

# KEY INFORMATION MEMORANDUM

## INDIABULLS FMP - SERIES V - (PLAN 1) - 1175 DAYS (A Close Ended Debt Scheme)

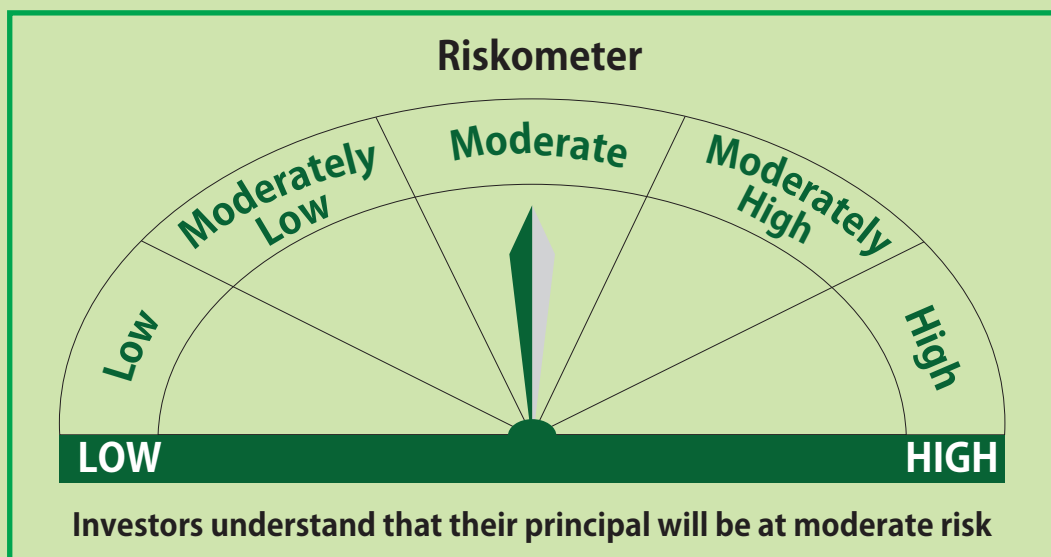
<b>Name of Mutual Fund</b>	<b>Name of Asset Management Company</b>
Indiabulls Mutual Fund	Indiabulls Asset Management Co. Ltd.

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

The Primary Investment Objective of the Scheme is to generate returns and capital appreciation by investing in a portfolio of Debt and Money Market Securities. The Scheme will invest only in such securities which mature on or before the date of maturity of the Scheme. There is no assurance that the investment objective of the Scheme will be realized.

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

**Note:** Risk is represented as:



**New Fund Offer opens on:** March 04, 2016

**New Fund Offer closes on:** March 10, 2016

**Maturity Date:** 1175 Days from the date of allotment

**Offer for Units of Rs.10/- per unit for cash during the New Fund Offer period.**

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

The Scheme particulars have been prepared in accordance with Securities and Exchange Board of India (Mutual Funds) Regulations, 1996, as amended till date, and filed with Securities and Exchange Board of India (SEBI). The units being offered for public subscription have not been approved or disapproved by SEBI, nor has SEBI certified the adequacy of this KIM. This KIM is dated February 23, 2016.

BSE Ltd ("the Exchange") has given vide its letter dated January 13, 2016 permission to Indiabulls Mutual Fund to use the Exchange's name in this SID as one of the Stock Exchanges on which this Mutual Fund's units are proposed to be listed. The Exchange has scrutinized this SID for its limited internal purpose of deciding on the matter of granting the aforesaid permission to Indiabulls Mutual Fund. The Exchange does not in any manner:-

- i. Warrant, certify or endorse the correctness or completeness of any of the contents of this SID; or
- ii. Warrant that this scheme's unit will be listed or will continue to be listed on the Exchange; or
- iii. take any responsibility for the financial or other soundness of this Mutual Fund, its promoters, its management or any scheme or project of this Mutual Fund;

And it should not for any reason be deemed or construed that this SID has been cleared or approved by the Exchange. Every person who desires to apply for or otherwise acquires any unit of **Indiabulls FMP - Series V - (Plan 1) - 1175 Days** of this Mutual Fund may do so pursuant to independent inquiry, investigation and analysis and shall not have any claim against the Exchange whatsoever by reason of any loss which may be suffered by such person consequent to or in connection with such subscription/acquisition whether by reason of anything stated or omitted to be stated herein or for any other reason whatsoever.

It is to be distinctly understood that the permission given by the Exchange should not in any way be deemed or construed that the SID has been cleared or approved by BSE Ltd. nor does it certify the correctness or completeness of any of the contents of the SID. The investors are advised to refer the SID for the full text of the disclaimer clause of BSE Ltd.

<b>Investment Objective</b>	<p>The Primary Investment Objective of the Scheme is to generate returns and capital appreciation by investing in a portfolio of Debt and Money Market Securities. The Scheme will invest only in such securities which mature on or before the date of maturity of the Scheme. There is no assurance that the investment objective of the Scheme will be realized.</p>															
<b>Asset Allocation &amp; Additional Disclosures</b>	<table border="1" data-bbox="384 376 1513 611"> <thead> <tr> <th data-bbox="384 376 831 504">Instrument</th> <th data-bbox="831 376 1201 504">Indicative allocation (% of Net Assets) (Minimum - Maximum)</th> <th data-bbox="1201 376 1513 504">Risk Profile</th> </tr> </thead> <tbody> <tr> <td data-bbox="384 504 831 562">Debt Securities</td> <td data-bbox="831 504 1201 562">80% - 100%</td> <td data-bbox="1201 504 1513 562">Low to Medium</td> </tr> <tr> <td data-bbox="384 562 831 611">Money market Securities/Instruments</td> <td data-bbox="831 562 1201 611">0% - 10%</td> <td data-bbox="1201 562 1513 611">Low to Medium</td> </tr> </tbody> </table> <ul style="list-style-type: none"> <li>– The cumulative gross exposure through Debt and Money Market securities will not exceed 100% of the net assets of each Scheme.</li> <li>– The Schemes will not participate in repos in corporate debt securities</li> <li>– The Schemes will not engage in short selling of securities</li> <li>– The Schemes will not participate in credit default swaps.</li> <li>– The Schemes shall not invest in fixed income derivatives instruments and in foreign debt securities.</li> <li>– The Schemes shall not invest in securitized debt</li> <li>– The Scheme will participate in repo / reverse repos in securities only issued by Government of India</li> <li>– Each Scheme shall have a separate portfolio</li> <li>– Any Investment relating to maturity mismatch will be made in treasury bills, commercial paper, certificates of deposit and CBLOs (Collateralised Borrowing and Lending Obligation).</li> </ul> <p>Further, in the event of any deviations below the minimum limits or beyond the maximum limits as specified in the intended portfolio allocation table and subject to the notes mentioned hereinabove, a review of the asset allocation will be called by the Investment Manager and rebalancing of the portfolio will be done as specified in the table mentioned below:</p> <table border="1" data-bbox="384 1200 1513 1308"> <thead> <tr> <th data-bbox="384 1200 831 1249">Tenure of the Scheme</th> <th data-bbox="831 1200 1513 1249">Rebalancing Period from the date of deviation</th> </tr> </thead> <tbody> <tr> <td data-bbox="384 1249 831 1308">More than 6 months</td> <td data-bbox="831 1249 1513 1308">30 days</td> </tr> </tbody> </table> <p>Where the portfolio is not rebalanced within the period as mentioned in the above table, justification for the same shall be placed before the Investment Committee and reasons for the same shall be recorded in writing. The Investment committee shall then decide on the course of action. However, at all times the portfolio will adhere to the overall investment objectives of the Scheme. 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>Pending deployment of funds of the Schemes, the AMC may invest funds of the Schemes in short-term deposits of scheduled commercial banks, subject to the following conditions issued by SEBI vide its circular SEBI/IMD/CIR No.1/91171/07 dated April 16, 2007:</p> <p>The Schemes shall invest in various securities/ instruments as mentioned below with the ratings mentioned against the type of instrument. As per the regulations, the Scheme(s) is allowed to invest within a range of 5% of the intended allocation (floor and cap) against each sub asset class/credit rating. The intended allocation shall be provided at the time of launch of the respective Scheme.</p> <p><b>Additional Disclosures as per SEBI Circular No. Cir/IMD/DF/12/2011 dated August 01, 2011:</b></p> <p>The Scheme shall invest in securities as indicated below in accordance with SEBI Circular No. Cir/IMD/DF/12/2011 dated August 01, 2011. The Scheme shall disclose the floors and ceilings within a range of 5% of the intended allocation (in %) against each sub asset class/credit rating at the time of the launch of the Scheme as per the Table given below. There will not be any difference between intended asset allocation and actual asset allocation at the time of launch of the scheme.</p>			Instrument	Indicative allocation (% of Net Assets) (Minimum - Maximum)	Risk Profile	Debt Securities	80% - 100%	Low to Medium	Money market Securities/Instruments	0% - 10%	Low to Medium	Tenure of the Scheme	Rebalancing Period from the date of deviation	More than 6 months	30 days
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**Intended Portfolio Allocation for Indiabulls FMP - Series V - (Plan 1) - 1175 Days**

	Credit Rating (%) A1+ **	Credit Rating (%) AAA *	Credit Rating (%) AA*	Credit Rating (%) A*	Credit Rating (%) BBB*	Credit Rating (%) Not Applicable
Certificate of Deposits (CD)	0-10	NA	NA	NA	NA	NIL
Commercial Papers (CP)	0-10	NA	NA	NA	NA	NIL
Non-Convertible Debentures (NCDs)/Bonds	NA	0-50	20-100	40-90	NIL	NIL
Bills Re-discounting Scheme (BRDS)	NA	NA	NA	NA	NIL	NIL
Cash & Cash Equivalent (CBLO/Reverse Repo)	NA	NA	NA	NA	NA	0-10
Mutual Fund Units	NA	NA	NA	NA	NA	NA

\* for long term debt instruments

\*\*for short term debt instruments

**Notes:**

- 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.
- The total exposure of Schemes towards BRDS shall not exceed 10% of the net assets of the Scheme.
- Further, the Schemes shall not invest more than 10% of its NAV in any unrated debt instruments issued by a single issuer and the total investment in such instruments shall not exceed 25% of the NAV of the scheme. All such investments shall be made with the prior approval of the Board of Trustees and the Board of Asset Management Company.
- Securities with Rating AA will include AA+ and AA-, Similarly, securities with Ratings A1+ will include A1.

There would be no variation between the intended portfolio and the final portfolio, subject to the following:

- Positive variation in investment towards higher credit rating in the same instrument may be allowed.
- The order of risk-reward in instrument categories could be considered as Certificate of Deposits (CD) being of lower risk compared to Commercial Papers (CPs)/ Non – Convertible Debentures (NCDs). The Investment Manager may deploy funds in CDs (with highest rating category i.e. A1+) and/or Collateralized Borrowing and Lending Obligation (CBLO) and/or Reverse Repurchase (RREPO), in case CPs/ NCDs/Bonds, are not available or the Investment Manager is of the view that the risk-reward is not in favor of the Unit holders. Such deviation will exist till suitable NCDs/CPs/Bonds of desired credit quality are not available.  
Similarly, the Investment Manager may deploy funds in CBLO and/or RREPO, in case CDs are not available or the Investment Manager is of the view that the risk-reward is not in favor of the Unit holders. Such deviation will exist till suitable CDs of desired credit quality is not available.
- 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 schemes of Indiabulls Mutual Fund and/any other mutual Fund in terms of applicable regulations, for temporary period.

**Investment Strategy**

The Investment Manager will invest in those debt securities that are rated investment grade by a domestic credit rating agency authorised to carry out such activity, such as CRISIL, ICRA, CARE etc. Where investment in unrated debt securities is sought to be made, specific approval of the Board of Directors of the AMC and Trustee shall be obtained prior to the investment. In-house research by the Investment Manager will emphasize on credit analysis, in order to determine credit risk. The Scheme will invest only in such securities which mature on or before the scheduled maturity date.

**Risk Profile of the Scheme**

Mutual Fund Units involve Investment risks including the possible loss of principal. Please read the SID carefully for details on risk factors before investment. Scheme specific Risk Factors are summarized below:

	<p>The scheme carries risks associated with investing in debt and money market securities, securitized debt. Investment in mutual fund units involves investment risks such as trading volumes, settlement risk, liquidity risk and default risk. Trading volume may restrict liquidity. AMC may choose to invest in unlisted securities which may increase the risk on the portfolio. Investments in debt and money market instruments are subject to interest rate risk, basis risk, credit risk, spread risk, pre-payment risk etc. Please refer to SID for further details.</p>
<b>Risk Mitigation</b>	<p>The asset allocation of the Scheme will be steadily monitored and it shall be ensured that investments are made in accordance with the scheme objective and within the regulatory and internal investment restrictions prescribed from time to time.</p> <p>A detailed monitoring process has been designed to identify measure, monitor and manage portfolio risk. The aim is to have a structured mechanism towards risk management thereby maximizing potential opportunities and minimizing the adverse effects of risk. Effective risk management is crucial for achieving optimum results. Adequate safeguards would be incorporated in the portfolio management process. The main instrument for reducing risk is through diversification across sectors/companies/ securities. The Fund Manager's job is to identify securities which offer higher returns with a lower level of risk. While identifying such securities, rigorous credit evaluation would be carried out by the investment team. The front office system of the AMC has the capability of pre- investment monitoring of investment restrictions as per SEBI guidelines and various internal limits prescribed from time to time to facilitate pre-emptive monitoring. The AMC will be guided by the ratings of Credit Rating Agencies authorized to carry on such activity. Further various risk management tools will be used for measuring and monitoring portfolio risks.</p>
<b>Plans/Options</b>	<p>The Scheme offers following two plans for investment across a common portfolio:</p> <p>Sub-Plans: The Scheme offers following two sub-plans for investment into the Scheme:</p> <p><b>A. Direct:</b> This Sub-Plan is suitable for investors who wish to invest directly in the scheme without routing their investment through any distributor. Direct shall have lower expense ratio compared to Regular and no commission shall be paid out of the Direct.</p> <p><b>B. Regular:</b> This Sub-Plan is suitable for investors who wish to invest in the Scheme through any distributor. This Sub-Plan shall have higher expense ratio compared to the Direct and distributor commission may be paid out of this Sub-Plan.</p> <p>Direct and Regular shall have separate NAVs. However, there will be a common portfolio for both sub-plans. The various options available under Direct and Regular and the salient features common to both plans are given below:</p> <p><b>Options:</b> The Scheme has the following Options across a common portfolio:</p> <ul style="list-style-type: none"> <li>– Growth Option: This option is suitable for investors who are not looking for current income but who invest only with the intention of capital appreciation. However, there can be no assurance of the capital appreciation.</li> <li>– Dividend Option: This option is suitable for investors seeking income through dividend declared by the Scheme. Under this Option, the Scheme will endeavour to declare dividends from time to time. The dividend shall be dependent on the availability of distributable surplus.</li> </ul> <p>The Dividend option has the following facilities:</p> <ul style="list-style-type: none"> <li>– Quarterly Dividend Transfer Facility</li> <li>– Quarterly Dividend Pay-out Facility</li> <li>– Annual Dividend Transfer Facility</li> <li>– Annual Dividend Pay-out Facility</li> </ul> <p>In cases where the investor fails to opt for a particular Sub-Plan at the time of investment, the default Sub-Plan will be Direct.</p> <p>In cases where the investor fails to opt for a particular Option at the time of investment, the default Option will be Growth. If the investor chooses Dividend Option and fails to mention facility then the default facility will be Pay-out.</p>

	<p>Uniform disclosure on treatment of applications under "Direct" / "Regular" Sub-Plans:</p> <table border="1"> <thead> <tr> <th>Scenario</th> <th>Broker Code mentioned by the investor</th> <th>Plan mentioned by the investor</th> <th>Default Sub-Plan to be captured</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>Not mentioned</td> <td>Not mentioned</td> <td>Direct Sub-Plan</td> </tr> <tr> <td>2</td> <td>Not mentioned</td> <td>Direct Sub-Plan</td> <td>Direct Sub-Plan</td> </tr> <tr> <td>3</td> <td>Not mentioned</td> <td>Regular Sub-Plan</td> <td>Direct Sub-Plan</td> </tr> <tr> <td>4</td> <td>Mentioned</td> <td>Direct Sub-Plan</td> <td>Direct Sub-Plan</td> </tr> <tr> <td>5</td> <td>Direct Sub-Plan</td> <td>Not Mentioned</td> <td>Direct Sub-Plan</td> </tr> <tr> <td>6</td> <td>Direct Sub-Plan</td> <td>Regular Sub-Plan</td> <td>Direct Sub-Plan</td> </tr> <tr> <td>7</td> <td>Mentioned</td> <td>Regular Sub-Plan</td> <td>Regular Sub-Plan</td> </tr> <tr> <td>8</td> <td>Mentioned</td> <td>Not Mentioned</td> <td>Regular Sub-Plan</td> </tr> </tbody> </table> <p>In cases of wrong/ invalid/ incomplete ARN codes mentioned on the application form, the application shall be processed under Regular Sub-Plan. The AMC shall contact and obtain the correct ARN code within 30 calendar days of the receipt of the application form from the investor/ distributor. In case, the correct code is not received within 30 calendar days, the AMC shall reprocess the transaction under Direct Sub-Plan from the date of application without any exit load.</p>	Scenario	Broker Code mentioned by the investor	Plan mentioned by the investor	Default Sub-Plan to be captured	1	Not mentioned	Not mentioned	Direct Sub-Plan	2	Not mentioned	Direct Sub-Plan	Direct Sub-Plan	3	Not mentioned	Regular Sub-Plan	Direct Sub-Plan	4	Mentioned	Direct Sub-Plan	Direct Sub-Plan	5	Direct Sub-Plan	Not Mentioned	Direct Sub-Plan	6	Direct Sub-Plan	Regular Sub-Plan	Direct Sub-Plan	7	Mentioned	Regular Sub-Plan	Regular Sub-Plan	8	Mentioned	Not Mentioned	Regular Sub-Plan
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<b>Option to Hold Units in Dematerialised Form</b>	<p>The Unit holders are given an Option to hold the units in Physical form (by way of an Account Statement) or Dematerialized ('Demat') form. The Applicants intending to hold the Units in dematerialized mode will be required to have a beneficiary account with a DP of the NSDL/CDSL and will be required to mention the DP's Name, DP ID No. and Beneficiary Account No. with the DP in the application form at the time of subscription/ additional purchase of the Units of the scheme.</p> <p>Further, investors also have an option to convert their physical holdings into the dematerialized mode at a later date. Each Option held in the dematerialized form shall be identified on the basis of an International Securities Identification Number (ISIN) allotted by National Securities Depositories Limited (NSDL) and Central Depository Services Limited (CDSL). The ISIN No. details of the respective option can be obtained from your Depository Participant (DP) or you can access the website link <a href="http://www.cdslindia.com">www.cdslindia.com</a>. The holding of units in the dematerialized mode would be subject to the guidelines/ procedural requirements as laid by the Depositories viz. NSDL/CDSL from time to time.</p>																																				
<b>Applicable NAV (after the initial allotment)</b>	<p>The NAV at which Units will be compulsorily redeemed on maturity of the Schemes. The units of the respective Plan(s) will not be available for Subscriptions/ switch-in after the closure of NFO period. Units of the scheme cannot be redeemed (including switch-outs &amp; switching) by the investors directly with the Fund until the Maturity Date/ Final Redemption Date. Investors wishing to enter/ exit may do so by buying/selling their units through stock exchanges.</p> <table border="1"> <thead> <tr> <th>Purchase (During NFO only)</th> <th>Additional Purchase (Subsequent purchase)</th> <th>Redemption</th> </tr> </thead> <tbody> <tr> <td>Rs. 5000 and in multiple of Re. 1 thereafter</td> <td>Not Applicable</td> <td>Not Applicable</td> </tr> </tbody> </table>	Purchase (During NFO only)	Additional Purchase (Subsequent purchase)	Redemption	Rs. 5000 and in multiple of Re. 1 thereafter	Not Applicable	Not Applicable																														
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<b>Facilities offered during the NFO</b>	<p>During the NFO the investors can subscribe to the Units of a Fund under the ASBA facility. Under the ASBA facility, the amount towards subscription of the Units shall be blocked in the bank accounts of the applicants as mandated till the allotment of Units. For details regarding the procedure for applying through the ASBA facility, please refer SAI.</p>																																				
<b>Dispatch of Redemption Request</b>	<p>Within 10 working days of the maturity of the scheme.</p>																																				
<b>Benchmark Index</b>	<p>CRISIL Composite Bond Index</p>																																				

<b>Dividend Policy</b>	The Trustee will endeavor to declare the Dividend, subject to availability of distributable surplus calculated in accordance with the Regulations. The actual declaration of Dividend and frequency will inter-alia depend on availability of distributable surplus calculated in accordance with SEBI (MF) Regulations and the decisions of the Trustee shall be final in this regard. There is no assurance or guarantee to the unit holders as to the rate of Dividend nor that will the Dividend be paid regularly.																																				
<b>Name of the Fund Manager</b>	Mr. Malay Shah																																				
<b>Name of the Trustee Company</b>	Indiabulls Trustee Company Limited																																				
<b>Performance of the Scheme</b>	This Scheme is a new scheme and does not have any performance track record.																																				
<b>Expenses of the Scheme</b> <b>i. Load Structure</b>	<p>Entry Load: Not Applicable, Exit Load: Nil.</p> <p>SEBI vide its circular no. SEBI/IMD/CIR No. 4/ 168230/09 dated June 30, 2009 has decided that there shall be no entry Load for all Mutual Fund Schemes. The upfront commission on investment made by the investor, if any, shall be paid to the ARN Holder (AMFI registered Distributor) directly by the investor, based on the investor's assessment of various factors including service rendered by the ARN Holder.</p>																																				
<b>Expenses of the Scheme</b> <b>ii. Recurring Expenses (% of the Average Weekly Net Assets)</b>	<table border="1"> <thead> <tr> <th><b>Expense Head</b></th> <th><b>% of daily Net Assets</b></th> </tr> </thead> <tbody> <tr> <td>(a) Investment Management and Advisory Fees</td> <td>Upto 2.25%</td> </tr> <tr> <td>(b) Trustee fee</td> <td></td> </tr> <tr> <td>(c) Audit fees</td> <td></td> </tr> <tr> <td>(d) Custodian fees</td> <td></td> </tr> <tr> <td>(e) RTA Fees</td> <td></td> </tr> <tr> <td>(f) Marketing &amp; Selling expense incl. agent commission</td> <td></td> </tr> <tr> <td>(g) Cost related to investor communications</td> <td></td> </tr> <tr> <td>(h) Cost of fund transfer from location to location</td> <td></td> </tr> <tr> <td>(i) Cost of providing account statements and dividend redemption cheques and warrants</td> <td></td> </tr> <tr> <td>(j) Costs of statutory Advertisements</td> <td></td> </tr> <tr> <td>(k) Cost towards investor education &amp; awareness (at least 2 bps)</td> <td></td> </tr> <tr> <td>(l) Brokerage &amp; transaction cost over and above 12 bps for cash market trades.</td> <td></td> </tr> <tr> <td>(m) Service tax on expenses other than investment and advisory fees</td> <td></td> </tr> <tr> <td>(n) Service tax on brokerage and transaction cost</td> <td></td> </tr> <tr> <td>(o) Other Expenses</td> <td></td> </tr> <tr> <td>Maximum total expense ratio (TER) permissible under Regulation 52 (6) (c) (i) and (6) (a)*</td> <td>Upto 2.25%</td> </tr> <tr> <td>Additional expenses for gross new inflows from specified cities**</td> <td>Upto 0.30%</td> </tr> </tbody> </table> <p>The Annual Scheme Recurring Expenses as mentioned in the Table above shall be charged according to the following slabs:</p> <p>On the first Rs. 100 crores of the average weekly net assets – 2.75%  On the next Rs. 300 crores of the average weekly net assets – 2.50%  On the next Rs. 300 crores of the average weekly net assets – 2.25%  On the balance of the assets – 2.00%</p>	<b>Expense Head</b>	<b>% of daily Net Assets</b>	(a) Investment Management and Advisory Fees	Upto 2.25%	(b) Trustee fee		(c) Audit fees		(d) Custodian fees		(e) RTA Fees		(f) Marketing & Selling expense incl. agent commission		(g) Cost related to investor communications		(h) Cost of fund transfer from location to location		(i) Cost of providing account statements and dividend redemption cheques and warrants		(j) Costs of statutory Advertisements		(k) Cost towards investor education & awareness (at least 2 bps)		(l) Brokerage & transaction cost over and above 12 bps for cash market trades.		(m) Service tax on expenses other than investment and advisory fees		(n) Service tax on brokerage and transaction cost		(o) Other Expenses		Maximum total expense ratio (TER) permissible under Regulation 52 (6) (c) (i) and (6) (a)*	Upto 2.25%	Additional expenses for gross new inflows from specified cities**	Upto 0.30%
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	<p>The Direct Plan shall have lower expense ratio compared to the Regular Plan and no commission shall be paid out of the Direct Plan. The Direct Sub-Plan shall have lower expense ratio compared to the Regular Sub-Plan and no commission shall be paid out of the Direct Sub-Plan. The current expense ratios will be updated on the AMC website viz. <a href="http://www.indiabullsamc.com">www.indiabullsamc.com</a> within two working days mentioning the effective date of the change.</p>	
<b>Transaction Charges</b>	<p>In accordance with SEBI Circular No. Cir/IMD/DF/13/2011 dated August 22, 2011 the following are the terms and conditions relating to Transaction Charges:</p> <ol style="list-style-type: none"> <li>1. The Distributor (who have opted in based on type of product) would be allowed to charge the Mutual Fund Investor a Transaction Charge where the amount of investment is Rs. 10,000/- and above per subscription.</li> <li>2. For existing investors in a Mutual Fund, the Transaction Charge allowed will be Rs. 100/- per subscription of Rs. 10,000/- and above. For a first-time investor in a Mutual Fund, the Transaction Charge allowed will be Rs. 150/- per subscription of Rs. 10,000/- and above.</li> <li>3. The Transaction Charge, where applicable based on the above criteria, will be deducted by the AMC from the subscription amount remitted by the Investor and paid to the distributor; and the balance (net) amount will be invested in the Scheme. Thus units will be allotted against the net investment.</li> <li>4. No Transaction charges shall be levied: <ol style="list-style-type: none"> <li>a) Where the investor purchases the Units directly from the Mutual Fund.</li> <li>b) Where the amount of investment is below Rs. 10,000/- per subscription.</li> <li>c) On transactions other than purchases/ subscriptions relating to new in-flows, Switch-in/Transfer/ Transmission of units/Allotment of Bonus Units /Dividend Pay- out. Units will not be considered as subscription for the purpose of levying the transaction charge.</li> </ol> </li> <li>5. The terms and conditions relating to transaction charges shall be part of the application form in bold print.</li> <li>6. The statement of account shall clearly state that the net investment as gross subscription less transaction charge and give the number of units allotted against the net investment. The transaction charges are in addition to the existing system of commission permissible to the Distributors. The transaction charges will be compliant with SEBI Circular dated August 22, 2011. The Investor is requested to check the prevailing Load structure and Transaction charges of the Scheme before investing.</li> </ol>	
<b>Tax Treatment for the Investors (Unitholders)</b>	<p>Investors are advised to refer to the paragraph on Taxation in the 'Statement of Additional Information' and to consult their own tax advisors with respect to their tax liability and other implications arising out of their participation in the scheme.</p>	
<b>Daily Net Asset Value (NAV) Publication</b>	<p>The NAV will be declared for all business days and will be published in 2 newspapers, NAV can also be viewed on <a href="http://www.indiabullsamc.com">www.indiabullsamc.com</a> and <a href="http://www.amfiindia.com">www.amfiindia.com</a>. You may also call 1-800-200-7777 (toll free no.)</p>	
<b>For Investor Grievances please contact</b>	<p>Name and Address of Registrar  Karvy Computershare Private Limited,  8-2-596 Karvy Plaza, Avenue 4, Street No.1 ,  Banjara Hills, Hyderabad - 500 034  Tel 040-23312454, Fax: 040-23311968.  Website: <a href="https://www.karvymfs.com">https://www.karvymfs.com</a></p>	<p>Ms. Nishima Avasthi  Investor Relations Officer,  11th Floor, Tower-1, Indiabulls Finance Centre,  Elphinstone Mills Compound, Senapati Bapat Marg,  Elphinstone (W), Mumbai - 400 013  Toll free no. 1-800-200-7777  Investor care number 022- 61891373</p>
<b>Unitholders Information</b>	<p><b>Account Statements:</b>  An account statement reflecting the number of Units allotted shall be dispatched to the Unit Holder by ordinary post/courier/electronic mail within the following periods. In case of Unit holder who have provided their e-mail address the Fund will provide the Account Statement only through e-mail message, subject to Regulations and unless otherwise required, not later than 5 business days from the close of the NFO Period.  Consolidated Account Statement:</p>	



However, in accordance with SEBI Circular No. Cir/ IMD/ DF/ 16 / 2011 dated September 08, 2011 a consolidated account statement for each calendar month is issued to the investors in whose folios transactions has taken place during that month.

**Half - Yearly Portfolio Disclosures:**

The Mutual Fund and AMC shall publish the Scheme Portfolio within one month from the close of each half year (i.e. 31st March and 30th September), by way of an advertisement at least, in one National English daily and one regional newspaper in the language of the region where the head office of the Mutual Fund is located.

It will also be displayed on the website of the AMC ([www.indiabullsamc.com](http://www.indiabullsamc.com)) and AMFI ([www.amfindia.com](http://www.amfindia.com)).

**Half-Yearly Unaudited Scheme Financial Results:**

The Mutual Fund and AMC shall within one month from the close of each half year i.e. 31st March and on 30th September, publish an advertisement disclosing the hosting of Unaudited Scheme Financial Results on their website, in atleast one national English daily newspaper and in a regional newspaper published in the language of the region where the Head Office of the Mutual Fund is situated.

It will also be displayed on the website of the AMC ([www.indiabullsamc.com](http://www.indiabullsamc.com)) and AMFI ([www.amfindia.com](http://www.amfindia.com)).

**Annual Report:**

The Scheme wise Annual Report or an abridged summary thereof shall be mailed (emailed, where e-mail id is provided unless otherwise required) to all Unit holders not later than four months (or such other period as may be specified by SEBI from time to time) from the date of closure of the relevant accounting year (i.e. 31st March each year) and full annual report shall be available for inspection at the Head Office of the Mutual Fund and a copy shall be made available to the Unit holders on request on payment of nominal fees, if any.

It will also be displayed on the website of the AMC ([www.indiabullsamc.com](http://www.indiabullsamc.com)).

# Indiabulls FMP - Series V - (Plan 1) - 1175 Days

Fill the form in BLOCK letters only | Leave one space between words

# Indiabulls

## MUTUAL FUND

1	Distributor ARN Code	Sub-Distributor ARN Code	Internal Sub-Broker / Employee Code	EUIIN	Application No.
					F

Up front commission shall be paid directly by the investor to the AMFI registered distributor based on the investor's assessment of various factors including the service rendered by the distributor.

I/We, hereby confirm that the EUIIN box has been intentionally left blank by me/us as this is an "execution-only" transaction without any interaction or advice by the employee/relationship manager/sales person of the above distributor or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor and the distributor has not charged any advisory fees on this transaction.

Sign Here	Sign Here	Sign Here
First / Sole Applicant /Guardian POA	Second Applicant	Third Applicant

### Transaction charges for applications through distributors only

I confirm that I am a first time investor across Mutual Funds. (₹ 150/- will be deducted as Transaction Charges for Transaction of ₹ 10,000/- and more)  
 I confirm that I am an existing investor across Mutual Funds. (₹ 100/- will be deducted as Transaction Charges for Transaction of ₹ 10,000/- and more)

## 2 EXISTING UNIT HOLDER INFORMATION For existing Investors please fill in your folio number

Name  FIRST  MIDDLE  LAST  Folio No

## 3 APPLICANT(S) INFORMATION Refer Instruction No II

1st Applicant Name  FIRST  MIDDLE  LAST  DOB  D  D  M  M  Y  Y  Y  Y

PAN/PEKRN  PAN Proof Enclosed please  KYC Proof Enclosed please

Gross Annual Income (Rs.) [Please tick (✓)]  Below 1 Lac  1-5 Lacs  5-10 Lacs  10-25 lacs  >25 Lacs-1Crore  >1 Crore

OR  
Net-worth (Mandatory for Non-Individuals) Rs.  as on  D  D  M  M  Y  Y  Y  Y (Not older than 1 year)

Politically Exposed Person (PEP) Status (Also applicable for authorised signatories/Promoters/Karta/Trustee/Whole time Directors)  I am PEP  I am Related to PEP  N/A

Guardian (In case of Minor) / POA Holder Name  FIRST  MIDDLE  LAST

Relationship  PAN  PAN Proof Enclosed please  KYC Proof Enclosed please

Mode of holding please   Single  Joint  Anyone or Survivor(s) (Default Option - Joint)

Occupation please   Business  Professional  Service  Retired  Student  House wife  Others  SPECIFY

### FATCA INFORMATION (1st Applicant/Non-Individual)

Country of Birth/Registration  Country of citizenship / Nationality:  India  USA Other (please specify)

Country of Tax Residency:  India  USA Other (please specify)  Tax Reference Number

Status please   Resi Individual  FII's  Society  AOP/BOI  Banks  FIs  Trust  Company/Corporate Body  
 Partnership Firm  HUF  Minor  NRI Repatriable  NRI Non-Repatriable  PIO  Others  SPECIFY

Non-Individual Investor involved / providing any of the mentioned services  Foreign Exchange / Money Changer Services  Money lending / Pawning  
 (All Non-Individual Investors have to MANDATORILY fill UBO Declaration Form)  Gaming / Gambling / Lottery / Casino Services  None of the above

### Mailing Address - 1st Applicant / Guardian / Corporate

ADDRESS LINE 1

ADDRESS LINE 2  CITY  STATE  COUNTRY  PIN CODE

### Overseas Address - Mandatory for NRI / FII/ PIO Applicant, Please provide your complete address. PO Box alone is not adequate

ADDRESS LINE 1

ADDRESS LINE 2  CITY  STATE  COUNTRY  PIN CODE

### Contact Details of SOLE / FIRST Applicant

STD Code  Residence  Office  Mobile No  +91

Email Id  Contact Person (in case of corporate)

Mode of Correspondence: Where the Investor has provided his e-mail id, the AMC shall send all communication to the investor via e-mail. Investors who wish to receive correspondence through physical mode instead of email are requested to tick (✓). Email communication will help save paper & planet.

I / We wish to receive communication through physical mode in lieu of email  I / We don't wish to receive consolidated account statement (CAS)

### 2nd Applicant (Second Applicant not allowed in case of minor as First / Sole applicant)

Name  FIRST  MIDDLE  LAST  DOB  D  D  M  M  Y  Y  Y  Y

PAN/PEKRN  PAN Proof Enclosed please  KYC Proof Enclosed please

Gross Annual Income (Rs.) [Please tick (✓)]  Below 1 Lac  1-5 Lacs  5-10 Lacs  10-25 lacs  >25 Lacs-1Crore  >1 Crore

Occupation Details [Please tick (✓)]  Service  Private Sector  Public Sector  Government Service  Student  Professional

Housewife  Business  Retired  Agriculture  Proprietorship  Others  (please specify)

### FATCA INFORMATION (2nd Applicant/Non-Individual)

Country of Birth/Registration  Country of citizenship / Nationality:  India  USA Other (please specify)

Country of Tax Residency:  India  USA Other (please specify)  Tax Reference Number

Politically Exposed Person (PEP) Status (Also applicable for authorised signatories/Promoters/Karta/Trustee/Whole time Directors)  I am PEP  I am Related to PEP  N/A

### Acknowledgement

Received from Mr / Ms / M/s  an application for allotment of units under Indiabulls FMP - Series V - (Plan 1) - 1175 Days as per the details below.

Sub Plan  Direct  Regular APPLICATION NO. F

Options  Growth  Dividend ( Payout  Transfer)

TIME STAMP & DATE OF RECEIVING OFFICE

**3rd Applicant** ( Third Applicant not allowed in case of minor as First / Sole applicant )

Name    FIRST MIDDLE LAST DOB

PAN/PEKRN  PAN Proof Enclosed please  KYC Proof Enclosed please

Gross Annual Income (Rs.) [Please tick (✓)]  Below 1 Lac  1-5 Lacs  5-10 Lacs  10-25 lacs  >25 Lacs-1Crore  >1 Crore

Occupation Details [Please tick (✓)]  Service  Private Sector  Public Sector  Government Service  Student  Professional  
 Housewife  Business  Retired  Agriculture  Proprietorship  Others \_\_\_\_\_ (please specify)

Politically Exposed Person (PEP) Status (Also applicable for authorised signatories/Promoters/Karta/Trustee/Whole time Directors)  I am PEP  I am Related to PEP  N/A  
 Are you a Citizen/Tax Resident of any country other than India ?  Yes  No (Default) If yes ,please specify country/(ies) \_\_\_\_\_

If you are a Citizen/Tax Resident of the USA, please also fill FATCA form (Individuals).All Non Individual Investors have to MANDATORILY fill UBO Declaration Form.

**4 DEMAT ACCOUNT DETAILS OF FIRST APPLICANT (Refer Instruction No IV) (Optional)**

NSDL please  Depository Participant (DP) ID  Beneficiary Account Number

CDSL please  Depository Participant (DP) ID

**5 BANK ACCOUNT DETAILS (Refer Instruction No V) MANDATORY for Redemption / Dividend / Refunds, if any**

A/c Type please (✓)  SB  Current  NRO  NRE A/c Number

Bank Name  Branch  City

PIN Code  11 Digit IFSC Code  9 Digit MICR Code

If MICR and IFSC code for Redemption/Dividend/ Payout is available all payouts will be automatically processed as Electronic Payout - RTGS/NEFT/Direct Credit/NECS.

**6 INVESTMENT & PAYMENT DETAILS (Separate Application Forms are required for investment in each Sub Plan / Option)**

(Refer Instruction No VI) PAYMENT BY CASH IS NOT PERMITTED. Cheque should be made in favour of Indiabulls FMP - Series V - (Plan 1) - 1175 Days.

Scheme Name: Indiabulls FMP Series V - (Plan 1) - 1175 Days

SUB PLAN:  Direct  Regular OPTIONS:  Growth  Dividend  Payout  Transfer

<b>LUMP SUM</b>	Payment Mode: <b>Please (✓)</b> <input type="checkbox"/> Cheque <input type="checkbox"/> DD <input type="checkbox"/> RTGS <input type="checkbox"/> NEFT <input type="checkbox"/> Fund Transfer
	Cheque / DD / RTGS / NEFT/FT No. <input type="text"/> Cheque / DD / RTGS / NEFT Date <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
	Amount in ₹ (Figures) <input type="text"/> Amount in ₹ (words) <input type="text"/>
	Source Bank Name <input type="text"/> Source Branch <input type="text"/>
	Source Bank A/C No. <input type="text"/> Account Type <input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> NRE <input type="checkbox"/> NRO <input type="checkbox"/> FCNR
	Cheque Issuer Name <input type="text"/> In case the cheque is issued by a person other than the investor
	Document attached in the case of third party payments <input type="checkbox"/> Proof / Bank Certificate for DD <input type="checkbox"/> Third Party Declarations

**7 NOMINATION Mandatory for single mode of holding (Please ✓, Refer Instruction No VIII)**

I / We wish to nominate  I / We do not wish to nominate

I / We do hereby nominate the person(s) more particularly described here under / and\* / cancel the nomination made by me / us.

Name & Address of the Nominee(s)	Name & Address of Guardian <i>Incase Nominee is a Minor</i>	Date of Birth (Minor)	Proportion(%) by which the units will be shared by each Nominee <i>(Should aggregate to 100%)</i>	Signature of Nominee / Guardian of Nominee (Optional)

Sole / 1st Applicant / Guardian / Authorised Signatory/POA

2nd Applicant / Authorised Signatory/POA

3rd Applicant / Authorised Signatory/POA

**8 DECLARATION**

I/We would like to invest in Indiabulls FMP - Series V - (Plan 1) - 1175 Days subject to terms of the Statement of Additional Information (SAI), Scheme Information Document (SID), Key Information Memorandum (KIM) and subsequent amendments thereto. I/We have read, understood (before filling application form) and is/are bound by the details of the SAI, SID & KIM including details relating to various services. I/We have not received nor been induced by any rebate or gifts, directly or indirectly, in making this investment. I/We declare that the amount invested in the Scheme is through legitimate sources only and is not designed for the purpose of contravention or evasion of any Act / Regulations / Rules / Notifications / Directions or any other Applicable Laws enacted by the Government of India or any Statutory Authority. I accept and agree to be bound by the said Terms and Conditions including those excluding/limiting the IBMF Limited liability. I understand that the IBMF may, at its absolute discretion, discontinue any of the services completely or partially without any prior notice to me. In event "Know Your Customer" process is not completed by me /us to the satisfaction of the mutual fund. (I/We hereby authorize the mutual fund, to redeem the funds invested in the scheme, in favour of the applicant, at the applicable NAV prevailing on the date of such redemption and undertake such other action with such funds that may be required by the law).I/We hereby declare that I/we do not have any existing Micro SIP's which together with the current application will result in a total investments exceeding Rs 50000/- in a financial year. 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. I hereby declare that the above information is given by the undersigned and particulars given by me/us are correct and complete.

I/We hereby confirm that I/We have not been offered / communicated any indicative portfolio and / or any indicative yield by the Fund / AMC/ Its Distributor Investment

**APPLICABLE FOR NRI INVESTORS ONLY:** I confirm that I am resident of India. 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 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/FCNR Account. I am /We are not prohibited from accessing capital markets under any order/ruling/judgment etc., of any regulation, including SEBI.

I/We confirm that my application is in compliance with applicable Indian and foreign laws

Sole/1st Applicant/Guardian/Authorised Signatory/POA

2nd Applicant/Authorised Signatory/POA

3rd Applicant/Authorised Signatory/POA

Please address all future communications in connection with this application to the Registrar and Transfer Agent of the scheme:

**Karvy Computershare Pvt. Ltd.**  
 Karvy Computershare Private Limited,  
 KARVY CENTRE, 8-2-609/K,  
 Avenue 4, Street No.1,  
 Hyderabad 500034.  
 Email ID: indiabullsunit@karvy.com

**Indiabulls Asset Management Company Ltd.**  
 Indiabulls House,  
 Indiabulls Finance Centre, 11th Floor,  
 Senapati Bapat Marg, Elphinstone (West),  
 Mumbai - 400 013.  
 Email ID: customercare@indiabullsamc.com

INDIABULLS ASSET MANAGEMENT COMPANY LIMITED (CIN: U65991DL2008PLC176627)

**Corporate Office:**

11<sup>th</sup> Floor, Tower - 1, Indiabulls Finance Centre, Elphinstone Mills Compound, Senapati Bapat Marg, Elphinstone (W), Mumbai - 400 013. Phone number: 022 - 6189 1300 Fax number: 022 - 6189 1320

**E-Mail:** customercare@indiabullamc.com **Website:** www.indiabullamc.com



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

**PAYMENTS BY: Parent/Grand-Parents/Related Persons Other than the Registered Guardian**

Payments to: **To a Minor Folio only**; In consideration of: **Natural love and affection or as a gift only** | Maximum Value: **Not Exceeding Rs 50,000/-** (each regular purchase)

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

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

**Declaration and Signatures:**

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

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

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

**Instrument Details:**

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

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

Bank Account No.		Account Type	
Account Holder Details	Name of account holder	Income Tax PAN	
First holder			
Second holder			
Third holder			

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

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

Under the Regulator	NAME OF THE REGULATOR
In the Country	COUNTRY NAME
Registration No.	REGISTRATION NUMBER

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

**Branch Manager/Declarant(s)**

Name \_\_\_\_\_  
Address \_\_\_\_\_  
City \_\_\_\_\_ State \_\_\_\_\_ PIN code \_\_\_\_\_  
Country \_\_\_\_\_ Contact Number: \_\_\_\_\_

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

Signature:

Bank & Branch Seal: \_\_\_\_\_



**APPLICATION SUPPORTED BY BLOCKED AMOUNT (ASBA)**



Date \_\_\_\_\_ Application No. **F**

To be Submitted to Self Certified Syndicate Bank (SCSB)

BROKER / AGENT INFORMATION					FOR OFFICE USE ONLY	
Broker Stamp & ARN Code	Sub Broker Code	EUIN No.	SCB	SCB IFSC Code	Syndicate Member Stamp & Code	SCB Branch Sr No.

**APPLICANT'S DETAILS as available in DEMAT ACCOUNT**

**1st Applicant**  
 Name  Mr  Ms  M/s FIRST MIDDLE LAST PAN \_\_\_\_\_

**2nd Applicant**  
 Name  Mr  Ms  M/s FIRST MIDDLE LAST PAN \_\_\_\_\_

**3rd Applicant**  
 Name  Mr  Ms  M/s FIRST MIDDLE LAST PAN \_\_\_\_\_

**Contact Details of SOLE / FIRST Applicant**

STD Code \_\_\_\_\_ Residence \_\_\_\_\_ Office \_\_\_\_\_

Mobile No \_\_\_\_\_ Email Id \_\_\_\_\_

**DEPOSITORY ACCOUNT DETAILS Mandatory Refer Instruction No**

Depository Name *Please ✓*  National Securities Depository Ltd  Central Securities Depository (India) Ltd

DP-ID  I  N \_\_\_\_\_ 16 digit beneficiary account number to be mentioned above

Beneficiary Account Details \_\_\_\_\_

**INVESTMENT DETAILS**

Scheme **Indiabulls FMP - Series V - (Plan 1) - 1175 Days**  
 (Please ✓)

Sub Plan:  Direct  Regular **Option:**  Growth  Dividend  Payout  Transfer

**BANK ACCOUNT DETAILS Attn NRI Investors, Payments should be made through NRE Accounts only**

Name of the Bank \_\_\_\_\_ A/c Number \_\_\_\_\_

A/c Type *please(✓)*  Savings  Current  NRO  NRE Branch Name \_\_\_\_\_

Address \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_

PIN CODE \_\_\_\_\_ Amount to be blocked ₹ \_\_\_\_\_ In words \_\_\_\_\_

**UNDERTAKING BY ASBA INVESTOR**

Undertaking by ASBA Investor & A/c Holder, Declaration & Signature(s): 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 Indiabulls 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 Regulations. 2-In accordance with provisions of ASBA in the SEBI Regulations 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 "SCSB BANK ACCOUNT DETAILS" or unblocking of funds in the bank account maintained with the SCSB specified above, transfer of funds to the Indiabulls Mutual Fund's scheme account on receipt of instructions from the Registrar to Indiabulls 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 Indiabulls Mutual Fund Scheme account. 3-In case the amount available in the bank account specified above is insufficient, the SCSB shall reject the application. Further, I/we also authorize the SCSB to make relevant revisions as may be required to be done during the NFO, in the event of any modification due to any information required. 4-If the DP ID, Beneficiary ,PAN & KYC 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 Indiabulls Mutual Fund or SCSB shall not be liable for losses, if any.

**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.

	Sole / 1st Applicant / Guardian / Authorised Signatory	2nd Applicant / Authorised Signatory	3rd Applicant / Authorised Signatory
<b>BANK SIGNATURE</b>			

**Indiabulls FMP - Series V - (Plan 1) - 1175 Days ACKNOWLEDGMENT FOR SCSB ASBA Application No. **F** Date \_\_\_\_\_**

(Please ✓)

Sub Plan:  Direct  Regular **Option:**  Growth  Dividend  Payout  Transfer

Received from **1st Applicant** \_\_\_\_\_ PAN \_\_\_\_\_

Depository Name *Please ✓*  National Securities Depository Ltd  Central Securities Depository (India) Ltd

DP-ID  I  N \_\_\_\_\_ 16 Digit Beneficiary A/c No. \_\_\_\_\_

Beneficiary Account Details \_\_\_\_\_

SCB ACCOUNT DETAILS BANK A/C No. \_\_\_\_\_ Bank Name & Branch \_\_\_\_\_

**Indiabulls FMP - Series V - (Plan 1) - 1175 Days ASBA Application No. **F** Date \_\_\_\_\_**

(Please ✓)

Sub Plan:  Direct  Regular **Option:**  Growth  Dividend  Payout  Transfer

ACK FOR INVESTOR	Received from Mr. / Ms. / M/s:	SCCB Account Details	Total Amount to be Blocked	SCCB Stamp, Signature
	Address:	A/C No.	₹ In figures	Date & Time of Receipt
		Bank Name	₹ In words	
Branch Name				

## Please submit ASBA forms with and authorized branch of designated SCSBs ONLY

### APPLICATION SUPPORTED BY BLOCKED AMOUNT (ASBA)

ASBA provides an alternative mode of payment whereby the application money remains in the investor's account till allotment of units. ASBA process facilitates investors to apply through Self Certified Syndicate Banks (SCSBs), in which the investors have their bank accounts. SCSBs are those banks which satisfy the conditions laid by SEBI. SCSBs would accept the applications, verify the application, block the fund to the extent of investment amount, unblock once the allotment is finalized and debit the investor's account.

**ASBA Facility in brief:** Investor shall submit his Bid through an ASBA cum Application Form, either in physical or electronic mode, to the SCSB with whom the bank account of the ASBA Investor or bank account utilized by the ASBA Investor ("ASBA Account") is maintained. The SCSB shall block an amount equal to the NFO application Amount in the bank account specified in the ASBA cum Application Form, physical or electronic, on the basis of an authorization to this effect given by the account holder at the time of submitting the Application. The Bid Amount shall remain blocked in the aforesaid ASBA Account until the Allotment in the New fund Offer and consequent transfer of the Application Amount against the allocated Units to the Issuer's account designated for this purpose, or until withdrawal/failure of the Offer or until withdrawal/rejection of the ASBA Application, as the case may be. The ASBA data shall thereafter be uploaded by the SCSB in the electronic IPO system of the Stock Exchanges. Once the Allotment is finalized, the RTA to the NFO shall send an appropriate request to the Controlling Branch of the SCSB for unblocking the relevant bank accounts and for transferring the amount allocable to the successful ASBA Bidders to the AMC account designated for this purpose. In case of withdrawal/Rejection of the Offer, the RTA to the Offer shall notify the SCSBs to unblock the blocked amount of the ASBA Bidders within one day from the day of receipt of such notification.

## INSTRUCTION FOR FILLING ASBA APPLICATION FORM

### GENERAL INSTRUCTIONS

1. An Investor shall be eligible to apply through ASBA process, if he /she (i) is a Resident Retail Individual Investor, Non Institutional Investor, QIBs, Eligible NRIs applying on non-repatriation basis, Eligible NRIs applying on repatriation basis i.e. any investor, (ii) is applying through blocking of funds in a bank account with the SCSB; Such investors are hereinafter referred as "ASBA Investors".
2. ASBA Facility is currently available only to those investors who wish to hold the units in dematerialized form. Investors are requested to check with their respective banks about the availability of the ASBA facility.
3. The Bank Account Number in the form should necessarily be of the first applicant only. In case where the bank account is jointly held, the first applicant should be one of the joint holders.
4. Investor shall ensure that the bank account details mentioned in the ASBA application form is correct and the funds are available in the account for the SCSB to block the amount.
5. Upon submission of an ASBA form with the SCSB, 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.
6. During processing of the application by RTA, if the applications are found to be incomplete or incorrect, the SCSB will be informed on the same who will than unblock the investor account with appropriate remarks in the investor's account.
7. The investors should check their demat account for allotment of units within 5 working days of the NFO closure. No physical account statement will be sent to the investors by RTA.
8. All grievances relating to ASBA facility may be addressed to the SCSB, giving full details such as name, address of the applicants, subscription amount blocked on application, bank account number and the designated branch or the collection centre of the SCSB where the ASBA form was submitted by the investor.
9. The AMC Trustee or its Registrar, KARVY shall not be liable for any negligence or mistake committed by the SCSBs.

### OTHERS INFORMATION FOR ASBA INVESTORS

1. SCSB shall not accept any ASBA after the closing time of acceptance on the last day of the NFO period.
2. SCSB shall give ASBA investors an acknowledgment for the receipt of ASBAs.
3. SCSB shall not upload any ASBA in the electronic system of the Stock

Exchange(s) unless (i) it has received the ASBA in a physical or electronic form; and (ii) it has blocked the application money in the bank account specified in the ASBA or has systems to ensure that Electronic ASBAs are accepted in the system only after blocking of application money in the relevant bank account opened with it.

4. SCSB shall ensure that complaints of ASBA investors arising out of errors or delay in capturing of data, blocking or unblocking of bank accounts, etc. are satisfactorily redressed.
5. SCSB shall be liable for all its omissions and commissions in discharging responsibilities in the ASBA process.

### GROUND FOR REJECTION OF ASBA APPLICATIONS

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

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

### OBLIGATIONS OF THE AMC

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

## INSTRUCTIONS TO HELP YOU COMPLETE THE MAIN APPLICATION FORM

### I. GENERAL INSTRUCTION:

1. Please read the Key Information Memorandum (KIM), Statement of Additional Information(SAI) and Scheme Information Document(SID) carefully before investing. All applicants are deemed to have read, understood and accepted the terms subject to which this offer is being made and bind themselves to terms upon signing the Application Form and tendering payment.
2. The application form must be filled in English in BLOCK letters using Black or Dark Blue colored ink. Incomplete applications are liable to be rejected. Please ensure that the requisite details and documents have been provided. This will help in avoiding processing delays and / or rejection of your Application Form. All subscription application forms should be submitted only at the designated Investor Service Center of Indiabulls Mutual Fund (IBMF)
3. The Applicant's name and address must be given in full (P.O. Box No. alone is not sufficient). In case of multiple applicants, all communication and payments towards redemption will be made in the name of / favoring first applicant only. If the first applicant is a minor, the name of the Guardian who will sign on behalf of minor should be filled in the space provided. Please fill in your date of birth as this may be required for validating your identity for certain transactions/ communication. Also, please provide Telephone No. /E-mail Id. of the first applicant, so as to facilitate faster and efficient communication.
4. All applicants must sign the form, (quoting existing Folio no, if any). Thumb impressions must be attested by a Judicial Magistrate/Notary Public under his/her official seal. In case of HUF, the Karta should sign on behalf of the HUF. Authorised signatories, signing on behalf of a Co./Body Corp./Society/Trust etc should sign under their official seal, designation. A list of Authorised Signatories with their names & designations duly certified / attested by the bankers / authorised person as per BR / Company Secretary should be attached with the application form.
5. For NRI investors, Name and address must be given in full (P.O. Box Address is not sufficient). In the case of NRI/PIO/FII investors, an overseas address must also be provided.
6. Please note that if no Plan is ticked / indicated in the Application form, the units will, by default, be allotted under the Growth Plan of the Scheme. Similarly, Dividend Payout Option of Dividend Plan shall be the default sub-options.
7. In case of Mode of Holding is not mentioned for Joint Holder's the default mode of holding would be Joint.
8. **Overwriting on application forms/transaction slips:** In case of corrections / overwriting on key fields (as may be determined at the sole discretion of the AMC) of the application forms/transaction slips, the AMC reserves the right to reject the application forms/transaction slips, in case the investor(s) has/have not countersigned in every place where such corrections/overwriting has/have been made.

### II. APPLICANT'S INFORMATION:

1. In case the application is made under a Power of Attorney (PoA), a duly certified copy thereof, duly notarised should be submitted with the application. The POA document should contain the signatures of both the Applicant & the constituted Attorney.
2. Application made by a limited company or by a body corporate or a registered society or a trust, should be accompanied by a copy of the relevant resolution or authority to make the application, as the case may be, along with a certified copy of the Memorandum and Articles of Association or Trust Deed / Bye Laws / Partnership Deed, whichever is applicable.
3. In case of non-individual applicants, i.e. HUF / Companies / AOP / BOI / Trusts / Societies / Fils etc. the name, email-ID and telephone number of the contact person to should be provided.
4. Date of Birth of the minor is mandatory while opening the account/folio.
5. In case the investment is done on behalf of minor the relationship/status of the guardian as father, mother or legal guardian and Date of birth of minor shall be specified in the application form and following documents shall be submitted along with the application form as evidence:
  - a. Birth certificate of the minor, or
  - b. School leaving certificate / Mark sheet issued by Higher Secondary Board of respective states, ICSE, CBSE etc., or
  - c. Passport of the minor, or
  - d. Any other suitable proof evidencing the date of birth of the minor.
  - e. In case of court appointed legal guardian, supporting documentary evidence shall be provided.
  - f. In case of natural guardian a document evidencing the relationship if the same is not available as part of the documents submitted as per point. i - iv above.
6. **Permanent Account Number (PAN)**  
SEBI has made it mandatory for all applicants (in the case of application in joint names, each of the applicants) to mention his/her permanent account number (PAN) irrespective of the amount of purchase. \*Where the applicant is a minor, and does not possess his / her own PAN, he / she shall quote the PAN of his/ her father or mother or the guardian, signing on behalf of the minor, as the case may be. In order to verify that the PAN of the applicants (in case of application in joint names, each of the applicants) has been duly and correctly quoted therein, the applicants shall attach along with the purchase application, a photocopy of the PAN card duly self-certified along with the original PAN Card. The original PAN Card will be returned immediately across the counter after verification \*includes fresh/ additional purchase, Systematic Investment. Micro investment (including lumpsum & Micro SIP) & Investors residing in the state of Sikkim are exempt from the mandatory requirement of PAN proof submission however they are required to mandatorily submit PAN Exempt KYC Reference No (PEKRN) to Indiabulls Mutual Fund. Applications not complying with the above requirement may not be accepted/ processed. Additionally, in the event of any Application Form being subsequently rejected for mismatch / non-verification of applicant's PAN details with the details on the website of the Income Tax Department, the investment transaction will be cancelled and the amount may be redeemed at the applicable NAV, subject to payment of exit load, if any. Please contact any of the Investor Service Centres/ Karvy/ Distributors or visit our website www.indiabullamc.com for further details.

### 7. Know Your Client (KYC)

In accordance with the requirement under the Prevention of Money Laundering Act 2002, (PMLA) the Rules issued there under and the guidelines and circulars on Anti Money Laundering issued by SEBI, (collectively "AML Regulations"), mutual funds are required to formulate and implement Client Identification Programme to verify and maintain the record of identity and address (es) of investors. This is commonly referred to as 'Know Your Client' guidelines (KYC).

SEBI has vide its various circulars, viz. MIRD/SE/Cir-21/2011 dated October 5, 2011, MIRD/Cir-26/2011 dated December 23, 2011 and the SEBI (KYC Registration Agency) Regulations 2011, introduced a common KYC across market intermediaries. With effect from January 01, 2012 ("Effective Date"), 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.

#### KYC requirements for new / Prospective Investors:

New/ Prospective Investors are requested to use the common KYC Application Form and carry out the KYC process including In-Person Verification (IPV) with any SEBI registered intermediaries including mutual funds. The KYC Application Forms are available on the websites www.indiabullamc.com/www.amfiindia.com. The Mutual Fund shall perform the initial KYC of its new investors and may also undertake enhanced KYC measures commensurate with the risk profile of its investors in line with the aforesaid circulars / Prevention of Money Laundering Act, 2002, and circulars thereto.

It is mandatory for intermediaries including mutual funds to carry out In-Person Verification (IPV) of its new investors from the Effective Date. The IPV carried out by any SEBI registered intermediary can be relied upon by the Mutual Fund. The AMC and National Institute of Securities Markets (NISM)/Association of Mutual Funds in India (AMFI) certified distributors who are Know Your Distributor (KYD) compliant are authorised to undertake the IPV for Mutual Fund investors.

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).

### 8. Transaction Charges (applicable for both existing and new investors)

In accordance with SEBI Circular No. Cir/IMD/DF/13/2011 dated August 22, 2011 the following are the terms and conditions relating to Transaction Charges:

- a. The Distributor (who has opted in based on the type of product) would be allowed to charge the Mutual Fund Investor a Transaction Charge where the amount of investment is Rs. 10,000/- and above per subscription.
- b. For existing investors in a Mutual Fund, the Transaction Charge allowed will be Rs. 100/- per subscription of Rs. 10,000/- and above.  
For a first-time investor in a Mutual Fund, the Transaction Charge allowed will be Rs. 150/- per subscription of Rs. 10,000/- and above.
- c. In case of Systematic Investment Plans (SIPs), the Transaction Charge will be applicable only if the total commitment through SIPs at the time of starting the SIP amounts to Rs. 10,000/- and above. In such cases, the Transaction Charge will be recovered by the AMC in 3 instalments during the tenure of the SIP and paid to the distributor. This is applicable only in case of open ended schemes which offer the facility of SIP.
- d. The Transaction Charge, where applicable based on the above criteria, will be deducted by the AMC from the subscription amount remitted by the Investor and paid to the distributor; and the balance (net) amount will be invested in the Scheme. Thus units will be allotted against the net investment.
- e. No Transaction charges shall be levied:
  - i. Where the investor purchases the Units directly from the Mutual Fund.
  - ii. Where the amount of investment is below Rs. 10,000/- per subscription.
  - iii. On transactions other than purchases/ subscriptions relating to new inflows, Switch-in / Transfer / Transmission of units/Dividend Transfer Units will not be considered as subscription for the purpose of levying the transaction charge.
- f. The statement of account shall clearly state that the net investment as gross subscription less transaction charge and give the number of units allotted against the net investment. The transaction charges are in addition to the existing system of commission permissible to the Distributors. The transaction charges will be compliant with SEBI Circular, dated Aug 22, 2011.

### III. EMPLOYEE UNIQUE IDENTIFICATION NUMBER (EUIN) :

SEBI has made it compulsory for every employee/ relationship manager/ sales person of the distributor of mutual fund products to quote the EUIN obtained by him/her from AMFI in the Application Form. EUIN, particularly in advisory transactions, would assist in addressing any instance of mis-selling even if the employee/relationship manager/sales person later leaves the employment of the distributor.

Individual ARN holders including senior citizens distributing mutual fund products are also required to obtain and quote EUIN in the Application Form. Hence, if your investments are routed through a distributor please ensure that the EUIN is correctly filled up in the Application Form. However, if your distributor has not given you any advice pertaining to the investment, the EUIN box may be left blank. In this case, you are required to provide a duly signed declaration to this effect, as given in the Form



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

1. If you wish to invest in the scheme through Demat you need to have a beneficiary account with a Depository Participant (DP) of the NSDL/CDSL and specify the same in this Application Form. You must ensure that the sequence of names with other details like address, PAN, etc mentioned under Demat details should match with DP records. Only those applications where the details are matched with the depository data will be treated as valid application. If the details mentioned in the application are incomplete/incorrect, or does not match with the depository data, the applicant shall be treated as invalid and shall be liable to be rejected and would be allotted in Physical form. Demat option will not be applicable for the applications along with SIP option. Please attach Client Master List along with application form.
2. The options viz. Daily Dividend, Weekly Dividend and Fortnightly Dividend and the facilities viz. Switch in and out, Systematic Withdrawal Plan (SWP)/ Systematic Transfer Plan (STP), if applicable under the Scheme, are currently NOT available in the dematerialised mode.
3. In case of those unit holders, who hold units in demat form, the bank mandate available with the respective DP will be treated as the valid bank mandate for the purpose of pay-in at the time of subscription or purchase/ pay-out at the time of maturity or at the time of any corporate action.
4. The investor who holds units in the demat mode is required to place an order for directly with the DP.
5. It may also be noted that units in the demat mode shall only be credited in the DP account on the basis of realization of funds.
6. If the Unit holder desires to convert the Units in a dematerialised form at a later date, the unit holder need to contact the DP for detailed procedure.
7. For the detailed procedure and other provisions on holding units in the demat mode, investor may refer to the SID/SAI/KIM and addendums thereto.

#### V. BANK DETAILS:

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

##### Option to register multiple bank accounts

The AMC / Mutual Fund has also provided a facility to investors to register multiple bank accounts. By registering multiple bank accounts, investors can use any of their registered bank accounts to receive redemption / dividend proceeds. Any request for a change in bank mandate requires 10 days for validation and verification. Further, these account details will be used by the AMC / Mutual Fund / R&T for verification of instruments (like cheques/DDs/POs) received at the time of subscription / purchase applications to ensure that subscription payments are received only from one of the registered bank accounts. Payments from nonregistered bank accounts (called third party payments) will not be accepted (except where permitted as per SEBI regulations). Investors are requested to avail of this facility by filling in the application form for registration of multiple bank accounts available at any of our ISCs / OPAs or on our website [www.indiabullsamc.com](http://www.indiabullsamc.com). Cheques submitted at the time of purchase should be from the beneficiary investors account or from an account mentioned in your Multiple Bank Accounts Registration form. Demand drafts submitted at the time of subscription should be accompanied by a banker's certificate clearly stating the investor's name and PAN as well as mentioning that the demand draft has been issued by debiting the investor's own bank account. Prefunded instruments issued by the bank against cash shall not be accepted for investments of ₹ 50,000 or more. This pre-funded instrument should also be accompanied by a certificate from the banker giving the investor's name, address and PAN.

#### VI. INVESTMENT & PAYMENT DETAILS:

Payment should be made by crossed cheques / Demand Draft / payorder favouring the scheme name and marked "Account Payee" payable locally in the city where the application is submitted. Post dated or outstation cheques/draft are not permitted. Application received with outstation cheque/demand draft shall be rejected. With a view to avoid fraudulent practices, it is recommended that investors may also make the payment instrument (cheque, demand draft, pay order, etc.) favoring either of the following: (a) "XYZ Scheme A/c Permanent Account Number" (b) "XYZ Scheme A/c First Investor Name" (Investors are urged to follow the order of preference in making the payment instrument). If the Scheme name on the application form and on the cheque is different, then IBMF will endeavor to reject the application however in case the application gets accepted then the same will be processed as per the scheme name mentioned on the payment instrument.

**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. Please Refer Third Party Payment Declaration form for more details. In accordance with RBI Circular No.DPSS.CO.CHD.NO.399/04.07.05/2012-13 dated September 3,2012,with effect from 01.01.2013 banks will not be accepting Non CTS ( Cheque Truncation System ) 2010 Standard cheques. However the extension has been given upto 31<sup>st</sup> July 2013 Hence, in order to comply with the same, Investments with Non – CTS 2010 Standard cheques will not be accepted from 1<sup>st</sup> August 2013 onwards as the same will not be accepted by the clearing house/ payee banker w.e.f 1<sup>st</sup> August 2013 unless any extension is granted by RBI in the meantime. We , therefore, request you to kindly visit your Bank and collect new CTS-2010 Standard cheques for a smooth banking activity.

#### VII. DIRECT PLAN:

Investors subscribing under Direct Plan of a Scheme will have to indicate "Direct Plan" against the Scheme name in the application form for e.g. "Indiabulls FMP-Series V - (Plan 1) - 1175 Days – Direct Plan". Investors should also indicate "Direct" in the ARN column of the application form. However, in case Distributor code is mentioned in the application form, but "Direct Plan" is indicated against the Scheme name, the Distributor code will be ignored and the application will be processed under Direct Plan. Further, where application is received for Regular Plan without Distributor code or "Direct" mentioned in the ARN Column, the application will be processed under Direct Plan.

#### VIII. NOMINATION FOR UNITS HELD IN PHYSICAL MODE:

1. Nomination facility is available to individuals applying on their own behalf i.e. singly or jointly. Nomination is mandatory for folios opened by individuals with single mode of holding.
2. Multiple nominee (Resident, NRI, Including Minor) can be nominated. 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.
3. Nomination of an NRI is subject to requirements, if any, prescribed by RBI and SEBI from time to time.
4. Nomination can be changed at any time during the currency of the investment by the same persons who have made the nominations.
5. Unitholder being either parent or lawful guardian on behalf of a minor and an eligible institution, societies, bodies corporate, HUF, AoPs, BOLS and partnership firms shall have no right to make any nomination.
6. The nominee shall not be a trust (other than a religious or charitable trust), society, body corporate, partnership firm, karta of HUF or power of attorney holder.
7. On registration of nomination a suitable endorsement shall be made on the statement of account or in the form of a separate letter.
8. The facility of nomination is available to a unitholder under SEBI (MFs) Regulations and guidelines issued by SEBI from time to time.
9. Nomination in respect of units stands rescinded, upon the transfer of units.
10. On cancellation of nominations, the nomination shall stand rescinded and IBMF shall not be under any obligation to transfer the units in favour of the nominee
11. Where a nomination in respect of any unit has been made, the units shall, on the death of the unitholder(s), vest in the nominee and on compliance of necessary formalities the nominee shall be issued a SOA (Statement of Account) in respect of the units so vested subject to any charge or encumbrance over the said units. Nominee would be able to hold the units provided he is otherwise eligible to become a unitholder of the scheme.
12. Where there are two or more unitholders one of whom has expired the title to units shall vest in the surviving unitholder(s) who may retain the nomination or change or cancel the same. However, non expression of desire to change or substitute the nominee by surviving unitholder shall be deemed to be the consent of surviving unitholder for the existing nomination.
13. Transmission made by the AMC as aforesaid, shall be a full discharge to the AMC from all liabilities in respect of the said units. For further details please refer SAI.
14. Where a folio has joint holders, joint holders should sign the request for Nomination/ cancellation of nomination, as per the mode of holding in the folio.
15. Power of Attorney (POA) holder cannot sign the Nomination form.
16. Nomination is not allowed in a folio held on behalf of a minor.
17. Nomination is maintained at the folio level and not at the scheme level. If the investor fills in a fresh application form with new Nominee Name than the same shall supercede the existing nominee details in the folio.

#### IX. E-MAIL COMMUNICATION:

Communication for the investors. If the investor(s) has/have provided his/their email address in the application form or any subsequent communication in any of the folio belonging to the investor(s), IBMF / Asset Management Company reserves the right to use Electronic Mail (email) as a default mode to send various communication which include account statements for transactions done by the investor(s). The investor(s) may request for a physical account statement by writing or calling IBMF's Investor Service Center/ Registrar & Transfer Agent. In case of specific request received from the investor(s), IBMF shall endeavor to provide the account statement to the investor(s) within 5 working days from the receipt of such request.

#### X. SEBI CIRCULAR OF JUNE 30, 2009 ON REMOVAL OF ENTRY LOAD

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

#### XI. BENEFITS

1. Mobile No.: Get alerts on the move for Purchase, Dividend or Redemption, SIP Debit alert after it reflects in your account or two days prior to SIP debit
2. E-Mail ID: The Account Statement will be e-mailed instantly to your registered email address as and when you transact with Indiabulls Mutual Fund
3. IFSC/Micro Code: With Indiabulls E-dividend you can have your dividend credited in your account through the Electronic Clearing Service (ECS) / National Electronic Fund Transfer (NEFT).

#### XII. DECLARATION AND SIGNATURES(S)

1. Signature(s) should be in English or in any of the Indian languages specified in the eighth schedule of the Constitution of India.
2. Thumb impressions (left hand for males and right hand for female) and signatures in languages not specified in the Eighth Schedule of the Constitution of India should be attested by a Magistrate or a Notary public or a Special Executive Magistrate under his/ her official seal.
3. Applications by minors should be signed by their guardians.
4. In case of an HUF, the Karta should sign on behalf of the HUF.
5. If the application form is signed by a Power of Attorney (POA) holder, the form should be accompanied by a notarised photocopy of the POA. Alternatively, the original POA may be submitted with the application, which will be returned after verification. If the POA is not submitted with the application, the application form will be rejected.
6. In case of non-individual investors, a list of authorised signatories should be submitted along with application form or in case of any change in the authorised signatories list, the AMC/ Registrar must be notified within 7 days.

### XIII. FOREIGN ACCOUNT TAX COMPLIANCE PROVISIONS ( FATCA )

As per the requirements of the Securities and Exchanges Commission ("SEC") of USA, person falling within the definition of the term 'US Person' under the Securities Act of 1933 of U.S.A ('Act') and corporations or other entities organized under the law of the U.S. are not permitted to make investments in securities not registered under the Act [The term 'US Person' means any person who is a U.S. person within the meaning of Regulation S under the Act or as defined by the U.S. Commodity Futures Trading Commission or as per such further amended definitions, interpretations, legislation, rules etc as may be in force from time to time.

Further, as per the Canadian Securities Administrator (CSA), prior registration of a fund with CSA is mandatory before its marketing or selling to residents of Canada. The Schemes of Indiabulls Mutual Fund (IBMF) are presently not registered under the relevant laws, as applicable in the territorial jurisdiction of U.S. or in any provincial or territorial jurisdiction of Canada.

### XIV. ULTIMATE BENEFICIAL OWNERS(S) (UBO)

Pursuant to SEBI Master Circular No. CIR/ISD/AML/3/2010 dated December 31, 2010 on Anti Money Laundering Standards and Guidelines on identification of Beneficial Ownership issued by SEBI vide its Circular No. CIR/MIRSD/2/2013 dated January 24, 2013, investors (other than Individuals) are required to provide details of 'Ultimate Beneficial Owner(s) (UBO(s))'. In case the investor or owner of the controlling interest is a company listed on a stock exchange or is a majority owned subsidiary of such a company, the details of shareholders or beneficial owners are not required to be provided. Non-individual applicants/investors are mandated to provide the details on 'Ultimate Beneficial Owner(s) (UBO(s))' by filling up the declaration form for 'Ultimate Beneficial Ownership'.

Please contact the nearest Investor Service Centre (ISC) of Indiabulls Mutual Fund or visit our website [www.indiabullsamc.com](http://www.indiabullsamc.com).

#### CHECKLIST - PLEASE ENSURE THAT:

- Your Application Form is complete in all respect, Name, Address & contact details are mentioned in full, signed by all applicants.
- Bank Account Details are entered completely and correctly. Permanent Account Number (PAN) of all the applicants are mandatory.
- For PAN and KYC please Refer instruction no. II 6 & 7
- Appropriate Scheme Name, Plan & Option is mentioned clearly.
- The Cheque / DD is drawn in favour of "Indiabulls FMP - Series V - (Plan 1) - 1175 Days" dated and duly signed.
- Name of the Investor & Application Number is mentioned on the reverse of the Cheque / DD.
- Documents as listed alongside are submitted along with the Application (as applicable to your specific case).

#### CHECKLIST - DOCUMENTS TO SUBMITTED

Submitted Documents Please ✓	Documents	Minor	Individuals	Companies	Trusts	Societies	Partnership Firms	FILs	NRIs	Investment through POA
	Resolution / Authorization to invest			✓	✓	✓	✓	✓		
	List of Authorised Signatories with Specimen Signature(s)			✓	✓	✓	✓	✓		✓
	Memorandum & Articles of Association			✓						
	Trust Deed				✓					
	Bye-Laws					✓				
	Partnership Deeds						✓			
	Notarised Power of Attorney									✓
	A/c Debit Certificate (If payment is made by DD from NRE/FCNR / A/c )							✓	✓	
	PAN Proof (not required for existing investors)	✓*	✓	✓	✓	✓	✓	✓	✓	✓
	KYC acknowledgment letter (required if not already submitted)	✓*	✓	✓	✓	✓	✓	✓	✓	✓
	Copy of Cancelled Cheque	✓	✓	✓	✓	✓	✓	✓	✓	✓
	Any one of the documents, 1) Birth Certificate 2) School Leaving Certificate/ Marksheet of Higher Secondary Board of respective state, ICSE, CBSE etc 3) Passport of Minor	✓								

\*Incase of minor applicant, the PAN proof and KYC Acknowledgment of his Guardian shall be submitted.

Name of the entity

Type of address given at KRA  Residential or Business  Residential  Business  Registered Office  
*"Address of tax residence would be taken as available in KRA database. In case of any change, please approach KRA & notify the changes"*

Customer ID / Folio Number

PAN  Date of Incorporation DD / MM / YYYY

City of Incorporation

Country of Incorporation

Equity Constitution Type  Partnership Firm  HUF  Private Limited Company  Public Limited Company  Society  AOP/BOI  
*Please tick as appropriate*  Trust  Liquidator  Limited Liability Partnership  Artificial Judicial Person  Others Specify \_\_\_\_\_

**Please tick the applicable tax resident declaration**

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

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

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

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

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

**FATCA & CRS Declaration**

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

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

1. We are a, **GIIN**

Financial institution<sup>6</sup>   
 or  
 Direct reporting NFE<sup>7</sup>   
*(please tick as appropriate)*

**Note:** If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below

Name of sponsoring entity

**GIIN not available** (please tick as applicable)  **Applied for**

If the entity is a financial institution,  Not required to apply for - please specify 2 digits sub-category<sup>10</sup>

Not obtained - Non participating FI

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

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

<sup>1</sup>Refer 2a of Part D

<sup>2</sup>Refer 2b of Part D

<sup>3</sup>Refer 2c of Part D

<sup>4</sup>Refer 3(ii) of Part D

<sup>6</sup>Refer 1 of Part D

<sup>7</sup>Refer 3(vii) of Part D

<sup>10</sup>Refer 1A of Part D

## UBO Declaration

**Category** (Please tick applicable category):

<input checked="" type="checkbox"/> Unincorporated association / body of individuals	<input checked="" type="checkbox"/> Public Charitable Trust	<input checked="" type="checkbox"/> Religious Trust	<input checked="" type="checkbox"/> Private Trust
<input checked="" type="checkbox"/> Others (please specify _____)	<input checked="" type="checkbox"/> Unlisted Company	<input checked="" type="checkbox"/> Partnership Firm	<input checked="" type="checkbox"/> Limited Liability Partnership
			<input checked="" type="checkbox"/> Company

Please list below the details of controlling person(s), confirming ALL countries of tax residency / permanent residency / citizenship and ALL Tax Identification Numbers for EACH controlling person(s).  
 Owner-documented FFI's<sup>5</sup> should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E

<b>Name</b> - Beneficial owner / Controlling person	<b>Tax ID Type</b> - TIN or Other, please specify	<b>Address</b> - Include State, Country, PIN / ZIP Code & Contact Details
<b>Country</b> - Tax Residency*	<b>Beneficial Interest</b> - in percentage	<b>Address Type</b>
<b>Tax ID No.</b> - Or functional equivalent for each country*	<b>Type Code</b> <sup>11</sup> - of Controlling person	

1. Name	Beneficial Interest	Address
Country	Type Code	
Tax ID No. %	Address Type <input type="checkbox"/> Residence <input type="checkbox"/> Business	ZIP _____ State _____
Tax ID Type	<input type="checkbox"/> Registered Office	Country _____
2. Name	Beneficial Interest	Address
Country	Type Code	
Tax ID No. %	Address Type <input type="checkbox"/> Residence <input type="checkbox"/> Business	ZIP _____ State _____
Tax ID Type	<input type="checkbox"/> Registered Office	Country _____
3. Name	Beneficial Interest	Address
Country	Type Code	
Tax ID No. %	Address Type <input type="checkbox"/> Residence <input type="checkbox"/> Business	ZIP _____ State _____
Tax ID Type	<input type="checkbox"/> Registered Office	Country _____

# If passive NFE, please provide below additional details.

(Please attach additional sheets if necessary)

<b>PAN / Any other Identification Number</b> (PAN, Aadhar, Passport, Election ID, Govt. ID, Driving Licence NREGA Job Card, Others) <b>City of Birth - Country of Birth</b>	<b>Occupation Type - Service, Business, Others</b> <b>Nationality</b> <b>Father's Name - Mandatory if PAN is not available</b>	<b>DOB - Date of Birth</b> <b>Gender - Male, Female, Other</b>
---	--	---

1. PAN	Occupation Type	DOB DD / MM / YYYY
City of Birth	Nationality	Gender: Male <input type="checkbox"/> Female <input type="checkbox"/>
Country of Birth	Father's Name	Others <input type="checkbox"/>
2. PAN	Occupation Type	DOB DD / MM / YYYY
City of Birth	Nationality	Gender: Male <input type="checkbox"/> Female <input type="checkbox"/>
Country of Birth	Father's Name	Others <input type="checkbox"/>
3. PAN	Occupation Type	DOB DD / MM / YYYY
City of Birth	Nationality	Gender: Male <input type="checkbox"/> Female <input type="checkbox"/>
Country of Birth	Father's Name	Others <input type="checkbox"/>

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

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

<sup>11</sup>In case Tax Identification Number is not available, kindly provide functional equivalent

<sup>4</sup>Refer 3(iii) of Part D | <sup>5</sup>Refer 3(vi) of Part D | <sup>11</sup>Refer 3(iv) (A) of Part D

### FATCA - CRS Terms and Conditions

The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities / appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.

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

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

<sup>5</sup>It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

**Certification**

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

<b>Name</b>	<b>Designation</b>	
-------------	--------------------	--

Signature	Signature	Signature
		Place: _____
		Date: / / _____

## PART D - FATCA - Instructions & Definitions

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

- Depository institution: is an entity that accepts deposits in the ordinary course of banking or similar business.
  - Custodial institution is an entity that holds as a substantial portion of its business, holds financial assets for the account of others and where its income attributable to holding financial assets and related financial services equals or exceeds 20 percent of the entity's gross income during the shorter of-
    - (i) The three financial years preceding the year in which determination is made; or (ii) The period during which the entity has been in existence, whichever is less.
  - Investment entity is any entity:
    - That primarily conducts a business or operates for or on behalf of a customer for any of the following activities or operations for or on behalf of a customer
      - (i) Trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading; or
      - (ii) Individual and collective portfolio management; or
      - (iii) Investing, administering or managing funds, money or financial asset or money on behalf of other persons; or
    - The gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets, if the entity is managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity described above.
- An entity is treated as primarily conducting as a business one or more of the 3 activities described above, or an entity's gross income is primarily attributable to investing, reinvesting, or trading in financial assets of the entity's gross income attributable to the relevant activities equals or exceeds 50 percent of the entity's gross income during the shorter of:
- (i) The three-year period ending on 31 March of the year preceding the year in which the determination is made; or
  - (ii) The period during which the entity has been in existence.
- The term "Investment Entity" does not include an entity that is an active non-financial entity as per codes 03, 04, 05 and 06 - refer point 2c.)
- Specified Insurance Company: Entity that is an insurance company (or the holding company of an insurance company) that issues, or is obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract.

● FI not required to apply for GIIN:	
A. Reasons why FI not required to apply for GIIN:	
Code	Sub-category
01	Governmental Entity, International Organization or Central Bank
02	Treaty Qualified Retirement Fund; a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; or a Pension Fund of a Governmental Entity, International Organization or Central Bank
03	Non-public fund of the armed forces, an employees' state insurance fund, a gratuity fund or a provident fund
04	Entity is an Indian FI solely because it is an investment entity
05	Qualified credit card issuer
06	Investment Advisors, Investment Managers & Executing Brokers
07	Exempt collective investment vehicle
08	Trustee of an Indian Trust
09	FI with a local client base
10	Non-registering local banks
11	FFI with only Low-Value Accounts
12	Sponsored investment entity and controlled foreign corporation
13	Sponsored, Closely Held Investment Vehicle
14	Owner Documented FFI

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

Types of NFEs that are regarded as excluded NFE are:

- a. **Publicly traded company (listed company)**  
A company is publicly traded if its stock are regularly traded on one or more established securities markets (Established securities market means an exchange that is officially recognized and supervised by a governmental authority in which the securities market is located and that has a meaningful annual value of shares traded on the exchange)
- b. **Related entity of a publicly traded company**  
The NFE is a related entity of an entity of which is regularly traded on an established securities market;

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

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

## 3. Other definitions

Types of NFEs that are regarded as excluded NFE are:

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

(ii) <i>Passive NFE</i> The term passive NFE means			
(i) any non-financial entity which is not an active non-financial entity including a publicly traded corporation or related entity of a publicly traded company; or			
(ii) an investment entity defined in clause (b) of these instructions			
(iii) a withholding foreign partnership or withholding foreign trust; (Note: Foreign persons having controlling interest in a passive NFE are liable to be reported for tax information compliance purposes)			
(iii) <i>Passive income</i> The term passive income includes income by way of:			
(1) Dividends,			
(2) Interest			
(3) Income equivalent to interest,			
(4) Rents and royalties, other than rents and royalties derived in the active conduct of a business conducted, at least in part, by employees of the NFE			
(5) Annuities			
(6) The excess of gains over losses from the sale or exchange of financial assets that gives rise to passive income			
(7) The excess of gains over losses from transactions (including futures, forwards, options and similar transactions) in any financial assets,			
(8) The excess of foreign currency gains over foreign currency losses			
(9) Net income from swaps			
(10) Amounts received under cash value insurance contracts			
But passive income will not include, in case of a non-financial entity that regularly acts as a dealer in financial assets, any income from any transaction entered into in the ordinary course of such dealer's business as such a dealer.			
(iv) <i>Controlling persons</i> Controlling persons are natural persons who exercise control over an entity and includes a beneficial owner under sub-rule (3) of rule 9 of the Prevention of Money-Laundering (Maintenance of Records) Rules, 2005. In the case of a trust, the controlling person means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust. In the case of a legal arrangement other than a trust, controlling person means persons in equivalent or similar positions. Pursuant to guidelines on identification of Beneficial Ownership issued vide SEBI circular no. CIR/MIRSD/2/2013 dated January 24, 2013, persons (other than Individuals) are required to provide details of Beneficial Owner(s) ('BO'). Accordingly, the Beneficial Owner means 'Natural Person', who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest of / entitlements to:			
i. More than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;			
ii. More than 15% of the capital or profits of the juridical person, where the juridical person is a partnership; or			
iii. More than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.			
Where the client is a trust, the financial institution shall identify the beneficial owners of the client and take reasonable measures to verify the identity of such persons, through the identity of the settlor of the trust, the trustee, the protector, the beneficiaries with 15% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership. Where no natural person is identified the identity of the relevant natural person who holds the position of senior managing official.			
(A) <i>Controlling Person Type:</i>			
<i>Code</i>	<i>Sub-category</i>	<i>Code</i>	<i>Sub-category</i>
01	CP of legal person-ownership	02	CP of legal person-other means
03	CP of legal person-senior managing official	04	CP of legal arrangement-trust-settlor
05	CP of legal arrangement—trust-trustee	06	CP of legal arrangement—trust-protector
07	CP of legal arrangement—trust-beneficiary	08	CP of legal arrangement—trust-other
09	CP of legal arrangement—Other-settlor equivalent	10	CP of legal arrangement—Other-trustee equivalent
11	CP of legal arrangement—Other-protector equivalent	12	CP of legal arrangement—Other-beneficiary equivalent
13	CP of legal arrangement—Other-other equivalent	14	Unknown
(v) Specified U.S. person - A U.S. person other than the following:			
(i) a corporation the stock of which is regularly traded on one or more established securities markets;			
(ii) any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described in clause (i);			
(iii) the United States or any wholly owned agency or instrumentality thereof;			
(iv) any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing;			
(v) any organization exempt from taxation under section 501(a) of the U.S. Internal Revenue Code or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code;			
(vi) any bank as defined in section 581 of the U.S. Internal Revenue Code;			
(vii) any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code;			
(viii) any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64);			
(ix) any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code;			
(x) any trust that is exempt from tax under section 664(c) of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code;			
(xi) a dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State;			
(xii) a broker as defined in section 6045(c) of the U.S. Internal Revenue Code; or			
(xiii) any tax-exempt trust under a plan that is described in section 403(b) or section 457(g) of the U.S. Internal Revenue Code.			
(vi) Owner documented FFI An FFI meets the following requirements:			
(a) The FFI is an FFI solely because it is an investment entity;			
(b) The FFI is not owned by or related to any FFI that is a depository institution, custodial institution, or specified insurance company;			
(c) The FFI does not maintain a financial account for any non-participating FFI;			
(d) The FFI provides the designated withholding agent with all of the documentation and agrees to notify the withholding agent if there is a change in circumstances; and			
(e) The designated withholding agent agrees to report to the IRS (or, in the case of a reporting Model 1 IGA, to the relevant foreign government or agency thereof) all of the information described in or (as appropriate) with respect to any specified U.S. persons and (2). Notwithstanding the previous sentence, the designated withholding agent is not required to report information with respect to an indirect owner of the FFI that holds its interest through a participating FFI, a deemed-compliant FFI (other than an owner-documented FFI), an entity that is a U.S. person, an exempt beneficial owner, or an excepted NFE.			
(vii) Direct reporting NFE A direct reporting NFE means a NFE that elects to report information about its direct or indirect substantial U.S. owners to the IRS.			
(viii) <i>Exemption code for U.S. persons</i>			
<i>Code</i>	<i>Sub-category</i>		
A	An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)		
B	The United States or any of its agencies or instrumentalities		
C	A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities		
D	A corporation the stock of which is regularly traded on one or more established securities markets, as described in Reg. section 1.1472-1(c)(1)(i)		
E	A corporation that is a member of the same expanded affiliated group as a corporation described in Reg. section 1.1472-1(c)(1)(i)		
F	A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state		
G	A real estate investment trust		
H	A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940		
I	A common trust fund as defined in section 584(a)		
J	A bank as defined in section 581		
K	A broker		
L	A trust exempt from tax under section 664 or described in section 4947(a)(1)		
M	A tax exempt trust under a section 403(b) plan or section 457(g) plan		

### First / Sole Applicant / Guardian

Name

Gender  M  F  O PAN  Occupation Type  Service  Business  Others

Father's Name

Customer ID / Folio Number

*Address of tax residence would be taken as available in KRA database. In case of any change please approach KRA & notify the changes*

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

Permissible documents are  Passport  Election ID Card  PAN Card  Govt. ID Card  Driving License  UIDAI Card  NREGA Job Card  Others

Date of Birth  /  /  Place of Birth

Country of Birth  Nationality

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

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below:

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

\*To also include USA, where the individual is a citizen / green card holder of The USA

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

### Second Applicant

Name

Gender  M  F  O PAN  Occupation Type  Service  Business  Others

Father's Name

Customer ID / Folio Number

*Address of tax residence would be taken as available in KRA database. In case of any change please approach KRA & notify the changes*

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

Permissible documents are  Passport  Election ID Card  PAN Card  Govt. ID Card  Driving License  UIDAI Card  NREGA Job Card  Others

Date of Birth  /  /  Place of Birth

Country of Birth  Nationality

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

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below:

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

\*To also include USA, where the individual is a citizen / green card holder of The USA

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

### Third Applicant

**Name**

**Gender** M  F  O  **PAN**

**Occupation Type**  Service  Business  Others

**Father's Name**

**Customer ID / Folio Number**

*Address of tax residence would be taken as available in KRA database. In case of any change please approach KRA & notify the changes*

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

**Permissible documents are**  Passport  Election ID Card  PAN Card  Govt. ID Card  Driving License  UIDAI Card  NREGA Job Card  Others

**Date of Birth**   /   /      **Place of Birth**

**Country of Birth**  **Nationality**

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

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below:

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

\*To also include USA, where the individual is a citizen / green card holder of The USA

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

### Certification

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

**Signatures**

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First / Sole Applicant / Guardian

Second Applicant

Third Applicant

**Date**   /   /      **Place**

### FATCA & CRS Terms & Conditions

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

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

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



## FATCA & CRS Instructions

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

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

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

FATCA & CRS Indicia observed (ticked)	Documentation required for Cure of FATCA/ CRS indicia
U.S. place of birth	<ol style="list-style-type: none"> <li>1. Self-certification that the account holder is neither a citizen of United States of America nor a resident for tax purposes;</li> <li>2. Non-US passport or any non-US government issued document evidencing nationality or citizenship (refer list below);AND</li> <li>3. Any one of the following documents:                      Certified Copy of "Certificate of Loss of Nationality  <b>or</b> Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship;  <b>or</b> Reason the customer did not obtain U.S. citizenship at birth</li> </ol>
Residence/ mailing address in a country other than India	<ol style="list-style-type: none"> <li>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; <b>and</b></li> <li>2. Documentary evidence (refer list below)</li> </ol>
Telephone number in a country other than India	<p><b><i>If no Indian telephone number is provided</i></b></p> <ol style="list-style-type: none"> <li>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; <b>and</b></li> <li>2. Documentary evidence (refer list below)</li> </ol> <p><b><i>If Indian telephone number is provided along with a foreign country telephone number</i></b></p> <ol style="list-style-type: none"> <li>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident for tax purposes of any country other than India; <b>OR</b></li> <li>2. Documentary evidence (refer list below)</li> </ol>
Telephone number in a country other than India	<ol style="list-style-type: none"> <li>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; <b>and</b></li> <li>2. Documentary evidence (refer list below)</li> </ol>

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

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

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

## AMC contact address & call center details

- **Ahmedabad** : Radhika House, 2nd Floor, Opp. Mayor Bungalow, Law Garden, Navrangpura, Ahmedabad - 380 006
  - **Bangalore**: Plot No. 103, 2nd Floor, 'Samskruthi Chambers', K.H. Road, Bangalore – 560 027
- **Chennai**: Apex Chambers, 3rd Floor, No. 20, Sir Theyagaraya Road (Pondy Bazar), T Nagar, Chennai - 600 017
  - **Kolkatta**: 11, Ground Floor, Constantia Complex, Dr. U.N. Brahmachari Street, Kolkatta – 700 017
  - **New Delhi**: M - 62 & 63, 1st Floor, Connaught Place, New Delhi - 110 001.
- **Mumbai**: Indiabulls Finance Centre Tower-1, 11th Floor, Senapati Bapat Marg, Elphinstone (West), Mumbai – 400 013
  - **Pune**: No. 115, City Mall, 1st Floor, University Road, Opp. Pride House, Shivajinagar, Pune – 411 007.
  - **Hyderabad** : Park City Plaza, 3rd Floor, Road No. 1, Banjara Hills, Hyderabad – 500 034.

**Toll Free Number** : 1800 2666 002

**Email** : [customercare@indiabullsamc.com](mailto:customercare@indiabullsamc.com)

**Website** : [www.indiabullsamc.com](http://www.indiabullsamc.com)

## COLLECTION BANKER (DURING NEW FUND OFFER PERIOD)

HDFC Bank Ltd, Manekji Wadia Bldg., Ground Floor, Nanik Motwani Marg, Fort, Mumbai - 400 001.

### LIST OF COLLECTION CENTRES (DURING NEW FUND OFFER PERIOD)

#### AMC Investor Service Centres

- **Ahmedabad:** Radhika House, 1st Floor, Opp. Mayor Bungalow, Near law Garden, Cross Road, Netaji Marg, Mithakhali, Ellisbridge, Ahmedabad- 380 006.
  - **Bangalore:** Plot No. 103, 2nd Floor, 'Samskruthi Chambers' K.H. Road, Bangalore – 560 027.
  - **Kolkatta:** 11, Ground Floor, Constantia Complex, Dr. U.N. Brahmachari Street, Kolkatta – 700 017.
- **Mumbai:** Indiabulls Finance Centre Tower - 1, 11th Floor, Elphinstone Mill Compound, Senapati Bapat Marg, Elphinstone (W), Mumbai – 400 013.
  - **New Delhi:** M - 62 & 63, 1st Floor, Connaught Place, New Delhi - 110 001.
  - **Pune:** No. 115, City Mall, 1st Floor, University Road, Opp. Pride House, Shivajinagar, Pune – 411 007.
    - **Chennai:** 20, Apex Chambers, 3rd Floor, Sir Thyagaraya Road, T. Nagar, Chennai - 600 017.
    - **Hyderabad :** Park City Plaza, 3rd Floor, Road No. 1, Banjara Hills, Hyderabad – 500 034.

#### KARVY Investors Service Centres

- **Ahmedabad:** 201, Shail Building, Opp. Madhusudhan House, Near Navrangpura Telephone Exchange; Navrangpura, Ahmedabad - 380 006
- **Alwar:** 101, 1st Floor, Saurabh Towers, Opp. UTI, Road No # 2, Bhagat Singh Circle, Alwar-301001.
- **Amritsar:** 72-A, Taylor'S Road, Aga Heritage Gandhi Ground, Amritsar - 143001
- **Asansol:** 114/71 G T Road, Near Sony Centre, Bhanga Pachil, Asansol - 713303
- **Bangalore:** #59, Skanda Building, Puttanna Road, Basavanagudi, Bangalore - 560004.
- **Baroda:** SB-4&5, Mangaldeep Complex, Opposite Mesonic Hall, Productivity Road, Alkapuri, Vadodara - 390007.
- **Bhilai:** Shop No 1, First Floor, Plot No -1, Commercial Complex, Nehru Nagar - East, Bhilai - 490020.
- **Bhubaneswar:** A/181, Back Side of Shivam Honda Show Room. Saheed Nagar, Bhubaneswar - 751007.
- **Bokaro:** B-1, 1st Floor, City Centre, Sector- 4, Near Sonu Chandi Jewelers, Bokaro - 827004.
- **Chandigarh:** Sco-371-372; First Floor; Above Hdfc Bank; Sector 35B, Chandigarh - 160 022
- **Chennai:** Flat No F11, First Floor, Akshya Plaza, (Erstwhile Harris Road), Opp Chief City Metropolitan Court, # 108, Adhithanar Salai, Egmore, Chennai - 600002.
- **Coimbatore:** 1057/1058, Jaya Enclave, Avanashi Road, Coimbatore- 641018.
- **Cuttack:** PO - Buxi Bazar, Cuttack, Opp Dargha Bazar Police station, Dargha Bazar, Cuttack - 753001.
- **Dehradun:** Kaulagarh Road, Near Sirmaur Marg, Above Reliance Webworld, Dehradun - 248 001
- **Dhanbad:** 208 New Market 2nd Floor, Bank More, Dhanbad - 826001.
- **Faridabad:** A-2B, 1st Floor, Nehru Ground, Neelam Bata Road, Nit, Faridabad - 121 001
- **Gaya:** 1st Floor, Lal Bhavan, Tower Chowk, Near Kiran Cinema, Gaya - 823001.
- **Ghaziabad:** 1st Floor, C-7, Lohia Nagar, Ghaziabad - 201 001
- **Goa:** City Business Centre, Coelho Pereira Building, Room Nos.18,19 & 20, Dada Vaidya Road, Panjim - 403001.
- **Gorakhpur:** Above V.I.P. House, Ajdacent A.D. Girls Inter College, Bank Road, Gorakpur - 273 001
- **Gurgaon:** Shop No. 18, Ground Floor, Sector - 14, Opp. AKD Tower, Near Huda Office, Gurgaon - 122001
- **Guwahati:** 54 Sagarika Bhawan, R G Baruah Road, (AIDC Bus Stop), Guwahati 781024
- **Hyderabad:** 8-2-596 Karvy Plaza, Avenue 4, Street No.1, Banjara Hills, Hyderabad - 500 034
- **Indore:** 2nd floor, 203-205 Balaji Corporates, Above ICICI bank, 19/1 New Palasia, Indore - 452001
- **Jaipur:** S-16 A, 3rd Floor, Land Mark, Opposite Jaipur Club, Mahavir Marg, C- Scheme, Jaipur - 302 001
- **Jalandhar:** Lower Ground Floor, Office No: 3, Arora Prime Tower, Plot No:28, G T Road, Jalandhar -144 004
- **Jamshedpur:** 2nd floor, R R Square, SB Shop Area, Near Reliance Foot Print & Hotel - Bs Park Plaza, Main Road, Bistupur, Jamshedpur-831001.
- **Kanpur:** 15/46, Opp: Muir Mills, Civil Lines, Kanpur - 208001
- **Kolkata:** 166A, Rashbehari Avenue, 2nd Floor, Near Adi Dhakerhwari Bastralaya, OPP-Fortis Hospital, Kolkata-700029.
- **Lucknow:** Usha Sadan, 24, Prem Nagar, Ashok Marg, Lucknow - 226001
- **Ludhiana:** Sco-136, First Floor, Above Airtel Show Room, Feroze Gandhi Market, Ludhiana - 141001
- **Mumbai:** Office number: 01/04, 24/B, Raja Bahadur Compound, Ambalal Doshi Marg, Behind Bombay Stock Exchange, Fort, Mumbai - 400001.
- **Muzaffarpur:** 1st Floor, Uma Market, Thana Gumtimoti Jheel, Muzaffarpur - 842001.
- **Mysore:** L - 350, Silver Tower, Clock Tower, Ashoka Road, Mysore - 570 001
- **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 - 201301
- **Patna:** 3A, 3rd floor, Anand tower, Beside chankya cinema hall, Exhibition road, Patna - 800001.
- **Pune:** Shop No. 16, 17 & 18, Ground Floor, Sreenath Plaza, Dyaneshwar Paduka Chowk, F C Road, Pune - 411004.
- **Ranchi:** Commerce Towers, 3rd Floor, Room No. 307, Beside Mahabir Towers, Main Road, Ranchi - 834001.
- **Raipur:** Room No. TF 31, 3rd floor, Millennium Plaza, Behind Indian Coffee House, G E Road, Raipur - 492 001
- **Siliguri:** Nanak Complex, Sevoke Road, Siliguri - 734001.
- **Surat:** G-6 Empire State Building, Near Parag House, Udhna Darwaja, Ring Road, Surat-395002
- **Trichi:** Sri Krishna Arcade, 1st Floor, 60 Thennur High Road, Trichy - 620017.
- **Varanasi:** D-64/132, KA 1st Floor, Anant Complex, Sigra, Varanasi - 221 010
- **Visakhapatnam:** 47-14-5/1 Eswar Paradise, Dwaraka Nagar; Main Road, Visakhapatnam - 530 016

**SCSBs:** Please visit the website [www.sebi.gov.in](http://www.sebi.gov.in) for the list of SCSBs. You may also check with your bank for the ASBA facility.



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