

KEY INFORMATION MEMORANDUM AND APPLICATION FORM

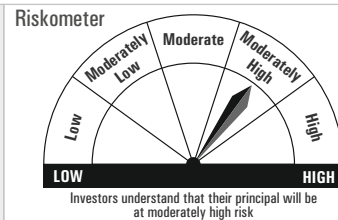
AXIS CAPITAL BUILDER FUND - SERIES 1 (1540 DAYS)

(A Close Ended Equity Scheme Investing Across Large Cap, Mid Cap, Small Cap Stocks)

This product is suitable for investors who are seeking*

- Capital appreciation over long term
- Investment in a diversified portfolio of predominantly equity and equity related instruments across market capitalisation.

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



Offer for units of ₹ 10 per unit during the New Fund Offer

New Fund Offer Opens on: February 16, 2018

New Fund Offer Closes on: March 1, 2018

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

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

The Units of the Scheme will not be available for Subscription/ Switch-in after the closure of NFO period. The Units of the Scheme will be listed on the BSE / any other Stock Exchange. Investors can purchase / sell Units on a continuous basis on the Stock Exchange(s) on which the Units are listed. As the Units are listed on the Stock Exchange, the Scheme will not provide redemption facility until the date of Maturity.

Axis Capital Builder Fund - Series 1 (1540 Days) is not a guaranteed or assured return scheme.

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

This document is dated : February 5, 2018

Name of scheme	Axis Capital Builder Fund - Series 1 (1540 Days) (A Close Ended Equity Scheme Investing Across Large Cap, Mid Cap, Small Cap Stocks)	
Investment Objective	The Scheme aims to generate income and long term capital appreciation by investing in a diversified portfolio of equity & equity related instruments across market capitalisation. However, there is no assurance or guarantee that the investment objective of the Scheme will be achieved. The Scheme does not assure or guarantee any returns.	
Asset Allocation Pattern of the Scheme	Under normal circumstances, the asset allocation pattern will be:	
	Types of Instruments	Normal Allocation (% of Net Assets)
	Equity & Equity related instruments #	80 - 100%
	Debt & Money Market Instruments* #	0 - 20%
<p># Including derivatives instruments to the extent of 50% of the Net Assets as permitted by SEBI Regulations from time to time.</p> <p>The Scheme may also use derivatives for such purposes as maybe permitted by the Regulations, including for the purpose of hedging and portfolio balancing, based on the opportunities available and subject to guidelines issued by SEBI from time to time. The Scheme may also use fixed income derivative instruments subject to the guidelines as maybe issued by SEBI and RBI and for such purposes as maybe permitted from time to time.</p> <p>*Investment in Securitized debt (excluding foreign securitized debt), if undertaken, would not exceed 20% of the net assets of the Scheme.</p> <p>The cumulative gross exposure through equity, debt and derivative positions shall not exceed 100% of the net assets of the scheme.</p> <p>The Scheme shall adhere to the following limits should it engage in Stock Lending:</p> <ol style="list-style-type: none"> 1. Not more than 20% of the net assets of the Scheme can generally be deployed in Stock Lending. 2. Not more than 5% of the net assets of the Scheme can generally be deployed in Stock Lending to any single counter party. <p>The Scheme may engage in short selling of securities in accordance with the framework relating to short selling and securities lending and borrowing specified by SEBI.</p> <p>The Scheme may undertake repo transactions in corporate debt securities in accordance with the directions issued by RBI and SEBI from time to time. Such investment shall be made subject to the guidelines which may be prescribed by the Board of Directors of the Asset Management Company and Trustee Company.</p> <p>Pending deployment of the funds in securities in terms of investment objective of the Scheme, the AMC may park the funds of the Scheme in short term deposits of the Scheduled Commercial Banks, subject to the guidelines issued by SEBI vide its circular dated April 16, 2007, as may be amended from time to time.</p> <p>The Scheme shall not invest in Credit Default Swaps and Foreign Securities.</p> <p>The Scheme retains the flexibility to invest across all the securities in the equity, debt and Money Markets Instruments and mutual fund units. The portfolio may hold cash depending on the market condition.</p> <p>The Scheme will invest in debt and money market instruments, which mature on or before the maturity of the Scheme.</p> <p>The Scheme may have higher allocation towards cash or cash equivalents immediately post NFO closure or towards the maturity of the Scheme.</p> <p>Subject to the Regulations, the asset allocation pattern indicated above may change from time to time, keeping in view market conditions, market opportunities, applicable regulations and political and economic factors. These proportions can vary substantially depending upon the perception of the fund manager; the intention being at all times to seek to protect the interests of the Unit holders. Such changes in the investment pattern will be for short term and for defensive considerations only. In the event of deviations, the fund manager will carry out rebalancing within 30 Days. Where the portfolio is not rebalanced within 30 Days, justification for the same shall be placed before the Investment Review Committee and reasons for the same shall be recorded in writing. The Investment Review committee shall then decide on the course of action. However, at all times the portfolio will adhere to the overall investment objectives of the Scheme.</p>		
Investment Strategy of the Scheme	<p>The Scheme aims to provide long term capital growth by investing in a well-diversified portfolio of equity and equity related securities across market capitalisation and sectors.</p> <p>Equity portfolio will be run as a diversified portfolio without any capitalization bias. The portfolio will be built utilizing a bottom-up stock selection process, focusing on appreciation potential of individual stocks from a fundamental perspective. The AMC employs a "Fair value" based research process to analyze the appreciation potential of each stock in its universe (Fair value is a measure of the intrinsic worth of a company).</p> <p>The universe of stocks is carefully selected to include companies having a robust business models and enjoying sustainable competitive advantages as compared to their competitors.</p> <p>The Scheme by utilizing a holistic risk management strategy will endeavor to manage risks associated with investing in equity markets. The Scheme has identified the following risks and designed risk management strategies, which are embedded in the investment process to manage these risks</p>	

	<div>i. Quality Risk - Risk of investing in unsustainable / weak companies.</div> <div>ii. Price Risk - Risk of overpaying for a company</div> <div>iii. Liquidity Risk - High Impact cost of entry and exit</div> <div>iv. Volatility Risk - Volatility in price due to company or portfolio specific factors</div> <div>v. Event Risk - Price risk due to a company / sector specific or market event</div>																																						
Risk Profile of the Scheme	<p>Mutual Fund Units involve investment risks including the possible loss of principal.</p> <p>Scheme specific Risk Factors are summarized below:</p> <p>The scheme carries risks associated with investing in equity and equity related securities, derivatives, foreign securities, debt securities, securitized debt, money market instruments, short selling and securities lending.</p> <p>Investment in Mutual Fund units involves investment risks such as trading volumes, settlement risk, liquidity risk and default risk. Trading volume may restrict liquidity in equity and debt investments. The AMC may choose to invest in unlisted securities which may increase the risk on the portfolio. Also, the value of the Scheme investments may be affected by interest rates, currency exchange rates, changes in law/policies of the government, taxation laws and political, economic or other developments.</p> <p>Investments in debt and money market instruments are subject to interest rate risk, re-investment risk, basis risk, credit risk, spread risk, prepayment risk, etc. to the extent of the Scheme’s investments in such securities.</p> <p>Please refer to the SID for further details.</p>																																						
Risk Management	<p>The Fund, by utilizing a holistic risk management strategy, will endeavor to manage risks associated with investing in equity markets. The risk control process involves identifying & measuring the risk through various risk measurement tools. The Fund has identified following risks of investing in equities and designed risk management strategies, which are embedded in the investment process to manage such risks.</p>																																						
	Risk & description specific to equities	Risk mitigants/ Management strategy																																					
	Quality risk - Risk of investing in unsustainable/ weak companies	Investment universe carefully selected to only include high quality businesses																																					
	Price risk - Risk of overpaying for a company	“Fair value” based investment approach supported by comprehensive research																																					
	Concentration risk	Invest across the industries/ sectors																																					
	Liquidity risk - High impact costs	Control portfolio liquidity at portfolio construction stage																																					
	Volatility - Price volatility due to company or portfolio specific	Control risk class/ sector/ stock exposures to control overall factors portfolio volatility																																					
	Event risk - Price risk due to company or sector specific event	Understand businesses to respond effectively and speedily to events Usage of derivatives: Hedge portfolios, if required, in case of predictable events with uncertain outcomes																																					
Plans and Options	<p>Axis Capital Builder Fund - Series 1 (1540 Days) offers the following plans:</p> <div>1. Axis Capital Builder Fund - Series 1 (1540 Days) - Regular Plan</div> <div>2. Axis Capital Builder Fund - Series 1 (1540 Days) - Direct Plan</div> <p>Regular Plan</p> <p>Regular Plan is available for all type of investors investing through a Distributor</p> <p>Direct Plan</p> <p>Direct Plan is only for investors who purchase /subscribe Units in a Scheme directly with the Fund and is not available for investors who route their investments through a Distributor.</p> <p>Each plan offers the following options:</p> <div>a) Growth Option</div> <div>b) Dividend Option (Dividend Payout)</div> <div><div>a) Growth Option: Dividends will not be declared under this Option. The income attributable to Units under this Option will continue to remain invested in the Scheme and will be reflected in the Net Asset Value of Units under this Option.</div><div>b) Dividend Option: Under this Option, dividends will be declared at the discretion of the Trustee, subject to availability of distributable surplus calculated in accordance with SEBI (MF) Regulations. On payment of dividend, the NAV of the units under Dividend option will fall to the extent of the dividend payout and applicable statutory levies, if any.</div></div> <p>It must be distinctly understood that the actual declaration of dividend and frequency thereof is at the sole discretion of Board of Directors of the Trustee Company. There is no assurance or guarantee to the Unit holders as to the rate of dividend distribution nor that the dividend will be paid regularly.</p> <p>Dividend Payout Facility</p> <p>Under this facility, dividend declared, if any, will be paid (subject to deduction of dividend distribution tax and statutory levy, if any) to those Unit holders, whose names appear in the register of Unit holders on the notified record date.</p> <p>In case of Units held in dematerialized mode, the Depositories (NSDL/CDSL) will give the list of demat account holders and the number of Units held by them in electronic form on the Record date to the Registrars and Transfer Agent of the Mutual Fund.</p> <p>Default Plan</p> <p>The investor must clearly specify his choice of plan. The investors may refer to the following table for applicability of Direct Plan/ Regular Plan under different scenario :-</p> <table><tr><th>Scenario</th><th>Broker Code mentioned by the investor</th><th>Plan mentioned by the investor</th><th>Default Plan to be captured</th></tr><tr><td>1</td><td>Not mentioned</td><td>Not mentioned</td><td>Direct Plan</td></tr><tr><td>2</td><td>Not mentioned</td><td>Direct</td><td>Direct Plan</td></tr><tr><td>3</td><td>Not mentioned</td><td>Regular</td><td>Direct Plan</td></tr><tr><td>4</td><td>Mentioned</td><td>Direct</td><td>Direct Plan</td></tr><tr><td>5</td><td>Direct</td><td>Not Mentioned</td><td>Direct Plan</td></tr><tr><td>6</td><td>Direct</td><td>Regular</td><td>Direct Plan</td></tr><tr><td>7</td><td>Mentioned</td><td>Regular</td><td>Regular Plan</td></tr><tr><td>8</td><td>Mentioned</td><td>Not Mentioned</td><td>Regular Plan</td></tr></table> <p>In cases of wrong/ invalid/ incomplete ARN codes mentioned on the application form, the application shall be processed under Regular Plan. The AMC shall contact and obtain the correct ARN code within 30 calendar days of the receipt of the application form from the investor/ distributor. In case, the correct code is not received within 30 calendar days, the AMC shall reprocess the transaction under Direct Plan from the date of application without any exit load.</p> <p>Default plan would be Direct Plan (i.e plan whether Direct or Regular Plan and distributor code is not indicated in the application form)</p> <p>Default Option</p> <p>The investor must clearly specify his choice of option/ facility. In the absence of such clear instruction, it will be assumed that the investor has opted for ‘default’ option / facility and the application will be processed accordingly. The default option / facility are:</p> <p>Default Option: Growth (between Growth and Dividend)</p>			Scenario	Broker Code mentioned by the investor	Plan mentioned by the investor	Default Plan to be captured	1	Not mentioned	Not mentioned	Direct Plan	2	Not mentioned	Direct	Direct Plan	3	Not mentioned	Regular	Direct Plan	4	Mentioned	Direct	Direct Plan	5	Direct	Not Mentioned	Direct Plan	6	Direct	Regular	Direct Plan	7	Mentioned	Regular	Regular Plan	8	Mentioned	Not Mentioned	Regular Plan
Scenario	Broker Code mentioned by the investor	Plan mentioned by the investor	Default Plan to be captured																																				
1	Not mentioned	Not mentioned	Direct Plan																																				
2	Not mentioned	Direct	Direct Plan																																				
3	Not mentioned	Regular	Direct Plan																																				
4	Mentioned	Direct	Direct Plan																																				
5	Direct	Not Mentioned	Direct Plan																																				
6	Direct	Regular	Direct Plan																																				
7	Mentioned	Regular	Regular Plan																																				
8	Mentioned	Not Mentioned	Regular Plan																																				

Applicable NAV	<p>Being a close ended Scheme, Investors can subscribe to the Units of the scheme during the new fund offer period only.</p> <p>After close of NFO Period, the Fund will not provide facility for subscription / redemption /switches, and hence cut-off timing and applicable NAV provisions do not apply.</p> <p>In case of switch-out proposed for investing the redemption proceeds in another scheme of the Fund, the switch-out request will be accepted upto 3.00 p.m. on the Maturity Date.</p>		
Minimum Application Amount/ Number of Units	Purchase ₹ 5,000 and in multiples of ₹ 10/- thereafter	Additional Purchase Not Applicable	Repurchase Not applicable
Despatch of Repurchase (Redemption) Request	<p>As the Scheme is close ended scheme, investors will not be able to redeem their units during the tenor of the scheme. Units under the scheme will be compulsorily and without any further act by the Unit holder(s) redeemed on the Maturity Date of the scheme. The redemption proceeds shall be dispatched to the unit holders within 10 working days from the Maturity Date of the scheme.</p>		
Benchmark Index	Nifty 500 Index		
Dividend Policy	<p>The Trustee will have the discretion 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 the dividend will be paid regularly.</p> <p>The AMC/ Trustee reserve the right to change the frequency of declaration of dividend or may provide for additional frequency for declaration of dividend.</p>		
Name of the Fund Manager	Mr. Ashish Naik and Mr. Anupam Tiwari (Tenure of Managing the Scheme as Fund Manager - Since Inception)		
Additional Scheme related disclosures as per SEBI Circular dated March 18, 2016	<p>a) Scheme's portfolio holdings, Fund allocation towards various Sectors & Portfolio Turnover - Not applicable as the scheme is a new fund to be launched.</p> <p>b) Website link for Monthly Portfolio Holding - Please visit www.axismf.com to obtain Scheme's latest monthly portfolio holding statement.</p>		
Name of the Trustee Company	Axis Mutual Fund Trustee Limited		
Performance of the scheme	This Scheme is a new scheme and does not have any performance track record.		
Expenses of the Scheme	<p>(i) Load Structure</p> <p>Entry load : Not Applicable</p> <p>SEBI vide its circular no. SEBI/IMD/CIR No. 4/ 168230/09 dated June 30, 2009 has decided that there shall be no entry Load for all Mutual Fund Schemes. The upfront commission on investment made by the investor, if any, shall be paid to the ARN Holder (AMFI registered Distributor) directly by the investor, based on the investor's assessment of various factors including service rendered by the ARN Holder.</p> <p>Exit load : Not Applicable</p> <p>Units under the scheme cannot be redeemed directly with the Fund as the Units of the Scheme will be listed on the Stock Exchange(s). These units can be sold on a continuous basis on the stock exchange(s) where the units will be listed during the trading hours on all trading days. For more details on load structure, please refer paragraph 'Load Structure'.</p> <p>(ii) Recurring expenses</p> <p>The recurring expenses under the Scheme (including the Investment Management and Advisory Fees) shall be as per the limits prescribed under the SEBI (MF) Regulations. These are as follows:</p> <p>On the first Rs. 100 crores of the daily net assets - 2.50%</p> <p>On the next Rs. 300 crores of the daily net assets - 2.25%</p> <p>On the next Rs. 300 crores of the daily net assets - 2.00%</p> <p>On the balance of the assets - 1.75%</p> <p>**Direct Plan shall have a lower expense ratio excluding distribution expenses, commission, etc. and no commission for distribution of Units will be paid/ charged under Direct Plan. The TER of the Direct Plan will be lower to the extent of at least 15% of the TER which is charged in the Regular Plan. For example, in the event that the TER of the Regular option is 1% p.a., the TER of the Direct option would not exceed 0.85% p.a.</p> <p>(a) In addition to the limits as specified in Regulation 52(6) of SEBI (Mutual Funds) Regulations 1996 ['SEBI Regulations'] or the Total Recurring Expenses (Total Expense Limit) as specified above, the following costs or expenses may be charged to the scheme namely-</p> <p>expenses not exceeding of 0.30 per cent of daily net assets, if the new inflows from such cities as specified by SEBI/ AMFI from time to time are at least -</p> <p>(i) 30 per cent of gross new inflows in the scheme, or;</p> <p>(ii) 15 per cent of the average assets under management (year to date) of the scheme, whichever is higher:</p> <p>Provided that if inflows from such cities is less than the higher of sub-clause (i) or sub-clause (ii), such expenses on daily net assets of the scheme shall be charged on proportionate basis.</p> <p>Provided further that, expenses charged under this clause shall be utilised for distribution expenses incurred for bringing inflows from such cities.</p> <p>Provided further that amount incurred as expense on account of inflows from such cities shall be credited back to the scheme in case the said inflows are redeemed within a period of one year from the date of investment.</p> <p>This sub clause (a) shall be applicable for inflows received during the NFO period.</p> <p>(b) Goods and Services Tax (GST) payable on investment and advisory service fees ('AMC fees') charged by Axis Asset Management Company Limited ('Axis AMC');</p> <p>Further, brokerage and transaction costs which are incurred for the purpose of execution of trade and is included in the cost of investment shall not exceed 0.12 per cent in case of cash market transactions and 0.05 per cent in case of derivatives transactions.</p> <p>Within the Total Expense Limit chargeable to the scheme, following will be charged to the Scheme:</p> <p>(a) GST on other than investment and advisory fees, if any, (including on brokerage and transaction costs on execution of trades) shall be borne by the Scheme</p> <p>(b) Investor education and awareness initiative fees of at least 2 basis points on daily net assets of respective Scheme.</p> <p>Any expenditure in excess of the SEBI regulatory limits shall be borne by the AMC or the Sponsor.</p> <p>The current expense ratios will be updated on the AMC website viz. www.axismf.com within two working days mentioning the effective date of the change.</p>		
Transaction charge	<p>In terms of SEBI circular no. CIR/ IMD/ DF/ 13/ 2011 dated August 22, 2011, as amended from time to time, Transaction Charge per subscription of Rs. 10,000/- and above shall be charged from the investors and shall be payable to the distributors/ brokers (who have opted in for charging the transaction charge) in respect of applications routed through distributor/ broker relating to Purchases /subscription / new inflows only (lump sum and SIP), subject to the following:</p> <ul style="list-style-type: none"> For Existing / New investors: Rs. 100 / Rs. 150 as applicable per subscription of 10,000/- and above There shall be no transaction charge on subscription below Rs. 10,000/-. There shall be no transaction charges on direct investments. 		

	The requirement of minimum application amount shall not be applicable if the investment amount falls below the minimum amount required due to deduction of transaction charges from the subscription amount.	
Waiver of Load for Direct Applications	Not applicable	
Tax treatment for the Investors (Unitholders)	Investors are advised to refer to the paragraph on Taxation in the "Statement of Additional Information" and to consult their own tax advisors with respect to the specific amount of tax and other implications arising out of their participation in the scheme.	
Daily Net Asset Value (NAV) Publication	The NAV will be declared on all business days and will be published in 2 daily newspapers. NAV can also be viewed on www.axismf.com and www.amfiindia.com [You can also telephone us at 1800 3000 3300.]	
For Investor Grievances please contact	Registrar and Transfer Agent: Karvy Computershare Pvt. Ltd., Unit: Axis Mutual Fund, Karvy Selenium, Tower B, Plot Number 31 & 32, Financial District, Gachibowli, Hyderabad - 500008. TEL: 040 3321 1000.	Name, address, telephone number, fax number, e-mail i.d. of the Mutual Fund Mr. Milind Vengurlekar Axis Asset Management Co. Ltd. "Axis House", 1st Floor, C-2, Wadia International Centre, Pandurang Budhkar Marg, Worli, Mumbai - 400025. Tel. No: 022 - 4325 4123, Fax No: 022 4325 5199 Toll Free: 1800-3000-3300 E-mail: customerservice@axismf.com
Unit holder's information	<p>Account Statements:</p> <ul style="list-style-type: none"> On acceptance of the application for subscription, an allotment confirmation specifying the number of units allotted by way of email and/or SMS within 5 business days from the date of receipt of transaction request will be sent to the Unit Holders registered email address and/or mobile number. In case of Unit Holders holding units in the dematerialized mode, the Fund will not send the account statement to the Unit Holders. The statement provided by the Depository Participant will be equivalent to the account statement. For those Unit holders who have provided an e-mail address, the AMC will send the account statement by e-mail. Unit holders will be required to download and print the documents after receiving e-mail from the Mutual Fund. Should the Unit holder experience any difficulty in accessing the electronically delivered documents, the Unit holder shall promptly advise the Mutual Fund to enable the Mutual Fund to make the delivery through alternate means. It is deemed that the Unit holder is aware of all security risks including possible third party interception of the documents and contents of the documents becoming known to third parties. The Unit holder may request for a physical account statement by writing/calling the AMC/ISC/Registrar. In case of specific request received from the Unit Holders, the AMC/Fund will provide the Account Statement to the Investors within 5 business days from the receipt of such request. The AMC shall issue Unit certificates within 5 business days from the date of receipt of request where the applicant so desires. <p>Consolidated Account Statement (CAS)</p> <p>CAS is an account statement detailing all the transactions and holding at the end of the month including transaction charges paid to the distributor, across all schemes of all mutual funds. CAS issued to investors shall also provide the total purchase value/cost of investment in each scheme.</p> <p>Further, CAS issued for the half-year (September/ March) shall also provide</p> <ol style="list-style-type: none"> The amount of actual commission paid by AMC/Mutual Fund to distributors (in absolute terms) during the half-year period against the concerned investor's total investments in each scheme. The Scheme's average Total Expense Ratio (in percentage terms) for the half-year period, of both direct plan and regular plan, for each scheme where the concerned investor has invested in. <p>The word transaction will include purchase, redemption, switch, dividend payout, dividend reinvestment, systematic investment plan, systematic withdrawal plan and systematic transfer plan.</p> <p>a) For Unitholders not holding Demat Account:</p> <p>CAS for each calendar month shall be issued, on or before tenth day of succeeding month by the AMC.</p> <p>The AMC shall ensure that a CAS for every half yearly (September/ March) is issued, on or before tenth day of succeeding month, detailing holding at the end of the six month, across all schemes of all mutual funds, to all such investors in whose folios no transaction has taken place during that period.</p> <p>The AMC shall identify common investors across fund houses by their Permanent Account Number (PAN) for the purposes of sending CAS. In the event the account has more than one registered holder, the first named Unit Holder shall receive the Account Statement.</p> <p>The AMC will send statement of accounts by e-mail where the Investor has provided the e-mail id. Additionally, the AMC may at its discretion send Account Statements individually to the investors.</p> <p>b) For Unitholders holding Demat Account:</p> <p>SEBI vide its circular no. CIR/MRD/DP/31/2014 dated November 12, 2014, in order to enable a single consolidated view of all the investments of an investor in Mutual Fund and securities held in demat form with Depositories, has required Depositories to generate and dispatch a single CAS for investors having mutual fund investments and holding demat accounts.</p> <p>In view of the aforesaid requirement, for investors who hold demat account, for transactions in the schemes of Axis Mutual Fund on or after February 1, 2015, a CAS, based on PAN of the holders, will be sent by Depositories to investors holding demat account, for each calendar month within 10th day of the succeeding month to the investors in whose folios transactions have taken place during that month.</p> <p>CAS will be sent by Depositories every half yearly (September/March), on or before 10th day of succeeding month, detailing holding at the end of the six month, to all such investors in whose folios and demat accounts there have been no transactions during that period.</p> <p>CAS sent by Depositories is a statement containing details relating to all financial transactions made by an investor across all mutual funds viz. purchase, redemption, switch, dividend payout, dividend reinvestment, systematic investment plan, systematic withdrawal plan, systematic transfer plan (including transaction charges paid to the distributor) and transaction in dematerialized securities across demat accounts of the investors and holding at the end of the month.</p> <p>In case of demat accounts with nil balance and no transactions in securities and in mutual fund folios, the depository shall send account statement in terms of regulations applicable to the depositories. Investors whose folio(s)/ demat account(s) are not updated with PAN shall not receive CAS.</p> <p>Consolidation of account statement is done on the basis of PAN. Investors are therefore requested to ensure that their folio(s)/ demat account(s) are updated with PAN. In case of multiple holding, it shall be PAN of the first holder and pattern of holding.</p> <p>For Unit Holders who have provided an e-mail address to the Mutual Fund or in KYC records, the CAS is sent by e-mail. However, where an investor does not wish to receive CAS through email, option is given to the investor to receive the CAS in physical form at the address registered in the Depository system.</p> <p>Investors who do not wish to receive CAS sent by depositories have an option to indicate their negative consent. Such investors may contact the depositories to opt out. Investors who do not hold demat account continue to receive CAS sent by RTA/AMC, based on the PAN, covering transactions across all mutual funds as per the current practice.</p> <p>In case an investor has multiple accounts across two depositories; the depository with whom the account has been opened earlier will be the default depository.</p> <p>The dispatches of CAS by the depositories constitute compliance by the AMC/ the Fund with the requirement under Regulation 36(4) of SEBI (Mutual Funds) Regulations. However, the AMC reserves the right to furnish the account statement in addition to the CAS, if deemed fit in the interest of investor(s).</p>	

	<p>Investors whose folio(s)/demat account(s) are not updated with PAN shall not receive CAS. Investors are therefore requested to ensure that their folio(s)/demat account(s) are updated with PAN.</p> <p>Option to hold Units in dematerialized (demat) form</p> <p>Investors shall have an option to receive allotment of Mutual Fund units in their demat account while subscribing to the Units of the scheme in terms of the guidelines/ procedural requirements as laid by the Depositories (NSDL/CDSL) from time to time.</p> <p>Investors desirous of having the Units of the Scheme in dematerialized form should contact the ISCs of the AMC/Registrar.</p> <p>Where units are held by investor in dematerialized form, the demat statement issued by the Depository Participant would be deemed adequate compliance with the requirements in respect of dispatch of statements of account.</p> <p>In case investors desire to convert their existing physical units (represented by statement of account) into dematerialized form or vice versa, the request for conversion of units held in physical form into Demat (electronic) form or vice versa should be submitted along with a Demat/Remat Request Form to their Depository Participants. In case the units are desired to be held by investor in dematerialized form, the KYC performed by Depository Participant shall be considered compliance of the applicable SEBI norms.</p> <p>Units held in Demat form are freely transferable in accordance with the provisions of SEBI (Depositories and Participants) Regulations, as may be amended from time to time. Transfer can be made only in favour of transferees who are capable of holding units and having a Demat Account. The delivery instructions for transfer of units will have to be lodged with the Depository Participant in requisite form as may be required from time to time and transfer will be affected in accordance with such rules / regulations as may be in force governing transfer of securities in dematerialized mode.</p> <p>For details, Investors may contact any of the Investor Service Centres of the AMC</p> <p>Annual Report:</p> <p>Scheme/Plan-wise Annual Report or an abridged summary thereof shall be mailed to all Unit Holders within four months from the date of closure of the relevant accounting year i.e. 31st March each year.</p> <p>Monthly and Half yearly disclosures</p> <p>The AMC shall disclose portfolio of the Scheme on the website www.axismf.com along with ISIN on a monthly basis as on last day of each month, on or before tenth day of the succeeding month.</p> <p>The Mutual Fund shall publish a complete statement of the Scheme portfolio within one month from the close of each half year (i.e. 31st March and 30th September), by way of an advertisement at least, in one National English daily and one regional newspaper in the language of the region where the head office of the Mutual Fund is located. The Mutual Fund may opt to send the portfolio to all Unit holders in lieu of the advertisement (if applicable).</p> <p>The Portfolio Statement will also be displayed on the website of the AMC and AMFI.</p> <p>The Mutual Fund shall within one month from the close of each half year, that is on 31st March and on 30th September, host a soft copy of its unaudited financial results on their website.</p> <p>The mutual fund shall publish an advertisement disclosing the hosting of such financial results on their website, in at least one English daily newspaper having nationwide circulation and in a newspaper having wide circulation published in the language of the region where the Head Office of the Mutual Fund is situated.</p> <p>The Annual Report, portfolio statement and the un audited financial results will also be displayed on the website of the Mutual Fund (www.axismf.com) and Association of Mutual Funds in India (www.amfiindia.com)</p>
--	---

Please refer Axis AMC website www.axismf.com for list of Official Point of Acceptance of Transactions for submission of transaction requests.

Statutory Details: Axis Mutual Fund has been established as a Trust under the Indian Trusts Act, 1882, sponsored by Axis Bank Ltd. (liability restricted to ₹ 1 Lakh). **Trustee:** Axis Mutual Fund Trustee Ltd. **Investment Manager:** Axis Asset Management Co. Ltd. (the AMC). **Risk Factors:** Axis Bank Limited is not liable or responsible for any loss or shortfall resulting from the operation of the scheme. **Mutual Fund investments are subject to market risks, read all scheme related documents carefully.**

FORM 1 - APPLICATION FORM FOR Axis Capital Builder Fund - Series 1 (1540 Days) (A Close Ended Equity Scheme Investing Across Large Cap, Mid Cap, Small Cap Stocks)

NFO opens : February 16, 2018 NFO closes : March 1, 2018

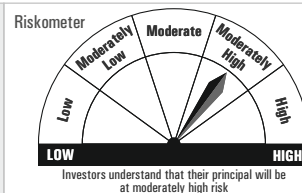


Application No.

This product is suitable for investors who are seeking*

- Capital appreciation over long term
- Investment in a diversified portfolio of predominantly equity and equity related instruments across market capitalisation.

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



THE APPLICATION FORM SHOULD BE FILLED IN BLOCK LETTERS ONLY.

Distributor ARN	Sub-Distributor ARN	Internal Sub-Broker / Sol ID	Employee Code	EUIN	RIA CODE^	Serial No., Date & Time Stamp
ARN 48012	ARN			E 053085		

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

*I/We, have invested in the scheme(s) of Axis Mutual Fund under Direct Plan. I/We hereby give my/our consent to share/provide the transactions data feed/ portfolio holdings/ NAV etc. in respect of my/our investments under Direct Plan of all schemes of Axis Mutual Fund, to the above mentioned SEBI Registered Investment Adviser:

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

First / Sole Applicant /
Guardian

Second Applicant

Third Applicant

Power of Attorney Holder

TRANSACTION CHARGES FOR APPLICATIONS THROUGH DISTRIBUTORS ONLY (Refer 19) In case the subscription amount is ₹ 10,000 or more and your Distributor has opted to receive Transaction Charges, the same are deductible as applicable from the purchase/ subscription amount and payable to the Distributor. Units will be issued against the balance amount invested.

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

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

1 UNIT HOLDING OPTION (To be filled in case of demat holding only)

☐ DEMAT MODE ☐ PHYSICAL MODE

Demat Account Details of First / Sole Applicant
(Name should be as per demat account)

Depository Participant Name

NSDL	DP ID	IN	CDSL	Beneficiary ID

Note: Please attach copy of Client Master List.

2 EXISTING INVESTOR'S FOLIO NUMBER

(If you have an existing folio with KYC validated, please mention here and skip to section 5/6.)

Folio Number

3 MODE OF HOLDING

(in case of Demat Purchase Mode of Holding should be same as in Demat Account)

☐ Single ☐ Joint (Default) ☐ Anyone or Survivor

4 FIRST APPLICANT'S DETAILS (Non-individual investors please fill in FATCA / CRS, UBO annexure and attach along with application form) Ref. 9 & 20. All fields are mandatory.

Gender ☐ Male ☐ Female

Name (1st)
(As in PAN card/KYC records)

PAN (Minor/1st Holder)
Refer 10

Aadhaar No. (Ref. 22)

Father's Name

Date of birth
(Minor / 1st Holder)

Name of the Guardian (in case of minor please attach proof of date of birth) / POA (Contact person for non individuals / PoA holder name)

Guardian / PoA PAN

Guardian Aadhaar No. (Ref. 22)

Country of Birth

Place of Birth

Nationality

For Investments "On behalf of Minor" (Refer 11) ☐ Birth Certificate ☐ School Certificate ☐ Passport ☐ Other ☐ Specify Guardian named above is ☐ Father ☐ Mother ☐ Court Appointed

Correspondence address (Please note: Address will be replace as per KYC records)

City

State

Country

Pin Code

Overseas address (For FIIs/NRIs/PIOs)

City

State

Country

Pin Code

Email

Mobile

Tel.

Status ☐ Resident Individual ☐ Proprietor ☐ HUF ☐ Minor ☐ Society ☐ FII ☐ NRI ☐ PIO

☐ Partnership Firm ☐ Trust ☐ Company ☐ NPO* ☐ Other ☐ Specify ☐ Other than NPO

Occupation ☐ Pvt. Sector Service ☐ Public Sector ☐ Gov. Service ☐ Housewife ☐ Defence ☐ Professional ☐ Retired ☐ Business

☐ Agriculture ☐ Student ☐ Forex Dealer ☐ Other ☐ Specify

Are you FATCA Compliant (Please tick any one) ☐ Yes ☐ No (if no, please fill below details)

...Continued Overleaf

5 DEBIT MANDATE (For Axis Bank A/c only.)

TO BE DETACHED BY KARVY & PRESENTED TO AXIS BANK BRANCH

Application No.

I/ We

Name of the account holder(s)

authorise you to debit my/our account no.

Date

Account type ☐ Savings ☐ NRO ☐ NRE ☐ Current ☐ FCNR ☐ Others ☐ Specify

to pay for the purchase of Axis Capital Builder Fund - Series 1 (1540 Days) (A Close Ended Equity Scheme Investing Across Large Cap, Mid Cap, Small Cap Stocks)

Amount (figures)

(words)

Signature of First Account Holder

Signature of Second Account Holder

Signature of Third Account Holder

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

Application No.

From

Cheque no.

Date

Amount

Scheme

Stamp & Signature

Type of address given at KRA		<input type="checkbox"/> Residential or Business		<input type="checkbox"/> Residential		<input type="checkbox"/> Business		<input type="checkbox"/> Registered Office			
Permissible documents are		<input type="checkbox"/> Passport		<input type="checkbox"/> Election ID Card		<input type="checkbox"/> PAN Card		<input type="checkbox"/> Govt. ID Card		<input type="checkbox"/> Driving License	
										<input type="checkbox"/> UIDAI Card	
										<input type="checkbox"/> NREGA Job Card	
										<input type="checkbox"/> Others	
										<input type="text" value="specify"/>	

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

Are you a tax resident of any country other than India? <input type="checkbox"/> Yes <input type="checkbox"/> No (If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below.)		
Country^f	Tax identification number^g	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 \$

Gender ☐ Male ☐ Female

Name (2 nd) (As in PAN card/KYC records)																											
Father's Name											Email																
PAN											KIN (Refer 8A)											<input type="checkbox"/> CKYC FORM	<input type="checkbox"/> SUPPLEMENTARY CKYC FORM				
Mobile											Date of birth	D	D	M	M	Y	Y	Enclose <input type="checkbox"/> Attested PAN card copy <input type="checkbox"/> KYC Acknowledgment (Refer 8)									
Aadhaar No. (Ref. 22)																											
Country of Birth											Place of Birth											Nationality					
Status	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Proprietor <input type="checkbox"/> HUF <input type="checkbox"/> Minor <input type="checkbox"/> Society <input type="checkbox"/> FII <input type="checkbox"/> NRI <input type="checkbox"/> PIO <input type="checkbox"/> Partnership Firm <input type="checkbox"/> Trust <input type="checkbox"/> Company <input type="checkbox"/> Other Specify _____																										
Occupation	<input type="checkbox"/> Pvt. Sector Service <input type="checkbox"/> Public Sector <input type="checkbox"/> Gov. Service <input type="checkbox"/> Housewife <input type="checkbox"/> Defence <input type="checkbox"/> Retired <input type="checkbox"/> Professional <input type="checkbox"/> Business <input type="checkbox"/> Agriculture <input type="checkbox"/> Student <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Other Specify _____																										
											INDIVIDUALS	Gross Annual Income OR Net-worth* in ₹										< 1L <input type="checkbox"/> 1-5L <input type="checkbox"/> 5-10L <input type="checkbox"/> 10-25L <input type="checkbox"/> > 25L as on DD MM YY					
												*Should not be older than one year Any other information										<input type="checkbox"/> Politically Exposed Person (PEP)					<input type="checkbox"/> Related to a PEP

Are you FATCA Compliant (Please tick any one) ☐ Yes ☐ No (if no, please fill below details)

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

Are you a tax resident of any country other than India? <input type="checkbox"/> Yes <input type="checkbox"/> No (If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below.)		
Country^f	Tax identification number^g	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 \$

Gender ☐ Male ☐ Female

Name (3 rd) (As in PAN card/KYC records)																											
Father's Name													Email														
PAN												KIN (Refer 8A)												<input type="checkbox"/> CKYC FORM	<input type="checkbox"/> SUPPLEMENTARY CKYC FORM		
Mobile												Date of birth	D	D	M	M	Y	Y	Enclose <input type="checkbox"/> Attested PAN card copy				<input type="checkbox"/> KYC Acknowledgment (Refer 8)				
Aadhaar No.	(Ref. 22)																										
Country of Birth						Place of Birth						Nationality															
Status	<input type="checkbox"/> Resident Individual		<input type="checkbox"/> Proprietor		<input type="checkbox"/> HUF		<input type="checkbox"/> Minor		<input type="checkbox"/> Society		<input type="checkbox"/> FII		INDIVIDUALS	Gross Annual Income OR	<input type="checkbox"/> < 1L		<input type="checkbox"/> 1-5L	<input type="checkbox"/> 5-10L	<input type="checkbox"/> 10-25L	<input type="checkbox"/> > 25L							
	<input type="checkbox"/> NRI		<input type="checkbox"/> PIO		<input type="checkbox"/> Partnership Firm		<input type="checkbox"/> Trust		<input type="checkbox"/> Company		<input type="checkbox"/> Other Specify										as on		D	D	M	M	Y
Occupation	<input type="checkbox"/> Pvt. Sector Service		<input type="checkbox"/> Public Sector		<input type="checkbox"/> Gov. Service		<input type="checkbox"/> Housewife		<input type="checkbox"/> Defence		<input type="checkbox"/> Retired		INDIVIDUALS	Net-worth* in ₹	<input type="checkbox"/> Politically Exposed Person (PEP)		<input type="checkbox"/> Related to a PEP		<input type="checkbox"/> Not Applicable								
	<input type="checkbox"/> Professional		<input type="checkbox"/> Business		<input type="checkbox"/> Agriculture		<input type="checkbox"/> Student		<input type="checkbox"/> Forex Dealer		<input type="checkbox"/> Other Specify			*Should not be older than one year Any other information													

<input type="checkbox"/> KYC acknowledgement letter (Compulsory for MICRO Investments)	<input type="checkbox"/> SIP Registration Mandate - NACH for SIP investments
<input type="checkbox"/> Self attested PAN card copy	<input type="checkbox"/> Multiple Bank Accounts Registration form (if you want to register multiple bank accounts so that future payments can be made from any of the accounts)
<input type="checkbox"/> Email id and mobile number provided for online transaction facility	<input type="checkbox"/> Relationship proof between Guardian and Minor (if application is in the name of a Minor) attached
<input type="checkbox"/> Plan / Option / Sub Option name mentioned in addition to scheme name	<input type="checkbox"/> Additional documents attached for Third Party payments. Refer instructions.
	<input type="checkbox"/> FATCA Declaration.



Are you FATCA Compliant (Please tick any one)

☐ Yes

☐ No (if no, please fill below details)

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

specify

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 \$

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

Payment Type

☐ Non-Third Party Payment

☐ Third Party Payment (Please attach 'Third Party Payment Declaration Form')

Axis Capital Builder Fund - Series 1 (1540 Days)
(A Close Ended Equity Scheme Investing Across Large Cap, Mid Cap, Small Cap Stocks.)

☐ Regular Plan

☐ Growth

☐ Dividend Pay-out

Mode

☐ Cheque

☐ DD

☐ Axis Bank Debit Mandate (Please fill section 5.)

Cheque / DD no.

Dated

D

D

M

M

Y

Y

Amount (figures)

(words)

Pay-in A/c no.

Drawn on bank / branch name

Account type

☐ Savings

☐ NRO

☐ NRE

☐ Current

☐ FCNR

☐ Others

Specify

7 BANK ACCOUNT DETAILS FOR PAY-OUT (Mandatory. Refer 6 and avail of Multiple Bank Registration Facility.) (Please attach cancelled cheque copy or latest bank account statement.) (All fields are mandatory)

Bank Name

Bank A/c No.

Type

☐ Current

☐ Savings

☐ NRO

☐ NRE

☐ FCNR

☐ Others

Specify

Branch Name

City

Pin

IFSC Code (11 digit)*

MICR Code (9 digit)*

*Mentioned on your cheque leaf

8 AUTO SWITCH ON MATURITY (Refer 18)

☐ Switch to Scheme Name

Plan

Option

If an investor fails to specify the Plan / Option he will be allotted units under the default Plan / Option / Sub Option of the scheme.

☐ Proceeds to be dispatched / Credit to bank A/c (As may be applicable).

☐ I / We would like to switch all units from the schemes on its maturity. Investor can opt for having the payout on maturity at his / her designed bank account and the redemption or repurchase proceeds. The same shall be dispatched to the unitholders within 10 Business Days from the date of redemption or repurchase.

9 NOMINATION DETAILS (All fields are mandatory) (Refer 15)

	First Nominee	Second Nominee	Third Nominee
Name (as in PAN card/KYC records)			
PAN			
Date of Birth	<div><div>D</div><div>D</div><div>M</div><div>M</div><div>Y</div><div>Y</div><div>Y</div><div>Y</div></div>	<div><div>D</div><div>D</div><div>M</div><div>M</div><div>Y</div><div>Y</div><div>Y</div><div>Y</div></div>	<div><div>D</div><div>D</div><div>M</div><div>M</div><div>Y</div><div>Y</div><div>Y</div><div>Y</div></div>
Relationship with Investor			
Address			
Guardian Name (in case Nominee is a Minor)			
Signature (Guardian in case Nominee is a Minor)			
Allocation % (Total to be 100%)			
Unit Holder's Signature If you do not wish to nominate sign here.	First / Sole Applicant / Guardian	Second Applicant	Third Applicant
			Power of Attorney Holder

10 DECLARATION AND SIGNATURE

Having read and understood the content of the SID / SAI of the scheme, I/we hereby apply for units of the scheme. I have read and understood the terms, conditions, details, rules and regulations governing the scheme. I/We hereby declare that the amount invested in the scheme is through legitimate source only and does not involve designed for the purpose of the contravention of any Act, Rules, Regulations, Notifications or Directives of the provisions of the Income Tax Act, Anti Money Laundering Laws, Anti Corruption Laws or any other applicable laws enacted by the Government of India from time to time. I/we have not received nor have been induced by any rebate or gifts, directly or indirectly in making this investment. I/We confirm that the funds invested in the Scheme, legally belongs to me/us. In event "Know Your Customer" process is not completed by me/us to the satisfaction of the Mutual Fund, (I/we hereby authorize the Mutual Fund, to redeem the funds invested in the Scheme, in favour of the applicant, at the applicable NAV prevailing on the date of such redemption and undertake such other action with such funds that may be required by the law.) The ARN holder has disclosed to me/us all the commissions (trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Funds amongst which the Scheme is being recommended to me/ us. I/We confirm that I/We do not have any existing Micro SIP/Lumpsum investments which together with the current application will result in aggregate investments exceeding ₹ 50,000 in a year (Applicable for Micro investment only.) with your fund house. For NRIs only - I / We confirm that I am/ we are Non Residents of Indian nationality/origin and that I/We have remitted funds from abroad through approved banking channels or from funds in my/ our Non Resident External / Non Resident Ordinary / FCNR account. I/We confirm that details provided by me/us are true and correct.

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.

AADHAAR DECLARATION
I/ We hereby provide my/our consent in accordance with Aadhaar Act, 2016 and regulations made thereunder, for (i) collecting, storing and usage (ii) validating/authenticating and (ii) updating my/ our Aadhaar number(s) in accordance with the Aadhaar Act, 2016 (and regulations made thereunder) and PMLA. I/ We hereby provide my/our consent for sharing/disclosing of the Aadhaar number(s) including demographic information with the asset management companies of SEBI registered mutual fund (s)and their Registrar and Transfer Agent (RTA) for the purpose of updating the same in my/our folios with my PAN.

First / Sole Applicant / Guardian

Second Applicant

Third Applicant

Power of Attorney Holder

Date :

D

D

M

M

Y

Y

Place :

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



Name of the entity																																
Type of address given at KRA	<input type="checkbox"/> Residential or Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> 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"																															
Folio Number											/											/										
PAN						Date of incorporation					D	D	M	M	Y	Y	Y	Y														
City of incorporation											Country of incorporation																					
Entity Constitution Type (Please tick as appropriate)	<input type="checkbox"/> Partnership Firm <input type="checkbox"/> HUF <input type="checkbox"/> Private Limited Company <input type="checkbox"/> Public Limited Company <input type="checkbox"/> Society <input type="checkbox"/> AOP/BOI <input type="checkbox"/> Trust <input type="checkbox"/> Liquidator <input type="checkbox"/> Limited Liability Partnership <input type="checkbox"/> Artificial Juridical Person <input type="checkbox"/> Others <input type="text" value="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

ADDITIONAL KYC INFORMATION

Gross Annual Income (₹)	<input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1 - 5 Lacs <input type="checkbox"/> 5 - 10 Lacs <input type="checkbox"/> 10 - 25 Lacs <input type="checkbox"/> > 25 Lacs - 1 Crore <input type="checkbox"/> > 1 Crore												
OR													
Net-worth (Mandatory for Non-Individuals)	₹			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)	<input type="checkbox"/> PEP <input type="checkbox"/> Related to PEP <input type="checkbox"/> Not Applicable												
Is the entity involved in any of the mentioned services: (Please tick as appropriate)	<input type="checkbox"/> Foreign exchange/ Money changer <input type="checkbox"/> Gaming/ Gambling/ Lottery (Casinos, betting syndicates) <input type="checkbox"/> Money lending/ Pawning <input type="checkbox"/> Not applicable												

*PEP are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

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)

We are a, Financial institution ⁶ <input type="checkbox"/>	GIIN																					
OR	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																					
Direct reporting NFE ⁷ <input type="checkbox"/> (please tick as appropriate)	Name of sponsoring entity																					
GIIN not available (please tick as applicable) If the entity is a financial institution,	<input type="checkbox"/> Applied for <input type="checkbox"/> Not required to apply for - please specify 2 digits sub-category ¹⁰ <input type="text" value=""/> <input type="text" value=""/> <input type="checkbox"/> 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 ¹ (that is, a company whose shares are regularly traded on an established securities market)	Yes <input type="checkbox"/> (If yes, please specify any one stock exchange on which the stock is regularly traded) Name of stock exchange
2	Is the Entity a related entity ² of a publicly traded company (a company whose shares are regularly traded on an established securities market)	Yes <input type="checkbox"/> (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded) Name of listed company Nature of relation: <input type="checkbox"/> Subsidiary of the Listed Company or <input type="checkbox"/> Controlled by a Listed Company Name of stock exchange
3	Is the Entity an active ³ NFE	Yes <input type="checkbox"/> Nature of Business Please specify the sub-category of Active NFE <input type="text" value=""/> <input type="text" value=""/> (Mention code-refer 2c of Part D)
4	Is the Entity a passive ⁴ NFE	Yes <input type="checkbox"/> Nature of Business

¹Refer 2a of Part C | ²Refer 2b of Part C | ³Refer 2c of Part C | ⁴Refer 3(ii) of Part C | ⁵Refer 1 of Part C | ⁶Refer 3(vii) of Part C | ¹⁰Refer 1A of Part C

UBO Declaration

(Mandatory for all entities except, a Publicly Traded Company or a related entity of Publicly Traded Company)

Category (Please tick applicable category)

☐ Unlisted Company

☐ Partnership Firm

☐ Limited Liability Partnership Company

☐ Unincorporated association / body of individuals

☐ Private Trust

☐ Public Charitable Trust

☐ Religious Trust

☐ Others

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). (Please attach additional sheets if necessary)

Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E (Refer 3(vi) of part C)

Details	UBO1	UBO2	UBO3
Name			
PAN			
UBO Code (Refer 3(iv) (A) of Part C)			
Country of Tax residency*			
Tax ID No.*			
Tax ID Type			
Address	<div><div></div><div></div><div></div><div>Zip</div><div></div><div></div><div></div><div></div><div></div><div></div><div>State</div><div></div><div>Country</div><div></div></div>	<div><div></div><div></div><div></div><div>Zip</div><div></div><div></div><div></div><div></div><div></div><div></div><div>State</div><div></div><div>Country</div><div></div></div>	<div><div></div><div></div><div></div><div>Zip</div><div></div><div></div><div></div><div></div><div></div><div></div><div>State</div><div></div><div>Country</div><div></div></div>
Address Type	<div><input type="checkbox"/> Residence</div> <div><input type="checkbox"/> Registered office</div> <div><input type="checkbox"/> Business</div>	<div><input type="checkbox"/> Residence</div> <div><input type="checkbox"/> Registered office</div> <div><input type="checkbox"/> Business</div>	<div><input type="checkbox"/> Residence</div> <div><input type="checkbox"/> Registered office</div> <div><input type="checkbox"/> Business</div>
City of Birth			
Country of birth			
Occupation Type	<div><input type="checkbox"/> Service</div> <div><input type="checkbox"/> Business</div> <div><input type="checkbox"/> Others</div>	<div><input type="checkbox"/> Service</div> <div><input type="checkbox"/> Business</div> <div><input type="checkbox"/> Others</div>	<div><input type="checkbox"/> Service</div> <div><input type="checkbox"/> Business</div> <div><input type="checkbox"/> Others</div>
Nationality			
Father's Name			
Gender	<div><input type="checkbox"/> Male</div> <div><input type="checkbox"/> Female</div> <div><input type="checkbox"/> Others</div>	<div><input type="checkbox"/> Male</div> <div><input type="checkbox"/> Female</div> <div><input type="checkbox"/> Others</div>	<div><input type="checkbox"/> Male</div> <div><input type="checkbox"/> Female</div> <div><input type="checkbox"/> Others</div>
Date of Birth	<div><div>D</div><div>D</div><div>M</div><div>M</div><div>Y</div><div>Y</div><div>Y</div><div>Y</div></div>	<div><div>D</div><div>D</div><div>M</div><div>M</div><div>Y</div><div>Y</div><div>Y</div><div>Y</div></div>	<div><div>D</div><div>D</div><div>M</div><div>M</div><div>Y</div><div>Y</div><div>Y</div><div>Y</div></div>
Percentage of Holding (%)^			

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

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

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

^Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory / Company Secretary

^Refer 3(iii) of Part C | ^Refer 3(iv) (A) of Part C

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 Axis Mutual Fund 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.

#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.

Name

Designation

<div>Signatures</div>	<div>Signatures</div>	<div>Signatures</div>
<div>Date</div> <div><div>D</div><div>D</div><div>M</div><div>M</div><div>Y</div><div>Y</div><div>Y</div><div>Y</div></div>	<div>Place</div> <div></div>	

PART C 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 it's 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">• 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:- <ul style="list-style-type: none">(I) an Investor Protection Fund referred to in clause (23EA);(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;

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) 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 income
- (7) The excess of gains over losses from transactions (including futures, forwards, options and similar transactions) in any financial assets,
- (8) The excess of foreign currency gains over foreign currency losses
- (9) Net income from swaps
- (10) Amounts received under cash value insurance contracts

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

(iv) Controlling persons

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



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