FORM 1 - APPLICATION FORM FOR AXIS GROWTH OPPORTUNITIES FUND - (AN OPEN-ENDED EQUITY SCHEME INVESTING IN BOTH LARGE CAP AND MID CAP STOCKS)

AXIS MUTUAL FUND

The RESPONSIBLE Mutual Fund

Application No.

NFO opens: October 01, 2018 NFO closes: October 15, 2018

This product is suitable for investors who are seeking*

• Capital appreciation over long term.

Cheque no.

Date

Amount

• Investment in a diversified portfolio predominantly consisting of equity and equity related instruments both in India as well as overseas.



*Investors should co	onsult their financial advise	ers if in doubt about whether the p	product is suitable for the	m.		Investors understand that their principal will be at moderately high risk
PLEASE READ THE INST	RUCTIONS BEFORE FILLING	UP THE FORM. All sections to be c	ompleted in ENGLISH in B	LACK / BLUE COL	OURED INK and in B	
Distributor ARN	Sub-Distributor ARN	Internal Sub-Broker / Sol ID	Employee Code	EUIN	RIA CODE^	Serial No., Date & Time Stam
ARN 48012	ARN			E 053085		
We, have invested in the sch nemes of Axis Mutual Fund, to	eme(s) of Axis Mutual Fund under Di the above mentioned SEBI Register					t of my/our investments under Direct Plan
"I/We hereby confirm that the xecuted without any interaction ve distributor/sub broker or no soloyee/relationship manager/sa	EUIN box has been intentionally left bla on or advice by the employee/relationsl twithstanding the advice of in-appropri les person of the distributor/sub broker	nk by me/us as this transaction ip manager/sales person of the ateness, if any, provided by the	ole Applicant / Sec	cond Applicant	Third Applica	Power of Attorney Holde
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I / we hereby prefer to	'OPT-IN' to receive physical co	ppies of scheme Annual Report or Abric	lged summary.			
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HIRD APPLICANT	Mr. Ms. M/s.					
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lationship Of Guardian (F	lefer Instruction No. 11)	Email ID				
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Scheme

Proof of the Relationship with N		ate 🔲 School Cer	tificate L Passport 0	her		Specify				
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2 KYC DETAILS (Refer Inst	truction No. 8. In case of investme	nt "On behalf of Minor", I	Please Refer Instruction No. 11)							
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For Individuals		For Non-Individu	ıal Investors (Companies,	Trust Partners	hin etc)					
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		(If No, please atta	ch mandatory UBO Declara			1 - 1				
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☐ I am not related to Politically	Exposed Person	Money Lending / P	,						Yes	□ No
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The below information is required f		-	·							
	Place/City o	f Birth	Country of B	irth	C	ountry of Citizens	ship / Nat	tionality		
First Applicant / Guardian					☐ Indian ☐ U.S	. Others				
Second applicant					☐ Indian ☐ U.S					
Third applicant					☐ Indian ☐ U.S	. Others				
Are you a tax resident (i.e., are you	assessed for Tax) in any	other country outs	ide India? 🔲 Yes 🔲 I	No [Please tick]					
f 'YES' please fill for ALL countries	s (other than India) in whi	ch you are a Reside	ent for tax purpose i.e. wher	e you are a Citize	n/Resident / Green Card	Holder Tax Resid	lent in the	e respectiv	e count	ries.
	Country of Tax Resid		ntification Number or ctional Equivalent	ldenti (TIN or oth	fication Type ner please specify)		Addre	ess Type		
First Applicant / Guardian						Residential	Reg	istered Of	fice [Busine
Second applicant						Residential	Reg	istered Of	fice [Busine
Third applicant						Residential	Reg	istered Of	fice [Busine
FATCA and CRS Self Certification	form' is available on the	website of AMC i.e	. www.axismf.com or at th	Investor Service	e Centres (ISCs) of Axis	Mutual Fund				
4 DEMAT ACCOUNT DE	TAILS (OPTIONAL)	(Please ensure that the	sequence of names as mentioned in 1	he application form ma	tches with that of the A/c. held	with the depository part	icipant.) Ref	er Instruction	No. 19	
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CDSL: Depository Participant Name						eficiary A/c No.				
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QUICK CHECKLIST										
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☐ Email id and mobile number prov	vided for online transaction	n facility	Relationship proof between	en Guardian and N	linor (if application is in t	he name of a Minor)	attached			
☐ Plan / Option / Sub Option name		·	Additional documents att	ached for Third P	arty payments. Refer in:	struction No. 7.				
	, mentioneu ili additioli to s	Cueme name	FATCA Declaration.							
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FORM 3 - SIP REGISTRATION MANDATE (NACH) AXIS GROWTH OPPORTUNITIES FUND (Investor must read Key Scheme Features and Instructions before completing this form.) New Fund Offer Opens on: October 01, 2018 New Fund Offer Closes on: October 15, 2018

AXIS MUTUAL FUND
The RESPONSIBLE Mutual Fund

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FOR NON-INDIVIDUALS - SUPPLEMENTARY KNOW YOUR CLIENT (KYC), FATCA, CRS & ULTIMATE BENEFICIAL OWNERSHIP (UBO) SELF CERTIFICATION FORM



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UBO Declaration (Mandatory for all entities a	except. a Publicly Traded Company or	a related entity of Public	ly Traded Company)		
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	· ·		anent residency / citizenshin and ALL Ta	x Identification Numbers for EACH controlling person(s)
(Please attach additional sheets if necessary)	,, comming ree countries or t	ax roomonoy / porm	anone rootaonoy y orazonomp ana NEE Ta	A recommendation realisation for Error controlling personne	1.
Owner-documented FFI's should provide FFI Owner	r Reporting Statement and Aud	itor's Letter with red	quired details as mentioned in Form W8	BEN E (Refer 3(vi) of part C)	
Details	UB01		UB02	UB03	
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UBO Code (Refer 3(iv) (A) of Part C)					
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Tax ID No. [%]					
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Percentage of Holding (%)^					
# Additional details to be filled by controlling persons witl * To include US, where controlling person is a US citizen	or green card holder	cy / citizenship / Green	Card in any country other than India:		
%In case Tax Identification Number is not available, kindl ^Attach valid documentary proof like Shareholding patter		ignatory / Company Se	cretary		
⁴ Refer 3(iii) of Part C ¹¹ Refer 3(iv) (A) of Part C					
	F.A	ATCA - CRS Terr	ns and Conditions		
				nstitutions such as the Bank to seek additional personal	
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Should there be any change in any information provide			•		
Please note that you may receive more than one req even if you believe you have already supplied any pre		multiple relationship	s with Axis Mutual Fund or its group en	tities. Therefore, it is important that you respond to our	request,
If you have any questions about your tax residency, country information field along with the US Tax Iden	please contact your tax advisor.	If any controlling per	son of the entity is a US citizen or residen	nt or green card holder, please include United States in th	e foreign
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PART C FATCA Instructions & Definitions

- 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 it's income attributale 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
 - 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

ΩI

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 :

- The three-year period ending on 31 March of the year preceding the year in which the determination is made;
- (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)

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;

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 yearis passive income and less than 50 percent of the assets held by theNFE 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 NFEconsist 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:
	 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;
	It is exempt from income tax in India;
	 It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
	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:-
	(I) an Investor Protection Fund referred to in clause (23EA);
	(III) a Condit Consequent Found Tours for Conselled outside or found to its above 2000.

3. Other definitions

(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) a Credit Guarantee Fund Trust for Small Industries referred to in clause 23EB; and (III) an Investor Protection Fund referred to in clause (23EC), of section 10 of the Act;

(ii) Passive NFE

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) Passive income

The term passive income includes income by way of:

- (1) Dividends,
- (2) Interest
- (3) Income equivalent to interest,
- (4) Rents and royalties, other than rents and royalties derived in the active conduct of a business conducted. at least in part, by employees of the NFE

PART C FATCA Instructions & Definitions (Contd.)

- (5) Annuities
- (6) The excess of gains over losses from the sale or exchange of financial assets that gives rise to passive
- (7) The excess of gains over losses from transactions (including futures, forwards, options and similar transactions) in any financial assets,
- (8) The excess of foreign currency gains over foreign currency losses
- (9) Net income from swaps
- (10) Amounts received under cash value insurance contracts

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

(iv) Controlling persons

Controlling persons are natural persons who exercise control over an entity and includes a beneficial owner under sub-rule (3) of rule 9 of the Prevention of Money-Laundering (Maintenance of Records) Rules, 2005.In the case of a trust, the controlling person means the settl or, 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 alegalar rangement 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:

- 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;
- 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 institutionshall identify the beneficial owners of the client and take reasonable measures to verify the identity of such persons, through the identity of the settler of the trust, the trustee, the protector, the beneficiaries with 15% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

Where no natural person is identified the identity of the relevant natural person who holds the position of senior managing official.

(A) Controlling Person Type:

Code	Sub-category
01	CP of legal person-ownership
02	CP of legal person-other means
03	CP of legal person-senior managing official
04	CP of legal arrangement-trust-settlor
05	CP of legal arrangement - trust-trustee
06	CP of legal arrangement - trust-protector
07	CP of legal arrangement - trust-beneficiary
08	CP of legal arrangement - trust-other
09	CP of legal arrangement - Other-settlor equivalent
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;
- (iii) 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 NFFE means a NFFE that elects to report information about its direct or indirect substantial U.S. owners to the IRS

(viii)Exemption code for U.S. persons

Code	Sub-category
A	An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)
В	The United States or any of its agencies or instrumentalities
С	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
Н	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



Axis Asset Management Company Limited

Investment Manager to Axis Mutual Fund

Axis House, First Floor, C-2, Wadia International Centre, Pandurang Budhkar Marg, Worli, Mumbai - 400 025.

Tel 022 4325 5100 Fax 022 4325 5199 Toll Free 1800 221322 or 1800 3000 3300

From Monday to Friday - 8 AM to 7 PM On Saturday - 9 AM to 6 PM

Email customerservice@axismf.com Web www.axismf.com