

# KEY INFORMATION MEMORANDUM (KIM) CUM APPLICATION FORM



## BOI AXA CAPITAL PROTECTION ORIENTED FUND – SERIES 5 (A 38 months Close-ended Capital Protection Oriented Scheme)

Offer of Units of ₹ 10 each for cash (at par) during the New Fund Offer

**RATED AS – Provisional [ICRA]AAAmfs (SO) by ICRA<sup>^</sup>**

<b>New Fund Offer Opens on:</b>	<b>October 6, 2015</b>
<b>New Fund Offer Closes on:</b>	<b>October 20, 2015</b>
<b>Scheme Re-opens on:</b>	<b>N.A.*</b>

\*As the Scheme is a close ended scheme, it will not provide redemption facility until the Maturity Date/ Final Redemption Date from the Date of Allotment including the Date of Allotment. The Units of the Scheme will be listed on the National Stock Exchange of India Ltd (NSE) ##. Investor can purchase/ sell Units on a continuous basis on the Stock Exchange(s) on which the Units are listed.

The subscription list may be closed earlier by giving at least one day's notice in one daily newspaper. The Trustee reserves the right to extend the closing date of the New Fund Offer Period, subject to the condition that the subscription list of the New Fund Offer Period shall not be kept open for more than 15 days.

<b>This product is suitable for investors who are seeking*:</b> <ul style="list-style-type: none"> <li>Capital Protection at Maturity and Capital Appreciation over medium term</li> <li>Investment in Debt and Money Market Securities and Equity and Equity related instruments</li> </ul>	<b>Riskometer</b> <p>Investors understand that their principal will be at moderately low risk</p>
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**\*Investor should consult their financial advisor if they are not clear about the suitability of the product.**

Addresses, Website of the entities:

Mutual Fund	Asset Management Company	Trustee Company
BOI AXA Mutual Fund 51, 5th Floor, Kalpataru Synergy, Vakola, Santacruz (East), Mumbai – 400055. www.boiaxa-im.com	BOI AXA Investment Managers Private Limited 51, 5th Floor, Kalpataru Synergy, Vakola, Santacruz (East), Mumbai – 400055. www.boiaxa-im.com	BOI AXA Trustee Services Private Limited 51, 5th Floor, Kalpataru Synergy, Vakola, Santacruz (East), Mumbai – 400055. www.boiaxa-im.com

This Key Information Memorandum (KIM) sets forth the information, which a prospective investor ought to know before investing. **For further details of the scheme(s)/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 Documents and Statement of Additional Information available free of cost at any of the Investor Service Centers or distributors or from the website [www.boiaxa-im.com](http://www.boiaxa-im.com).**

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

**The Mutual Fund/AMC and its empanelled broker(s) has not given and shall not give any indicative portfolio and indicative yield in any communication, in any manner whatsoever. Investors are advised not to rely on any communication regarding indicative yield/portfolio with regard to the scheme.**

### NSE Disclaimer:

It is to be distinctly understood that the permission given by National Stock Exchange of India Limited should not in any way be deemed or construed that the Scheme Information Document has been cleared or approved by National Stock Exchange of India Limited nor does it certify the correctness or completeness of any of the contents of the Scheme Information Document. The investors are advised to refer to the Scheme Information Document for the full text of the 'Disclaimer Clause of National Stock Exchange of India Limited'.

### <sup>^</sup>ICRA Disclaimer–

ICRA vide its letter Ref No. 2015-16/MUMR/0582 dated September 22, 2015, has rated this Scheme as 'Provisional [ICRA]AAAmfs(SO)!' (pronounced as Provisional ICRA triple A m f s Structured obligation). The rating indicates highest degree of safety regarding timely receipt of payments from the investments that the Scheme has made. The conditional rating is subject to the Scheme receiving the regulatory approvals and fulfilment of all conditions specified in the structural provisions by ICRA. The ratings should, however, not be construed as an indication of expected returns, prospective performance of the Mutual Fund Scheme, NAV or of volatility in its returns. ICRA reserves the right to suspend, withdraw or revise the above rating at any time on the basis of new information or unavailability of information or such other circumstances, which ICRA believes, may have an impact on the rating assigned to the Scheme. The rating, as aforesaid, however, should not be treated as a recommendation to buy, sell or hold the units issued by the Scheme. The rating is restricted to BOI AXA Capital Protection Oriented Fund – Series 5 only. ICRA does not assume any responsibility on its part, for any liability, that may arise consequent to the AMC/ Mutual Fund not complying with any guidelines or directives issued by SEBI or any other mutual fund regulatory body.

<b>Investment Objective</b>	<p>The investment objective of the Scheme is to seek capital protection on maturity by investing in fixed income securities maturing on or before the tenure of the scheme and seeking capital appreciation by investing in equity and equity related instruments.</p> <p>However, there is no assurance that the investment objective of the Scheme will be realized and the Scheme does not assure or guarantee any returns. The Scheme is "oriented towards protection of capital" and not "with guaranteed returns". Further, the orientation towards protection of the capital originates from the portfolio structure of the scheme and not from any bank guarantee, insurance cover etc.</p>		
<b>Duration / Maturity</b>	<p>The scheme will have tenure of 38 months from and including the date of allotment.</p> <p>The Units of the Scheme shall be fully redeemed at the end of the respective tenure. If the maturity date is not a Business Day, the immediately succeeding Business Day will be considered as the maturity date. On the maturity date, all Units under the Schemes will be compulsorily, and without any further act by the Unit Holders, redeemed at the Applicable NAV of that day.</p> <p>For the Units held in electronic form, the Units will be extinguished with the Depository and the redemption amount will be paid to the Unit Holders on the maturity date, at the prevailing NAV on that date.</p>		
<b>Asset Allocation Pattern of the Scheme</b>	<b>Instruments</b>	<b>Indicative allocation (% of total assets) (Minimum – Maximum)</b>	<b>Risk Profile (High/ Medium/ Low)</b>
	Debt and Money Market Instruments	82%- 100%	Low to Medium
	Equity and Equity related instruments	0%- 18%	High
	<ul style="list-style-type: none"> <li>The Scheme does not intend to invest in Securitized Debt (including Pass Through Certificates), Debt Derivatives, Repo/ Reverse Repo in corporate debt securities, overseas/ foreign securities.</li> <li>The Scheme does not intend to engage in stock/ securities lending and short selling or participate in credit default swap transactions.</li> <li>The Scheme is proposed to make investments in debt securities maturing on or before the maturity of the Scheme. In accordance with SEBI (MF) Regulations and circulars thereto, the debt component of the portfolio will have the highest investment grade rating (presently, AAA and A1+).</li> <li>Pending deployment of the corpus of the Scheme in terms of investment objective, the Fund may invest the corpus of the Scheme in short term deposits in accordance with the guidelines issued by SEBI.</li> <li>Investment in Equity Derivative instruments will not exceed 20% of the net assets of the Scheme. The scheme will only invest in exchange traded options and futures. The Scheme may use equity derivatives for such purposes as maybe permitted by the Regulations, including for the purpose of hedging and portfolio balancing, based on the opportunities available and subject to guidelines issued by SEBI from time to time.</li> <li>The cumulative gross exposure to equity, debt and derivative positions will not exceed 100% of the net assets of the Scheme in accordance with Circular No. Cir/IMD/DF/ 11/2010 dated August 18, 2010 as may be amended from time to time.</li> </ul>		
<b>Sectors in which the Scheme shall not invest</b>	<p>The scheme shall not invest in instruments issued by companies in the Real Estate, Construction and Gems &amp; Jewelry sectors. Depending upon the changes in the investment environment, the AMC may consider other Sectors/ companies for applying such restrictions from time to time.</p>		
<b>Intended Portfolio allocation (in %age)</b>	<p>The Scheme shall invest in various securities/ instruments as mentioned below with the ratings mentioned against the type of instrument. As per SEBI circular no. Cir/IMD/DF/12/2011 dated August 1, 2011, the Scheme is allowed to invest within a range of 5% of the intended allocation (floor and cap) against each sub asset class/ credit rating.</p>		
		<b>Credit rating (%) AAA</b>	<b>Credit rating (%) A1+</b>
	Certificates of Deposits (CD)	-	0-15%
	Commercial Papers (CP)	-	0-15%
	Non – Convertible Debentures (NCDs) / Bonds	60-100%	-
	Cash & Cash Equivalent like CBLO	-	0-30%
	Government Securities & Treasury Bills	-	0-30%
	<p><b>Notes:</b></p> <p>a. All investments shall be made based on rating prevalent at the time of investment. Further, in case of an instrument which has dual rating, the most conservative publicly available rating would be considered.</p> <p>b. The Scheme shall not invest in unrated instruments. For this purpose, unrated debt securities shall exclude instruments such as Government Securities, T-bills, CBLO, short term deposit and such similar instruments to which rating is not applicable.</p> <p>There would be no variation between the intended portfolio and the final portfolio, subject to the following:</p> <p>(i) Positive variation in investment toward higher credit rating in the same instrument may be allowed.</p> <p>(ii) The order of risk-reward in instrument categories could be considered as Government Securities /CD being of lower risk compared to CP/NCDs. The Investment Manager can deploy funds in CDs (with highest rating category i.e. A1+) or Collateralised Borrowing and Lending Obligation (CBLO) or Treasury bill (T-bills), in case CPs/NCDs/ Bonds, are not available or the Investment Manager is of the view that the risk-reward is not in the best interest of the Unit holders. Such deviation may continue till suitable NCDs, CPs of desired credit quality are not available.</p> <p>(iii) At the time of building up the portfolio post NFO and towards the maturity of the Scheme, the Investment Manager may deploy (upto 100 %) the funds in cash/ cash equivalents/ in units of money market/ liquid Scheme of BOI AXA Mutual Fund and/ any other mutual Fund in terms of applicable regulations, for temporary period.</p> <p>(iv) Further, in the event of any deviations below the minimum limits or beyond the maximum limits as specified in the above table and subject to the notes mentioned hereinabove, a review and rebalancing of the asset allocation will be called for by the Investment Manager within 30 days from the date of the said deviation. Such changes in the investment pattern will be for a short term and for defensive considerations and the intention being at all times to seek to protect the interests of the Unit Holders and may be caused due to reason such as non – availability of the appropriate assets as mentioned in the above asset allocation matrix or due to perceived weakness in the credit worthiness of the issuer of the assets which are held in the portfolio during the tenor of the Scheme.</p> <p>(v) Further, the above allocation may vary during the duration of the Scheme. Some of these instances are: (i) coupon inflow; (ii) the instrument is called or bought back by the issuer (iii) in anticipation of any adverse credit event etc. In case of such deviations, the Scheme may invest in Bank CDs having highest ratings (i.e. A1+ or equivalent) / CBLOs / Government Securities / TBills. Deviation, if any, due to such instances, may continue till maturity, if suitable NCDs of desired credit quality are not available.</p> <p><b>Reporting:</b> After the closure of NFO, the AMC will report in the next meeting of AMC/ Trustees, the publicized percentage allocation and the final portfolio.</p>		
<b>Types of instruments in which the Scheme shall invest</b>	<p>Please refer Section 'D' "Where Will The Scheme Invest" given in SID for further details.</p>		

Credit Evaluation Policy	<p>In-depth credit evaluation of issuers are undertaken focusing on (but not be limited to) the following:</p> <ol style="list-style-type: none"> <li>Business Risk assessment including economic scenario</li> <li>Industry analysis in terms of the competitive dynamics of the market in which the company / issuer operates</li> <li>Detailed financial analysis of company / issuer based on key financial ratios</li> <li>Management quality</li> </ol>
Risk Profile of the Scheme	<p>Mutual Fund Units involve investment risks including the possible loss of principal. Please read the Scheme Information Document carefully for details on risk factors before investment. Scheme Specific Risk Factors are summarized below:</p> <p><b>I Standard Risk Factors</b></p> <ol style="list-style-type: none"> <li>Investment in Mutual Fund Units involves investment risks such as trading volumes, settlement risk, liquidity risk, default risk including the possible loss of principal.</li> <li>As the price / value / interest rates of the securities in which the Scheme invests fluctuates, the value of your investment in the Scheme may go up or down. As with any investment in stocks, shares and securities, the NAV of the Units under the Scheme can go up or down, depending on the factors and forces affecting the capital markets. The various factors which impact the value of the scheme's investments include, but are not limited to, fluctuations in the bond markets, fluctuations in interest rates, prevailing political and economic environment, changes in government policy, factors specific to the issuer of the securities, tax laws, liquidity of the underlying instruments, settlement periods, trading volumes etc.</li> <li>Past performance of the Sponsor/AMC/Mutual Fund does not guarantee future performance of the Scheme.</li> <li>BOI AXA Capital Protection Oriented Fund –Series 5 is only the name of the Scheme and does not in any manner indicate either the quality of the Scheme or its future prospects and returns.</li> <li>Although it is intended to seek capital protection on maturity by investing in fixed income securities maturing on or before the tenure of the scheme and seeking capital appreciation by investing in equity and equity related instruments, investors may note that AMC/Fund Manager's investment decisions may not be always profitable. Further, the performance of the Scheme may not always match the market performance.</li> <li>The Sponsor is not responsible or liable for any loss or shortfall in Scheme's corpus arising or resulting from the operation of the Scheme, beyond the initial contribution of ₹ 1,00,000/- (Rupees One Lakh only) made by it to the Fund at the time of settling the Mutual Fund. The Associates of the Sponsor are not responsible or liable for any loss or shortfall resulting from the operation of the Scheme.</li> <li>The present Scheme is not a guaranteed or assured return scheme and investors in the Scheme are not being offered any guaranteed / assured return.</li> </ol> <p><b>II Scheme Specific Risk Factors &amp; Special Considerations</b></p> <p><b>1. Risk associated with investments in Bonds / Fixed Income Instruments</b></p> <ol style="list-style-type: none"> <li>Investment decisions made by the Investment Manager may not always be profitable.</li> <li><b>Interest Rate Risk:</b> As with all debt securities, changes in interest rates will affect the Scheme's Net Asset Value as the prices of securities generally increase as interest rates decline and generally decrease as interest rates rise. Prices of long term securities generally fluctuate more in response to interest rate changes than of shorter-term securities. Interest rate movements in the Indian debt markets can be volatile leading to the possibility of large price movements up or down in debt and money market securities and thereby to possibly large movements in the NAV.  In the case of floating rate instruments, an additional risk could rise because of the changes in the spreads of floating rate instruments. With the increase in the spread of floating rate instruments the prices can fall and with the contraction in the spreads of the floating rate instruments the prices can rise, other parameters being unchanged. Moreover, floating rate instruments which have periodical interest rate reset carry lower interest rate risk compared to a fixed rate debt instrument. However, in a falling interest rate scenario the returns on floating rate debt instruments may not be better than those on fixed rate debt instruments.</li> <li><b>Liquidity or Marketability Risk:</b> This refers to the ease at which a security can be sold at or near its true value. The primary measure of liquidity risk is the spread between the quoted bid price and the offer price quoted by a dealer. Liquidity risk is characteristic of the Indian fixed income market. Trading volumes, settlement periods and transfer procedures may restrict the liquidity of some of these investments. Different segments of the Indian financial markets have different settlement periods, and such periods may be extended significantly by unforeseen circumstances. The length of time for settlement may affect the Scheme in the event (a) it has to meet an inordinately large number of redemption or (b) of restructuring of the Scheme's investment portfolio. Securities that are unlisted also carry a higher liquidity risk compared to listed securities.</li> <li><b>Credit Risk:</b> Credit risk or default risk refers to the risk that an issuer of a fixed income security may default (i.e., will be unable to make timely principal and interest payments on the security). However, even if no default occurs, the price of a security may go down because the credit rating of an issuer goes down. It must, however, be noted that where the Scheme has invested in Government Securities, there is no credit risk to that extent. However, corporate debt carries a higher risk and trade at a level higher than corresponding G-secs.  Normally, the value of a fixed income security will fluctuate depending upon the actual changes in the perceived level of credit risk as well as the actual event of default. Different types of securities in which the Scheme is invested carry different levels and types of risk. The credit risk in respect of Scheme assets portfolio thus may go up or down basis its investment pattern.</li> <li><b>Re-investment Risk:</b> This risk refers to the interest rate levels at which cash flows received from the securities in the Scheme or from maturities in the Scheme are re-invested. The additional income from re-investment is the "interest on interest" component. The risk would arise if the above cash flows would have to be re-invested at lower interest rates than originally assumed as per the calculation of the YTM.</li> </ol> <p><b>2. Risk associated with investments in Equity and Equity Related Instruments</b></p> <ul style="list-style-type: none"> <li>Equity and equity related securities are volatile and carry risk of price fluctuations on an on-going basis. The liquidity of investments made in the Scheme may be restricted by trading volumes and settlement periods. Settlement periods may be extended significantly by unforeseen circumstances. The inability of the Scheme to make intended securities purchases due to settlement problems could cause the Scheme to miss certain investment opportunities. Similarly, the inability to sell securities held in the Scheme's portfolio may result, at times, in potential losses to the Scheme, should there be a subsequent decline in the value of securities held in the Scheme's portfolio.</li> <li>The liquidity and valuation of the Scheme's investments due to its holdings of unlisted securities may be affected if they have to be sold prior to the target date of disinvestment.</li> </ul> <p><b>3. Common risks associated with investing in Fixed Income Securities / Bonds / Equities and Equity Related Securities</b></p> <ul style="list-style-type: none"> <li><b>Counterparty Risk:</b> This is the risk of failure of counterparty to the transaction to deliver securities against consideration received or to pay consideration against securities delivered, in full or in part or as per the agreed specification. There could be losses to the scheme in case of counterparty default.</li> </ul>

- **Settlement Risk:** This is the risk of non-delivery/ delay of instruments or payment on settlement day. This non- settlement or delay may lead to opportunity losses. The inability of the Scheme to make purchases in intended securities due to settlement problems could cause the Scheme to miss certain investment opportunities. Fixed income securities relatively run higher settlement risk, which can adversely affect the ability of the fund house to swiftly execute trading strategies which can lead to adverse movements in NAV.
  - **Performance Risk:** Performance of the Scheme may be impacted with changes in factors which affect the capital market and in particular the debt market.
  - **Selection Risk:** The risk that a security chosen will underperform the market for reasons that cannot be anticipated.
  - **Timing risk:** The risk that an investor takes when trying to buy or sell a stock based on future price predictions. Timing risk explains the potential for missing out on beneficial movements in price due to an error in timing. This could cause harm to the value of an investor's portfolio because of purchasing too high or selling too low.
  - **Concentration risk:** This is the risk arising from over exposure to few securities/issuers/sectors.
  - **Legislative risk:** The risk that a change in the tax code or law could affect the value of taxable or tax-exempt income.
- 4. Risk associated with investments in Derivatives**
- Derivative products are leveraged instruments and can provide disproportionate gains as well as disproportionate losses to the investor. Execution of such strategies depends upon the ability to identify such opportunities as well as to manage risks arising thereby. Identification and execution of the strategies to be pursued involve uncertainty and investment decisions may not always be profitable. No assurance can be given that the Fund Manager will be able to identify or execute such strategies.
- Derivative investments carry certain risks and issues arising out of such dealings. The risks associated with the use of derivatives – either for hedging or for portfolio balancing - are different from, and possibly greater than, the risks associated with investing directly securities and other traditional investments.
- Certain other risks, one or more, that may arise consequent to use of derivatives are: risk of mispricing or improper valuation of derivatives, credit risk arising out of counterparty failing to honour its commitment, liquidity risk where the derivatives cannot be sold at prices that reflect the underlying assets, rates and indices, and price risk where the market price may move in adverse fashion.
- Derivatives require the maintenance of adequate controls to monitor the transactions entered into, the ability to assess the risk that a derivative adds to the portfolio and the ability to manage the risks as a result of the possible failure of the counterparty to comply with the terms of the derivative contract.
- Risk of investing in long dated options:**
- One of the possible strategies for the scheme is investing the entire allocation of equity and equity related portion of the asset allocation into long dated index options with maturity of the options as near to the scheme's maturity as possible. Since long dated Nifty Index options with maturity of more than one year are presently available only at semi- annual intervals, there is a possibility of the options expiring prior to the maturity of the scheme. In such a case, the returns of the equity portion of the scheme on maturity may not coincide with the returns of the equity market on maturity. Further, if the options expire out of money and the equity market rallies after the expiry of the option, the scheme may face a loss to the extent of the premium paid for options and not provide positive returns in line with the market.
- Risk of investing in multiple short dated options:**
- One of the possible strategies for the scheme is investing part or the entire allocation of equity and equity related portion of the asset allocation into multiple short dated options across the tenure of the scheme. Since short dated options would be purchased at different times and at costs prevailing at the time of such purchase, the returns generated by such a strategy could be significantly different from the returns generated from a buy and hold strategy upto the maturity of the scheme. Further, if the options expire out of money in the first period of such investments and the equity market rallies after the expiry of the option, the scheme may face a loss to the extent of the premium paid for options and not provide positive returns in line with the market.
- 5. Right to limit redemptions**
- The Trustee has the right, at its sole discretion, to limit redemptions on maturity under certain circumstances as mentioned under the heading 'Suspension of determination of NAV and Redemption of Units' in Section IV (A) (xvii) (a) of this Document.
- 6. Risks associated with transactions in units through Stock Exchange Mechanism**
- In respect of transactions in Units of the Scheme through NSE and/ or BSE or any other recognised stock exchange allotment and redemption of Units on any Business Day will depend upon the order processing/ settlement by NSE, BSE or such other exchange and their respective clearing corporations on which the Fund has no control. Further, transactions conducted through the stock exchange mechanism shall be governed by the operating guidelines and directives issued by NSE, BSE or such other recognised exchange in this regard.
- 7. Risk associated with Market Trading of units and Listing:**
- Although Units of the Scheme as mentioned in this Scheme Information Document will be listed on the Exchange, there can be no assurance that an active secondary market in Units will develop or be maintained, or that buy/sell quotations or buy / sell opportunities on the Exchange will be available.
- Trading in Units of the Scheme on the Exchange may be halted as may be decided by the Exchange / SEBI. In addition, trading in Units of the Scheme may be subject to trading halts that may be caused by extraordinary market volatility and / or as per Exchange / SEBI rules / direction including 'circuit filter' rules.
- The Units of the Scheme may trade on the Exchange at premium or discount to their NAV. The market / trading prices of Units of the Scheme may fluctuate in accordance with changes in their NAV as well as market forces and factors and supply and demand for the Units of the Scheme.
- Unitholders holding the Units in non-dematerialised form (through a Statement of Account) will not be able to sell their Units on the Exchange unless and until the holding is converted into dematerialized form (electronic form).
- As the Units allotted under the Scheme will be listed on the Exchange, the Mutual Fund will not provide any facility for redemption / repurchase of Units before the maturity date of the Scheme.
- There may be acts/ omissions on the part of the stock exchange(s) resulting in the cancellation of Unit Holder's orders or the execution of orders on erroneous terms.
- 8. Risk Factor associated with Close-ended Scheme**
- Investing in close-ended Scheme is more appropriate for seasoned investors. A close-ended Scheme endeavors to achieve the desired returns only at the scheduled maturity of the Scheme. Investors who wish to exit/ redeem before the scheduled maturity date may do so through the stock exchange mode, if they have opted to hold Units in a demat form, by mentioning their demat details on the NFO application form. For the units listed on the exchange, it is possible that the market price at which the units are traded may be at a discount to the NAV of such Units. Hence, Unit Holders who sell their Units in a Scheme prior to maturity may not get the desired returns.

	<p><b>9. Other scheme specific risks:</b></p> <ul style="list-style-type: none"><li>• The scheme offered is "oriented towards protection of capital" and "not with guaranteed returns" . Further, the orientation towards protection of the capital originates from the portfolio structure of the scheme and not from any bank guarantee, insurance cover etc.</li><li>• The ability of the portfolio to meet capital protection on maturity to the investors may be impacted by changes in government policies, interest rate movements in the market, credit defaults by bonds and expenses.</li><li>• The rating provided by the Rating Agency, only assesses the highest degree of safety regarding timely receipt of payments from the investments that the Scheme has made and does not denote any opinion on the stability of the NAV of the Scheme. The rating should, however, not be construed as an indication of expected returns, prospective performance of the mutual fund scheme, NAV or of volatility in its returns.</li><li>• The rating would be reviewed on a quarterly basis by ICRA and ICRA reserves the right to suspend, withdraw or revise the ratings granted to the Scheme at any time, on the basis of any new information or unavailability of information or any other circumstances, which ICRA believes may have an impact on the above ratings.</li></ul>																																				
Plans and Options	<p>The Scheme has the following Plans across a common portfolio:</p> <ul style="list-style-type: none"><li>• Direct Plan: Direct Plan is only for investors who purchase /subscribe Units in the Scheme directly with the Fund and is not available for investors who route their investments through a Distributor and is offered in accordance with Para D of SEBI Circular no. CIR/IMD/DF/21/2012 dated September 13, 2012.</li><li>• Regular Plan: Regular Plan is for investors who purchase /subscribe Units in the scheme through a Distributor.</li></ul> <p>Each Plan has Growth Option</p>																																				
Default Plan / Option	<p><b>Default Plan:</b> Investors should note that the Processing of the Applications will be happening based on the below mentioned table :</p> <table><tr><th>Scenario</th><th>Broker Code mentioned by the investor</th><th>Plan mentioned by the investor</th><th>Default Plan to be captured</th></tr><tr><td>1</td><td>Not mentioned</td><td>Not mentioned</td><td>Direct Plan</td></tr><tr><td>2</td><td>Not mentioned</td><td>Direct</td><td>Direct Plan</td></tr><tr><td>3</td><td>Not mentioned</td><td>Regular</td><td>Direct Plan</td></tr><tr><td>4</td><td>Mentioned</td><td>Direct</td><td>Direct Plan</td></tr><tr><td>5</td><td>Direct</td><td>Not Mentioned</td><td>Direct Plan</td></tr><tr><td>6</td><td>Direct</td><td>Regular</td><td>Direct Plan</td></tr><tr><td>7</td><td>Mentioned</td><td>Regular</td><td>Regular Plan</td></tr><tr><td>8</td><td>Mentioned</td><td>Not Mentioned</td><td>Regular Plan</td></tr></table> <p><b>Default Option:</b> Growth Option</p> <p>For further details, kindly refer the para on “How to apply” in SID.</p>	Scenario	Broker Code mentioned by the investor	Plan mentioned by the investor	Default Plan to be captured	1	Not mentioned	Not mentioned	Direct Plan	2	Not mentioned	Direct	Direct Plan	3	Not mentioned	Regular	Direct Plan	4	Mentioned	Direct	Direct Plan	5	Direct	Not Mentioned	Direct Plan	6	Direct	Regular	Direct Plan	7	Mentioned	Regular	Regular Plan	8	Mentioned	Not Mentioned	Regular Plan
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5	Direct	Not Mentioned	Direct Plan																																		
6	Direct	Regular	Direct Plan																																		
7	Mentioned	Regular	Regular Plan																																		
8	Mentioned	Not Mentioned	Regular Plan																																		
Applicable NAV ( after the Scheme opens for repurchase and sale)	Not Applicable for the Scheme mentioned in this KIM.																																				
Minimum Application Amount/ Number of Units	<p><b>Purchase</b></p> <p>Minimum of ₹ 5,000/- and in multiples of ₹1/- thereafter during the New Fund Offer period.</p> <p><b>Repurchase</b></p> <p>No redemption (repurchase) of units is allowed before the maturity of the scheme. Investors wishing to exit may do so by selling their units through stock exchange.</p>																																				
Despatch of Proceeds of Repurchase (Redemption) Request	Within 10 working days from the date of maturity.																																				
Benchmark Index	CRISIL MIP Blended Fund Index																																				
Name of the Fund Manager	Mr. Alok Singh(for Debt ) and Mr. Saurabh Kataria (for Equity)																																				
Name of the Trustee Company	BOI AXA Trustee Services Private Limited																																				
Performance of the Scheme	This scheme does not have any performance track record																																				
Expenses of the Scheme  (i) Load Structure	<p>New Fund Offer Period</p> <p>The NFO expenses of the scheme shall be borne by the AMC.</p> <p>Entry Load*: Nil</p> <p>Exit Load: Nil</p> <p>No redemption/repurchase of units shall be allowed prior to the maturity of the scheme. Investors wishing to exit may do so through stock exchange mode</p> <p>*In terms of SEBI circular no. SEBI/IMD/CIR No.4/ 168230/09 dated June 30, 2009, no entry load will be charged by the Scheme to the investor effective August 1, 2009. The upfront commission, if any, on investment made by the investor shall be paid by the investor directly to the Distributor, based on his assessment of various factors including the service rendered by the Distributor.</p>																																				



**(ii) Recurring expenses  
(As a % of daily net assets)**

The AMC has estimated the following maximum expenses of the daily net assets of the Scheme. For the actual current expenses being charged, the investor should refer to the website of the Mutual Fund.

Expense Head	% of daily Net Assets
Investment Management and Advisory Fees	Upto 2.25%
Trustee fee	
Audit fees	
Custodian fees	
RTA Fees	
Marketing & Selling expense incl. agent commission	
Cost related to investor communications	
Cost 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 for cash market trades	
Service tax on expenses other than investment and advisory fees	
Service tax on brokerage and transaction cost	
Other Expenses	
<b>Maximum total expense ratio (TER) permissible under Regulation 52 (6) (c) (i) and (6) (a)</b>	<b>Upto 2.25%</b>
Additional expenses for gross new inflows from specified cities	Upto 0.30%

The above indicative expenses would be applicable to Regular Plan of the Scheme.

The purpose of the table is to assist the investor in understanding the various costs and expenses to be borne by the Scheme. The above estimates have been made in good faith on the basis of available information to the Investment Manager. There can be no assurance that actual expense, total or under any particular head(s) will not be more or less than estimates above. The above expenses are subject to inter-se change and may increase/decrease as per actual and/or any change in the Regulations.

Apart from the above expenses, any other expenses which are directly attributable to the Scheme, may be charged with the approval of the Trustee within overall limits as specified in the Regulations except those expenses which are specifically prohibited.

Investment Management and Advisory Fees charged by the AMC to the Scheme shall be within the total expense limit as prescribed under Regulation 52 of the Regulations with no sub-limits on said management and advisory fees.

The annual total of all permissible recurring charges and expenses of the Fund shall be subject to the following limits as specified in Regulation 52(6) of the Regulations:

Scheme's daily average net assets (Amount ₹)	Maximum Permissible Annual Recurring charges and expenses (% of daily average net assets)
On first ₹ 100 crore	2.25%
On the next ₹ 300 crore	2.00%
On the next ₹ 300 crore	1.75%
On the balance of net assets	1.50%

Recurring expenses incurred in excess of the aforesaid limits will be borne by the AMC.

Further, in addition to the limits prescribed in the Regulation 52 (6) of the SEBI (Mutual Funds) Regulations, the following additional costs/ expenses may also be charged to the scheme:

(a) expenses not exceeding of 0.30 per cent of daily net assets, if the new inflows from such cities as specified by SEBI/AMFI from time to time are at least -

- (i) 30 percent of gross new inflows in the scheme, or;
- (ii) 15 percent 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:

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

Provided further that amount incurred as expense on account of inflows from such cities shall be credited back to the scheme in case the said inflows are redeemed within a period of one year from the date of investment;

Further, Service tax on investment and advisory fees to the scheme shall be charged in addition to the Total Expense Ratio as mentioned above.

Investors should further note that the AMC reserves the right to charge a higher percentage of Investment and Management Fees than as mentioned in the SID but within the overall total expense ratio mentioned for the Scheme.

Further, brokerage and transaction costs which are incurred for the purpose of execution of trade and is included in the cost of investment, not exceeding 0.12 per cent in case of cash market and 0.05 percent in case of derivatives transactions; any payment over and above this limit shall be charged to the scheme within the maximum limit of total expense ratio (TER) as prescribed under Regulation 52.

The Direct Plan under the Scheme shall have a lower expense ratio as compared to the Regular Plan, excluding the distribution expenses, commission, etc. related to distributors and no commission for distribution of Units will be paid / charged under Direct Plan. "At least 0.10 % of the TER is charged towards distribution expenses/ commission in the Regular Plan. The TER of the Direct Plan will be lower to the extent of the abovementioned distribution expenses/ commission (at least 0.10 %) which is charged in the Regular Plan." The Direct Plan shall also have separate NAV.

The Fund shall update the current expense ratios on the AMC Website within two working days mentioning the effective date of change.

AMC reserves the right to charge any expense (including charge, tax, levy) or charge at a higher percentage than mentioned above if and when permitted by Regulations, and approved by the Trustee.

For the actual current expenses being charged the investors should refer the Website ([www.boiaxa-im.com](http://www.boiaxa-im.com)) of the Mutual Fund.

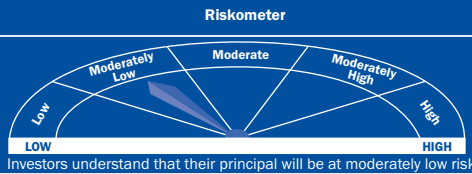
<b>Waiver of Load for Direct Applications</b>	Not Applicable
<b>Listing/Liquidity</b>	<p>The Scheme being offered through this Scheme Information Document is a close ended income Scheme. Accordingly, the Units of the Scheme will be listed on the Capital Market segment of the NSE. The Units cannot be redeemed by the Unitholders directly with the Fund except on maturity.</p> <p>During the currency of the Scheme, Unitholders / Investors can buy / sell Units on NSE where Units will be listed.</p> <p>Further, units of the Scheme held in dematerialized mode in a Depository account shall be freely transferable.</p> <p>The Trustee may at its sole discretion list the units under the Scheme on any other recognized Stock Exchange at a later date.</p>
<b>Tax treatment for the Investors (Unitholders)</b>	Investors are advised to refer to the details in the SID/SAI and also independently refer to his tax advisor.
<b>Daily Net Asset Value (NAV) Publication</b>	The NAV will be declared on all Business Days and will be published in 2 newspapers. NAV can also be viewed on <a href="http://www.boiaxa-im.com">www.boiaxa-im.com</a> and <a href="http://www.amfiindia.com">www.amfiindia.com</a>
<b>For Investor Grievances please contact</b>	<div> <div> <b>Registrar &amp; Transfer Agent:</b>  <b>Karvy Computershare Pvt Ltd</b>  Karvy Registry House  #8-2-596, Avenue 4,  Street No. 1,  Banjara Hills,  Hyderabad – 500 034. </div> <div> <b>Asset Management Company:</b>  Mr N Chandrasekaran  Head - Customer Service &amp; VP - Operations  BOI AXA Investment Managers Private Limited  51, 5th floor, East Wing, Kalpataru Synergy, Opp. Grand Hyatt,  Vakola, Santacruz-E, Mumbai – 400055, India  Email: <a href="mailto:service@boiaxa-im.com">service@boiaxa-im.com</a>  Toll Free Number: 1800-103-2263 &amp; 1800-266-2676  Alternative Number: 020-4011 2300 &amp; 020-6685 4100 </div> </div> <p>For any grievances with respect to transactions through stock exchange mechanism, Unit Holders must approach either their stock broker or the investor grievance cell of the respective stock exchange.</p>
<b>Unitholders' 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>Consolidated Account Statement/ Account Statements:</b></p> <p>Under Regulation 36(4) of SEBI (Mutual Funds) Regulations, 1996, the AMC/ RTA is required to send consolidated account statement for each calendar month to all the investors in whose folio transaction has taken place during the month. Further, SEBI vide its circular ref. no. CIR/MRD/DP/31/2014 dated November 12, 2014, in order to enable a single consolidated view of all the investments of an investor in Mutual Fund and securities held in demat form with Depositories, has required Depositories to generate and dispatch a single consolidated account statement for investors having mutual fund investments and holding demat accounts.</p> <p>In view of the said requirements the account statements for transactions in units of the Fund by investors will be dispatched to investors in following manner:</p> <p><b>I. Investors who do not hold Demat Account</b></p> <p>Consolidated account statement<sup>^</sup>, based on PAN of the holders, shall be sent by AMC/ RTA to investors not holding demat account, for each calendar month within 10th day of the succeeding month to the investors in whose folios transactions have taken place during that month.</p> <p>Consolidated account statement shall be sent by AMC/RTA every half yearly (September/ March), on or before 10th day of succeeding month, detailing holding at the end of the six month, to all such investors in whose folios there have been no transactions during that period.</p> <p><sup>^</sup>Consolidated account statement sent by AMC/RTA is a statement containing details relating to all financial transactions made by an investor across all mutual funds viz. purchase, redemption, switch, dividend payout, dividend reinvestment, systematic investment plan, systematic withdrawal plan, systematic transfer plan, bonus etc. (including transaction charges paid to the distributor) and holding at the end of the month.</p> <p><b>II. Investors who hold Demat Account</b></p> <p>Consolidated account statement<sup>^^</sup>, based on PAN of the holders, shall be sent by Depositories to investors holding demat account, for each calendar month within 10th day of the succeeding month to the investors in whose folios transactions have taken place during that month.</p> <p>Consolidated account statement shall be sent by Depositories every half yearly (September/ March), on or before 10th day of succeeding month, detailing holding at the end of the six month, to all such investors in whose folios and demat accounts there have been no transactions during that period.</p> <p>In case of demat accounts with nil balance and no transactions in securities and in mutual fund folios, the depository shall send account statement in terms of regulations applicable to the depositories.</p> <p><sup>^^</sup>Consolidated account statement sent by Depositories is a statement containing details relating to all financial transactions made by an investor across all mutual funds viz. purchase, redemption, switch, dividend payout, dividend reinvestment, systematic investment plan, systematic withdrawal plan, systematic transfer plan, bonus etc. (including transaction charges paid to the distributor) and transaction in dematerialised securities across demat accounts of the investors and holding at the end of the month.</p> <p>Following provisions shall be applicable to CAS sent through AMC/ RTA and CAS sent through depositories:</p> <ol style="list-style-type: none"> <li>Investors are requested to note that for folios which are not included in the CAS, AMC shall henceforth issue monthly account statement to the unit holders, pursuant to any financial transaction done in such folios; the monthly statement will be sent on or before tenth day of succeeding month. Such statements shall be sent in physical form if no email id is provided in the folio.</li> <li>The statement sent within the time frame mentioned above is provisional and is subject to realisation of payment instrument and/or verification of documents, including the application form, by the RTA/AMC.</li> <li>In the event the folio/ demat account has more than one registered holder, the first named Unit holder/ Account holder shall receive the CAS (AMC/RTA or Depository). For the purpose of CAS (AMC/RTA or Depository), common investors across mutual funds/ depositories shall be identified on the basis of PAN. Consolidation shall be based on the common sequence/ order of investors in various folios/ demat accounts across mutual funds/ demat accounts across depository participants.</li> <li>Investors whose folio(s)/ demat account(s) are not updated with PAN shall not receive CAS. Investors are therefore requested to ensure that their folio(s)/ demat account(s) are updated with PAN.</li> <li>For Unit Holders who have provided an e-mail address in KYC records, the CAS will be sent by e-mail.</li> <li>The Unit Holder may request for a physical account statement by writing to/ calling the AMC/ RTA. In case of a specific request received from the unit holders, the AMC/ RTA shall provide the account statement to the unit holders within 5 business days from the receipt of such request.</li> </ol>

	<p>g. Account Statements shall not be construed as proof of title and are only computer printed statements indicating the details of transactions under the Schemes during the current financial year and giving the closing balance of Units for the information of the Unit Holder.</p> <p>h. Non-transferable Unit Certificates will be sent, if an applicant so desires, within 5 Business Days of the receipt of a request for the certificate. Unit Certificates will not be issued for any fractional Units entitlement.</p> <p>i. Units held, either in the form of Account Statement or Unit Certificates, are non-transferable. The Trustee reserves the right to make the Units transferable at a later date subject to SEBI (MF) Regulations issued from time to time.</p> <p><b>Annual report:</b></p> <p>Pursuant to Securities and Exchange Board of India (Mutual Funds) (Amendments) Regulations, 2011 dated August 30, 2011 read with SEBI circular No. Cir/ IMD/ DF/16/ 2011 dated September 8, 2011, the unit holders are requested to note that Scheme wise annual report and/or abridged summary of annual reports of the Scheme of the Fund shall be sent to the unit holders only by email at their email address registered with the Fund not later than four months from the date of closure of the relevant accounting year (i.e. 31st March each year).</p> <p>Physical copies of the annual report or abridged summary of annual reports will be sent to those Unit holders whose email address is not available with the Fund and/or who have specifically requested or opted for the same.</p> <p>The unit holders are requested to update/ provide their email address to the Fund for updating the database. Physical copy of the Scheme wise annual report or abridged summary will be available to the unit holders at the registered office of the Fund/AMC. A separate link to Scheme annual report or abridged summary is available on the website of the Fund.</p> <p><b>Half Yearly Disclosures (Unaudited Financial Results / Portfolio):</b></p> <p>Portfolio of the Scheme/s as on the last day of the month shall be disclosed on the website of the Fund on or before the tenth day of the succeeding month. Also, the Fund shall before the expiry of one month from the close of each half-year (March 31st and September 30th) publish a complete statement of Scheme portfolio, in the prescribed format, in one national English daily newspaper circulating in the whole of India, and in the language of the region where the Head office of the Mutual Fund is situated. Scheme portfolio details shall also be hosted on the website of the Mutual Fund namely, <a href="http://www.boiaxa-im.com">www.boiaxa-im.com</a> and on the website of AMFI namely, <a href="http://www.amfiindia.com">www.amfiindia.com</a>.</p> <p>The mutual fund shall within one month from the close of each half year, that is on 31st March and on 30th September, host a soft copy of its unaudited financial results on its website namely, <a href="http://www.boiaxa-im.com">www.boiaxa-im.com</a> and an advertisement disclosing the hosting of such financial results on its website, in at least one English daily newspaper having nationwide circulation and in a newspaper having wide circulation published in the language of the region where the Head Office of the mutual fund is situated.</p> <p>The Unaudited Financial Results shall also be hosted on the website of AMFI namely, <a href="http://www.amfiindia.com">www.amfiindia.com</a>.</p>
<p><b>Transaction Charges</b> (For Lumpsum Purchases routed through distributor/ agent)</p>	<p>Pursuant to SEBI Circular No. Cir/ IMD/ 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") and the balance shall be invested.</p> <ol style="list-style-type: none"> <li>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.</li> <li>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.</li> <li>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.</li> <li>4. Transaction charges shall not be deducted for: <ol style="list-style-type: none"> <li>a) purchases/subscriptions for an amount less than ₹ 10,000/-</li> <li>b) transaction other than purchases/ subscriptions relating to new inflows such as Switch/ Systematic Transfer Plan (STP), Systematic Withdrawal Plan (SWP) etc.</li> <li>c) purchases/subscriptions made directly with the Fund (i.e. not through any distributor/ agent).</li> <li>d) Transactions through stock exchange.</li> <li>e) If the distributor has not "opted in".</li> </ol> </li> <li>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.</li> <li>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.</li> <li>7. Investors may further note that distributors can opt to receive transaction charges based on 'type of the Product. Accordingly, the transaction charges would be deducted from the subscription amounts, as applicable.</li> </ol>
<p><b>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.</b></p> <p><b>Date: September 22, 2015</b></p> <p><b>Place: Mumbai</b></p>	



# APPLICATION FORM

\*Investor should consult their financial advisor if they are not clear about the suitability of the product.



Please read the instructions carefully, before filling up the application form.

Application No:

1	DISTRIBUTOR INFORMATION (Refer Terms & Conditions 1)				FOR OFFICE USE ONLY	
	Distributor ARN	Sub-Agent Name & Code/ Bank Branch Code	EUIN No.	CO Code	MO Code	Registrar Serial No.
						Date/Time of Receipt

3<sup>rd</sup> applicant/Authorised Signatory

- **Country of Birth / Citizenship / Nationality or Tax Residency, other than India, for any applicant? (✓):** ☐ Yes / ☐ No (Mandatory to ✓). If Yes, please fill FATCA Declaration.
- **Non Individual investors should mandatorily fill separate FATCA & UBO Declarations**

2 TRANSACTION CHARGES FOR APPLICATIONS THROUGH DISTRIBUTORS/AGENTS ONLY (Refer Terms & Conditions 1(a))

☐ I confirm that I am a First time investor across Mutual Funds.

☐ I confirm that I am an existing investor in Mutual Funds.

**3 EXISTING UNIT HOLDER INFORMATION** [Please fill in your Folio Number and proceed to Scheme and Payment Details] (Refer Terms & Conditions 2(a))

[illegible]

4 FIRST APPLICANT'S DETAILS ☐ Mr. ☐ Ms. ☐ M/s (Refer Terms & Conditions 2(b))

[illegible]

<b>Gross Annual Income</b> <b>OR</b> <b>Net-worth* in ₹</b> <b>*Not older than one year</b>	<input type="checkbox"/> <1L <input type="checkbox"/> 1-5L <input type="checkbox"/> 5-10L <input type="checkbox"/> 10-25L <input type="checkbox"/> >25L	<b>INDIVIDUALS</b>	<input type="checkbox"/> <1L <input type="checkbox"/> 1-5L <input type="checkbox"/> 5-10L <input type="checkbox"/> 10-25L <input type="checkbox"/> >25L <input type="checkbox"/> 25L-1C <input type="checkbox"/> >1C	<b>NON-INDIVIDUALS</b>	<b>Is the entity involved in any of the following:</b> Foreign Exchange/Money Changer <input type="checkbox"/> Yes <input type="checkbox"/> No Gaming/ Gambling/ Lottery (casinos, betting syndicates) <input type="checkbox"/> Yes <input type="checkbox"/> No Money Lending/ Pawning <input type="checkbox"/> Yes <input type="checkbox"/> No
	[ ] as on [ D ] [ D ] [ M ] [ M ] [ Y ] [ Y ] <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a PEP				[ ] as on [ D ] [ D ] [ M ] [ M ] [ Y ] [ Y ]
<b>Any other information</b>	[ ]				

<b>SECOND APPLICANT'S DETAILS</b>															<input type="checkbox"/> Mr. <input type="checkbox"/> Ms. <input type="checkbox"/> M/s   <b>Mode of Holding:</b> <input type="checkbox"/> Joint <input type="checkbox"/> Anyone or Survivor (Default)   <b>Nationality</b> <span style="border: 1px solid black; display: inline-block; width: 100px; height: 1.2em; vertical-align: middle;"></span>										<b>Country of Birth</b> <span style="border: 1px solid black; display: inline-block; width: 100px; height: 1.2em; vertical-align: middle;"></span>															
<b>Name (2<sup>nd</sup>)</b>																																								
<b>PAN</b>															<input type="checkbox"/> KYC Proof Enclosed   Mobile <input type="text" value="+91"/>										<b>Email Id</b>															
<b>Status</b> <input type="checkbox"/> Resident Individual <input type="checkbox"/> FII <input type="checkbox"/> NRI <input type="checkbox"/> PIO <input type="checkbox"/> HUF <input type="checkbox"/> Company/Body Corporate <input type="checkbox"/> Proprietor <input type="checkbox"/> Trust <input type="checkbox"/> Society <input type="checkbox"/> Other <u>Specify</u>															<b>Gross Annual Income OR Net-worth* in ₹</b> <input type="checkbox"/> <1L <input type="checkbox"/> 1-5L <input type="checkbox"/> 5-10L <input type="checkbox"/> 10-25L <input type="checkbox"/> >25L <div style="border: 1px solid black; width: 100px; height: 20px; margin: 5px 0;"></div> as on <table border="1" style="display: inline-table; border-collapse: collapse; text-align: center;"> <tr> <td style="width: 20px;">D</td> <td style="width: 20px;">D</td> <td style="width: 20px;">M</td> <td style="width: 20px;">M</td> <td style="width: 20px;">Y</td> <td style="width: 20px;">Y</td> </tr> </table>										D	D	M	M	Y	Y	INDIVIDUALS									
																									D	D	M	M	Y	Y										
<b>Occupation</b> <input type="checkbox"/> Pvt. Sector Service <input type="checkbox"/> Public Sector <input type="checkbox"/> Gov. Service <input type="checkbox"/> Housewife <input type="checkbox"/> Defence <input type="checkbox"/> Retired <input type="checkbox"/> Professional <input type="checkbox"/> Business <input type="checkbox"/> Agriculture <input type="checkbox"/> Student <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Other <u>Specify</u>															<b>*Not older than one year</b>  <b>Any other information</b> <div style="border: 1px solid black; width: 100%; height: 20px; margin-top: 5px;"></div>																									

THIRD APPLICANT'S DETAILS										<input type="checkbox"/> Mr. <input type="checkbox"/> Ms. <input type="checkbox"/> M/s		Nationality		Country of Birth					
Name (3 <sup>rd</sup> )																			
PAN										<input type="checkbox"/> KYC Proof Enclosed   Mobile		+91		Email Id					
Status <input type="checkbox"/> Resident Individual <input type="checkbox"/> FII <input type="checkbox"/> NRI <input type="checkbox"/> PIO <input type="checkbox"/> HUF <input type="checkbox"/> Company/Body Corporate <input type="checkbox"/> Proprietor <input type="checkbox"/> Trust <input type="checkbox"/> Society <input type="checkbox"/> Other <u>Specify</u>										Gross Annual Income OR Net-worth* in ₹		<input type="checkbox"/> <1L <input type="checkbox"/> 1-5L <input type="checkbox"/> 5-10L <input type="checkbox"/> 10-25L <input type="checkbox"/> >25L							
Occupation <input type="checkbox"/> Pvt. Sector Service <input type="checkbox"/> Public Sector <input type="checkbox"/> Gov. Service <input type="checkbox"/> Housewife <input type="checkbox"/> Defence <input type="checkbox"/> Retired <input type="checkbox"/> Professional <input type="checkbox"/> Business <input type="checkbox"/> Agriculture <input type="checkbox"/> Student <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Other <u>Specify</u>										*Not older than one year		as on <table border="1"> <tr> <td>D</td> <td>D</td> <td>M</td> <td>M</td> <td>Y</td> <td>Y</td> </tr> </table>		D	D	M	M	Y	Y
D	D	M	M	Y	Y														
Any other information										Individuals		<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a PEP							

**ACKNOWLEDGEMENT SLIP (TO BE FILLED IN BY THE SOLE/FIRST APPLICANT)**

Application No:

<b>Received from</b>	Mr.	Ms.	M/s.																				
<b>An application for purchase under BOI AXA Capital Protection Oriented Fund - Series 5</b>																Plan <input type="checkbox"/> Regular <input type="checkbox"/> Direct							
Cheques / Drafts are subject to realisation.				Investment Amount (₹)															Option: Growth				

Stamp, Signature &amp; Date

**NFO Opens: October 06, 2015**    **NFO Closes: October 20, 2015**

EMAIL COMMUNICATION INFORMATION										(Refer Terms & Conditions 8)																								
I/We wish to receive the following document(s) physically in lieu of Email.										<input type="checkbox"/> Account Statement <input type="checkbox"/> News Letter <input type="checkbox"/> Annual Report <input type="checkbox"/> Other Statutory Information																								
5 BANK ACCOUNT DETAILS																				(Refer Terms & Conditions 3)														
Name of the Bank																																		
Account Number										A/C Type (Please) <input type="checkbox"/> Savings <input type="checkbox"/> NRE <input type="checkbox"/> Current <input type="checkbox"/> NRO <input type="checkbox"/> FCNR <input type="checkbox"/> Others ____																								
Branch Address																																		
City					State					PIN Code																								
MICR Code					(Please enter the 9 digit number that appears after your cheque number)										Please attach a cancelled cheque OR a clear photo copy of a cheque																			
IFSC Code (RTGS/NEFT)					(Mandatory for Credit via NEFT/RTGS). (11 Character code appearing on your cheque leaf. If you do not find this on your cheque leaf, please check for the same with your Bank)																													
6 DEMAT ACCOUNT DETAILS																				(Refer Terms & Conditions 11)														
(Please ensure that the sequence of names as mentioned in the application form matches with that of the account held with the Depository Participant).																																		
National Securities Depository Limited (NSDL)										DP Name																								
										DP ID No.		I	N							Beneficiary Account No.														
Central Depository Services (India) Limited (CDSL)										DP Name																								
										Target ID No.																								
7 INVESTMENT AND PAYMENT DETAILS (Payment through Cash/Non-MICR Cheques/Outstation Cheques not accepted)																				(Refer Terms & Conditions 4 & 5)														
Scheme Name					BOI AXA Capital Protection Oriented Fund - Series 5										Plan		<input type="checkbox"/> Regular <input type="checkbox"/> Direct		Option		Growth													
Investment Amount (₹)															DD Charges# if any (₹)										Net Amount (₹)									
Cheque/ DD No.										Drawn Bank										Branch/ City														
Account Type*					<input type="checkbox"/> S/B <input type="checkbox"/> NRE* <input type="checkbox"/> Current <input type="checkbox"/> NRO <input type="checkbox"/> FCNR* <input type="checkbox"/> Others ____															*Kindly provide photocopy of the payment Instrument or Foreign Inward remittance Certificate (FIRC) evidencing source of funds														
Please (✓)					<input type="checkbox"/> RTGS <input type="checkbox"/> Fund Transfer letter dated    D   D   M   M   Y   Y																													
8 REDEMPTION REMITTANCE																				(Refer Terms & Conditions 6)														
<input type="checkbox"/> Electronic Payment (It is the responsibility of the Investor to ensure the correctness of the IFSC code/ MICR code for Electronic Payout at recipient/destination branch corresponding to the Bank details.)																																		
<input type="checkbox"/> Cheque Payment																																		
9 FOR SWITCH																				(Refer Terms & Conditions 14)														
Switch Over From (Scheme)															Plan				Option															
Switch into (Scheme)					BOI AXA Capital Protection Oriented Fund - Series 5										Plan		<input type="checkbox"/> Regular <input type="checkbox"/> Direct		Option		Growth													
Amount (₹)										OR					Units																			
10 NOMINATION DETAILS for Individuals [Minor / HUF / POA Holder / Non Individuals cannot Nominate]																				(Refer Terms & Conditions 7)														
<input type="checkbox"/> I/we do wish to nominate as under: <input type="checkbox"/> I/we do not wish to nominate																																		
No.		Nominee(s) Name								Date of Birth (in case of Minor)				Name of the Guardian (in case of Minor)				Relationship with Unit Holder				@% of share												
1.										D   D   M   M   Y   Y   Y   Y																								
2.										D   D   M   M   Y   Y   Y   Y																								
3.										D   D   M   M   Y   Y   Y   Y																								
*If the percentage of share is not mentioned then the claim will be settled equally amongst all the indicated nominee(s)																				Signature of Guardian (if Nominee is a Minor)														
11 DECLARATION																																		
I/We have read and understood the contents of the Scheme Information Document and Statement of Additional Information of BOI AXA Mutual Fund including the section on Who cannot invest and Prevention of Money Laundering. I/We hereby apply for Allotment/ Purchase of Units in the Scheme and agree to abide by the terms and conditions applicable thereto. I/We hereby declare that I/We am /are authorised to make this investment and that the amount invested in the Scheme is through legitimate sources only and does not involve and is not designed for the purpose of any contravention or evasion of any Act, Rules, Regulations, Notifications or Directions issued by any regulatory authority in India. I/We hereby authorise BOI AXA Mutual Fund, its Investment Manager and its agents to disclose details of my investment to my bank(s)/BOI AXA Mutual Fund and /or Distributor /Broker / Investment Advisor. I/We have neither received nor been induced by any rebate or gifts, directly or indirectly, in making this investment. I/We declare that the information given in this application form is correct, complete and truly stated.																																		
I/We are aware that the information provided/collected in this application form is necessary in relation to operation of my/our investment account. I/We hereby give consent for sharing my/our data/information with any third party as may be required by BOI AXA Mutual Fund for the purpose of providing services to me/us or for opening, continuing and operating my/our investment account/folio.																																		
Applicable to NRI only: I/We confirm that I am/we are Non-Resident Indian/Person of Indian Origin and that I/We have remitted funds from abroad through approved banking channels or from funds in my/our NRE/NRO/FCNR Account. I/We undertake that all additional purchases made under this Folio will also be from funds received from abroad through approved banking channels or from funds in my/our NRE/NRO/FCNR Account.																																		
Applicable to citizen of USA/ Canada: I/We hereby confirm that I/We am/are not restricted persons resident in Canada or in Countries which are non-compliant with FATF Agreements or in the United States of America (USA), or corporations, or partnerships or any other entity created or organised in or under the laws of USA or any person/entity falling within the definition of the term 'US Person' under the US Securities Act of 1933, (as amended). I/We hereby confirm that I/We are not giving a false confirmation and/or disguising my/our country of residence. I/We confirm that BOI AXA Investment Managers Pvt. Ltd. is relying upon this confirmation and in no event shall members of the BOI AXA Group and /or their directors, officers and employees be liable for any direct, indirect, special, incidental or consequential damages arising out of false confirmation/information.																																		
I/We confirm that the ARN holder has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him by the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us.																																		
First / Sole Applicant / Guardian										Second Applicant										Third Applicant														

FOR MORE INFORMATION

## TERMS & CONDITIONS

### 1. GENERAL INSTRUCTIONS

- i) The application form is for Resident Investors/NRIs/FIIs and should be completed in English in BLOCK Letters.
- ii) The signature(s) should be in English or in any of the Indian languages specified in the eighth schedule of the constitution of India. Thumb impressions must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate under his/her official seal. Applications by minors should be signed by their guardians. In case of HUF, the Karta should sign on behalf of the HUF. In case of HUF investments done through Power of Attorney, all the members of the HUF will have to sign the Power of Attorney.
- iii) The application form number, the scheme name and the name of the applicant should be mentioned on the reverse of the instrument that accompanies the application.
- iv) The Application completed in all respects along with the cheque / demand draft must be submitted to the nearest Customer Service Centre. Applications incomplete in any respect or not accompanied by a cheque or demand draft for the amount payable are liable to be rejected and the money paid, if any, will be refunded without interest.
- v) No receipt will be issued for the application money. The Customer Service Centers will stamp and return the acknowledgement slip in the application form, to acknowledge receipt of the application.

### 1 (a) TRANSACTION CHARGES

Pursuant to SEBI Circular No. Cir/ IMD/ DF/ 13/ 2011 dated August 22, 2011 transaction charge per subscription of ₹ 10,000/- and above may be charged in the following manner:

- i. The existing investors may be charged ₹ 100/- as transaction charge per subscription of ₹ 10,000/- and above;
- ii. A first time investor may be charged ₹ 150/- as transaction charge per subscription of ₹ 10,000/- and above.

There shall be no transaction charge on subscription below ₹ 10,000/- and on transactions other than purchases/ subscriptions relating to new inflows. The aforesaid transaction charge shall be deducted by the Asset Management Company from the subscription amount and paid to the distributor, as the case may be and the balance amount shall be invested in the relevant scheme opted by the investor.

Transaction Charges shall not be deducted if:

- Purchase/Subscription made directly with the fund through any mode (i.e. not through any distributor/agent).
- Purchase/ subscription made through stock Exchange, irrespective of investment amount

### 1 (b) EMPLOYEE UNIQUE IDENTIFICATION NUMBER (EUIIN):

Investors procuring advisory/ execution services from distributors are requested to note that EUIIN would assist in tackling the problem of mis-selling even if the employee/relationship manager/ sales person leave the employment of the distributor.

### 2. APPLICANT(S) INFORMATION

#### a) Existing Unitholders

Investors already having an account in any of the BOI AXA schemes should provide their Folio Number. The names of the applicants, mode of holding etc. will be as per the folio number provided. Existing unitholders should mention the Folio Number and directly proceed to Step 10 after providing the PAN details, which are mandatory.

#### b) New Applicant

1. Name and address must be given in full (P.O. Box Address is not sufficient). In case of NRI/PIO/FII investors, an overseas address must be provided.
2. Name of guardian must be mentioned if the investments are being made on behalf of a minor. Date of Birth is mandatory in case of minor. Investments of the existing minor investor on minor attaining majority: Upon attaining majority, a minor has to write to the fund, giving his specimen signature duly authenticated by his banker as well his new bank mandate, PAN details, in order to facilitate the Fund to update its records and permit the erstwhile minor to operate the account in his own right.
3. Guardian in the folio(s) on behalf of the minor should either be a natural guardian (i.e. father or mother) or a court appointed legal guardian.
4. The information on the relationship/status of the guardian as father, mother or legal guardian will be mandatory.
5. In case of natural guardian, the documents evidencing the relationship will have to be submitted (if the same is not available as part of the documents submitted for proof of DOB).
6. In case of court appointed legal guardian- a notarised photo copy of the court order should be submitted along with the application.
7. Date of birth of the minor along with photocopies of supporting documents as enumerated below shall be mandatory while opening the account on behalf of minor:
  - i) Birth certificate of the minor, or
  - ii) School leaving certificate / Mark sheet issued by Higher Secondary Board of respective states, ICSE, CBSE etc., or
  - iii) Passport of the minor, or
  - iv) Any other suitable proof evidencing the date of birth of the minor.
8. In case of an application under Power of Attorney or by a limited company, body corporate, registered society, trust or partnership, etc. the relevant Power of Attorney or the relevant resolution or authority to make the application as the case may be, or duly certified copy thereof, along with the Memorandum and Articles of Association/ bye-laws must be lodged along with the application form.

**Power of Attorney (POA):** In case an investor has issued Power of Attorney (POA) for making investments, switches, redemptions etc. under his folio, both the signature of the investor and the POA holder have to be clearly captured in the POA document to be accepted as a valid document. At the time of making redemption / switches the fund would not be in a position to process the transaction unless, POA holder's signature is available in the POA or proof of identity along with signature is produced along with the POA.

9. PAN is mandatory: As per SEBI Circular MRD/Dop/Cir/-05/2007 dated May 10, 2007 Permanent Account Number (PAN) has been made the sole identification number for all participants transacting in the securities market, irrespective of the amount of transaction, w.e.f. August 13, 2007. PAN is mandatory for all mutual fund investments w.e.f. 1st January, 2008. Accordingly, any application not accompanied with the PAN is liable to be rejected.
10. Applicants should indicate their status by ticking the appropriate box. Applications without a tick in the 'Status' box will be considered as investment by "Others". Those who select the status as "Others", they should specify their status in the space provided."

#### c) 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 4 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.

### 3. BANK DETAILS

The first Unit-holder should provide the name of the bank, branch, complete address of the branch, account type and account number, which is mandatory as per Securities Exchange Board of India circular IIMRP/MF/CIR/07/826/98 dated April 15, 1998. Applications without this information will be deemed to be incomplete. Please quote 9 Digit MICR Code No. of your Bank and Branch corresponding to Bank Account details. (This number appears on every leaf of your cheque book after your cheque number).

Please attach a blank "cancelled" Cheque or a clear photocopy of a cheque issued by your bank verifying of the Code Number. The AMC reserves the right to make redemption payments through ECS/ NEFT/ RTGS where details are available.

Please note for unit holder opting to invest in demat, please ensure that the bank account linked with the demat account is mentioned in the application form.

Maturity payment would be made as per the bank account details available in BENPOS file.

**Change of Bank Mandate:** With effect from October 25, 2011, the request for change of bank (COB) shall be submitted along with the original cancelled cheque of the new bank with the investor name mentioned on the cheque or copy of the bank statement/ pass book duly attested by the new Bank, evidencing the name and bank account details of the investor.

### 4. INVESTMENT DETAILS

Minimum Application Amount: ₹ 5,000/- and in multiples of ₹ 1 thereafter.

#### OPTIONS:

- Direct Plan - Growth
- Regular Plan - Growth

### 5. MODE OF PAYMENT

- a) The cheque should be drawn in favour of "BOI AXA Capital Protection Oriented Fund - Series 5" and crossed "Account Payee Only". The cheque/ demand draft should be payable at the centre where the application is lodged. The cheque/ demand draft should be drawn on any bank which is situated at and is a member/ sub-member of the Bankers' Clearing House. Cheques/ demand drafts drawn on a bank not participating in the Clearing House will not be accepted.
  - b) 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).
  - c) Separate Cheque/ Draft is required for each plan/ option invested.
  - d) Only CTS 2010 standard cheques would be accepted as per RBI circular with effect from August 1, 2013.
  - e) Payments by Stockinvest, Money Order, Cash, Postal Order and Out-station and/ or Post-dated Cheques and Demand Drafts will not be accepted.
- The Trustee shall have absolute discretion to accept/ reject any application for purchase of Units, if in the opinion of the Trustee, increasing the size of Scheme's Unit capital is not in the general interest of the Unitholders, or the Trustee for any other reason believes it would be in the best interest of the Schemes or its Unitholders to accept/ reject such an application.
- f) An investor can also subscribe to the New Fund Offer (NFO) through ASBA facility.
  - g) NRI/ FII/ PIO Investors

1. Repatriation basis: Payments by NRIs/FIIs/Persons of Indian Origin residing abroad, may be made either by way of Indian Rupee drafts or cheques by means of (i) inward remittance through normal banking channels; or (ii) out of funds held in NRE/FCNR account payable at par and payable at the cities where the Customer Service Centres are located.

In case of Indian Rupee drafts purchased through NRE/FCNR Account, an account debit certificate from the bank issuing the draft confirming the debit should also be enclosed. In case the debit certificate is not provided, the AMC reserves the right to reject the application of the NRI investors.

2. Non Repatriation basis: NRIs or Persons of Indian origin residing abroad investing on a non-repatriable basis may do so by issuing cheques/ demand drafts drawn on Non-Resident Ordinary (NRO) account payable at the cities where the Customer Service Centres are located.

3. FIRC certificate: In case of investments by Non Resident Indians (NRIs), if FIRC certificate was not submitted, Karvy/AMC will not provide FIRC outward letters to banks.

4. Payment of Maturity Proceeds: NRIs shall provide details of purchase including contract notes on or before the maturity date. In the absence of such details on or before the maturity date, TDS towards capital gain would be done at higher applicable rate. For this purpose, the difference between allotment NAV and NAV applicable for Maturity payment is considered as capital gains. The plan under the scheme shall be fully redeemed at the end of the maturity period of the respective Plan unless rolled over as per SEBI guidelines.

### 6. DIRECT CREDIT OF REDEMPTION:

The Fund reserves the right to issue a payment instrument in place of this direct credit facility, and will not be responsible for any delay on the part of the bank for executing the direct credit. The AMC may alter the list of the banks participating in direct credit arrangement from time to time/ withdraw direct credit facility from the banks, based on its experience of dealing with any of these banks or add/ withdraw the name of the bank with which the direct credit facility arrangements can be introduced/ discontinued, as the case may be.

### 7. NOMINATION

- a. Filling the nomination details is mandatory for individuals applying for / holding units on their own behalf singly and optional for joint holding. Nonindividuals including society, trust, body corporate, partnership firm, Karta of Hindu Undivided Family, holder of Power of Attorney cannot nominate. All joint holders will sign the nomination form. Nomination is not allowed in case the first applicant is a minor. Nomination form cannot be signed by Power of Attorney (PoA) holders.
- b. Even those investors who do not wish to nominate must sign separately confirming their non-intention to nominate.
- c. All payments and settlements made to such nominee and signature of the Nominee acknowledging receipt thereof, shall be a valid discharge by the AMC/Mutual Fund/ Trustees.
- d. A minor can be nominated and in that event, the name, relationship of the guardian of the minor nominee shall be provided by the unit holder. Guardian of the minor should either be a natural guardian (i.e. father or mother) or a court appointed legal guardian. Nomination can also be in favour of the Central Government, State Government, a local authority, any person designated by virtue of his office or a religious or charitable trust.
- e. 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.



## TERMS & CONDITIONS (contd.)

- f. Nomination in respect of the units stands withdrawn upon the transfer of units.
- g. Every new nomination for a folio/account will overwrite the existing nomination.
- h. Transfer of units in favour of a Nominee shall be valid discharge by the Asset Management Company (AMC) against the legal heir.
- i. The cancellation of nomination can be made only by those individuals who hold units on their own behalf, singly or jointly and who made the original nomination and the request has to be signed by all the holders.
- j. On cancellation of the nomination, the nomination shall stand withdrawn and the AMC shall not be under any obligation to transfer the units in favour of the Nominee.

### 8. E-MAIL COMMUNICATION:

Delivering service through the internet & web-based services such as e-mail is a more efficient delivery channel. When an investor has communicated his / here-mail address and provided consent for sending communication only through email, the Mutual Fund / Registrars are not responsible for email not reaching the investor and for all consequences thereof. The Investor shall from time to time intimate the Mutual Fund / its transfer agents about any changes in the email address. In case of a large document, a suitable link would be provided and investor can download, save and print these documents. However, the investor always has a right to demand a physical copy of any or all the service deliverables, and the Fund would arrange to send the same to the investor. Account statements will be sent via email, by default, to investors who have provided their email ID, unless specified otherwise. It is deemed that the Unit holder is aware of all the security risks associated with online communication, including the possibility of third party interception of the documents sent via email.

### 9. INVESTMENT/SUBSCRIPTION MADE THROUGH THIRD PARTY CHEQUE(S) WILL NOT BE ACCEPTED.

Third party cheque(s) for this purpose are defined as: (i) Investment made through instruments issued from an account other than that of the beneficiary investor, ii) in case the investment is made from a joint bank account, the first holder of the mutual fund folio is not one of the joint holders of the bank account from which payment is made.

Third party cheque(s) for investment/subscription shall be accepted, only in exceptional circumstances, as detailed below:

- 1) 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/- . However this restriction will not be applicable for payment made by a guardian whose name is registered in the records of Mutual Fund in that folio.
- 2) Custodian on behalf of a Foreign Institutional Investor (FII) or a client.
- 3) Payment by Employer on behalf of employee under Systematic Investment Plans or lump sum/one-time subscription, through Payroll deductions. Asset management companies should exercise extra due diligence in terms of ensuring the authenticity of such arrangements from a fraud prevention and KYC perspectives.

The above mentioned exception cases will be processed after carrying out necessary checks and verification of documents attached along with the purchase transaction slip/ application form, as stated below:

- 1) Determining the identity of the Investor and the person making payment i.e. mandatory Know Your Client (KYC) for Investor and the person making the payment.
- 2) Obtaining necessary declaration from the Investor/unitholder and the person making the payment. Declaration by the person making the payment should give details of the bank account from which the payment is made and the relationship with the beneficiary.
- 3) Verifying the source of funds to ensure that funds have come from the drawer's account only.

In case of investment/subscriptions made via Pay Order, Demand Draft, Banker's cheque, RTGS, NEFT, ECS, bank transfer, net banking etc. Following additional checks shall be carried out:

- 1) If the investment/subscription is settled with pre-funded instruments such as Pay Order, Demand Draft, Banker's cheque, etc., a Certificate from the Issuing banker must accompany the purchase application, stating the Account holder's name and the Account number which has been debited for issue of the instrument. The funds should be debited from a pre-registered pay in account available in the records of the Mutual fund, or from the account of the first named unit holder. Additionally, if a pre-funded instrument issued by the Bank against cash, it shall not be accepted for investments of ₹ 50,000/- or more. Such pre-funded instrument issued against cash payment of less than ₹ 50,000/- should be accompanied by a certificate from the banker giving name, address and PAN (if available) of the person who has requested for the demand draft.
- 2) If payment is made by RTGS, NEFT, ECS, bank transfer, etc., a copy of the instruction to the bank stating the account number debited must accompany the purchase application. The account number mentioned on the transfer instruction should be from pay in account available in the records, or from the account of the first named unit holder. Investors are requested to note that AMC reserves right to have additional checks of verification for any mode of payment received. AMC reserves the right to reject the transaction in case the payment is received in an account not belonging to the first unit holder of the mutual fund.

In case of investors with multiple accounts, in order to ensure smooth processing of investor transactions, it is advisable to register all such accounts, as the investments/ subscriptions received from the said multiple accounts shall be treated as 1st party payments. Refer Third Party Payment Declaration form available on [www.boiaxa-im.com](http://www.boiaxa-im.com) or at any of the AMC's branch offices.

### 10. KNOW YOUR CUSTOMER (KYC) NORMS:

According to guidelines issued by SEBI under 'The Prevention of Money Laundering Act, 2002', Mutual Funds are required to follow enhanced know your customer (KYC) norms. Investors can visit branches of BOIAXA Mutual Fund or may visit [www.boiaxa-im.com](http://www.boiaxa-im.com) or [www.amfiindia.com](http://www.amfiindia.com) and [www.cvlindia.com](http://www.cvlindia.com) to know detailed procedure. Effective January 01, 2011 it is mandatory for all category of investors to be KYC compliant for all investment transactions made on or after January 01, 2011, irrespective of amount of investment.

To further clarify, the above category of investors shall include:

- i. their constituted Power of Attorney (PoA) holder, in case of investments through a PoA
- ii. each of the applicants, in case of investments in joint names; and
- iii. Guardian in case of investments on behalf of minor.

Applications without KYC Acknowledgement letter for the specified category of investors are liable to be rejected. Provided further, where it is not possible to verify the KYC compliance status of the investor at the time of allotment of units, the BOIAXA Investment Managers shall verify the KYC compliance status of the investor within a reasonable time after the allotment of units. In the event of non compliance of KYC requirements, the AMC reserves the right to freeze the folio of the investor(s) for any kind of transactions or affect mandatory redemption of unit holdings of the investors at the applicable NAV, subject to payment of exit load.

Investors should note that on completion of KYC Compliance all details of the investor in the Mutual Fund records will be replaced by the details as given in KYC Application Form by the investor. Any change in these details like change of Name / Address / Status / Signature, etc. should be given by Investor directly in the prescribed manner.

Pursuant to SEBI Circular No. MIRSD/ Cir-26/ 2011 dated December 23, 2011, SEBI (KYC Registration Agency) Regulations, 2011 and SEBI Circular No. MIRSD/SE/Cir-21/2011 dated October 05, 2011, regarding uniformity in the Know Your Customer (KYC) process in the securities market and development of a mechanism for centralization of the KYC records to avoid duplication of KYC Process across the intermediaries in the securities market, the following changes are being made to KYC process w.e.f. January 01, 2012:

1. SEBI has introduced a common KYC Application Form for all the SEBI registered intermediaries viz. Mutual Funds, Portfolio Managers, Depository Participants, Stock Brokers, Venture Capital Funds, Collective Investment Schemes, etc. New Investors are therefore requested to use the common KYC Application Form and carry out the KYC process including In-Person Verification (IPV) with any SEBI registered intermediaries including mutual funds. The KYC Application Forms are also available on our website [www.boiaxa-im.com](http://www.boiaxa-im.com).
2. The Mutual Fund shall perform the initial KYC of its new investors and may undertake enhanced KYC measures commensurate with the risk profile of its investors. The Mutual Fund shall upload the details of the investors on the system of the KYC Registration Agency (KRA). Registrar & Transfer Agent (RTA) of the Mutual Fund may also undertake the KYC of the investors on behalf of the Mutual Fund. KRA shall send a letter to the investor within 10 working days of the receipt of the initial/updated KYC documents from the Mutual Fund, confirming the details thereof.
3. Once the investor has done KYC with a SEBI registered intermediary, the investor need not undergo the same process again with another intermediary including mutual funds. However, the Mutual Fund reserves the right to carry out fresh KYC of the investor.
4. It is mandatory for intermediaries including mutual funds to carry out In-Person Verification (IPV) of its new investors w.e.f. January 01, 2012.  
The IPV carried out by any SEBI registered intermediary can be relied upon by the Mutual Fund. The AMC and NISM/AMFI certified distributors who are KYD compliant are authorized to undertake the IPV for Mutual Fund investors. Further, in case of any applications received directly (i.e. without being routed through the distributors) from the investors, the Mutual Fund may rely upon the IPV (on the KYC Application Form) performed by the scheduled commercial banks.
5. Existing KYC compliant investors of BOI AXA MF can continue to invest as per the current practice. However, existing investors are also urged to comply with the new KYC requirements including IPV as mandated by SEBI.

### KYC requirements for existing investors:

Existing KYC compliant investors of the Mutual Fund can continue to invest as per the current practice. However, pursuant to SEBI circular no. MIRSD/ Cir-5/ 2012 dated April 13, 2012 and subsequent SEBI communication, investors who invest / deal with another mutual funds and had completed the erstwhile Centralised Mutual Fund KYC through CDSL Ventures Limited, are required to provide KYC details and complete IPV as per the new KYC requirements, which was not mandated earlier. Provided however, if such investors trade / invest / deal with a SEBI registered intermediary other than a mutual fund, then such intermediaries would obtain from the investors the missing KYC details and complete IPV as per new KYC requirements.

It is mandatory for all categories of investors to be KYC compliant for any amount of investment.

AMC reserves the right to reject application forms for transactions in units of the Mutual Fund not accompanied by common KYC Application Form or letter/ acknowledgement issued by CVL/ the KRA. The KYC compliance status of the investors will be validated with the records of CVL/ the KRA. For units held in demat form the KYC performed by the Depository Participant of the applicants will be considered as KYC verification done by the Trustee/AMC. In relation to implementation of the SEBI Guidelines on identification of Beneficial Ownership, the AMC reserves the right to call for such information / documents from the investors that the AMC deems fit.

For further details, please refer to the Section on "Prevention of Money Laundering and Know Your Client ("KYC") requirements" in the Statement of Additional Information (SAI).

### 11. DEMAT/NON-DEMAT MODE:

Option to hold Units in Dematerialized (demat) form Investors have the option to hold the units in demat form. Please tick the relevant option of Yes/No for opting/not opting units in demat form. If no option is exercised, "No" will be the default option. Unitholders must ensure that the sequence of names as mentioned in the application form matches with that of the account held with the Depository Participant. If the details mentioned in the application are incomplete/incorrect or not matched with the Depository data, the application shall be treated as invalid and shall be liable to be rejected. The application form should mandatorily accompany the latest Client investor master / Demat account statement.

- 1) Investors can hold units in Dematerialized (Demat)/Non-Demat mode. In case the investor has not provided his / her Demat account details or the details of DP ID / BO ID provided by the investor is incorrect, or Demat account is not activated or not in an active status, the units would be allotted in Non-Demat mode. 2) Allotment letters would be sent to investors who are allotted units in Demat mode and a Statement of Accounts would be sent to investors who are allotted units in non-Demat mode. 3) Investors are requested to note that Units held in dematerialized form are freely transferable except units held in Equity Linked Savings Scheme's (ELSS) during the lock-in period. 4) The units will be allotted based on the applicable NAV as per the SID and will be credited to investor's Demat account on weekly basis upon realization of funds. For e.g. Units will be credited to investors Demat account every Monday for realization status received in last week from Monday to Friday.

The investors shall note that for holding the units in demat form, the provisions laid in the Scheme Information Document (SID) of respective Scheme and guidelines/procedural requirements as laid by the Depositories (NSDL/CDSL) shall be applicable. In case the unit holder wishes to convert the units held in non-demat mode to demat mode or vice versa at a later date, such request along with the necessary form should be submitted to their Depository Participant(s).

Units held in demat form will be freely transferable, subject to the applicable regulations and the guidelines as may be amended from time to time.

### 12. PLEDGE/LIEN:

In case investor creates pledge / lien on their units in favour of any financial institution or lender, the details of the same shall be provided to BOI AXA Investment Managers or Karvy within two days of creations of such pledge/lien. The redemption proceeds will be on hold till proper details are made available.

### 13. MULTIPLE BANK ACCOUNTS

The unit holder/ investor can register multiple bank account details under its existing folio by submitting separate form. Multiple Bank Accounts Registration forms are available in [www.boiaxa-im.com](http://www.boiaxa-im.com) or any of the AMC's branch offices.

### 14. FOR SWITCH:

The units from the Transferor Scheme will be switched in to the BOI AXA Capital Protection Oriented Fund - Series 5 subject to provisions mentioned in the Scheme Information Document of the Transferor Scheme. The units in the Transferee Scheme i.e. BOI AXA Capital Protection Oriented Fund - Series 5 will be allotted at the New Fund Offer Price of the Scheme on the allotment date.

## APPLICATION SUPPORTED BY BLOCKED AMOUNT (ASBA) FORM

\*Investor should consult their financial advisor if they are not clear about the suitability of the product.



Date	D	D	M	M	Y	Y	Y	Y

**Stamp, Signature & Date**

**NFO Opens: October 06, 2015**   **NFO Closes: October 20, 2015**



## 6 UNDERTAKING BY ASBA INVESTOR AND ACCOUNT HOLDER

1. I/ We hereby undertake that, I/ we have read and understood the instructions contained in this Form and Terms and Conditions concerning ASBA as contained in the Scheme Information Document (SID) / Key Information Memorandum (KIM) of the above mentioned Scheme and Statement of Additional Information (SAI) of BOI AXA Mutual Fund. Further, I/we understand that if the details as provided by me/us in this Form are different from those in the NFO Application Form, then in such a case; the information as provided by me/us herein will be relied upon. I/we further confirm and undertake that I am/ we are eligible ASBA applicants(s) as per the relevant provisions of the SEBI (Issue of Capital and Disclosure Requirement) Regulations, 2009.
2. In accordance with provisions of ASBA in the SEBI ICDR Regulations, 2009 and as disclosed in the SAI, I/We authorize:
  - a. the SCSB to do all acts as are necessary to make an application in the New Fund Offer of above mentioned Scheme, including uploading of application details, blocking the amount to the extent mentioned above under "DETAILS OF BANK ACCOUNT FOR BLOCKING OF FUNDS" or unblocking of funds in the bank account maintained with the SCSB specified above, transfer of funds to the BOI AXA Mutual Fund's account on receipt of instructions from the Registrar to BOI AXA Mutual Fund after finalisation of the basis of allotment, entitling me/us to receive mutual fund units on such transfer of funds, etc.
  - b. Registrar to issue instructions to the SCSB to unblock the funds in the bank account specified above upon finalisation of the basis of allotment and to transfer the requisite money to the BOI AXA Mutual Fund's account.
3. In case the amount available in the bank account specified above is insufficient, the SCSB shall reject the application.
4. If the DP ID, Beneficiary or PAN is not provided by me/us or the details on the same as furnished in the form are incorrect or incomplete or not matching with the depository records, my/ our application shall be rejected and Mutual Fund or SCSB shall not be liable for losses, if any.
5. All future communication in connection with NFO should be addressed to the SCSB/RTA/AMC quoting the full name of the Sole/First Applicant, NFO Application Number, ASBA Application Number, Depository Account details [if it has been provided], Amount applied for and the account number from where NFO amount was blocked. 4) The ARN holder has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us.

Applicable to 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. I/We am/are not prohibited from accessing capital markets under any order/ruling/judgement etc. of any regulation, including SEBI. I/We am/are confirm that my application is in compliance with applicable Indian and Foreign laws.

First / Sole Applicant / Guardian	Second Applicant	Third Applicant
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## INSTRUCTIONS FOR FILLING ASBA APPLICATION FORM

1. An Application Supported by Blocked Amount (ASBA) investor shall submit a duly filled up ASBA Application form, physically or electronically, to the Self Certified Syndicate Bank (SCSB) with whom the bank account to be blocked, is maintained.
  - In case of ASBA application form in physical mode, the investor shall submit the ASBA Application Form at the Bank branch of SCSB, which is designated for the purpose and the investor must be holding a bank account with such SCSB.
  - In case of ASBA application form in electronic form, the investor shall submit the ASBA Application Form either through the internet banking facility available with the SCSB, or such other electronically enabled mechanism for subscribing to units of Mutual Fund scheme authorising SCSB to block the subscription money in a bank account.
2. Investors shall correctly mention the Bank Account number in the ASBA Application Form and ensure that funds equal to the subscription amount are available in the bank account maintained with the SCSB before submitting the same to the designated branch.
3. ASBA facility is currently available only to those investors who wish to hold the units in the dematerialized form.
4. Upon submission of an ASBA Application Form with the SCSB, whether in physical or electronic mode, investor shall be deemed to have agreed to block the entire subscription amount specified and authorized the Designated Branch to block such amount in the Bank Account.
5. On the basis of an authorisation given by the account holder in the ASBA Application Form, the SCSB shall block the subscription money in the Bank Account specified in the ASBA Application Form. The subscription money shall remain blocked in the Bank Account till allotment of units under the scheme or till rejection of the application, as the case may be.
6. If the Bank Account specified in the ASBA Application Form does not have sufficient credit balance to meet the subscription money, the ASBA application shall be rejected by the SCSB.
7. The ASBA Application Form should not be accompanied by cheque, demand draft or any mode of payment other than authorisation to block subscription amount in the Bank Account.
8. All grievances relating to the ASBA facility may be addressed to the BANK/AMC / RTA to the Issue, with a copy to the SCSB, giving full details such as name, address of the applicant, subscription amount blocked on application, bank account number and the Designated Branch or the collection centre of the SCSB where the ASBA Application Form was submitted by the Investor.
9. ASBA facility extended to investors shall operate in accordance with the SEBI guidelines in force from time to time.
10. Name of the First account holder in bank to be the first unitholder in folio. If the name is not matched the application will be rejected and amount to be refunded if any.
11. Demat/ Non-Demat Mode:
  1. Investor can hold units in demat/ non-demat mode. In case investor did not provide demat account details or details of DP ID/ BO ID, provided by the investor, is incorrect or demat account is not activated or not in active status, the units would be allotted in non demat mode.
  2. The investor can dematerialize his/her holdings in non demat mode. Similarly, investor can rematerialize holdings in demat mode. All expenses in connection with conversion from demat to remat mode or remat to demat mode will have to be incurred by the investors.
  3. Allotment letters would be sent to investors who are allotted units in demat mode and Statement of Accounts would be sent to investors who are allotted units in non demat mode.
12. SCSB means Self Certified Syndicate Bank registered with the SEBI, which offers the facility of ASBA. The current list of SCSBs as available on [www.sebi.gov.in](http://www.sebi.gov.in), [www.bseindia.com](http://www.bseindia.com) and [www.nseindia.com](http://www.nseindia.com).

## FOR MORE INFORMATION

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Website  
**[www.boi-axa-im.com](http://www.boi-axa-im.com)**

## REGISTRAR & TRANSFER AGENTS

M/s Karvy Computershare Pvt. Ltd.  
8-2-596 Karvy Plaza, Avenue 4, Street No.1,  
Banjara Hills, Hyderabad - 500 034.  
Tel No. (040) 23312454

# Declaration for Ultimate Beneficial Ownership [UBO]

## For Non-Individual (Mandatory)

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

### Applicant's Details

Name

PAN

### Listed Company / its Subsidiary Company

#### (i) I / We hereby declare that (✓)

- ☐ Our company is a Listed Company listed on recognized stock exchange in India
- ☐ Our company is a subsidiary of the Listed Company
- ☐ Our company is controlled by a Listed Company

#### (ii) Details of Listed Company ^

Company Name

Stock Exchange on which listed

Security ISIN

^ The details of holding/parent company to be provided in case the applicant is a subsidiary company.

### Non-Individuals other than Listed Company / its Subsidiary Company

- i) Category (✓) ☐ Unlisted Company ☐ Partnership Firm ☐ Limited Liability Partnership ☐ Unincorporated association/ body of individuals
- ☐ Public Charitable Trust ☐ Religious Trust ☐ Private Trust / Trust created by a will ☐ Others

#### ii) Details of Ultimate Beneficial Owners (If the given space below is not adequate, please provide multiple declaration forms)

Name of Beneficial Owners*	PAN (For Residents / NRIs)	Tax Payer Identification Number#	ID Proof (Foreign / PAN Exempt individual)	UBO Code (Mandatory) (Refer instructions)	Position / Designation (To be provided wherever applicable)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

\* If the beneficiary owner is minor, proof of date of birth and proof of relationship with the guardian and copy of PAN with photograph is mandatory.

# In case Tax Payer Identification Number is not available, kindly provide functional equivalent or Company Identification Number or Global Entity Identification Number.

### Declaration & Signature(s)

I/We acknowledge and confirm that the information provided above is/are true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/We are aware that I/We maybe liable for it. I/We hereby authorize sharing of the information furnished in this form with all SEBI Registered Intermediaries and they can rely on the same. In case the above information is not provided, it will be presumed that applicant is the ultimate beneficial owner, with no declaration to submit. In such case, the concerned SEBI registered intermediary reserves the right to reject the application or reverse the allotment of units, if subsequently it is found that applicant has concealed the facts of beneficial ownership. I/We also undertake to keep you informed in writing about any changes/modification to the above information in future and also undertake to provide any other additional information as may be required at your end.

<input type="text" value=""/> Authorized Signatory	<input type="text" value=""/> Authorized Signatory	<input type="text" value=""/> Authorized Signatory
Date: <input type="text" value="D"/> <input type="text" value="D"/> <input type="text" value="M"/> <input type="text" value="M"/> <input type="text" value="Y"/> <input type="text" value="Y"/> <input type="text" value="Y"/> <input type="text" value="Y"/>	Place: <input type="text"/>	

## INSTRUCTIONS

Pursuant to SEBI master circular vide ref. no. CIR/ISD/AML/3/2010 dated December 31, 2010 on anti money laundering standards and guidelines on identification of Beneficial Ownership issued by SEBI vide its circular ref. no. CIR/MIRSD/2/2013 dated January 24, 2013, investors (other than Individuals) are required to provide details of Ultimate Beneficial Owner(s) ("UBO(s)") and submit proof of identity (viz. PAN with photograph or any other acceptable proof of identity prescribed in common KYC form) of UBO(s).

### The Ultimate Beneficial Owner means:

- For Investor other than Trust:

A 'Natural Person', who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest.

Controlling ownership interest means ownership of / entitlements to:

- 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; or
- more than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.

In cases where there exists doubt as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity details should be provided of the natural person who is exercising control over the juridical person through other means (i.e. control exercised through voting rights, agreement, arrangements or in any other manner). However, where no natural person is identified, the identity of the relevant natural person who holds the position of senior managing official should be provided.

- For Trust:

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

### Exemption in case of listed companies:

The provisions w.r.t. Identification of UBO are not applicable to the investor or the owner of the controlling interest is a company listed on a stock exchange, or is a majority-owned subsidiary of such a company.

### Applicability for foreign investors:

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

### UBO Codes:

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

## FOR MORE INFORMATION

Call us at (Toll Free)

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Alternate Number

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Email us at

service@boiaxa-im.com

Website

www.boiaxa-im.com

**a. EXISTING UNIT HOLDER INFORMATION** (If you have existing folio, please fill in section 1 and proceed to section 3)

[illegible][illegible]**b. NAME OF FIRST / SOLE APPLICANT**[illegible]

**The below information is required for all applicant(s)/ guardian**

Is the applicant(s)/ guardian's Country of Birth / Citizenship / Nationality / Tax Residency other than India? ☐ Yes ☐ No

If Yes, please provide the following information [mandatory]

Please indicate all countries in which you are resident for tax purposes and the associated Tax Reference Numbers below.

Category	First Applicant (including Minor)	Second Applicant/ Guardian	Third Applicant
Place/ City of Birth			
Country of Birth			
Country of Tax Residency 1			
Tax Payer Ref. ID No. 1			
Country of Tax Residency 2			
Tax Payer Ref. ID No. 2			
Country of Tax Residency 3			
Tax Payer Ref. ID No. 3			

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.

First / Sole Applicant / Guardian

Second Applicant

Third Applicant

### Details under FATCA / Foreign laws

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

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Email us at

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Website

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# FATCA/ FOREIGN TAX LAWS INFORMATION - NON INDIVIDUAL FORM

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

Self Certification Declaration

## Part I: Applicant/Investor details:

Investor Name:

PAN

FOLIO NO.

## Part II: Declarations

### (A) Particulars

Category			
Applicants	Country of incorporation/ constitution	Country of Tax residency	Taxpayer Identification Number#
1.			
2.			
3.			

#in case Taxpayer Identification Number is not available, kindly provide functional equivalent or Company Identification Number or Global Entity Identification Number.

### (B) Other information:

S No	Information	Additional Information to be provided
1	We are a financial institution [including an FFI] [Refer instructions a]	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please provide the following information: GIIN: _____ (Global Intermediary Identification Number) If GIIN not available [tick any one]: <input type="checkbox"/> Applied for on <input type="text" value="D"/> <input type="text" value="D"/> <input type="text" value="M"/> <input type="text" value="M"/> <input type="text" value="Y"/> <input type="text" value="Y"/> <input type="text" value="Y"/> <input type="text" value="Y"/> <input type="checkbox"/> Not required to apply (please describe) _____ <input type="checkbox"/> Not obtained
2	We are a listed company [whose shares are regularly traded on a recognized stock exchange]	<input type="checkbox"/> Yes <input type="checkbox"/> No If Yes, specify the name of any one Stock Exchange where it is traded regularly: 1. BSE/NSE/Other _____ (please specify)
3	We are 'Related Entity' of a listed company [Refer instructions b]	<input type="checkbox"/> Yes <input type="checkbox"/> No If Yes, specify the name of the listed company _____ Specify the name of any one Stock Exchange where it is traded regularly: 1. BSE/NSE/Other _____ (please specify)
4	We are an Active NFFE [Refer instructions c & d] Note: Details of Controlling Persons will not be considered for FATCA purpose	<input type="checkbox"/> Yes <input type="checkbox"/> No If Yes, specify the nature of business Please specify the category of Active NFFE _____ (Mention code – refer instructions)
5	We are an Passive NFFE [Refer instructions f and g] Note: Details of Controlling Persons will be considered for FATCA purpose	<input type="checkbox"/> Yes <input type="checkbox"/> No If Yes, please provide: 1. Nature of business _____ 2. For all Controlling Persons who are tax residents (including US citizens and green card holders) of countries other than India, please provide the necessary details including Taxpayer Identification Number (TIN) in the UBO form.

I/We hereby acknowledge and confirm that the information provided hereinabove is/are true and correct to the best of my knowledge and belief. I/We further agree and acknowledge 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. 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 Mutual Fund, its Sponsor/s, Trustees, Asset Management Company, its employees, SEBI registered intermediaries for single updation/submission, any Indian or foreign statutory, regulatory, judicial, quasi-judicial authorities/agencies including but not limited to Financial Intelligence Unit-India (FIU-IND) etc without any intimation/advice to me/us. I/We further agree to promptly intimate you in writing regarding any change/modification to the above information and/or provide additional/further information as and when required by you.

Signature with relevant seal:

Authorized Signatory

Authorized Signatory

Authorized Signatory

Date:

Place: \_\_\_\_\_

## Instructions:

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

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

Code	Sub-category
08	<p>- Any NFFE is a 'non for profit' organization which meets all of the following requirements:</p> <ul style="list-style-type: none"> <li>o It is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organization, business league, chamber of commerce, labor organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare;</li> <li>o It is exempt from income tax in its jurisdiction of residence;</li> <li>o It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;</li> <li>o The applicable laws of the NFFE's jurisdiction of residence or the NFFE's formation documents do not permit any income or assets of the NFFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFFE has purchased; and</li> </ul>

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

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

## FOR MORE INFORMATION

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Website  
www.boiaxa-im.com

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



Place for  
Intermediary Logo

Application No. :

Please fill in **ENGLISH** and in **BLOCK LETTERS**

**A. Identity Details (please see guidelines overleaf)**

1. Name of Applicant (As appearing in supporting identification document).

Name

Father's/Spouse Name

2. Gender ☐ Male ☐ Female B. Marital status ☐ Single ☐ Married C. Date of Birth

3. Nationality ☐ Indian ☐ Other (Please specify)

4. Status Please tick (✓) ☐ Resident Individual ☐ Non Resident ☐ Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals)

5. PAN Please enclose a duly attested copy of your PAN Card

Aadhaar Number, if any:

6. Proof of Identity submitted for PAN exempt cases Please Tick (✓)

☐ UID (Aadhaar) ☐ Passport ☐ Voter ID ☐ Driving Licence ☐ Others (Please see guideline 'D' overleaf)

PHOTOGRAPH

Please affix  
the recent passport  
size photograph and  
sign across it

**B. Address Details (please see guidelines overleaf)**

1. Address for Correspondence

City / Town / Village Pin Code  
State Country

2. Contact Details

Tel. (Off.) (ISD) (STD) Tel. (Res.) (ISD) (STD)  
Mobile (ISD) (STD) Fax (ISD) (STD)  
E-Mail Id.

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

☐ Passport ☐ Ration Card ☐ Registered Lease/Sale Agreement of Residence ☐ Driving License ☐ Voter Identity Card ☐ \*Latest Bank A/c Statement/Passbook  
☐ \*Latest Telephone Bill (only Land Line) ☐ \*Latest Electricity Bill ☐ \*Latest Gas Bill ☐ Others (Please specify)

\*Not more than 3 Months old. Validity/Expiry date of proof of address submitted

4. Permanent Address of Resident Applicant if different from above B1 OR Overseas Address (Mandatory) for Non-Resident Applicant

City / Town / Village Pin Code  
State Country

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

☐ Passport ☐ Ration Card ☐ Registered Lease/Sale Agreement of Residence ☐ Driving License ☐ Voter Identity Card ☐ \*Latest Bank A/c Statement/Passbook  
☐ \*Latest Telephone Bill (only Land Line) ☐ \*Latest Electricity Bill ☐ \*Latest Gas Bill ☐ Others (Please specify)

\*Not more than 3 Months old. Validity/Expiry date of proof of address submitted

6. Any other information:

**DECLARATION**

I hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.

Place:

Date:

**SIGNATURE OF APPLICANT**

**FOR OFFICE USE ONLY**

IPV Done on

AMC/Intermediary name OR code

☐ (Originals Verified) Self Certified Document copies received

☐ (Attested) True copies of documents received

Main Intermediary

Seal/Stamp of the intermediary should contain

Name

Designation

Name of the Organization

Signature

Date

/Stamp of the intermediary should contain

Staff Name

Designation

Name of the Organization

Signature

Date

## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

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

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

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

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

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

Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.

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

### D. Exemptions/clarifications to PAN

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

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

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

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

**BOI AXA Investment Managers' Branches -  
Investor Service Centers (ISC)**

• **Ahmedabad** - Shop No.: - 405, 4th Floor, Zodiac Plaza, Plot no: - 229, Village Kochrab, H. L. College Road, Navrangpura, Ahmedabad - 380 009. • **Bangalore** - 957, Regus Business Centre, Bangalore Pvt. Ltd., Level 9, Raheja Towers, 26 - 27, Mahatma Gandhi Road, Bangalore - 560 001. • **Bhopal** - F. F. 16, Part B, Mansarovar Complex, Near Habibganj Railway Station, Bhopal - 462 016. • **Chandigarh** - 205, Megabyte Business Centre, SCO-333-334, 1st Floor, Sec-35B Chandigarh - 160 022. • **Chennai** - Cabin No. 203, Apeejay Business Center No: 39/12, Haddows Road, Nungambakkam, Chennai - 600 034. • **Hyderabad** - Cabin No. 23, Apeejay Business Centre, Tresorie, The Park, 22 Rajbhavan Road, Somajiguda, Hyderabad - 500 082. • **Jaipur** - Office no.154, 1st Floor, Ganpati Plaza, M I Road, Jaipur - 302 001. • **Kolkata** - Cabin 06, Block - A, 8th Floor, Apeejay House, 15 Park Street, Kolkata - 700 016. • **Lucknow** - Office No-504, 5th Floor, Sriram Tower, 13 Ashok Marg, Hazratganj, Lucknow - 226 001. • **Mumbai** - 51, East Wing, Kalpataru Synergy, Opp. Grand Hyatt, Vakola, Santacruz (E), Mumbai - 400 055. • **New Delhi** - Room No. 610, Avanta Business Center, 4th Floor, Statesman House, Barakhamba Road, Connaught Place, New Delhi - 110 001. • **Pune** - Apeejay Business Centre, 1st Floor, Pride House, S.No. 108/7, Shivajinagar, University Road, Pune - 411 016. • **Vadodara** - 118, 1st Floor, Siddharth Complex, R C Dutt Road, Alkapuri, Vadodara - 390 005.

**Karvy Computershare Private Limited Locations -  
Investor Service Centers (ISC)**

• **Agra**: F-1, 1st Floor, Deepak Wasan Plaza, Above HDFC Bank, Sanjay Place, Agra - 282 002. • **Ahmedabad**: 201, Shail Building, Opp : Madhusudhan House, Nr. Navrangpura Telephone Exchange; Navrangpura Ahmedabad - 380 006. • **Amritsar**: 72-A, Taylor'S Road, Aga Heritage Gandhi Ground, Amritsar - 143 001. • **Anand**: B/ 42, Vaibhav Commercial Center, Nr TVS Down Town Show Room, Grid Char Rasta, Anand - 388 001. • **Asansol**: 114 /71, G.T. Road, Near Sony Centre, Bhanga Pachil, Asansol - 713 303. • **Bangalore**: 59, 'Skanda' Puttanna Road, Basavanagudi, Bangalore - 560 004. • **Baroda**: SB-4&5, Mangaldeep Complex, Opposite Mesonic Hall. Productivity Road, Alkapuri, Vadodara - 390 007. • **Belgaum**: CTS No 3939/ A2 A1, Above Raymonds Show Room, Beside Harsha Appliances, Club Road, Belgaum - 590 001. • **Bhagalpur**: 2nd Floor, Chandralok Complex, Ghantagarh, Radha Rani Sinha Road, Bhagalpur - 812 001. • **Bhopal**: Kay Kay Business Centre, 133, Zone I, M P Nagar, Bhopal - 462 011. • **Bhubaneswar**: 2nd & 3rd Floor, Janardan, House, A 181, Saheed Nagar, Bhubaneswar - 751 007. • **Chandigarh**: SCO-2423-2424 1ST Floor, Above TVS showroom, Sec 22C Chandigarh - 160 022. • **Chennai**: Flat No F11, First Floor, Akshya Plaza, (Erstwhile Harris Road), Opp Chief City Metropolitan Court, #108, Adhithanar Salai, Egmore, Chennai - 600 002. • **Cochin**: Building Nos.39 Ali Arcade, 1st floor, Near Atlantis Junction, Kizhvana Road, Panampili Nagar, Cochin - 682 036. Ernakulum District. • **Coimbatore**: 3rd Floor, Jaya Enclave, 1056-1057, Avinashi Road, Coimbatore - 641 018. • **Dehradun**: Kaulagarh Road, Near Sirmour Marg, Above Reliance Webworld, Dehradun - 248 001. • **Dhanbad**: 208, New Market, 2Nd Floor, Katras Road, Bank More, Dhanbad - 826 001. • **Gandhinagar**: Plot No. - 945/2, Sector - 7/C, Gandhinagar - 382 007. • **Ghaziabad**: 1st Floor, C-7, Lohia Nagar,

Ghaziabad - 201 001. • **Gorakhpur**: Above V.I.P. House, Ajdacent A.D. Girls Inter College, Bank Road Gorakpur - 273 001. • **Guwahati**: 1st Floor, Bajrangbali Building, Near Bora Service Station, GS Road, Guwahati - 781 007. • **Gwalior**: 2nd Floor- Rajeev Plaza, Jayendra Ganj, Lashkar, Gwalior, M.P.- 474 009. • **Hubli**: CTS 483/A1/A2, Gr floor, Sri Ram Plaza, Club Road, Behind Kotak Mahindra Bank, Hubli - 580 023. • **Hyderabad**: 8-2-596 Karvy Plaza, Avenue 4, Street No.1, Banjara Hills, Hyderabad - 500 034. • **Indore**: 19/1, New Palasia, Balaji Corporate-203, 204 & 205, 2nd Floor, Above ICICI Bank, Near Curewell Hospital, Janjeerwala Square, Indore, Madhya Pradesh - 452 001. • **Jabalpur**: 43, Naya Bazar, Opposite shyam talkies Jabalpur (M.P.) 482 001. • **Jaipur**: S-16 A, 3Rd Floor Land Mark, Opposite Jaipur Club Mahavir Marg, C- Scheme Jaipur - 302 001. • **Jamshedpur**: 2nd Floor, R R Square, SB Shop Area, Near Reliance Foot Print & Hotel - BS Park Plaza, Main Road, Bistpur, Jamshedpur 831001. • **Jodhpur**: 203, Modi Arcade; Chupasni Road, Jodhpur - 342 001. • **Kanpur**: 15/46, Ground Floor, Opp: Muir Mills, Civil Lines, Kanpur - 208 001. • **Kolhapur**: 605/1/4 E Ward, Near Sultane Chambers, Shahupuri 2nd Lane Kolhapur - 416 001. • **Kolkata**: 166A, Rashbehari Avenue, 2nd Floor Near Adi Dhakeshwari Bastralaya OPP- Fortis Hospital Kolkata - 700 029. • **Lucknow**: 1st Floor, A. A. Complex, Thaper House, 5 Park Road, Hazratganj, Lucknow - 226 001. • **Ludhiana**: SCO - 136, First Floor Above Airtel Show Room, Feroze Gandhi Market, Ludhiana - 141 001. • **Madurai**: Rakesh Towers, 30-C, Bye Pass Road 1st Floor, Opp Nagappa Motors, Madurai - 625 010. • **Mumbai**: Office number: 01/04 24/B, Raja Bahadur Compound Ambalal Doshi Marg, Behind Bombay Stock Exchange, Fort Mumbai - 400 001. • **Muzaffarpur**: 1St Floor, Uma Market, Near Thana Gumti, Motijheel, Muzaffarpur, Bihar - 842 001. • **Nagpur**: Plot No.2/1, House no. 102/1, Mangaldeep Apartment, Mata Mandir Road, Opp. Khandelwal Jewellers, Dharampeth, Nagpur - 440 010. • **Nasik**: S-12, Second Floor, Suyojit Sankul, Sharanpur Road Nasik - 422 002. • **New Delhi**: 305, 3rd Floor New Delhi House, Bara Khamba Road Connaught Place New Delhi - 110 001. • **Noida**: 307 Jaipuria Plaza; D 68 A, 2nd Floor Opp Delhi Public School, Sector 26 Noida - 201 301. • **Panipat**: 1st Floor, Krishna Tower Above Amertex, G.T. Road, Panipat - 132 103. • **Panjim**: Flat No.1-A, H. No. 13/70, Timotio Bldg, Heliodoro Salgado Road, Next to Navhind Bhavan (Market Area) Panjim - 403 001. • **Patna**: 3A, 3rd floor, Anand Tower, Beside Chankya Cinema Hall; Exhibition Road, Patna - 800 001. • **Pune**: Mozaic Bldg, CTS No.1216/1, Final Plot No.576/1 TP, Scheme No.1, F C Road, Bhamburda, Shivaji Nagar, Pune - 411 004. • **Raipur**: Room No. TF 31, 3 Rd Floor, Millennium Plaza Behind Indian Coffee House, G E Road, Raipur - 492 001. • **Rajkot**: 104, Siddhi Vinayak Complex Dr Yagnik Road, Opp Ramkrishna Ashram Rajkot - 360 001. • **Ranchi**: Room No. 307, 3Rd Floor, Commerce Towers, Beside Mahabir Towers, Main Road, Ranchi - 834 001. • **Shillong**: Mani Bhawan, Lower Thana Road, Police Bazar, Shillong - 793 001. • **Siliguri**: Nanak Complex, Near Church Road, Sevoke Road, Siliguri - 734 001. • **Solapur**: Block No. 06, Vaman Nagar, Opp. D-Mart, Jule Solapur, Solapur, Maharashtra - 413004. • **Surat**: G-6 Empire State Building, Near Parag House, Udhna Darwaja Ring Road Surat - 395 002. • **Ujjain**: 101, Aastha Tower, 13/1, Dhanwantri Marg, Free Gunj Ujjain - 456 010. • **Varanasi**: D-64/132, KA 1st Floor, Anant Complex, Sagra, Varanasi - 221 010. • **Vijayawada**: 39-10-7, Opposite Municipal Water Tank, Labbipet, Vijayawada - 520 010. • **Visakhapatnam**: Door No: 48-8-7, Dwaraka Dimond, Ground Floor, Srinagar, Visakhapatnam - 530016.





## Investment Managers

### BOI AXA Investment Managers Pvt. Ltd.

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Sponsors		Trustee	Investment Manager
<b>Bank of India</b> Star House, C5, "G" Block, Bandra Kurla Complex, Bandra (East), Mumbai 400051	<b>AXA Investment Managers</b> Coeur Défense-Tour B-La Défense 4 100 Esplanade du Général de Gaulle 92400 Courbevoie France	<b>BOI AXA Trustee Services Pvt Ltd</b> 51, 5th Floor, Kalpataru Synergy, Vakola, Santacruz (E), Mumbai 400055	<b>BOI AXA Investment Managers Pvt Ltd</b> 51, 5th Floor, Kalpataru Synergy, Vakola, Santacruz (E), Mumbai 400055
Custodian	Registrar & Transfer Agent		Auditors for the Fund
<b>Deutsche Bank AG</b> 4th Floor, Nirlon Knowledge Park, Block 1, Western Express Highway, Goregaon (E), Mumbai 400 063.	<b>Karvy Computershare Private Limited</b> Karvy Registry House, #8-2-596, Avenue 4, Street No.1, Banjara Hills, Hyderabad - 500 034		<b>M/s BSR &amp; Co LLP</b> Lodha Excelus, Apollo Mills Compound, N.M. Joshi Marg, Mahalaxmi, Mumbai - 400 011