FORM 1 - APPLICATION FORM FOR AXIS EQUITY HYBRID FUND - (AN OPEN ENDED HYBRID SCHEME INVESTING PREDOMINANTLY IN EQUITY AND EQUITY RELATED INSTRUMENTS)



Application No.

NFO opens: July 20, 2018 NFO closes: August 03, 2018

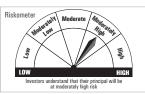
Cheque no.

Date

Amount

This product is suitable for investors who are seeking*

- Capital appreciation along with generation of income over medium to long term.
- Investment in equity and equity related instruments as well as debt and money market instruments.



*Investors should co	onsult their financial advis	sers if in doubt about whe	ether the product is suitab	le for them.			Investors unde	rstand that their p moderately high r	HIGH rincipal will be isk
LEASE READ THE INST	RUCTIONS BEFORE FILLIN	G UP THE FORM. All section	ons to be completed in ENG	LISH in BLACK / BL	UE COLOURE	D INK and in B	LOCK LETT	ERS.)	
Distributor ARN	Sub-Distributor ARN	Internal Sub-Broker	r / Sol ID Employee	Code EL	IN	RIA CODE^	Serial N	lo., Date 8	& Time Stan
ARN - 48012	ARN			E E0	3085				
We, have invested in the sche nemes of Axis Mutual Fund, to	eme(s) of Axis Mutual Fund under the above mentioned SEBI Regist	Direct Plan. I/We hereby give my/o ered Investment Adviser:	the investor's assessment of vario our consent to share/provide the tr				t of my/our inv	estments ur	der Direct Plar
xecuted without any interactio ve distributor/sub broker or not oloyee/relationship manager/sal	EUIN box has been intentionally left in or advice by the employee/relation withstanding the advice of in-approfes person of the distributor/sub brok	ship manager/sales person of the priateness, if any, provided by the er."	First / Sole Applicant / Guardian	Second Applic	ant	Third Applica	ant	Power of	Attorney Hold
RANSACTION CHA	RGES FOR APPLICATI	ONS ROUTED THROUG	GH DISTRIBUTORS/AG	ENTS ONLY (Refer	Instruction No. 20	0)			
case the subscription (lum		r more and your Distributor ha	I confirm that I am an existing as opted to receive Transaction adistributor. Units will be issue	on Charges, ₹ 150/- (fo	or first time mu		or) or ₹ 100/	- (for inves	tor other tha
EXISTING INVEST	OR'S FOLIO NUMBER	IN	VESTMENT TYPE (Pleas	e tick any one)		MOD	E OF HOL	DING	
(If you have an existir please mention here	ng folio with KYC validated, e and skip to section 6/7.)	LUMP SUI	M LUMP SL	IM WITH SIP	(in case of D	Demat Purchase Mode	-		in Demat Accou one or Surviv
APPLICANT INF	ORMATION (MANDAT	ORY) (In case of investment "On b	ehalf of Minor", Please Refer Instruction	on no. 11.)					
RST / SOLE APPLICAN	IT Mr. Ms. M/s.								
N (Mandatory)		Date of Birth D	D M M Y Y	Y Y CKYC No.		14 digi	t CKYC Num	ber	
dhaar No.			Mobile No.						
dress									
nte		-	City			F	Pin Code		
nail ID									
I / we hereby prefer to	'OPT-IN' to receive physical	copies of scheme Annual Rep	ort or Abridged summary.						
ECOND APPLICANT	Mr. Ms. M/s.								
N (Mandatory)		Date of Birth D	D M M Y Y	Y Y CKYC No.		14 digi	t CKYC Num	ber	
dhaar No.									
HIRD APPLICANT	Mr. Ms. M/s.								
N (Mandatory)		Date of Birth	D M M Y Y	Y Y CKYC No.		14 digi	t CKYC Num	ber	
dhaar No.									
JARDIAN DETAILS (In	case First / Sole Applicant is	minor) / CONTACT PERSON	- DESIGNATION / Poa HOLD	ER (In case of Non-inc	ividual Invest	ors)			
r. Ms. M/s.									
N (Mandatory)		Date of Birth	D M M Y Y	Y Y CKYC No.		14 digi	t CKYC Num	ber	
dhaar No.		Mob	bile No.						
lationship Of Guardian (R	efer Instruction No. 11)	Ema	ail ID						
DEBIT MANDATE	(For Axis Bank A/c only) To be proce	ssed in CMS software under client cod	10 "A XISMF" TO BE DETACHED	BY KARVY & PRESENTED TO A)	IC DANIV CMC	Application No.			
Ve Ve		of the account holder(s)	TO BE DETACHED			our account no.	Date	D D	M M Y
			Account type Savings				Specify	to pay f	or the purcha
is Equity Hybrid Fund	(An Open ended hybrid sch		ntly in equity and equity re					. ,	•
	figures)			(words)					
Signatur	(F								
	e of First Account Holder		Signature of Second Account	Holder			of Third Acco	unt Holder	

Scheme

Proof of the Relationship with			· -								
TAX STATUS (Applicable for Fi ☐ Resident Individual ☐ FIIs	rst / Sole Applicant)	UF 🗌 Club / Soc	ciety 🗌 PIO 🔲 Bo	ody Corporate	☐ Minor ☐ Gove	rnment Body	Trust	□NRI	. NRF	□ r	Bank &
		Provident Fund	Others	uy corporate	Specify	Tillilett Body	lust		- IVILL		Dalik O
2 KYC DETAILS (Refer Inst	truction No. 8. In case of investme	ent "On behalf of Minor", I	Please Refer Instruction No. 11)								
OCCUPATION [Please tick (🗸)]											
FIRST APPLICANT	☐ Private Sector Serv☐ Student ☐ Fore.			ment Service	Business Pro	essional Agric	ulturist	Ret	tired	H	ousew
SECOND APPLICANT	Private Sector Serv		ctor Service Govern	ment Service	Business Pro	essional Agric	ulturist	Ret	tired	H	ousewi
THIRD APPLICANT	☐ Private Sector Serv☐ Student ☐ Fore:		ctor Service 🔲 Govern ers	ment Service 🗌	Business Pro	essional 🗌 Agric	ulturist	Ret	ired] H	ousew
GROSS ANNUAL INCOME [Plea	se tick (√)]										
FIRST APPLICANT	Below 1 Lac Net worth (Mandatory		0 Lacs 10-25 Lacs s Rs.	□ > 25 Lacs		Crore D M M Y	ү ү	Y [N-	ot older	than	1 yea
SECOND APPLICANT	Below 1 Lac	1-5 Lacs 5-1	10 Lacs		- 1 Crore > 1	Crore OR Net Wort	n	$\overline{\top}$			
THIRD APPLICANT	Below 1 Lac	1-5 Lacs	0 Lacs 10-25 Lacs		- 1 Crore	Crore OR Net Wort	n	\pm		\equiv	
For Individuals I am Politically Exposed Person	nn		ial Investors (Companies Listed Company or Subsidi			a Listed Comnany			Ye	20	□ No
		(If No, please atta	ch mandatory UBO Declara		a, 5. 55 5 5,	a 2.010a 00pay.			16	:S [140
☐ I am Related to Politically Exp	posed Person		Money Charger Services Lottery Casino Service	c					Ye Ye	-	No No
☐ I am not related to Politically	Exposed Person	Money Lending / P	,	3					Ye		No
3 FATCA AND CRS DET	AILS FOR INDIVIDU	ALS (Including Sole P	roprietor. Refer Instruction No. 23)								
The below information is required f											
	Place/City o		Country of	Birth		Country of Citizen	ship / N	ationalit	ty		
First Applicant / Guardian					☐ Indian ☐ U	.S. 🗌 Others _					
Second applicant					☐ Indian ☐ U						
Third applicant					☐ Indian ☐ U	.S. Others					
Are you a tax resident (i.e., are you		•									
f 'YES' please fill for ALL countries	s (other than India) in whi	ch you are a Reside	nt for tax purpose i.e. who	re you are a Citize	n/Resident / Green C	ard Holder / Tax Res	dent in t	he respe	ctive cou	untrie	es.
	Country of Tax Resid		ntification Number or ctional Equivalent	ldent (TIN or otl	fication Type ner please specify)		Add	ress Typ)e		
First Applicant / Guardian						Residentia	☐ Re	gistered	Office		Busine
Second applicant						Residentia	☐ Re	gistered	Office		Busine
Third applicant						Residentia	— R∈	gistered	Office		Busine
FATCA and CRS Self Certification	form' is available on the	website of AMC i.e	. www.axismf.com or at t	he Investor Service	e Centres (ISCs) of A	ris Mutual Fund				_	
4 DEMAT ACCOUNT DE	TAILS (OPTIONAL)	(Please ensure that the	sequence of names as mentioned in	the application form ma	tches with that of the A/c.	neld with the depository pa	rticipant.) P	efer Instruc	tion No. 19	9	
NSDL: Depository Participant Nam	_		DPID No. I	N		eneficiary A/c No.					
CDSL: Depository Participant Nam			DI ID NO. 1	14		eneficiary A/c No.			$\frac{1}{1}$		
		Towns time!	04-4			ellelicially A/C No.					
Enclosed 	Client Master	ransaction/	Statement Copy/ DIS Cop	y 							
QUICK CHECKLIST											
KYC acknowledgement letter (Compulsory for MICRO Inv	vestments)	SIP Registration Manda	e - NACH for SIP in	vestments						
☐ Self attested PAN card copy			Multiple Bank Accounts from any of the accounts		if you want to registe	r multiple bank accou	nts so th	at future	paymen	ıts ca	an be n
 Email id and mobile number pro 	vided for online transactio	n facility	Relationship proof betw		linor (if application is i	n the name of a Mino	·) attachr	ed			
			Additional documents at								
Plan / Option / Sub Option name	s menuonea in addition to s	cueme name	FATCA Declaration.								

5 NOMINATION DETAILS	Mandatory) (Refer Ins	struction	No. 18)										
Sr. Nominee Name	ı				PAN					Allocation	Relationship with Investor	Guardian Name (in case of Minor)	Guardian Signature
1						Τ	Τ						
2						T							
3						T							
☐ I/We DO NOT wish to nominate ar	nd sign here												
First / Sole App	olicant						S	Second	Applica	ant		Third App	icant
7 INVESTMENT & PAYME	NT DETAILS												
Payment type 🔲 Non-Third Party I	Payment	Third	Party Pa	yment (Refer inst	ructio	n no. 7 a	ınd attad	h 'Third	Party Payment	Declaration Form')		
Axis Equity Hybrid Fund (An Ope				ting	✓ Re	gular	Plan		Growth Dividen	*If th	Regular* Monthly* e dividend payable under Dividend option to the squal to or less than Rs. 500/-, the to its orily reinvested in the same option.	Payout facility Dividend	end Payout { Not applicable for Growth Option or Growth O
Scheme					Plan					Option	noon, romrooted in the edite option.	Sub Option Dividend Frequen	cy (Regular / Monthly / Quarterly) [;]
												•	neme. Please refer SID of the respective schem
	Bank Debit Mand	date (PI	ease fill sec				Cl	neque	DD no).		Dated	D D M M Y Y
Amount (figures) Pay-in A/c no.				(words)						1 -			
	□ NDE □ 0			ID 0	., [on bank / name &		
Account type Savings NRO IFSC Code (11 Digit)	NRE L. CO	urrent	L FUN	IK L U	MICR	Code		ecify		dudics	<u>'</u>		
					WIIOIT	oout	, (5 Digit	.,					
7A SIP (SIP Registration details (Form Monthly SIP Amount (figure)	n 3) with Form 1					7 (words)						
SIP frequency (tick ✓ any one)	Monthly Y	/early (Nefault Fr	requency l	Monthly)			nd Deh	it Nate	(Δnv date e	xcept 29 th , 30 th and 31 st) (ref 1		ațe is menționed defaulț date wou
SIP period Start Date 1 0	1 8 End [M M	V					(ref 13		If end date is	not mentioned then the SIP	d as 7th of every month.
First SIP Installment details		hegue	/ DD _	Axis B							Dated D D M M	dered for perpetuity (Dec 2099).	
Drawn on bank / branch name	Widde Oi	neque			Julik Do	DIC 14	Turruut	.0 (1 160)	- IIII 366	11011 0.7		Cheque / DD no.	
												·	
8 BANK ACCOUNT DETAIL													
Tick here and don't fill the	section below	v, it tl	ne Banl	k accou	ınt det	tails	tor I	Pay-U	ut sh	ould be s	ame as the bank acco	unt details mentioned i	n section /B.
Name of the Bank		1			1	_							
Branch Address						+						B: 0.1	
City						+					T Covings	Pin Code	
Account No.		<u> </u>			MICD	0 - 1 -				Acco	ınt Type Savings	Current NRE NRO	FCNR Others
IFSC Code (11 Digit)					MICR	Loae	9 Digit	:)					
9 DECLARATION AND SIG		f the ee	homo I/u	uo horobi	, onnly f	or un	ito of t	ho oob	omo I k	ovo rood on	d understood the terms on	ditions datails rules and regul	ations governing the scheme I/M
Having read and understood the content hereby declare that the amount invested provisions of the Income Tax Act, Anti M rebate or gifts, directly or indirectly in ma of the Mutual Fund, (I/we hereby authori action with such funds that may be requi Funds amongst which the Scheme is be investments exceeding ₹ 50,000 in a yea from abroad through approved banking cf CERTIFICATION I/ We have understood the information reconfirm that I/ We have read and underst AADHAAR DECLARATION I/ We hereby provide my/our consent in a accordance with the Aadhaar Act, 2016 management companies of SEBI registers	in the scheme is I king this investme ze the Mutual Fun red by the law.) Th ng recommended (Applicable for Mi annels or from fun quirements of this bod the FATCA & C ccordance with A (and regulations n	through Laws, A ent. I/Wo Id, to re he ARN to me/ licro inv nds in m Form (r CRS Tel Aadhaar made th	legitima Inti Corru e confirm deem the holder ha us. I/We estment y/ our Noo ead along rms and Č Act, 207 ereunder	te source iption Lav that the is funds in as disclos confirm only.) with n Residen with the conditions	e only an ws or an funds invested in ed to me that I/W th your funt Extern e FATCA s below a gulation LA. I/ W.	d doo y oth veste n the e/us a e do und h al / N & CF and h s ma e her	es not i er appl d in the Schem ill the c not ha ouse. F on Res RS Instr ereby a	involve icable Scher e, in fa ommis or NRI ident O ruction recept	design laws en ne, lega vour of sions (t existir s only - rdinary s) and h the sam r, for (i)	ed for the p lacted by th illy belongs to f the applica rail commiss g Micro SIF / We confin / FCNR acco ereby confine. collecting, onsent for s	urpose of the contravention to Government of India from 1 or me/us. In event "Know You nt, at the applicable NAV prion or any other mode), pays //Lumpsum investments whin that I am/ we are Non Resiount. I/We confirm that detail m that the information provious to the information provious and usage (ii) validat haring/disclosing of the Aad	of any Act, Rules, Regulations, ime to time. I/we have not rece r Customer" process is not com evailing on the date of such red bible to him for the different com ch together with the current a lents of Indian nationality/origin s provided by me/us are true and ded by me/us on this Form is true ing/authenticating and (ii) upda haar number(s) including demor	Notifications or Directives of t incomplete by me/us to the satisfaction and undertake such oth peting Schemes of various Mutt pplication will result in aggrega and that I/We have remitted fun correct. I correct, and complete. I / We al
First / Sole Applicant / Guardian				Second A	Applicant	t					Third Applicant	Power	of Attorney Holder
Date: D M M Y Y	Place :								J [

FORM 3 - SIP REGISTRATION MANDATE (NACH) AXIS EQUITY HYBRID FUND

(Investor must read Key Scheme Features and Instructions before completing this form.) TO BE ATTACHED WITH FORM 1

New Fund Offer Opens on: July 20, 2018 New Fund Offer Closes on: August 03, 2018 First SIP start date: 01 October, 2018



THE APPLICATION FORM SHOULD BE FILLED IN BLOCK LETTERS ONLY. Serial No., Date & Time Stamp Distributor ARN Sub-Distributor ARN Internal Sub-Broker / Sol ID **Employee Code EUIN RIA CODE^** ARN - 48012 E053085 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 of all schemes of Axis Mutual Fund under Direct Plan of all schemes of Axis Mutual Fund under Direct Plan of all schemes of Axis Mutual Fund, to the above mentioned SEBI Registered Investment Advisor: "I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this transaction is executed without any interaction or advice by the employee/relationship manager/sales person of the above distributor/sub broker or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor/sub broker." TRANSACTION CHARGES FOR APPLICATIONS ROUTED THROUGH DISTRIBUTORS/AGENTS ONLY (Refer Instruction No. 20) In case the subscription (lumpsum) amount is ₹ 10,000 or more and your Distributor has opted to receive Transaction Charges, ₹ 150(- (for first time mutual fund investor) or ₹ 100(- (for investor other than first time investor across Mutual Funds.

OR I confirm that I am an existing investor in Mutual Funds. New SIP registration by new investor New SIP registration by existing investor 1 APPLICANT'S PERSONAL DETAILS (MANDATORY) Application Form No. (For New Applicants) Folio No. (For Existing Unit holders) Sole / 1st Unitholder Guardian's Name Fmail ID (in case of minor) PAN 3rd Applicant Attested PAN card KYC Letter Attested PAN card KYC Letter Attested PAN card KYC Letter Enclose KIN (Refer 8A) CKYC FORM [SUPPLEMENTARY CKYC FORM SUPPLEMENTARY CKYC FORM SUPPLEMENTARY CKYC FORM Aadhaar No. 2 SIP DETAILS Scheme Name Axis Equity Hybrid Fund Option Plan Regular If no debit date is mentioned default date would be SIP frequency (tick 🗸 any one) 🗌 Monthly 🔲 Yearly (Default Frequency Monthly) Preferred Debit Date (Any date except 29th, 30th and 31th) (Ref 13(b)) considered as 7th of every month. SIP period from 2 9 9 If end date is not mentioned then the SIP will be considered for perpetuity (Dec 2099). 1 SIP Amount (figures) ₹ (words) First SIP Installment details Drawn on bank / branch name Cheque / DD Amount Cheque / DD no. MICR No. Dated 3 DECLARATION AND SIGNATURE (To be signed by ALL UNIT HOLDERS if mode of holding is 'joint') I/ We declare that the particulars furnished here are correct. I/ We authorise Axis Mutual Fund acting through its service providers to debit my / our bank account towards payment of SIP instalments through an Electronic Debit arrangement / NACH (National Automated Clearing House). If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information, I/we would not hold the user institution responsible. I/We will also inform Axis Mutual Fund about any changes in my bank account.

This is to inform you that I/We have registered for making payment towards my investments in AXIS where the payments and have signed and endorsed the Mandate Form. Further, I authorize my representative (the bearer of this request) to get the above Mandate verification charges, if any, may be charged to my/our account.

I also hereby agree to read the respective SID and SAI of the mutual fund before investing in any scheme of Axis Mutual Fund using this facility. AXIS MUTUAL FUND **UMRN** Date Tick () Sponsor Bank Code CREATE 🗸 I/We hereby authorize **Axis Mutual Fund** to dehit (tick-MODIFY X Bank a/c number CANCEL X IFSC or MICR with Bank Name of customers bank an amount of Rupees ✓ As & when presented FREQUENCY X Fixed Amount ✓ Maximum Amount Phone No. Reference 1 Folio No Reference 2 Scheme Name **Email ID** I agree for the debit of mandate processing charges by the bank whom I am authorizing to debit my accounts as per latest schedule of charges of the bank **PERIOD** From Signature Primary Account holder Signature of Account holder Signature of Account holder Τn 1. Or Until Cancelled Name as in bank records Name as in bank records Name as in bank records This is to confirm that the declaration (as mentioned overleaf) has been carefully read, understood & made by me / us. I am authorizing the User Entity / Corporate to debit my account, based on the instructions as agreed and signed by me I have understood that I am authorized to cancel / amend this mandate by appropriately communicating the cancellation / amendment request to the User entity / Corporate or the bank where I have authorized the debit. MANDATORY FIELDS: • Instrument Date • Account type • Bank A/c number (core banking a/c no only) • Bank name • IFSC code or MICR code (as per the cheque / pass book) • Amount in words (maximum amount) • Period start date and end date or until cancelled • Account holder signature • Account holder name as per bank record ACKNOWLEDGMENT SLIP (To be filled by the investor) Folio No. Investor Name Scheme Name Plan Option SIP Period From to Amount ₹

```
The solution of the state of th
```

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



Name of th	e entity							_				T																											
Type of add	dress giv	en at K	RA	"A					usines:				siden s avai		in Kl		Busir atabas					ered C		ce approach	KRA	& noti	fy the	cha	nges"										
Folio Numb	er							T	T			7	1					T		T ,		3-77	1		1								\neg		\neg				
PAN			\exists		$\overline{}$			\dagger	†	D	ate of	in	corpo	rati	ion	D	D	IV		Υ		/ Y	T	Υ	_														
City of inco	rporatio	n	T	T	T			T	T	T		T						Co	untry	of i	ncorp	oratio	n										\Box	\top	Т				
Entity Cons	titution	Type (PI	ease	tick a	s appi	ropria	ate)		Partr	ners	hip Fir	m		HUF	F [P	rivate	e Lim	ited (Comp	any		Pul	blic Limi	ted C	ompa	ny		Soci	ety		AOF	P/BOI		Tr	ust		iquid	lator
									Limit	ed L	.iabilit	у Р	artne	ersh	ip [A	rtific	ial Jı	uridic	al Pe	rson		Oth	hers							5	peci	fy						
Please tic	the ap	plicable	e ta	k resi	dent	dec	lar	ation	ic .																														
1. Is "Ent	ity" a ta	ax resid	lent	of ar	ıy co	unt	ry o	ther	than	Ind	lia [,	Yes		No	(If ye	es, ple	ase p	rovide	coun	try/ie:	s in wh	ich	the entit	y is a ı	esiden	t for	tax p	urpos	es ar	d the	asso	ciated	d Tax I	D nui	mber b	elow	.)	
			Co	untry	/			_			T					Tax	Ide	ntifi	catio	n Nu	mbe	r %			T		-	den	tifica	atio	ı Typ	oe (TI	N or	Other,	pleas	se spe	cify)		
0,																																							
"In case Tax In case TIN															n num	nber o	or Glob	oal En	itity Id	entifi	catio	n Numb	oer o	or GIIN, e	tc.														
In case th	e Entity	's Cour	itry	of In	corp	orat	ion	/ Tax	c resi	den	ce is l	U.S	6. bu	t En	itity	is n	ot a S	Spec	ified	U.S	. Per	son, r	ner	ntion Er	tity'	s exe	mpti	on c	ode	here									
ADD	ITION <i>A</i>	L KYO		IFOR	MA	TIO	N																																
Gross Annu	al Incom	ne (₹)					l Rc	elow 1	1 20			_		51	ars				5 - 1	Πla	re			□ 1N.	25 L	200				> 25	ilar	2.1	Crore	Φ.		_	1 >	1 Cro	nre
	R	10 (1)					, DC	10 00	Lac					0 1	.003				-	O Lu					20 1	100					Luc	, ,	01010					1 010	
Net-worth	Mandato	ry for No	n-Ind	ividua	ls)	₹												as (on	D	D	M	M	Υ	Υ	/ }	(Not	older t	han	1 year	·)							
Politically E	xposed	Person (PEP) Stat	us* (Also	appl	licable	for au	ıthor	ised się	gna	tories	/ Pro	omote	rs/ K	arta/ 1	Truste	ee/ Wh	ole ti	me Di	rectors	3)	PEF)				Rela	ted	to PE	Р				No	t Ap	plica	ble
Is the entit (Please tick a			of	the m	entio	ned	serv	rices:			eign e ney le					cha	nger					Gaml licable		g/ Lotte	ry (Ca	sinos, b	etting	syndi	cates)										
*PEP are def														nctio	ns in	a for	eign c	ountr	y, e.g.	, Hea	ds of	States	or	of Govern	ments	s, senio	r poli	ticia	ns, se	nior (Gover	nment	:/judic	cial/ mi	litary	office	ers,		
senior execu						impo	rtani	t politi	cal pai	rty o	fficials	, et	C.																										
FAT	CA & (CRS D	ecl	arati	on		(P	lease	consul	lt you	ur profe	essi	onal t	ax a	idviso	r for	furthe	er guid	dance	on FA	TCA	& CRS	cla	ssificatio	n)														
PART A	(to be f	illed by	Fina	ncial	Instit	utio	ns c	or Dire	ect Re	epor	ting N	FEs	3)																										
We are a,						(GIIN																Τ													\Box			
Financial ir	ıstitutioı	ı°						Note	: If you	ı do ı	not hav	re a	GIIN	but	you a	re sp	onsor	ed by	anoth	er en	tity, p	lease p	orovi	ide your :	sponso	r's GII	N abo	ve a	nd ind	icate	your	spons	or's	name l	selow	J			
)R 	_7				N	lam	e of s	sponso	oring	g entit	У																											
Direct repo																																							
GIIN not av	/ailable (please tid	ck as	applic	able)																					[1										
If the entit	y is a fir	nancial i	nstit	ution	,		A	Applie	d for					Not	requ	ıired	to ap	oply 1	for - p	leas	e spe	cify 2	dig	jits sub-	categ	ory"						Not	obt	ained	- No	n-par	ticipa	ating	FI
PART B	(please	fill any	one	as ap	propi	riate	"to	be fi	lled b	y NF	Es otl	her	than	Dir	ect F	Repo	rting	NFE	s")																				
1	Is the E									com	pany w	hos	se sha	res	are	Y	es 🗌	(1:	f yes,	pleas	e spe	cify any	y on	ie stock e	xchan	ge on	which	the	stock	is re	gularl	y trad	led)						
	regularly	traded o	n an	establ	ished	secu	ritie	s mark	(et)							N	ame (of sto	ock e	xcha	nge																		
2	Is the E	ntity a r	elat	ed en	tity ² (of a	pub	licly 1	traded	l cor	npany	(a	comp	any		Y	es 🗌	(f yes,	pleas	e spei	ify nar	me o	of the list	ed cor	npany	and o	ne s	tock e	xcha	nge o	n whi	ch th	e stoc	k is ro	egular	y tra	ded)	_
	whose s	hares are	regi	ılarly t	raded	on a	n es	tablish	ned sec	curiti	ies mar	ket)			N	ame (of lis	ted co	ompa	ny																		
																N	ature	of	relati	on:	. [Sub	sidiary	of the	Liste	d C	omp	any	0	r		Cont	rolled	by a	a Listo	ed Co	mpa	iny
																N	ame (of sto	ock e	xcha	nge														_			_	
3	Is the E	ntitv an	act	ive ³ N	FE		_									+	es 🗌				- L														_		_		
		,																of B	usine	SS	[
																					b-cat	egorv	of	Active N	IFE			(N	/lentic	ın coı	de-ref	er 2c	of Pa	art D)					
4	Is the E	ntitv 2 :	าลงง	ive ⁴ N	FF											-	es 🗌	_	,			J 1						1 ,											
r	IS LITE L	y a	,uoo																usine	ss [

¹Refer 2a of Part C | ²Refer 2b of Part C | ³Refer 2c of Part C | ⁴Refer 3(ii) of Part C | ⁶Refer 1 of Part C | ⁷Refer 3(vii) of Part C | ¹⁰Refer 1 of Part C

UBO Declaration (Mandatory for all entities e	except, a Publicly Traded Company or a related entity of F	ublicly Traded Company)	
_		Liability Partnership Company Unincorporated as	propietion / hady of individuals
	c Charitable Trust 🔲 Religious Trust 🔲 Otho		sociation / body of individuals
	· ·	rmanent residency / citizenship and ALL Tax Identificat	tion Numbers for FACH controlling person(s)
(Please attach additional sheets if necessary)	or tax rootation of tax	manont rootaonoy / otteonomp and rice rax raominiode	ton realizate for Extern controlling percentage.
Owner-documented FFI's should provide FFI Owner	er Reporting Statement and Auditor's Letter with	required details as mentioned in Form W8 BEN E (Refe	er 3(vi) of part C)
Details	UB01	UB02	UB03
Name			
PAN			
UBO Code (Refer 3(iv) (A) of Part C)			
Country of Tax residency*			
Tax ID No. ⁵⁶			
Tax ID Type			
Address			
	Zip	Zip	Zip
	State	State	State
	Country	Country	Country
Address Type	Residence Registered office Busine	ss Residence Registered office Business	Residence Registered office Business
City of Birth			
Country of birth			
Occupation Type	☐ Service ☐ Business ☐ Others	☐ Service ☐ Business ☐ Others	☐ Service ☐ Business ☐ Others
Nationality			
Father's Name			
Gender	☐ Male ☐ Female ☐ Others	☐ Male ☐ Female ☐ Others	☐ Male ☐ Female ☐ Others
Date of Birth	D D M M Y Y Y	O D M M Y Y Y	D D M M Y Y Y
Percentage of Holding (%)^			
# Additional details to be filled by controlling persons witl * To include US, where controlling person is a US citizen %In case Tax Identification Number is not available, kindl ^Attach valid documentary proof like Shareholding patter	or green card holder lly provide functional equivalent	, ,	
4Refer 3(iii) of Part C 11Refer 3(iv) (A) of Part C	m duly self attested by Authorized Signatory / Company	Secretary	
	FATCA - CRS T	erms and Conditions	
		1962, which Rules require Indian financial institutions s	
		ers. In relevant cases, information will have to be repor nts for the purpose of ensuring appropriate withholding f	
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		hips with Axis Mutual Fund or its group entities. There	fore, it is important that you respond to our request,
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 ca	ard holder, please include United States in the foreign
country information field along with the US Tax Iden #It is mandatory to supply a TIN or functional equive		ssues such identifiers. If no TIN is yet available or has no	nt vet heen issued, please provide an explanation and
attach this to the form.	dient in the country in which you are tax resident.	saces such facilities. If no fire is yet available of has no	ot yet been issued, piedse provide an explanation and
OF DETIFICATION			
CERTIFICATION	. (d) F / L SATON O OR		
complete. I / We also confirm that I / We have read an	9	Instructions) and hereby confirm that the information pons below and hereby accept the same.	provided by me / us on this Form is true, correct, and
Name			
Designation			
Cianatura	O:	inturna	Cignotures
Signatures		natures	Signatures
Date D D M M Y Y Y Y	Place		

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 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
 - (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;

10

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):

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; $ \frac{1}{2} \left(\frac{1}{2} \right) = \frac{1}{2} \left(\frac{1}{2} \right) \left(\frac{1}{$
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);
	(II) a Credit Guarantee Fund Trust for Small Industries referred to in clause 23EB; and

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.

(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 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 entitythat 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;
- More than 15% of the capital or profits of the juridical person, where the juridical person is a partnership; or
- More than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.

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 $1.1472 \cdot 1(c)(1)(i)$
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