, Govt. ID, Driving Licence, NREGA Job Card, Others) City of Birth - County of Birth	Occupation Type - Service, Business, Others Nationality Father's Name - Mandatory if PAN is not available	DOB - Date of Birth Gender - Male, Female, Other
1. Name _____ PAN _____ City of Birth _____ Country of Birth _____	Occupation Type _____ Nationality _____ Father's Name _____	DOB <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Other
2. Name _____ PAN _____ City of Birth _____ Country of Birth _____	Occupation Type _____ Nationality _____ Father's Name _____	DOB <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Other
3. Name _____ PAN _____ City of Birth _____ Country of Birth _____	Occupation Type _____ Nationality _____ Father's Name _____	DOB <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Other

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

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

^ In case Tax identification Number is not available, kindly provide functional equivalent

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

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

If any controlling person of the entity is a US citizen or resident or green card holder, please include United States in the foreign country information field along with the US Tax Identification Number.

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

**PART C : CERTIFICATION**

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

Name

Designation

Date

Signature	Signature	Signature
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**PART D : FATCA INSTRUCTIONS & DEFINITIONS**

(Note : The Guidance Note / notification issued by the CBDT shall prevail in respect to Interpretation of the terms specified in the form)

- 1(i) **Financial Institution (FI)** - The term FI means any financial institution that is a Depository Institution, Custodial Institution, Investment Entity or Specified Insurance company, as defined.
- 1(ii) **Depository institution:** is an entity that accepts deposits in the ordinary course of banking or similar business.
- 1(iii) **Custodial institution** is an entity that holds as a substantial portion of its business, holds financial assets for the account of others and where its income attributable to holding financial assets and related financial services equals or exceeds 20 percent of the entity's gross income during the shorter of:
  - (i) The three financial years preceding the year in which determination is made; or
  - (ii) The period during which the entity has been in existence, whichever is less.
- 1(iv) **Investment entity** is any entity:
  - (a) The primarily conducts a business or operates for or on behalf of a customer for any of the following activities or operations for or on behalf of a customer
    - (i) Trading in money market instruments (cheques, bills, certificates of deposit, derivatives etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading; or Individual and collective portfolio management; or
    - (ii) Investing, administering or managing funds, money or financial asset or money on behalf of other persons;
  - (b) The gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets, if the entity is managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity described above. An entity is treated as primarily conducting as a business one or more of the 3 activities described above, or an entity's gross income is primarily attributable to investing, reinvesting, or trading in financial assets of the entity's gross income attributable to the relevant activities equals or exceeds 50 percent of the entity's gross income during the shorter of:
    - (i) The three-year period ending on 31 March of the year preceding the year in which the determination is made; or
    - (ii) The period during which the entity has been in existence.

The term "Investment Entity" does not include an entity that is an active non-financial entity as per codes 04, 05, 06 and 07 - (refer point 2c.)

- 1(v) **Specified Insurance Company:** Entity that is an insurance company (or the holding company of an insurance company) that issues, or is obligated to make payments with respect to, a Cash Value Insurance Contracts or an Annuity Contract.
- 1(vi) **FI not required to apply for GIIN:** Refer Rule 114F(5) of Income Tax Rules, 1962 for the conditions to be satisfied as "non-reporting financial institution and Guidance issued by CBDT in this regard"
  - A. Reasons why FI not required to apply for GIIN:

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

- 2 **Active Non-financial entity (NFE)** : (any one of the following): Refer Explanation (A) to 114F(6) of Income Tax Rules, 1962 for details.

Code	Sub-Category
01	Less than 50 percent of the NFE's gross income for the preceding financial year is passive income and less than 50 percent of the assets held by the NFE during the preceding financial year are assets that produce or are held for the production of passive income;
02	The stock of the entity is regularly traded on an established securities market or the non-financial entity is a related entity of an entity, the stock of which is regularly traded on an established securities market
03	The NFE is a Governmental Entity, an International Organization, a Central Bank, or an entity wholly owned by one or more of the foregoing;

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

### 3. Other definitions

(i) Related Entity

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

(ii) Passive NFE

The term passive NFE means

- (i) any non-financial entity which is not an active non-financial entity; or
- (ii) an investment entity defined in clause 1(iv)(b) of these instructions
- (iii) a withholding foreign partnership or withholding foreign trust;

(iii) Passive Income

The term passive income includes income by way of :

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

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

(iv) Controlling persons

Controlling persons are natural persons who exercise control over an entity and includes a beneficial owner under sub-rule (3) of rule 9 of the Prevention of Money-Laundering (Maintenance Records) Rules, 2005.

In determining the beneficial owner, the procedure specified in the following circular as amended from time to time shall be applied, namely:

- (i) DBOD AML. BC.No.71/14.01.001/2012-13, issued on the 18th January, 2013 by the Reserve Bank of India; or
- (ii) CIR/MIRSD/2/2013, issued on the 24th January, 2013 by the Securities and Exchange Board of India; or
- (iii) IRDA/SDD/GDL/CIR019/02/2013, issued on the 4th February, 2013 by the Insurance Regulatory and Development Authority.

In the case of a trust, the controlling person means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, the said expression means the person in equivalent or similar position.

(A) Controlling Person Type:

Code	Sub-Category
01	CP of legal person-ownership
02	CP of legal person-other means
03	CP of legal person-senior managing official
04	CP of legal arrangement-trust-settlor
05	CP of legal arrangement-trust-trustee
06	CP of legal arrangement-trust-protector
07	CP of legal arrangement-trust-beneficiary
08	CP of legal arrangement-trust-other
09	CP of legal arrangement-other-settlor equivalent

Code	Sub-Category
10	CP of legal arrangement-other-trustee equivalent
11	CP of legal arrangement-other-protector equivalent
12	CP of legal arrangement-other-beneficiary equivalent
13	CP of legal arrangement-other-other equivalent
14	Unknown

- (v) Specified U.S. person - A U.S. person other than the following:
- (i) a corporation the stock of which is regularly traded on one or more established securities markets;
  - (ii) any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described in clause (i);
  - (iii) the United States or any wholly owned agency or instrumentality thereof;
  - (iv) any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing;
  - (v) any organization exempt from taxation under section 501(a) of the U.S. Internal Revenue Code or an Individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code;
  - (vi) any bank as defined in Section 581 of the U.S. Internal Revenue Code;
  - (vii) any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code;
  - (viii) any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64)
  - (ix) any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code;
  - (x) any trust that is exempt from tax under section 664(c) of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code;
  - (xi) a dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards and options) that is registered as such under the laws of the United States or any State;
  - (xii) a broker as defined in section 6045(c) of the U.S. Internal Revenue Code; or
  - (xiii) any tax-exempt trust under a plan that is described in section 403(b) or section 457(g) of the U.S. Internal Revenue Code.
- (vi) Direct reporting NFE  
A direct reporting NFE means that elects to report information about its direct or indirect substantial U.S. owners to the IRS.
- (vii) Exemption code for U.S. persons (Refer 114F(9) of Income Tax Rules, 1962 for details

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



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## GENERAL INFORMATION & INSTRUCTIONS000

As per SEBI Master Circular No. CIR/ISD/AML/3/2010 dated December 31, 2010 regarding Client Due Diligence policy, related circulars on anti-money laundering and SEBI circular No. CIR/MIRSD/2/2013 dated January 24, 2013, non- individuals and trusts are required to provide details of controlling persons [CP] / ultimate beneficiary owner [UBO] and submit appropriate proof of identity of such CPs / UBOs. The beneficial owner has been defined in the circular as the natural person or persons, who ultimately own, control or influence a client and / or persons on whose behalf a transaction is being conducted, and includes a person who exercises ultimate effective control over a legal person or arrangement.

### 1. Ultimate Beneficiary Owner [UBO]:

#### A. For Investors other than individuals or trusts:

- (i) The identity of the natural person, who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest. Controlling ownership interest means ownership of / entitlement to:
  - more than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;
  - more than 15% of the capital or profits of the juridical person, where the juridical person is a partnership;
  - more than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.
- (ii) In cases where there exists doubt under clause (i) above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity of the natural person exercising control over the juridical person through other means like through voting rights, agreement, arrangements or in any other manner.
- (iii) Where no natural person is identified under clauses (i) or (ii) above, the identity of the relevant natural person who holds the position of senior managing official.

#### B. For Investors which is a trust:

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

#### C. Exemption in case of listed companies / foreign investors

The client or the owner of the controlling interest is a company listed on a stock exchange, or is a majority-owned subsidiary of such a company, it is not necessary to identify and verify the identity of any shareholder or beneficial owner of such companies. Intermediaries dealing with foreign investors; viz., Foreign Institutional Investors, Sub Accounts and Qualified Foreign Investors, may be guided by the clarifications issued vide SEBI circular CIR/MIRSD/11/2012 dated September 5, 2012, for the purpose of identification of beneficial ownership of the client

### 2. KYC requirements

Beneficial Owner(s) is / are required to comply with the prescribed KYC process as stipulated by SEBI from time to time with any one of the KRA & submit the same to AMC. KYC acknowledgement proof is to be submitted for all the listed Beneficial Owner(s).

### 3. Controlling Person Type [CP / UBO] Codes:

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



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 E-mail: [customer.care@bnpparibasmf.in](mailto:customer.care@bnpparibasmf.in)





**THIRD PARTY PAYMENT DECLARATION (Should be enclosed with each payment)**

Payments by : Parent / Grand-Parents/Related Persons Other than the Registered Guardian  
 Payments to : To a Minor Folio only; In consideration of: Natural love and affection or as gift only  
 Maximum Value : Not Exceeding ₹ 50,000/- (each regular purchase or per SIP installment)

**Application and Payment Details (All details below are Mandatory, including relationship, PAN & KYC):**

Folio No.											Application Form No.																		
Beneficial Minor's Name																													
Investment Amount in ₹																													
Payment Cheque No.																					Dated	D	D	M	M	Y	Y	Y	Y
Cheque Drawn on Bank																													
Cheque Drawn on A/c. No.																													

**Declaration and Signatures:**

	Parent / Grand-Parents / Related Persons Other than the Registered Guardian	Guardian of Minor, as registered in the Folio																		
Name																				
Relationship with Minor																				
Income Tax PAN																				
KYC Acknowledgement	<input type="checkbox"/> Attached (Mandatory for any amount)										<input type="checkbox"/> Attached (Mandatory for any amount)									
Declaration	I hereby declare and confirm the minor stated above is the beneficial owner of the investment details mentioned above and I am providing the funds for these investments on account of my natural love and affection or as gift from my bank account only.										I confirm that I am the legal guardian of the Minor, registered in folio and have no objection to receiving these funds on behalf of the Minor.									
Signature																				
Contact Number																				

**BANKER'S CERTIFICATE in case of Demand Draft / Pay Order / Any Other pre-funded instrument**

To whomsoever it may concern, we hereby confirm the following details regarding the instrument issued by us:

**Instrument Details:**

Instrument Type	<input type="checkbox"/> Demand Draft	<input type="checkbox"/> Pay Order / Banker's Cheque																	
Instrument Number											Date	D	D	M	M	Y	Y	Y	Y
Investment Amount in ₹																			
In Favour of / Favouring																			
Payable At																			

**Details of Bank Account Debited for issuing the instrument:**

Bank Account No.																					Account Type										
Account Holder Details											Name										Income Tax PAN										
1																															
2																															
3																															

**If the issuing Bank branch is outside India:**

We further declare that we are registered as a Bank / branch as mentioned below:

Under the Regulator	Name of the Regulator																	
In the Country	Country Name																	
Registration No.	Registration Number																	

We confirm having carried out necessary Customer Due Diligence with regard to the Beneficiary and to the source of the funds received from him, as per the standards of Anti-Money Laundering laws and other applicable relevant laws in our country.

**Branch Manager/ Declarant(s)**

Signature \_\_\_\_\_

Name \_\_\_\_\_

Address \_\_\_\_\_ Bank & Branch Seal \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Postal Code \_\_\_\_\_

Country \_\_\_\_\_ Contact Number \_\_\_\_\_

**Important Note:** It is clarified that the bankers certificate suggested above is recommendatory in nature, as there may be existing Bank Letters / Certificates / Declarations, which will confirm to the spirit of the requirements, if all required details are mentioned in the certificate.

**CUSTODIAN ON BEHALF OF AN FII OR CLIENT (Should be enclosed with each Third party payment. See Instruction bv) on page 19)**

To whomsoever it may concern

**Application and Payment Details (All details below are Mandatory)**

Folio No.		Application Form No.	
Beneficial Applicant / Investor Name			
Investment Amount in ₹			
Payment Mode	<input type="checkbox"/> Cheque	<input type="checkbox"/> Fund Transfer	<input type="checkbox"/> RTGS <input type="checkbox"/> NEFT
Payment Cheque / UTR No.		Dated	D D M M Y Y Y Y
Payment from Bank			
Payment from A/c. No.			

We further declare that we are registered as a Custodian with SEBI under Registration No. \_\_\_\_\_

We confirm the beneficial owner as stated above and that this payment is issued by us in our capacity to the Applicant / Investor. The source of this payment is from funds provided to us by the Applicant / Investor.

Signature of Declarant(s) : \_\_\_\_\_

Name of Declarant(s) : \_\_\_\_\_

Income Tax PAN : \_\_\_\_\_

Address of Declarant(s) : \_\_\_\_\_

City : \_\_\_\_\_ State : \_\_\_\_\_

Postal Code : \_\_\_\_\_ Country : \_\_\_\_\_

**PAYMENT BY EMPLOYER ON BEHALF OF EMPLOYEE (Under Systematic Investment Plans or Lump sum / one-time subscription, through Payroll deductions or deductions out of expense reimbursements. Should be enclosed with each Third party payment. See Instruction bv) on page 19)**

To whomsoever it may concern

We hereby declare that the Applicant Form No/s. \_\_\_\_\_ for subscription of units in \_\_\_\_\_

\_\_\_\_\_ (Name of the Scheme / Plan / Option) is accompanied by

Cheque No. \_\_\_\_\_ Dated \_\_\_\_\_

Drawn on \_\_\_\_\_ (Name of the Bank / Branch).

We confirm that the beneficial owner(s) of the investment in these units is / are \_\_\_\_\_

\_\_\_\_\_ (Name of the Employee/s, with employee number/s).

who is / are my / our employee/s and am providing the funds for these investments through the payroll deduction or deductions out of expense reimbursements.

Signature of Declarant(s) : \_\_\_\_\_

Name of Declarant(s) : \_\_\_\_\_

Income Tax PAN : \_\_\_\_\_ KYC Acknowledgement attached (Mandatory for any amount)

Address of Declarant(s) : \_\_\_\_\_

City : \_\_\_\_\_ State : \_\_\_\_\_

Postal Code : \_\_\_\_\_ Country : \_\_\_\_\_

Signature of Beneficiary (ies) : \_\_\_\_\_

Signature of Beneficiary (ies) : \_\_\_\_\_





**BNP PARIBAS  
MUTUAL FUND**

**BNP Paribas Asset Management India Private Limited**

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