

# **KEY INFORMATION MEMORANDUM**

# Mirae Asset Nifty 200 Alpha 30 ETF (NSE Symbol: ALPHAETF, BSE Scrip Code: 544007)

An open-ended scheme replicating/tracking Nifty 200 Alpha 30 Total Return Index

# PRODUCT LABELLING

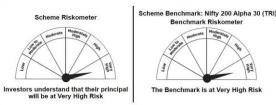
Mirae Asset Nifty 200 Alpha 30 ETF

This product is suitable for investors who are seeking\*

Returns that commensurate with performance of Nifty 200 Alpha 30 Total Return

Index, subject to tracking error over long term. Investments in equity securities covered by Nifty 200 Alpha 30 Total Return Index.

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



# The Above riskometer is as on October 31, 2024. For latest riskometer, investors may refer to the Monthly Portfolios disclosed on the website of the Fund viz. <u>www.miraeassetmf.co.in</u>

The units of the Scheme are listed on the National Stock Exchange of India Ltd. (NSE) and BSE Limited (BSE). All investors including Market Makers and Large Investors can subscribe (buy) / redeem (sell) units on a continuous basis on the NSE/BSE on which the Units are listed during the trading hours on all the trading days. In addition, Market Makers can directly subscribe to / redeem units of the Scheme on all Business Days with the Fund in 'Creation Unit Size' at NAV based prices on an ongoing basis. Large Investors can transact directly with the Fund for an amount greater than INR 25 crores.

# Continuous Offer for units at NAV based prices.

# Name of Mutual Fund: Mirae Asset Mutual Fund

Name of Asset Management Company: Mirae Asset Investment Managers (India) Private Limited CIN: U65990MH2019PTC324625

> Name of Trustee Company: Mirae Asset Trustee Company Private Limited CIN: U65191MH2007FTC170231

# **Registered & Corporate Office:**

Unit No.606, Windsor Building, Off. C.S.T Road, Kalina, Santacruz (East), Mumbai – 400098 Tel. No.: 022-678 00 300 Fax No.: 022- 6725 3940 - 47 Website: www.miraeassetmf.co.in E-mail: miraeasset@miraeassetmf.co.in

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.miraeassetmf.co.in

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.

This Key Information Memorandum is dated November 30, 2024



Investment Objective	The investment objective of the scheme is to generate commensurate with the performance of the Nifty 200 Alto tracking error.				
	There is no common that the investment chieving of th	1	l h h : d		
Asset Allocation Pattern of the scheme	There is no assurance that the investment objective of the Under normal circumstances, the asset allocation will be		i be achieved.		
	Types of Instruments	Indicative allocation (% of total assets)			
		Minimum	Maximum		
	Securities included in the Nifty 200 Alpha 30 Index	95	100		
	Money market instruments including Tri Party REPO/ debt securities, Instruments and/or units of debt/liquid schemes of domestic Mutual Funds.	0	5		
	The Asset Allocation portion shall also include subscr which may be undeployed due to various reasons (div rebalancing or balances for running cost of the scheme, on rounding off etc).	ridend from un	derlying securitie		
	Subject to the SEBI Regulations as applicable from time to time, the Scheme may participate in securities lending:				
	The Scheme shall adhere to the following limits should it engage in Stock Lending: (a) Not more than 20% of the net assets can generally be deployed in Stock Lending (b) Not more than 5% of the net assets can generally be deployed in Stock Lending to any single approved intermediary i.e. broker.				
	Exposure to equity derivatives of the index itself of undertaken when equity shares are unavailable, insuffic corporate actions for a temporary period. The exposure t align with the underlying index changes in weights or of are meant to be an efficient way of buying/selling an in portfolio of physical shares representing an index for ea can help in reducing the Tracking Error in the Scheme the need for trading in individual components of the ind times, keeping in mind the circuit filter system and the stocks. Index futures/options can also be helpful in redu- processing costs on account of ease of execution of one of shares comprising the underlying index and will be e portfolio of shares representing the underlying index. futures/options, the risk/reward would be the same as representing an index. However, there may be a co- future/option. The Scheme will not maintain any levera- to such derivatives will be restricted to 20% of net a deviation shall not exceed for more than 7 days for the a may invest in derivatives upto 20% of the net assets purposes. The Scheme may invest in derivatives upto 20 for non-hedging purposes.	cient or for reb o derivatives w constituents. In idex compared ase of execution . Index futures, dex, which may liquidity in som acing the transa- e trade compare asy to settle co In case of invi- investments in ost attached to ged or trading p assets of the s asset allocation of the Schem	alancing in case of ill be rebalanced to dex futures/option to buying/selling in and settlement. /options may avoid / not be possible in the of the individual faction costs and the ed to several traded impared to physice vestments in inder portfolio of share buying an inder positions. Exposure cheme. The above table. The Schem-		
	The Scheme will not invest in ADR/ GDR / Foreig structured obligation/ Repo in Corporate Debt Securities The scheme does not intend to invest into any cre- instruments, REITs and InvITs and Fund of Fund scheme instruments having Special Features as defined in Clau- dated June 27, 2024.	nor will it enga edit default sw nes. The scheme	age in short selling vaps, unrated del e shall not invest i		

		<b>MIR</b> Mutual	RAE ASSET
mor	wever, the cumulative gross exponent market instruments will not ordance with Clause 12.24 of SEBI	exceed 100% of the	ne net assets of the scheme in
crea Equ	h or cash equivalents with residual ting any exposure. SEBI vide lette ivalent shall consist of Governm urities having residual maturity of l	er dated November ent Securities, T-E	3, 2021 has clarified that Cash
Stat Und Inst deb	et securities include, but are not lim e and Local Governments, Gover lertakings, Public Sector Banks or itutions, Development Financial I t securities or any other instrumen ulations from time to time).	mment Agencies, S Private Sector Banl Institutions, and C	Statutory Bodies, Public Sector ks or any other Banks, Financial orporate Entities, collateralized
fixe	Debt Securities (including mone) d rate or floating rate, listed, un nitted by regulation.		
of the sche	ding deployment of funds of a Sch ne Scheme, a mutual fund can inve- eduled commercial banks terms of 2024.	st the funds of the S	Scheme in short term deposits of
mar	her, the Scheme may, for meetin ket/liquid schemes of Mirae As		
mar con not Indi	vided that aggregate inter-scheme hagement or in schemes under the pany shall not exceed 5% of the r charge any investment managemen cative Table (Actual instrument/per plars)	investment made the management of the asset value of the t fees with respect t	by all schemes under the same f any other asset management ne mutual fund. The AMC shall o such investment.
mar con not Indi	agement or in schemes under the spany shall not exceed 5% of the recharge any investment management cative Table (Actual instrument/per shars)	investment made the management of the asset value of the t fees with respect to recentages may vary <b>Percentage of</b>	by all schemes under the same f any other asset management ne mutual fund. The AMC shall o such investment.
mar con not Indi circu SL	agement or in schemes under the spany shall not exceed 5% of the recharge any investment management cative Table (Actual instrument/per shars)	investment made the management of the asset value of the t fees with respect to reentages may vary	by all schemes under the same f any other asset management ne mutual fund. The AMC shall o such investment. subject to applicable SEBI
mar con not Indi circu Sl. no	agement or in schemes under the spany shall not exceed 5% of the recharge any investment management cative Table (Actual instrument/per slars)	investment made he management of the management of the asset value of the t fees with respect the centages may vary <b>Percentage of</b> <b>exposure</b> Upto 20% of the net assets can be deployed in Stock Lending Upto 5% of the net assets can be deployed in Stock Lending to any single approved intermediary i.e.	by all schemes under the same f any other asset management ne mutual fund. The AMC shall o such investment. subject to applicable SEBI Circular references* Clause 12.11 of SEBI Master
mar con not Indi circu Sl. no	agement or in schemes under the spany shall not exceed 5% of the recharge any investment management cative Table (Actual instrument/per slars)	investment made he management of het asset value of th t fees with respect to centages may vary Percentage of exposure Upto 20% of the net assets can be deployed in Stock Lending Upto 5% of the net assets can be deployed in Stock Lending to any single approved	by all schemes under the same f any other asset management ne mutual fund. The AMC shall o such investment. subject to applicable SEBI Circular references* Clause 12.11 of SEBI Master Circular dated June 27, 2024 Clause 12.25 of SEBI Master
mar con not Indi circu Sl. no 1.	agement or in schemes under the spany shall not exceed 5% of the recharge any investment management cative Table (Actual instrument/perelars)         Type of Instrument         Securities Lending	investment made he management of het asset value of the t fees with respect the centages may vary <b>Percentage of</b> <b>exposure</b> Upto 20% of the net assets can be deployed in Stock Lending Upto 5% of the net assets can be deployed in Stock Lending to any single approved intermediary i.e. broker.	by all schemes under the same f any other asset management ne mutual fund. The AMC shall o such investment. subject to applicable SEBI Circular references* Clause 12.11 of SEBI Master Circular dated June 27, 2024



Mutual Fund

		Mutual	Fund
5.	Overseas Securities	0%	Clause 12.19 of SEBI Master Circular dated June 27, 2024
6.	Structured Obligations	0%	Clause 12.3 of SEBI Master Circular dated June 27, 2024
7.	Repo in Corporate Debt Securities	0%	Clause 12.18 of SEBI Master Circular dated June 27, 2024
8.	Credit default swaps	0%	Clause 12.28 of SEBI Master Circular dated June 27, 2024
9.	Debt instruments having Special Features	0%	Clause 12.2 of SEBI Master Circular dated June 27, 2024
10	ReITS and InVITS	0%	Clause 12.21 of SEBI Master Circular dated June 27, 2024
11	Unrated Debt Instruments	0%	Clause 12.1.5 of SEBI Master Circular dated June 27, 2024
12	Fund of Fund Schemes	0%	Clause 9A of Seventh Schedule of SEBI (Mutual Funds) Regulations, 1996

\*SEBI circular references (wherever applicable) in support of exposure limits of different types of asset classes in asset allocation shall be provided.

# Rebalancing due to passive breach

In accordance with Clause 3.6.7 of SEBI Master Circular dated June 27, 2024 in case of change in constituents of the index due to periodic review, the portfolio of the Scheme shall be rebalanced within 7 calendar days. Any transactions undertaken in the scheme portfolio in order to meet the redemption and subscription obligations shall be done while ensuring that post such transactions replication of the portfolio with the index is maintained at all points of time

In the event of involuntary corporate action, the Scheme shall dispose the security not forming part of the underlying index within 7 Days from the date of allotment/ listing.

# Rebalancing of deviation due to short term defensive consideration

Subject to SEBI (MF) 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. It must be clearly understood that the percentages can vary substantially depending upon the perception of the Investment Manager; the intention being at all times to seek to protect the interests of the Unit holders. As per Clause 1.14.1.2 of SEBI Master Circular dated June 27, 2024, such changes in the investment pattern will be for short term and for defensive consideration only.

The Scheme shall rebalance the portfolio in case of any deviation to the asset allocation. Such rebalancing shall be done within 7 days from the date of occurrence of deviation. Where the portfolio is not rebalanced within 7 Days, justification for the same including details of efforts taken to rebalance the portfolio shall be placed before the Investment Committee and reasons for the same shall be recorded in writing. The Investment committee shall then decide on the course of action. However, at all times the portfolio will adhere to the overall investment objectives of the Schemes.

## **Tracking Error**

The Scheme, in general, will hold all the securities that constitute the underlying Index in the same proportion as the index. Expectation is that, over a period of time, the tracking error of the Scheme relative to the performance of the Underlying Index will be relatively



	Mutual Fund
	low. The AMC would monitor the tracking error of the Scheme on an ongoing basis and would seek to minimize tracking error to the maximum extent possible. Under normal market circumstances such tracking error is not expected to exceed 2% p.a for daily 12 month rolling return. However, in case of events like, dividend received from underlying securities, and market volatility during rebalancing of the portfolio following the rebalancing of the Underlying Index, etc. or in abnormal market circumstances, the tracking error may exceed the above limits. Since the Scheme is an exchange traded fund, it will endeavor that at no point of time the Scheme will deviate from the index.
Investment Strategy	The Mirae Asset Nifty 200 Alpha 30 ETF will be managed passively with investments in stocks in the same proportion as in the Nifty 200 Alpha 30 Index.
	The investment strategy of the Scheme will be to invest in a basket of securities forming part of Nifty 200 Alpha 30 Index in similar weight proportion.
	The investment strategy would revolve around reducing the tracking error to the least possible through regular rebalancing of the portfolio, considering the change in weights of stocks in the Index as well as the incremental collections/redemptions in the Scheme. A part of the funds may be invested in debt and money market instruments, to meet the liquidity requirements.
	Subject to the Regulations and the applicable guidelines the Scheme may invest in the schemes of Mutual Funds. The investment strategy shall be in line with the asset allocation mentioned under "Part II - A: How will the Scheme allocate its assets?".
	Though every endeavour will be made to achieve the objective of the Scheme, the AMC/Sponsors/Trustee does not guarantee that the investment objective of the Scheme will be achieved. No guaranteed returns are being offered under the Scheme.
	For detailed derivative strategies, please refer to SAI.
Risk Profile of the	Standard Risk Factors:
Scheme	<ul> <li>Investment in Mutual Fund units involves investment risks such as trading volumes, settlement risk, liquidity risk, default risk including the possible loss of principal</li> <li>As the price / value / interest rate of the securities in which the Scheme invests fluctuates, the value of your investment in the scheme can go up or down depending on various factors and forces affecting capital markets and money markets.</li> <li>Past performance of the Sponsor/ AMC/ Mutual Fund does not guarantee the future performance of the Scheme.</li> <li>The name of the Scheme does not in any manner indicate its quality or its future prospects and returns.</li> <li>The Sponsor is not responsible or liable for any loss resulting from the operation of the Scheme beyond the initial contribution of Rs. 1 lakh made by it towards setting up the Fund.</li> <li>The present scheme is not a guaranteed or assured return scheme.</li> </ul>
	Scheme Specific Risk Factors
	Risk Factors associated with Exchange Traded Schemes
	The Scheme is subject to the specific risks that may adversely affect the Scheme's NAV, return and / or ability to meet its investment objective. The specific risk factors related to the Scheme include, but are not limited to the following:
	Passive Fund Investment Risks     i. Market Risk     ii. Market Trading Risks     iii. Volatility Risk



	Mutual Fund
	iv. Redemption Risk
	v. Asset Class Risk
	vi. Passive Investments
	vii. Tracking Error and Tracking Difference Risk
	Risks Associated with Equity Investments:
	<ul> <li>Risks Associated with Debt &amp; Money Market Instruments</li> </ul>
	Risks Associated with Derivatives
	• Risk factors associated with processing of transaction through Stock Exchange
	Mechanism
	Risk factors associated with Securities Lending
	Risks associated with segregated portfolio
	Tuble associated with segregated portions
	For details on risk factors and risk mitigation measures, please refer SID.
Plans/Options	The Scheme does not offer any Plans/Options for investment.
	The AMC and the Trustees reserve the right to introduce such other Plans/Options as they
	deem necessary or desirable from time to time, in accordance with the SEBI MF
	Regulations.
Applicable NAV (after	In case of Purchase / Redemption directly with Mutual Fund (By Market Makers and
the scheme opens for	Large Investors):
subscriptions and	
redemptions )	DIRECTLY FROM THE FUND
,	Direct transaction with AMCs shall be facilitated for investors only for transactions above
	a specified threshold. In this regard, to begin with any order placed for redemption or
	subscription directly with the AMC must be of greater than INR 25 Cr. The aforesaid
	threshold shall not be applicable for Market Makers.
	All direct transactions in units of ETFs by Market Makers or other eligible investors (as
	mentioned above) with AMCs shall be at intra-day NAV based on the actual execution
	price of the underlying portfolio.
	The requirement of "cut-off" timing shall not be applicable for direct transaction with
	AMCs in ETFs by Market Makers and other eligible investors.
	For Redemption of units directly with the Mutual Fund (other than Market Makers
	and Large Investors):
	Investors can directly approach the AMC for redemption of units of ETF, for transaction of
	upto INR 25 Cr. without any exit load, in case of the following scenarios:
	i. Traded price (closing price) of the ETF units is at discount of more than 1% to the day
	end NAV for 7 continuous trading days, or
	ii. No quotes for such ETFs are available on stock exchange(s) for 3 consecutive trading
	days, or
	iii. Total bid size on the exchange is less than half of creation units size daily, averaged
	over a period of 7 consecutive trading days.
	In case of the above scenarios, applications received from investors for redemption up to
	3.00 p.m. on any trading day, shall be processed by the AMC at the closing NAV of the
	day.
	Such instances shall be tracked by the AMC on an ongoing basis and in case any of the
	above mentioned scenario arises, the same shall be disclosed on the website of the Mutual
	Fund.
	Settlement of Purchase/Sale of Units of the Scheme on NSE/ BSE
	Buying/Selling of Units of the Scheme on NSE/ BSE is just like buying/selling any other
	normal listed security. If an investor has bought Units, an investor has to pay the purchase
	amount to the broker/sub-broker such that the amount paid is realised before the funds
	pay-in day of the settlement cycle on the Stock Exchange(s). If an investor has sold Units,
	an investor has to deliver the Units to the broker/sub-broker before the securities pay- in
	an antester has to deriver are emits to the broker, sub broker before the securities pay- in

		MIR	AE A <del>SSE</del> T		
	day of the settlement cycle on the S bought) and the funds (in the case of day of the settlement cycle on the Sta stipulate that the trading member sho hours of the pay-out. If an investor has bought Units, he s his /her/its DP for accepting Units in give the details of his/her beneficiar	Units sold) are paid or ock Exchange(s). The uld pay the money or hould give standing in his/her/its beneficiary	e Units (in the case of Units at to the broker on the pay-out Stock Exchange(s) regulations Units to the investor within 24 structions for 'Delivery-In' to y account. An investor should		
	give the details of his/her beneficiary account and the DP-ID of his/her/its DP to his/ her/its trading member. The trading member will transfer the Units directly to his/her/ its beneficiary account on receipt of the same from NSE's/ BSE's Clearing Corporation. An investor who has sold Units should instruct his/her/its Depository Participant (DP) to give 'Delivery Out' instructions to transfer the Units from his/her/its beneficiary account to the Pool Account of his/her/its trading member through whom he/she/it have sold the Units. The details of the Pool A/C (CM-BP-ID) of his/her trading member to which the Units are to be transferred, Unit quantity etc. should be mentioned in the Delivery Out instructions given by him/her to the DP. The instructions should be given well before the prescribed securities pay-in day. SEBI has advised that the Delivery Out instructions should be given at least 24 hours prior to the cut-off time for the prescribed securities pay- in to avoid any rejection of instructions due to data entry errors, network problems, etc.				
Minimum Application Amount/ Number of	Purchase:	<u>Additional</u> Purchase:	Redemption:		
Units	<ul> <li>Market Maker: Application for subscription of Units directly with the Fund in Creation Unit Size at NAV based prices in exchange of Portfolio Deposit and Cash Component.</li> <li>Large Investors: Minimum amount of Rs. 25 crores for transacting directly with the AMC.</li> <li>Other investors (including Market Maker, Large Investors and Regulated Entities): Units of the Scheme can be subscribed (in lots of 1 Unit) during the trading hours on all trading days on the NSE and BSE on which the Units are listed.</li> </ul>	Market Maker: Application for subscription of Units directly with the Fund in Creation Unit Size at NAV based prices in exchange of Portfolio Deposit and Cash Component. Large Investors: Minimum amount of Rs. 25 crores for transacting directly with the AMC. Other investors (including Market Maker, Large Investors and Regulated Entities): Units of the Scheme can be subscribed (in lots of 1 Unit) during the trading hours on all trading days on the NSE and BSE	MarketMaker: Application for redemption of Units directly with the Fund in Creation Unit Size.LargeInvestors: Investors: Minimum amount of Rs. 25 crores for redeeming directly with the AMC.Other investors (including Market Maker, Large Investors and Regulated Entities): Units of the Scheme can be redeemed (in lots of 1 Unit) during the trading hours on all trading days on the NSE and BSE on which the Units are listed.		
Despatch of Redemption Request	The redemption or repurchase procee working days from the date of redemp		to the unitholders within three		



			1010				
	For list of exceptio Funds dated May 1		refer para 14.1.	3 of SEBI Master Circular for Mut			
Benchmark Index	Nifty 200 Alpha 30	Total Paturn Ind	ov				
Deneminar & muex	Nifty 200 Alpha 50						
	Rationale for adopt	Rationale for adoption of benchmark:					
	The Trustees have adopted Nifty 200 Alpha 30 Index as the benchmark index.						
	As per its investment objective, the investment would primarily be in Securities which are constituents of the benchmark index. Thus, the composition of the aforesaid benchmark index is such that it is most suited for comparing performance of the Scheme.						
	muck is such that i	t is most suited for	comparing peri	ormance of the Scheme.			
Dividend Policy (IDCW)	Not Applicable						
Name of the Fund Manager	Ms. Ekta Gala & M	Ir. Vishal Singh					
Name of the Trustee Company	Mirae Asset Truste	e Company Priva	te Limited				
Performance of the							
scheme :	Particulars		Regular Pl	an – Growth option			
	<b>Compound</b> Annualised		heme returns				
	Growth Ret (CAGR)	turns	(%)	Benchmark Returns (%)			
	Since Incep (Absolute)*		68.90	69.97			
	Last 1 year		NA	NA			
	Last 3 year	s	NA	NA			
	Last 5 year	s	NA	NA			
	NAV as on 30/09/2024		28.8655	35,900.08			
	Since Inception dat			3 al Year for the Last 1 year			
	40.00%         35.00%         30.00%         25.00%         20.00%         15.00%         10.00%         5.00%         0.00%	36.1	4%	36.62%			
	Mirae Ass	et Nifty 200 Alpha	FY23-24* 30 ETF	lifty 200 Alpha 30 (TRI)			
	* from inception (						
	Past performance basis for comparis			future and should not be used a			



	Mutual Fund			
	As per the SEBI standards for performance reporting, the returns are calculated at allot NAV. For this purpose the incention date is deemed to be the date of allotment. The calculated			
	NAV. For this purpose the inception date is deemed to be the date of allotment. The calcula of returns shall assume reinvestment of all payouts at the then prevailing NAV. The abs			
	graph of is computed from the Date of Allotment/1st April, as the case maybe, to 31st Mar			
	the respective financial			
	year.			
Additional Scheme	i. Scheme's portfolio holdings (top 10 holdings by issuer and f			
Related Disclosures	various sectors are available on functiona			
	https://www.miraeassetmf.co.in/downloads/statutory-disclosure disclosure/offer-documents-data	e/otner-		
	ii. Disclosure of name and exposure to Top 7 issuers, stocks, g	roups and sectors as a		
	percentage of NAV of the scheme in case of debt and equ			
	through a functional website link that contains de	etailed description -		
	https://www.miraeassetmf.co.in/downloads/portfolio			
	iii. Functional website link for Portfolio Disclosure - <u>Get Mutual</u> Online   Mirae Asset (miraeassetmf.co.in)	Fund Portfolio Details		
	iv. Portfolio Turnover Ratio: N.A since it is an Exchange Traded F	Fund		
Expenses of the Scheme	Continuous Offer			
•	Exit load:			
Load Structure	• For investors transacting directly with the AMC: No Exit			
	redemptions made by Market Maker / Large Investors directly	with the AMC.		
	• For investors transacting on the exchange: Not Applicable.			
	These are the fees and expenses for operating the scheme. These ex	penses include		
	Investment Management and Advisory Fee charged by the AMC, Registrar and Transfer			
Recurring expenses	Investment Management and Advisory Fee charged by the AMC, R	Registrar and Transfer		
Recurring expenses	Agents' fee, marketing and selling costs etc. as given in the table be The AMC has estimated that upto 1% of the daily net assets of the	elow: scheme will be charged		
Recurring expenses	Agents' fee, marketing and selling costs etc. as given in the table be	elow: scheme will be charged harged, the investor		
Recurring expenses	Agents' fee, marketing and selling costs etc. as given in the table be The AMC has estimated that upto 1% of the daily net assets of the s to the scheme as expenses. For the actual current expenses being ch should refer to the website of the mutual fund	elow: scheme will be charged harged, the investor		
Recurring expenses	Agents' fee, marketing and selling costs etc. as given in the table be The AMC has estimated that upto 1% of the daily net assets of the s to the scheme as expenses. For the actual current expenses being ch should refer to the website of the mutual fund https://www.miraeassetmf.co.in/downloads/statutory-disclosure/tot	elow: scheme will be charged harged, the investor <u>al-expense-ratio</u> % p.a. of daily Net <u>Assets*</u> (Estimated		
Recurring expenses	Agents' fee, marketing and selling costs etc. as given in the table be The AMC has estimated that upto 1% of the daily net assets of the s to the scheme as expenses. For the actual current expenses being ch should refer to the website of the mutual fund https://www.miraeassetmf.co.in/downloads/statutory-disclosure/tot	elow: scheme will be charged harged, the investor <u>al-expense-ratio</u> % p.a. of daily Net <u>Assets*</u> (Estimated p.a.)		
Recurring expenses	Agents' fee, marketing and selling costs etc. as given in the table be         The AMC has estimated that upto 1% of the daily net assets of the sto the scheme as expenses. For the actual current expenses being ch         should refer to the website of the mutual fund         https://www.miraeassetmf.co.in/downloads/statutory-disclosure/tot         Expense Head         Investment Management & Advisory Fee	elow: scheme will be charged harged, the investor <u>al-expense-ratio</u> % p.a. of daily Net <u>Assets*</u> (Estimated p.a.)		
Recurring expenses	Agents' fee, marketing and selling costs etc. as given in the table be         The AMC has estimated that upto 1% of the daily net assets of the sto the scheme as expenses. For the actual current expenses being ch         should refer to the website of the mutual fund         https://www.miraeassetmf.co.in/downloads/statutory-disclosure/tot         Expense Head         Investment Management & Advisory Fee         Audit fees/fees and expenses of trustees	elow: scheme will be charged harged, the investor <u>al-expense-ratio</u> % p.a. of daily Net <u>Assets*</u> (Estimated p.a.)		
Recurring expenses	Agents' fee, marketing and selling costs etc. as given in the table be         The AMC has estimated that upto 1% of the daily net assets of the stothe scheme as expenses. For the actual current expenses being ch         should refer to the website of the mutual fund         https://www.miraeassetmf.co.in/downloads/statutory-disclosure/tot <b>Expense Head</b> Investment Management & Advisory Fee         Audit fees/fees and expenses of trustees         Custodial Fees         Registrar & Transfer Agent Fees including cost of providing	elow: scheme will be charged harged, the investor <u>al-expense-ratio</u> % p.a. of daily Net <u>Assets*</u> (Estimated p.a.)		
Recurring expenses	Agents' fee, marketing and selling costs etc. as given in the table be         The AMC has estimated that upto 1% of the daily net assets of the sto the scheme as expenses. For the actual current expenses being ch         should refer to the website of the mutual fund         https://www.miraeassetmf.co.in/downloads/statutory-disclosure/tot <b>Expense Head</b> Investment Management & Advisory Fee         Audit fees/fees and expenses of trustees         Custodial Fees         Registrar & Transfer Agent Fees including cost of providing account statements / IDCW / redemption cheques/ warrants         Marketing & Selling Expenses including Agents Commission	elow: scheme will be charged harged, the investor <u>al-expense-ratio</u> % p.a. of daily Net <u>Assets*</u> (Estimated p.a.)		
Recurring expenses	Agents' fee, marketing and selling costs etc. as given in the table be         The AMC has estimated that upto 1% of the daily net assets of the stothe scheme as expenses. For the actual current expenses being ch         should refer to the website of the mutual fund         https://www.miraeassetmf.co.in/downloads/statutory-disclosure/tot <b>Expense Head</b> Investment Management & Advisory Fee         Audit fees/fees and expenses of trustees         Custodial Fees         Registrar & Transfer Agent Fees including cost of providing account statements / IDCW / redemption cheques/ warrants         Marketing & Selling Expenses including Agents Commission and statutory advertisement	elow: scheme will be charged harged, the investor <u>al-expense-ratio</u> % p.a. of daily Net <u>Assets*</u> (Estimated p.a.)		
Recurring expenses	Agents' fee, marketing and selling costs etc. as given in the table be         The AMC has estimated that upto 1% of the daily net assets of the sto the scheme as expenses. For the actual current expenses being ch         should refer to the website of the mutual fund         https://www.miraeassetmf.co.in/downloads/statutory-disclosure/tot <b>Expense Head</b> Investment Management & Advisory Fee         Audit fees/fees and expenses of trustees         Custodial Fees         Registrar & Transfer Agent Fees including cost of providing account statements / IDCW / redemption cheques/ warrants         Marketing & Selling Expenses including Agents Commission and statutory advertisement         Costs related to investor communications	elow: scheme will be charged harged, the investor <u>al-expense-ratio</u> % p.a. of daily Net <u>Assets*</u> (Estimated p.a.)		
Recurring expenses	Agents' fee, marketing and selling costs etc. as given in the table be         The AMC has estimated that upto 1% of the daily net assets of the stot he scheme as expenses. For the actual current expenses being ch         should refer to the website of the mutual fund         https://www.miraeassetmf.co.in/downloads/statutory-disclosure/tot <b>Expense Head</b> Investment Management & Advisory Fee         Audit fees/fees and expenses of trustees         Custodial Fees         Registrar & Transfer Agent Fees including cost of providing account statements / IDCW / redemption cheques/ warrants         Marketing & Selling Expenses including Agents Commission and statutory advertisement         Costs of fund transfer from location to location	elow: scheme will be charged harged, the investor <u>al-expense-ratio</u> % p.a. of daily Net <u>Assets*</u> (Estimated p.a.)		
Recurring expenses	Agents' fee, marketing and selling costs etc. as given in the table be         The AMC has estimated that upto 1% of the daily net assets of the s         to the scheme as expenses. For the actual current expenses being ch         should refer to the website of the mutual fund         https://www.miraeassetmf.co.in/downloads/statutory-disclosure/tot <b>Expense Head</b> Investment Management & Advisory Fee         Audit fees/fees and expenses of trustees         Custodial Fees         Registrar & Transfer Agent Fees including cost of providing account statements / IDCW / redemption cheques/ warrants         Marketing & Selling Expenses including Agents Commission and statutory advertisement         Costs related to investor communications         Costs of fund transfer from location to location         Cost towards investor education & awareness - 1 bps         Brokerage & transaction cost pertaining to distribution of units	elow: scheme will be charged harged, the investor <u>al-expense-ratio</u> % p.a. of daily Net <u>Assets*</u> (Estimated p.a.)		
Recurring expenses	Agents' fee, marketing and selling costs etc. as given in the table be         The AMC has estimated that upto 1% of the daily net assets of the sto the scheme as expenses. For the actual current expenses being ch         should refer to the website of the mutual fund         https://www.miraeassetmf.co.in/downloads/statutory-disclosure/tot <b>Expense Head</b> Investment Management & Advisory Fee         Audit fees/fees and expenses of trustees         Custodial Fees         Registrar & Transfer Agent Fees including cost of providing account statements / IDCW / redemption cheques/ warrants         Marketing & Selling Expenses including Agents Commission and statutory advertisement         Costs related to investor communications         Cost towards investor education & awareness - 1 bps         Brokerage & transaction cost pertaining to distribution of units @@         Goods & Services Tax on expenses other than investment and	elow: scheme will be charged harged, the investor <u>al-expense-ratio</u> % p.a. of daily Net <u>Assets*</u> (Estimated p.a.)		
Recurring expenses	Agents' fee, marketing and selling costs etc. as given in the table be         The AMC has estimated that upto 1% of the daily net assets of the sto the scheme as expenses. For the actual current expenses being ch         should refer to the website of the mutual fund         https://www.miraeassetmf.co.in/downloads/statutory-disclosure/tot <b>Expense Head</b> Investment Management & Advisory Fee         Audit fees/fees and expenses of trustees         Custodial Fees         Registrar & Transfer Agent Fees including cost of providing account statements / IDCW / redemption cheques/ warrants         Marketing & Selling Expenses including Agents Commission and statutory advertisement         Costs related to investor communications         Cost towards investor education & awareness - 1 bps         Brokerage & transaction cost pertaining to distribution of units @@         Goods & Services Tax on expenses other than investment and advisory fees	elow: scheme will be charged harged, the investor <u>al-expense-ratio</u> % p.a. of daily Net <u>Assets*</u> (Estimated p.a.)		



Mutual	Fund
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		Mutual Fund			
	Maximum Total expenses ratio (TER) Regulation 52 (6) (c)	permissible under	Upto 1.00%		
	*Other expenses: Any other expenses w be charged with approval of the Trust Regulations except those expenses which	its as specified in the			
	For the actual current expenses being ch the Mutual Fund.	refer to the website of			
	For further details, investors are requested to refer SID.				
	Actual expenses for the financial year 20	23-24, inclusive of GST: 0	0.30 %		
	The maximum limit of recurring expenses that can be charged to the Scheme would be a per Regulation 52 of the SEBI (MF) Regulation, 1996. Investors are requested to read "Section- Annual Scheme Recurring Expenses" in the SID.				
Tax treatment for the Investors (Unitholders)	Investor will be advised to refer to the c and also independently refer to his tax ad		Additional Information		
Daily Net Asset Value (NAV) Publication	The AMC shall update the NAVs on the website of the Mutual Fund https://www.miraeassetmf.co.in/ and on the website of Association of Mutual Funds in India - AMFI (www.amfiindia.com) by 11.00 p.m. on every Business Day.				
For Investor Grievances	KFin Technologies Limited	Mr. Chaitanya Chauba			
please contact	Karvy Selenium, Tower B, Plot Number 31 & 32, Financial District,	Mirae Asset Investment I Ltd.	Managers (India) Pvt.		
	Gachibowli, Hyderabad - 500 034.	606, 6 <sup>th</sup> Floor, Windsor E Kalina, Santacruz (E), M Telephone Nos.: 6780 03	umbai - 400 098.		
		e-mail: <u>customercare@m</u>	<u>iraeasset.com</u>		
		Investors may contact a AMC by calling the inv at "1800 2090 777" o www.miraeassetmf.co.in	vestor line of the AMC or visit the website at		
Unitholders' Information	Account Statement				
	The AMC shall send an allotment confirmation specifying the units allotted by way of email and/or SMS within 5 working days of receipt of valid application/transaction to the Unit holders registered e-mail address and/ or mobile number (whether units are held is demat mode or in account statement form).				
	A Consolidated Account Statement (CAS) detailing all the transactions across all mutual funds (including transaction charges paid to the distributor) and holding at the end of the month shall be sent to the Unit holders in whose folio(s) transaction(s) have taken place during the month by mail or email on or before 15th of the succeeding month.				
	Half-yearly CAS shall be issued at the e on or before 21st day of succeeding r details across all schemes of mutual fu across demat accounts, if applicable	nonth, to all investors pro	oviding the prescribed		
	For more details, please refer the Schem Additional Information (SAI).	ne Information Document	(SID) and Statement of		
	Annual Report				



Pursuant to Regulation 56 of SEBI (Mutual Funds) Regulations, 1996 read with Clause 5.4 of SEBI Master Circular dated June 27, 2024, the scheme wise annual report or abridged summary thereof will be hosted on the website of the Mirae Asset Mutual Fund viz. https://www.miraeassetmf.co.in/downloads/statutory-disclosure/financials and on the website of AMFI, not later than four months after the close of each financial year (31st March). The AMCs shall display the link prominently on the website of the Mirae Asset Mutual Fund viz. https://miraeassetmf.co.in and make the physical copies available to the unitholders, at their registered offices at all times. Unit holders whose e-mail addresses are not registered will have to specifically 'opt in' to receive physical copy of scheme wise annual report or abridged summary thereof. The unit holders may request for a physical copy of scheme annual reports at a price and the text of the relevant scheme by writing to the Mirae Asset Investment Managers (India) Pvt Ltd. / Investor Service Centre / Registrar & Transfer Agents. The Mutual Fund / AMC shall provide a physical copy of abridged report of the annual report, without charging any cost, on specific request received from a unit holder. An advertisement shall be published every year disclosing the hosting of the scheme wise annual report on website of Mirae Asset Mutual Fund and on the website of AMFI and the modes such as SMS, telephone, email or written request (letter) through which a unitholder can submit a request for a physical or electronic copy of the scheme wise annual report or abridged summary thereof. Such advertisement shall be published in the all India edition of at least two daily newspapers, one each in English and Hindi.

# Monthly/Half Yearly Portfolio Disclosures:

The Mutual Fund/ AMC will disclose portfolio (along with ISIN) of the Scheme in the prescribed format, as on the last day of the month / half-year i.e. March 31 and September 30, on its website viz. https://www.miraeassetmf.co.in/downloads/portfolio and on the website of Association of Mutual Funds in India (AMFI) viz. www.amfiindia.com within 10 days from the close of each month/ half year respectively. In case of unitholders whose e-mail addresses are registered, the Mutual Fund/ AMC will send via email both the monthly and half yearly statement of scheme portfolio within 10 days from the close of each month/ half und / AMC will publish an advertisement every half year in the all India edition of at least two daily newspapers, one each in English and Hindi, disclosing the hosting of the half-yearly statement of the Scheme portfolio on its website and on the website of Association of Mutual Funds in India (AMFI). Mutual Fund / AMC will provide a physical copy of the statement of its Scheme portfolio, without charging any cost, on specific request received from a unitholder.

Date:- November 30, 2024

### **APPLICATION FORM - MIRAE ASSET NIFTY 200 ALPHA 30 ETF** NSE Symbol: ALPHAETF BSE code: 544007

An open-ended scheme replicating/tracking Nifty 200 Alpha 30 Total Return Index

### Application No.:

:	MIRAE ASSET
or investors who are seeking*	Scheme Riskometer

Returns that commensurate with performance of Nifty 200 Alpha 30 Total Return Index, subject to tracking error over long term





Name & Bro ARN/RI/		Sub B Agent A		Sub Agent Code	EUIN*	Internal Code for AMC	ISC Date Time Stamp Reference No.
EUIN Declaration: Deck	aration for Execution On	lv Transaction(where	e Emplovee Unique	dentification Number-EUIN*	pox is left blank). Please refer i	nstruction 12 of KIM for complete det	ails on EUIN.I/We hereby confirm that
advice of in-appropriatenes	ss, if any, provided by the	employee/relationship	manager/sales per	son of the distributors/sub bro		reby give you my/our consent to sha	butor/sub broker or notwithstanding the re/provide the transactions data
Sign of 1 <sup>st</sup> Applicant / 0	Guardian / Auth. Signato	ory / PoA / Karta	Sign o	f 2 <sup>nd</sup> Applicant / Guardian / /	Auth. Signatory / PoA	Sign of 3 <sup>rd</sup> Applicant /	Guardian / Auth. Signatory / PoA
Please 🕢 🛛 Lu	umpsum Investmen	it 🗌		Micro Applicat	ion 🗌	SIP	Application
TRANSACTION C	HARGES (Please	⊘ any one of t	he below. Ref	er KIM page no 31&3	2, Instructions No. 11	)	
I AM A FIRST TIM	IE INVESTOR IN M	IUTUAL FUNDS	;	OR		EXISTING INVESTOR IN	MUTUAL FUNDS
					ges. Upfront commission ces rendered by the ARI		e investor to the ARN Holder(AM
1. EXISTING UN	IT HOLDER INFOR	RMATION- Plea	se fill in your	Folio Number, PAN,	KIN in below Section	s 2, 3, 4 & proceed to Sec	tion 7 for Investment Details
olio No.						ned alongside will apply for th KYC credentials may be fille	is application.All Unit Holders in t d in the below sections.
2. APPLICANT(S	) NAME AND IN I	NFORMATION					s of natural / legal guardian
	NT Mr. / Ms. /M/s.					PAN	
lease write the name a	s per PAN Card)						
El Code for entities							
(YC ID No. (KIN)					Pls indi		t for tax purpose / Resident of Can No <sup>\$</sup> (\$Default if not
UARDIAN (In case r. / Ms. / M/s.	e 1 <sup>st</sup> Applicant is a M	linor)					nip with Minor (Please ✓ ) ☐ Father ☐ Legal Guar
UARDIAN CKYC					KYC (Please ✓)	GUARDIAN	
No. (KIN) OA / Custodian Na					Proof Attached		YC (Please ✓)
OA / Custodian					PO	A / Custodian	
KYC ID No. (KIN)	Corporate Investo	<u> </u>				PAN	
	CANT AND KYC D		Name	norked on the ore	Mandaton	Designation.	
<sup>t</sup> SOLE APPLICAN				narked as 4** are		aration Form in section 11a 8	4 11b - Refer Instruction No. 17]
Date of Birth/ Inco	rporation D D M			of Date of Birth (Plea		Certificate Sc	- hool Leaving Certificate / Mark S
ndividual) / (Non- lease write the Date of	-Individual) birth as per Aadhaar Ca	ard		(For minor applicant)	Pas:	sport of the Minor Ot	hers(Please specify)
lace of Birth / corporation:		Country Incorpor	of Birth / ation:	1	Nationality:	Gender	Male 🗌 Female 🗌 C
lease write the Date of /pe: Resident				ust 🗌 Bank / Fls		Society/AOP/BOI 🗍 Minor	through Guardian 🗌 NRI - N
						rship Firm FOF - MF Sche	<b>o</b>
NPO Registration	n Number of DARP	AN Portal (Man	datory)				
			Private Sector Business	<ul><li>Public Sector</li><li>Retired</li></ul>	<ul><li>Government Servi</li><li>Proprietorship</li></ul>	ce  Student Others (Please specified)	
. Occupation Details	s [Please (✔)]	E	Business	Retired	Proprietorship	Others (Please specif	/)
. Occupation Details	s [Please (✔ )] d Person (PEP) Stat	tus (Also applicabl	Business	Retired	Proprietorship	Others (Please specif	n Related to PEP  Not Applica
*. Occupation Details	s [Please (✔)] d Person (PEP) Stat ome (₹) [Please (✔)]	Lus (Also applicabl	Business le for authorised s	Retired	Proprietorship     Inta/Trustee/Whole time Di	Others (Please specif rectors) I am PEP I an 10-25 Lakhs	n Related to PEP Not Applica
. Occupation Details . Politically Expose . Gross Annual Inco . Net-worth (Mandat . Non-Individual Inv	s [Please (✔)] d Person (PEP) Stat ome (₹) [Please (✔)] tory for Non-Individ estors involved/pro	Us (Also applicabl I B Uals) ₹	Business le for authorised s elow 1 Lakh	Retired	Proprietorship rta/Trustee/Whole time Di 5-10 Lakhs as on anger Services	Others (Please specif rectors) I am PEP I an 10-25 Lakhs	a Related to PEP Not Applica  >25 Lakhs > 1 C  Y Y (Not older than 1 y
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Cocupation Details     Cocupation Details     Coross Annual Inco     Net-worth (Mandat     Non-Individual Inv ny of the mentioned     BANK ACCO	s [Please (✔)] d Person (PEP) Stat ome (₹) [Please (✔)] tory for Non-Individ estors involved/pro services	Uus (Also applicable)   B  uals) ₹  vviding	Business le for authorised s elow 1 Lakh D Foreign E Money Le	Retired Signatories/Promoters/Ka 1-5 Lakhs xchange / Money Cha nding / Pawning	Proprietorship rta/Trustee/Whole time Di 5-10 Lakhs as on anger Services	Others (Please specif rectors) I am PEP I an 10-25 Lakhs D D M M Y Y Gaming/Gambling/Lottery	a Related to PEP Not Applica  >25 Lakhs > 1 C  Y Y (Not older than 1 y
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Occupation Details     Politically Expose     Gross Annual Inco     Not-worth (Mandat     Non-Individual Inv     yof the mentioned     BANK ACCO     ame of the Bank:     ore Banking A/c N	s [Please (✓ )] d Person (PEP) Stat ome (₹) [Please (✓ )] tory for Non-Individ estors involved/pro services UNT DETAILS -	Uus (Also applicable)   B  uals) ₹  vviding	Business le for authorised : elow 1 Lakh Foreign E Money Le efer Instructi	Retired Signatories/Promoters/Ka 1-5 Lakhs xchange / Money Cha nding / Pawning	Proprietorship Inta/Trustee/Whole time Di 5-10 Lakhs as on anger Services	Conters (Please specified of the specif	A Related to PEP Not Application Not Application Not Application Not Older than 1 y Casino Services
	s [Please (✓ )] d Person (PEP) Stat ome (₹) [Please (✓ )] tory for Non-Individ estors involved/pro services UNT DETAILS -	Uus (Also applicable)   B  uals) ₹  vviding	Business le for authorised : elow 1 Lakh Foreign E Money Le efer Instructi	Retired     Retired     Signatories/Promoters/Ka     1-5 Lakhs     xchange / Money Cha nding / Pawning     on Nos. 3 & 4]     lress:	Proprietorship Inta/Trustee/Whole time Di 5-10 Lakhs as on anger Services	Conters (Please specified of the specif	a Related to PEP Not Applica  >25 Lakhs > 1 Ci  Y Y (Not older than 1 y /Casino Services  ENT SAVINGS NRO 0

5. JOINT APPLICANTS, IF ANY AND THEIR	KYC DETAILS	All fields marked as	: (*) are Man	datory				
Mode of Holding:         Anyone or Survivor           2 <sup>nd</sup> APPLICANT         Mr. / Ms. / M/s.         (Not Applicable)		Single ant) (Please write the nam	Joint ie as per PAN Card		(Please n	ote that the Default Gender 🗌 M	option is Any ale 🗌 Fe	
PAN Details		Pls indicates if US F	Person or a reside	nt for tax purpo	se / Resident o	f Canada 🗌 Yes	□ No* (*I	Default if not 🗸
			KYC Pls 🕢	Proof Attac		e of Birth(Mandator er PAN Card)	y) d d M	МҮҮҮҮ
Place of Birth	Country of	f Birth			Nationa	,		
a*. Occupation Details [Please(✓)]	Private Sector       Business	Public Sector Retired	Governme Agriculture		Student Proprietors	Profession	onal 🔲 (Please s	Housewife
b*. Politically Exposed Person (PEP) Status	] I am PEP	I am Related to PER	Not Applica	ible				
c*. Gross Annual Income (₹)  [Please(✔)]    [	Below 1 Lakh	1-5 Lakhs	5-10 Laki	ns [	] 10-25 Lakh	s 🗌 >25 Lakh	is 🗌	> 1 Crore
d*. Net-worth ₹		as on	M M Y	YYY	(Not older th	nan 1 year)		
Mode of Holding:         Anyone or Survivor           3 <sup>rd</sup> APPLICANT         Mr. / Ms. / M/s.         (Not Applicable)	_	Single ant) (Please write the name	Joint	)	(Please n	ote that the Default Gender 🗌 M	option is Any ale 🗌 Fe	
PAN Details		PIs indicates if US F	Person or a reside	nt for tax purpo	se / Resident o	f Canada 🗌 Yes	□ No* (*I	Default if not 🧹
CKYC ID No. (KIN)			KYC Pls 🕢	Proof Attac		e of Birth(Mandator er PAN Card)	y) D D M	ΜΥΥΥΥ
Place of Birth	Country of	fBirth			Nationa	lity:		
a*. Occupation Details [Please( )]	Private Sector     Business	Public Sector Retired	Governme Agriculture		Student Proprietors	Profession	nal 🔲 (Please s	Housewife specity)
b*. Politically Exposed Person (PEP) Status	I am PEP	I am Related to PEP	P 🗌 Not Applica	ible				
c*. Gross Annual Income (₹) [Please(✔)] [	Below 1 Lakh	1-5 Lakhs	5-10 Laki	ns [	] 10-25 Lakh	s 🗌 >25 Lakh	s 🗌	> 1 Crore
d*. Net-worth ₹		as on	M M Y	YYY	(Not older th	nan 1 year)		
6. MAILING ADDRESS [Please provide y	our E-mail ID and M	Mobile Number to hel	p us serve you	better Refer	Instructions	6]		
Local Address of 1 <sup>st</sup> Applicant	City		State			Pin Code		
Tel. Off.	City	y Resi.	State		Mobile			
Mobile No specified above belongs to Self or Fan		ing(Please tick any one o	option from below. pendent Parents		pendent Siblin	igs		
E - Mail^^								
^^Please Use Block Letters. Investors providing ema copies are required kindly refer instruction no. 6(g)					Abridged Annu	ial Report through e-	mail only.Inc	case if physical
Email address specified above belongs to  Self or Guardian(for Minor Investmen				,	pendent Siblir			
6a. Mandatory for NRI / FII Applicant [Plea	<i>,</i> ,		pendent Parents may not be su			· · · · · · · · · · · · · · · · · · ·	ldress is p	oreferred]
Overseas Correspondence Address								
7. INVESTMENT AND PAYMENT DETAIL		formation on Investm	nent Details ple		Instructions owth (Default)	No. 6.)		
Scheme - MIRAE ASSET NIFTY 200 ALPH	A 30 ETF		Direct Pl			DCW Reinves	tment	
*Income Distribution cum Capital Withdrawal.								
	n-Third Party Paymen	,	2 2 (		Third Party Pay	ment Declaration Fo	rm')	
Payment Mode [Please (✓)] □ Cheque/DD		andate) RTGS/NEF	T Core Bank	- <u> </u>	Purchase	Drawn on Bank /	Pav-In	Bank A/c No.
Cheque / DD / UMRN No. / UTR No. & Date		EFT in figures (Rs.)	if any		mount	Branch		heque Only)
0 DEMAT ACCOUNT. Mondatory for write	in Demot Mode, DI				ddou ooo 1	2 motokoo oo non	the Dense	item: Detaile
8. DEMAT ACCOUNT: Mandatory for units National Securities Depository Limited (NSD		ease Ensure the sequ	Central Depo				the Depos	itory Details.
DP Name	-,		DP Name					
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Enclosures - Please ( $\checkmark$ )	List (CML)	Transaction c	um Holding Stat	ement		very Instruction Sli	DIS)	<u> </u>
9. NOMINATION DETAILS MANDATORY [	Minor / HUF / POA H	Holder / Non Individua	als cannot Nom	inate - Refer	Nomination I	Instruction No. 20		
	S PER BELOW DE Date of Birth	TAILS OR Name of the G	uardian	VE DO NOT V	VISH TO NOM	IINATE Signature of No	ominee / G	uardian
No. Nominee(s) Name	(in case of Minor)			Relationship	Share	(Preferred bu		
2	DD/MM/YYYY DD/MM/YYYY					Aug.		
3	DD/MM/YYYY							
) I / We hereby confirm that I / We do not wish to appoint any nominee( account holder(s), my / our legal heirs would need to submit all the re	s) for my mutual fund units he quisite documents issued by	eld in my / our mutual fund folio a Court or other such competent au	nd understand the issue uthority, based on the va	es involved in non ap alue of assets held in	ppointment of nomin the mutual fund fol	ee(s) and further are aware io.	e that in case of	death of all the
Signature of 1 <sup>st</sup> Applicant / Guardian / Auth. Signatory / Po	A / Karta Signa			/ / PoA				

# FOR NON-INDIVIDUALS ONLY

	ATCA & CRS DETAILS										TCA 8	& CRS	classifi	cation	)						
PART			Istitutio	ons or Direct	Report	ing Nor	i Financ	ial Ent	ity (NFE	is)											
We a Finar	re a, ncial institution 🔲		ote: If you d	o not have a GIIN t	ut vou are	sponsered	by another e	entity plea	se provide v	our sponsor's	GIIN ah	ove and in	dicate you		's name	e helow					
	et reporting NFE  ☐ se tick (✔)]		-	nsoring entit																	
GIIN	not available [Please	itick (✔)]	]	Applied for	N	ot requi	red to ap	oply for	- please	specify 2	digits	s sub-ca	ategory				Not ol	btaine	ed - No	on-parti	cipating F
PART	B (please fill any o	ne as app	oropriat	e "to be fille	d by NF	Es othe	er then I	Direct I	Reportir	g NFEs"	)										
1	Is the Entity a publ					🗌 Ye	es (If yes,	please s	pecify any	one stock	exchar	nge on w	hich the	stock is	regula	arly trad	led)				
	(that is, a company traded on an estab					Name	of stock e	exchange	):												
2	Is the Entity a relat traded company (a					🗌 Ye	es (If yes,	please s	pecify nar	ne of the lis	sted co	mpany a	nd one s	tock exe	change	e on wh	ich the	stock i	is regula	arly trade	ed)
	regularly traded on	an estab	lished s	securities ma	arket)																
										ry of the Lis	ted Co	mpany o	r 🗀	Contro	olled by	y a Liste	ed Comp	bany			
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4	Is the Entity an Pas	sive NFE	i.			∏ Ye	es (If yes,	please fi	ll UBO de	claration in	the ne	xt sectio	n.)								
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	Any other Identification I						be: Servic							Date of I							
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Cou	intry of Birth:				Father	's Name:							Genue		Male		remale		Other		
2. PAN	l: of Birth					ation Typ	be:						Date o	f Birth:							
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11 D	ECLARATION FOR U	LTIMATE	BENEF	ICIAL OWNE	RSHIP	[UBO]	•														
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Name of	f the Stock Exchange whe	ere it is liste	ed											S	ecurity	y ISIN _					
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11a. U	Iltimate Beneficiary C	wner (UB	3O) / Co	ntrolling Per	son(s)	Senio	Manag	ing Off	icial de	tails.											
-	our company/entity ha	-		• • • • •					-										N (s) are		low.
If 'NO' -	declare that no individual pare provided below.							-												-	
	2																				
Appli	cation No.:			Chagua/D	D - I		Decision	-			COL		-v 200		-	0 ETC					

Cheque/DD should be Drawn in favour of MIRAE ASSET NIFTY 200 ALPHA 30 ETF

	UBO-1 / Senior Managing Official (SMO)	UBO-2	UBO-3
Name of the UBO / SMO#.			
UBO / SMO PAN#. For Foreign National, TIN to be provided]			
UBO / SMO Country of Tax Residency#			
UBO / SMO Taxpayer Identification Number / Equivalent ID Number#.			
UBO / SMO Identity Type			
UBO / SMO Place & Country	Place of Birth	Place of Birth	Place of Birth
of Birth#	Country of Birth	Country of Birth	Country of Birth
UBO / SMO Nationality			
UBO / SMO Date of Birth [dd-mmm-yyyy] #			
UBO / SMO PEP#	I am PEP.	I am PEP.	I am PEP. Related to PEP. Not a PEP.
UBO / SMO Address Type	Residence  Business Registered Office	Residence  Business  Registered Office	Residence     Business     Registered Office
UBO / SMO Occupation	Public Service	Public Service	Public Service
SMO Designation#			
UBO / SMO KYC Complied**. If not complied, please complete KYC process independently and then submit the proof.	Please attach the KYC acknowledgement.	Please attach the KYC acknowledgement.	Please attach the KYC acknowledgement.

# Mandatory column. \*\* In case of Foreign Nationals, who are not KYC complied, they need to attach the ID proof in English along with the Nationality proof, Address proof again in English. If the documentary proof is in Foreign Language, it should be translated in English and should be attested by Indian Embassy of that country. Note: If the given columns are not sufficient, required information in the given format can be enclosed as additional sheet(s) duly signed by Authorized Signatory.

Participating Mutual Fund(s) / RTA may call for additional information/documentation wherever required or if the given information is not clear / incomplete / correct and valid declaration should be submitted again with all the required information

### Instructions

As per PMLA guidelines and relevant SEBI circulars issued from time to time, non-individuals and trusts are required to provide details of controlling persons [CP] / ultimate beneficiary owner [UBO] and submit appropriate proof of identity of such CPs/ UBOs. The beneficial owner has been defined in the circular as the natural person or persons, who ultimately own, control or influence a client and/or persons on whose behalf a transaction is being conducted and includes a person who exercises ultimate effective control over a legal person or arrangement.

### A. For Investors other than individuals or trusts:

(i) The identity of the natural person, who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest. Controlling ownership interest means ownership of/entitlement to:

- more than 10% of shares or capital or profits of the juridical person, where the juridical person is a company.

- more than 10% of the capital or profits of the juridical person, where the juridical person is a partnership or or who exercises control through other means."

For the purpose of this clause, "Control" shall include the right to control the management or policy decision.

- 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.

(ii) In cases where there exists doubt under clause (i) above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity of the natural person exercising control over the juridical person through other means like through voting rights, agreement, arrangements or in any other manner. (iii) Where no natural person is identified under clauses (i) or (ii) above, the identity of the relevant natural person who holds the position of senior managing official.

B For Investors which is a trust:

The identity of the settler of the trust, the trustee, the protector, the beneficiaries with 10% 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.

### C. Exemption in case of listed companies / foreign investors

The client or the owner of the controlling interest is a company listed on a stock exchange or is a majority-owned subsidiary of such a company, there is no need for identification and verification of the identity of any shareholder or beneficial owner of such companies and hence exempted from UBO declaration provided other requisite information is provided. Intermediaries dealing with foreign investors' viz., Foreign Institutional Investors, Sub Accounts and Qualified Foreign Investors, may be guided by the clarifications issued vide SEBI circular CIR/MIRSD/11/2012 dated September 5, 2012 and other circulars issued from time to time, for the purpose of identification of beneficial ownership of the client.

### D. KYC requirements

Beneficial Owner(s) / Senior Managing Official (SMO) is/are required to comply with the prescribed KYC process as stipulated by SEBI from time to time with any one of the KRA & submit the same to AMC. KYC acknowledgement proof is to be submitted for all the UBO(s)/SMO(s).

In case of Foreign Nationals, who are not KYC complied, they need to attach the ID proof in English along with the Nationality proof, Address proof again in English. If the documentary proof is in Foreign Language, it should be translated in English and should be attested by Indian Embassy of that country

FOR NON-INDIVIDUALS	: Is the 'E	te all countries in which you are ntity" a tax resident of any coun in which the entity is a resident	ry othe	er than India?	Yes	ed Tax Reference Numbers below. D No nti cation No. below)			
1 <sup>st</sup> Applicant	(Sole / Gu	uardian / Non-Individual			2 <sup>nd</sup> A	pplicant		3 <sup>rd</sup> A	pplicant
Do you have any non- Country(ies) of Birth / Citizenship / Nationali Tax Residency	Indian ty and	Yes No		Do you have any non- Country(ies) of Birth / Citizenship / Nationali Tax Residency	Indian ty and	Yes No	Do you have any non- Country(ies) of Birth / Citizenship / Nationalit Tax Residency	ndian ty and	☐ Yes ☐ No
Country of Birth / Incorporation				Country of Birth			Country of Birth		
Country Citizenship / Nationality				Country Citizenship / Nationality			Country Citizenship / Nationality		
Are you a US specified person?		Yes No Please provide Tax Pay	er Id.	Are you a US specified person?	ł	Yes No Please provide Tax Payer Id.	Are you a US specified person?	I	Yes No Please provide Tax Payer Id.
For non-Individual inve	stor, in ca	se your country of incorporation	/ Tax r	esidence is US, but you a	re not a sp	becified US person then please mention	exemption code	R	Refer instruction 15( e))
		vestors fill this section				ill in below details in case of joint app			
	Country	y:			Counti	ry:		Countr	y:
Tax Residency Status: 1	No.:			Tax Residency Status: 1	No.:		Tax Residency Status: 1	No.:	
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Tax Residency Status: 2	No.:			Tax Residency Status: 2	No.:		Tax Residency Status: 2	No.:	
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				1					

(Address Type: Residential or Business (default) | Residential | Business | Registered Office) (For address mentioned in form | existing address appearing in folio)

Address Type

In case of applications with POA, the POA holder should fill separate form to provide the above details mandatorily.

Address Type

### 13. DECLARATION AND SIGNATURES / THUMB IMPRESSION OF APPLICANT(s) [Refer Instructions 2(f) of KIM]

FATCA AND CRS DETAILS (Self Certification) (Refer KIM page no 31&32, instruction No. 15)

To The Trustees, Mirae Asset Mutual Fund (The Fund) – (A) Having read and understood the contents of the SID of the Scheme applied for (Including the scheme(s) available during the New Fund Offer period); I/We hereby apply for units of the said such scheme and agree to abide by the terms, conditions, rules and regulations governing the scheme (B) I/We hereby declare that the amount invested in the scheme is through legitimate sources only and does not involve and is not designed for the purpose of the contravention of any provisions of the Income Tax Act, Anti Mony Laundering Laws or any other applicable laws enacted by the Government of India from time to time. (C) Signature of the nomine acknowledging receipts of mylour credit will constitute full discharge of liabilities of Mirae Asset Investment Managers (India) Private Limited (AMC) / Fund and undertake to update the information/details with the AMC / Fund shall have the right to share my information and other details with the equilatory and government authorities as and when needed. (If we will indeminify the Fund, AMC, Trustee, RTAand other intermediaries in case of any dispute regarding the eligibility, validity and authorization of mylour transactions. (E) I/We further declare that "The ARN holder has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us. (F) I/We hereby confirm that I/We have not been offered/communicated any indicative portfolio and of any indicative portfolio and and shall be bound by the terms & conditions of the PIN agreement available on the AMC vehisite for transacting online. (I) RIX : (We have ead, understood and shall be bound by the terms & conditions of the PIN agreement available on the AMC vehisite for transacting online. (I) RIX is the avaited by any rebate or gifts, directly or indirectly in making this investment. (I) Applicable to Foreign Resident'

Address Type

Sign of 1 <sup>er</sup> Applicant / Guardian /	Sign of 2 <sup>nd</sup> Applicant / Guardian /	Sign of 3 <sup>er</sup> Applicant / Guardian /
Authorised Signatory / PoA	Authorised Signatory / PoA	Authorised Signatory / PoA

For Lumpsum 'OR' SIP

(FOR INDIVIDUALS & NON-INDIVIDUA

ŝ	Received Application from Mr. / Ms. / M/s.		as per details below:
UEN	Scheme Name and Plan	Payment Details	Date & Stamp of Collection Centre / ISC
ACKNOWLEDG	MIRAE ASSET NIFTY 200 ALPHA 30 ETF	Amount (Rs)           Cheque/ DD No.:           Dated           Bank & Branch	
			Cheque / DD is subject to realisation

\_\_\_\_\_

**Declaration Form of Non-Profit Organization (NPO)** 

(Mandatory for Trusts/Society)



Investor Name						
PAN						

I/We hereby confirm that above stated entity / organization is falling under "**Non-profit Organization**" [NPO] which has been constituted for religious or charitable purpose referred to in clause (15) of section 2 of the Income-tax Act, 1961 (43 of 1961), and is registered as a trust or a society under the Societies Registration Act, 1860 (21 of 1860) or any similar State legislation or a Company registered under the section 8 of the companies Act, 2013 (18 of 2013).

We further confirm that we have registered with DARPAN Portal of NITI Aayog as NPO and registration details are as follows:

	Registration Number of DARPAN Portal
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If not, please register immediately and confirm with the above information. In absence of receipt of the DARPAN portal registration details, MF/AMC/RTA will be required to register your entity on the said portal and / or report to the relevant authorities as applicable.

I/We hereby confirm that the above stated entity / organization is **NOT** falling under Non-profit organization as defined above or in PMLA Act/Rules thereof.

I/We acknowledge and confirm that the information provided above is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/We may be liable for it for any fines or consequences as required under the respective statutory requirements and authorize you to deduct such fines/charges under intimation to me/us or collect such fines/charges in any other manner as might be applicable. I/We hereby authorize you [RTA/Fund/AMC/Other participating entities] to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to any of the Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me/us of the same. Further, I/We authorize to share the given information to other SEBI Registered Intermediaries or any other statutory authorities to facilitate single submission / update & for regulatory purposes. I/We also undertake to keep you informed in writing about any changes / modification to the above information in future within 30 days of such changes and undertake to provide any other additional information as may be required at your / Fund's end or by domestic or overseas regulators/ tax authorities.

Signature with relevant seal:



Date: / /

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

Enclosed relevant documentary proof evidencing the above defination.

# INSTRUCTIONS

Please read the Key Information Memorandum (KIM) and the terms of the Scheme Information Document (SID) and Statement of Additional Information (SAI) of the Scheme carefully before investing / filing the application form. All investors / applicants are deemed to have read, understood and accepted the terms, subject to which the offers are being made and bind themselves to the terms upon signing the Application Form and tendering payment.

### 1. General Instructions

(a) The application form should be completed in ENGLISH in BLOCK LETTERS only. CAF complete in all respects, may be submitted at the designated Investor Services Centers (ISC)/Official Point of acceptance. (b) Investors must write the Application Form number/Folio number on the reverse of the cheques and bank drafts accompanying the AF. (c) Please strike out any section that is not applicable. Any cancellation and modification on any of the mandatory information should be countersigned. (d) Please refer to the checklist at the end of these notes to ensure that the requisite details and documents have been provided in order to avoid unnecessary delays and/or rejection of your application. (e) If the Scheme name on the application form and on the payment instrument are different, the application may be processed and units allotted at applicable NAV of the scheme mentioned in the application/transaction slip duly signed by investor(s). (f) Applications incomplete in any respect (other than mentioned above) will be liable to be rejected

### Applicant Information

- (a) Name and address shall be given in full without any abbreviations. In case the Investor is an NRI/FII, an overseas address must be provided (mandatory). Alocal address if available should also be mentioned in the CAF.
- (b) Name of the guardian must be mentioned if the investments are being made on behalf of a minor. Guardian of the minor must be either a natural guardian or a Court appointed guardian. Date of birth is mandatory for minors and has to be supported with Age proof
- (c) Name of the contact person, e-mail and telephone number should be mentioned in case of investments by a Company, Body Corporate, Trust, Partnership, Society, Fil and other eligible non-individual applicants. Any change in the status of any Authorized Signatory should be promptly intimated to the AMC. Incomplete application forms are liable to be rejected.

### (d) KYC Requirements and Details:

Implementation of Central KYC (CKYC): The Government of India has authorized the Central Registry of Securitization and Asset Reconstruction and Security interest of India (CERSAI, an independent body), to perform the function of Central KYC Records Registry including receiving, storing, safeguarding and retrieving KYC cords in digital form. Non Individual Investors:

# CKYC is currently not applicable for Non-Individual Investors. All new Non Individual Investors will continue with the old KRAKYC form. Details of net worth are mandatory for Non Individual applicants. Details of net worth shall be of a date which is within one year of the application. Non Individual Applicants, not being a company that is listed on any recognized stock exchange or is a subsidiary of such listed or is controlled by such listed Company, are also required to fill in details of ultimate beneficial ownership in section 11(a) and 11(b) of the common application Form. Individual Investors:

(i) New individual investors who have never done KYC under KRA (KYC Registration Agency) regime and whose KYC

(i) New individual investors who have never done KYC under KRA (KYC Registration Agency) regime and whose KYC is not registered or verified in the KRAsystem will be required to fill the new CKYC form while investing with the Fund.
(ii) If any new individual investor uses the old KRAKYC form, then such investor will be required to either fill the new CKYC form or pr ovid e the missing / a d it ion a lin formation using the Supplementary CKYC form.
(iii) Investors who have already completed CKYC and have a KYC Identification Number (KIN) from the CKYC platform can invest in schemes of the Fund quoting their designated KIN issued by CKYC on the application form (14 digits for inormal accounts and 15 digits for simplified and small accounts). Further, in case the investor's PAN is not updated in CKYC system, a self-certified copy of PAN Card shall be mandatory. Further, the AMC/ Mutual Fund shall use the KIN of the investors to download the KYC information from CKYC and pdate its records as and when required. The CKYC form and Supplementary CKYC form for individual investors who have done the SEBI KYC (KYC thur 5 KRAs, CVL, DML), DOTEX, KARVY & CAMS). They can continue to invest as it is in any schemes of any Mutual Fund, Existing Investors who wishes to onboard themselves on the CKYC platform will need to again do the entire KYC process just like New Investor and get the KIN which can be used across.

(e) Rejection: In case of non-compliance of any C-KYC requirements, Applications shall liable to be rejected without any intimation to the applicants. Any Change in Address for all KYC compliant Investors has to be routed through RRA and that direct application to AMC will be not processed/rejected. In case if the applications are rejected after detailed sorutiny and verification, either at the collection point itself or subsequently by the back office of the registrars for any reason, investors can contact the nearest Investor Service Centre or write to the Registrars, Ms. Karvy Fintech Pvt. Ltd. or send an email to customercare@miraeasset.com.

(f) (i) All the applicants must sign in original on the application form. Signatures should be in English or in any Indian language. Thumb impressions should be from the left hand for males and the right hand for females and in all cases be attested by a Magistrate, Notary Public or Special Executive Magistrate. In case of an HUF, the Karta will sign on behalf the UHT. of the HUF

(ii) In case the application is under a power of Attorney (POA), a duly certified copy thereof duly notarized should be submitted with the application. The POA document should contain the signature of both the applicant and the constituted Attorney.

(iii) Applications made by a Limited Company or a Body Corporate or a registered Society or Trust, should be accompanied by a copy of the relevant resolution or authority to make the application, as the case may be, along with a certified copy of the MOA and AOA or Trust deed/Bye laws/Partnership deed, whichever is applicable. Refer to document check list.

### 3. Bank Account Details:

It is mandatory for the Sole/First Applicant to mention his/her bank account number in the CAF. CAF received without the relevant bank details will be rejected. The AMC may provide direct credit facility with the banks as may be available from time to time. Investor(s) are requested to note that for all Change of Bank details (COB) the investors must submit in original any one of the following documents of the new bank account:

a. Cancelled original cheque of the new bank mandate with first unit holder name and bank account number printed on a. Cancelled onginal chedue of the new bank mandate with first unit holder name and bank account humber printed on the face of the cheque. b. Self-attested copy of bank statement, c. Bank passbook with current entries not older than 3 months. d. Bank Letter duly signed by branch manager/authorized personnel. The AMC may also collect proof of Old Bank details while effecting the Change of Bank "Mandate. There shall be a cooling period of 10 calendar days for validation and registration of new bank account. In case of receipt of redemption request during this cooling period, the validation of new Bank mandate and dispatch of redemption proceeds shall be completed within 10 working days to the new bank account; however, the AMC reserves the right to process the redemption request juit he old bank mandate. If the archeristic of the sub-law mandate and bispatch of the bank in the old bank mandate. the credentials of the new bank mandate cannot be authenticated. Any COB accompanied with any other transaction is liable to be rejected.

Itable to be rejected. If unit holder(s) provide a new and unregistered bank mandate or a change of bank mandate request with specific redemption/Payout of Income Distribution cum capital withdrawal option payment request (with or without necessary supporting documents) such bank account may not be considered for payment or redemption/Payout of Income Distribution proceeds, or the Fund may withheld the payment for upto 10 calendar days to ensure validation of new bank mandate mentioned.
b. Indian Financial System Code (IFSC): Investors are requested to mention the IFSC while submitting any bank details updation request to help facilitate the payouts seamlessly through the electronic route. IFSC is an 11 digit number given by the banks on the cheques.

### 4. Multiple Bank Accounts Registration Facility:

The unitholder may register more than one bank account through the 'Multiple Bank Accounts Registration Facility'', to receive redemption/Payout of Income Distribution cum capital withdrawal option proceeds. The unitholder may choose to receive the proceeds in any of the bank accounts, the details of which will be registered under the folio. For the purpose of registration of bank account(s), the investors must submit in original any one of the following documents of the new bank account.

(a) Cancelled original cheque of the new bank mandate with first unit holder name and bank account number printed on (a) canceled organization degle of the new oarhandaet within a data within the data of the document of the document of the cheque. (b) Self-attested copy of bank statement. (c) Bank passbook with current entries not older than 3 months. (d) Bank Letter duly signed by Branch Manager/Authorized personnel. If photocopies of the above stated documents are submitted, investor must produce the original for verification. If the original shall be returned to the investor over the counter upon verification. If the originals are not produced for verification, then the photocopies submitted should be attested in original by the Branch Manager or Authorised personnel of the Bank.

### 5. Direct Credit of Redemption/Payout of Income Distribution cum capital withdrawal option Proceeds:

Investors can opt for direct credit of the redemption proceeds to their bank accounts (Direct Credit / RTGS / NEFT). The AMC / MF reserve the right to use any other mode of payment as deemed appropriate, however the preferred mode will always be NEFT/RTGS.

### 6. Investment Details:

a) Resident Investors may make payment by cheque payable locally in the city where the application form is submitted at the local Mirae Asset Mutual Fund (MAMF)/AMC office or Authorised Collection Centre(s).

b) Please mention the application serial number on the reverse of the cheque/demand draft tendered with the CAF. The cheque should be drawn in favor of respective scheme name. Non MICR/ Outstation Cheques/Money Orders/Post Dated Cheques or Cash is not permitted. Investors residing in Centres, where the Investors Service Centres (ISCs)/Authorised Collection Centre(s) of MAMF are not located, are requested to make payment by demand drafts payable at the Centre where the application is to be lodged. D.D. charges would be borne by the AMC only for the investors residing at places which are not covered by our offices/authorised centres. The maximum charges so borne by the AMC would be restricted to limits as prescribed by State Bank of India. Please refer SAI for complete details on D.D. charges

- In case the payment is made through Indian Rupee draft purchased abroad from FCNR or NRE A/C, Account Debit c) In case the payment is indee intogen index in topped that purchased advantage advantage of the control of the c
- Account debit Letter/certificate from the bankers. FIRC certificate is required to be submitted evidencing source of funds through Non Domestic Account. The AMC and the Registrar may ascertain the repatriation status purely based on the details provided under Investment and Payment details and will not be liable for any incorrect information provided by the applicant(s). In case the source of funds through Non Domestic Account is not validated/provided, AMC will not be in a position to repatriate redemption proceeds. Applicants should indicate the Option (Payout of Income Distribution cum capital withdrawal option/Growth) for which the application is made. In absence of information the request would be processed under the default option as mentioned in the SID/SAI of the relevant scheme. Direct Investments, places mention "Direct" in the column "Broker (Agent Code".
- d)

For Direct Investments, please mention "Direct" in the column "Broker / Agent Code" e)

Third Party Cheque/Funds Transfer will not be allowed for Investment subscriptions except in the following cases:

 Payment for investment by means of Cheque, Demand Draft or any other mode shall be accepted from the bank account of the minor, parent or legal guardian of the minor, or from a joint account of the minor with parent or legal quardian

Payment by employer on behalf of employee under Systematic Investment Plan (SIP) facility through payroll deductions

### Custodian on behalf of an FII or a Client

Consolutation behavior and information of the content.
f) Options Available: The Scheme does not offer any option Investors may please note, that Payout of Income Distribution cum capital withdrawal option may be declared by the Trustee, subject to the availability of distributable surplus as per the Regulations. Reinvestment of Income Distribution cum capital withdrawal option can be availed at Daily, Weekly (Record date: Wednesday) & Monthly basis (Record date: 24th of every month). Kindly read the SID for frequency availability in respective scheme applied for. Amounts can be distributed out of investors capital (Equalization Reserve), which is part of sale price that represents realized gains.

g) Physical Copies: Investors who requires physicals copies kindly reach us through email id:customercare@miraeasset.com Toll Free Number : 1800-2090-777.

### 7. Communication:

The investor whose transaction has been accepted by the MAMF shall receive a confirmation by way of email and/or SMS within 5 Business Days from the date of receipt of transaction request, same will be sent to the Unit holders registered e-mail address and/or mobile number. Thereafter, a Consolidated Account Statement ("CAS") shall be issued in line with the

### following procedure:

1. Consolidation of account statement shall be done on the basis of PAN. In case of multiple holding, it shall be PAN of the first holder and pattern of holding. 2. The CAS shall be generated on a monthly basis and shall be issued on or before 10th of the immediately succeeding

month to the unit holder(s) in whose folio(s) transaction(s) has/have taken place during the month. 3. In case there is no transaction in any of the mutual fund folios then CAS detailing holding of investments across all

schemes of all Mutual Funds will be issued on half yearly basis [at the end of every six months (i.e. September/March)] Investors having MF investments and holding securities in Demat account shall receive a Consolidated Account Statement containing details of transactions across all Mutual Fund schemes and securities from the Depository by email / physical mode

5. Annual Reports or other information etc.. may be sent to unit holders by email. Investors can choose to receive e mail communication from us in lieu of printed documents, when a unit holder has communicated his/her email address main communication from us in lieu of printed occuments, when a unit house has communication instrine remail address and has provided consent for sending communication only via e-mail. Investor(s) who have provided their email address in the application form or any subsequent communication in any of the folio belonging to the investor, Electronic Mail (email) shall be treated as a default mode for sending various statutory communications including Abridged Annual Report to the investor. However, the unit holder always has the right to request a physical copy of any statutory communication and the AMC will arrange for the same to be sent to the unit holder. The AMC/Mutual Fund/Registrars & Transfer agents are not responsible for the email not reaching the investor and for all consequences thereof. The investor needs to intimate the Fund/its transfer agents about any changes in the email address from time to time.

#### Online Transactions/Personal Identification Number (PIN): 8.

This facility (transact@ease) enables Investors to transact on the website of the Fund which is https://transact.miraeassetmf.co.in/investor. This facility can be availed by all KYC Compliant Investors (Fresh/Existing) using their e-mail Address and Mobile Number. The Units can be transacted only in the Physical mode.

#### Nomination Details: The Nomination Details will be as is Registered with Depository Participant for this application 10. Waiver of Entry Load and Payment of commission and load structure:

No entry load will be charged by the Scheme to the investor. The upfront commission on investment made by the investor, if any, shall be paid to the ARN Holder directly by the investor, based on the investor's assessment of various the construction is treated as a direct application:

### 1. Broker code, if already printed on the forms must be struck off and countersigned by the investors.

2. Ensure that the broker code block in the form is not left blank (i.e. it should be either struck off or indicated 'direct' or NA). However, if the investor does not specify the application as "Direct" or otherwise, then the AMC treats such applications as

### "Direct" in the interest of the investors 11. Transaction charges (TC):

In case of applications of Rs. 10,000 & more and routed through a distributor who has opted for such TC, are deducted from the subscription may be applicable from time to time: (I) Rs. 150/- from a first time mutual fund investors applicable from time to time: (I) Rs. 150/- from a first time mutual fund investors application (An investor who invests for the first time ever in any mutual fund intervestors application); (ii) Rs. 100/- from an existing mutual fund investors application. Units will be issued against the balance amount. Please tick the appropriate box as applicable to you. If no option is ticked, the mutual fund reserves a right to check with in opporting the approximate of point of point in the provided matching and a matching the approximate of th

### 12. Employee Unique Identification Number (EUIN):

Employee onduce toefunctation number (curv): In order to assist in in addressing any instance of mis-selling at any point of time, it is regulatory for every employee/relationship manager/sales person of the distributor/broker (interacting with the investor for the sale of Mutual Fund products) of mutual fund products to quote the EUIN (for non-advisory transactions ('execution only') & advisory transactions) obtained from AMFI in the CAF. The EUIN is a 7 digit unique alpha numeric number (one adhabet and six numerals). Individual ARN holders including senior of the realso required to obtain and quote EUIN in the Application Form. Hence, if your investments are routed through a distributor please ensure that the EUIN is correctly filled up in the Application Form. It is further clarified that a mere quoting of EUIN will not give an "advisory"

character to the transaction. However, in case of any exceptional cases where there is no interaction by the employee/sales person/relationship manager of the distibutor/sub broker with respect to the transaction, AMCs shall take the declaration separately signed by the investor, as mentioned on the top of the application form(s).

application form(s).
13. The US Department of the Treasury and the US Internal Revenue Service (IRS) has introduced the Foreign Account Tax Compliance Act (FATCA), effective July 01, 2014. The purpose of FATCA is to report financial assets owned by United States persons to the US tax authorities. Accordingly, AMC may be required to report information relating to the folios of the investors to the authority established by the Government of India for its submission to US authorities. Accordingly, AMC may be required to report information relating to the folios of the investors to the authority established by the Government of Activities in the CAF for the CAF fo relating to the folios of the investors to the authority established by the Government of India for its submission to US authorities. AMC reserves the right to seek additional information / documents sought for FATCA details in the CAF for the disclosure and reporting of any tax related information obtained or held by the fund to any local or foreign regulatory or tax authority ("Tax Authority"). Upon request by the fund, investor hereby agrees to provide necessary information and permits the fund to disclose and report tax and account specific financial information to any local or foreign Tax authority. The potential consequences for failure to comply with requests for tax information disclosure include, but are not limited to: (a) Fund has the right to carry out actions which are necessary to comply with the local or foreign tax reporting obligations; (b) Fund has the right to pay relevant taxes to the appropriate tax authority; (d) Fund has the right to refuse to provide certain services; and (e) Fund has the discretion to close investor account; The investor agrees to inform. or respond to any request form the fund. if there are any changes to tax information previously provided. inform, or respond to any request from, the fund, if there are any changes to tax information previously provided

# INSTRUCTIONS

14. All Investors including non-individual investors, shall be required to submit a mandatory declaration form along with theinvestment request. The indicia's are to identify a US Person as defined under the Laws of the United States of America The absence of completed documentations may prevent us from accepting the investment and may require us to redeem existing investments in case the same is mandated by the regulatory authorities.

The identification of US person will be based on one or more of the following US indicia:- Identification of the investor as US citizen or resident (1) US is the place of birth or country of incorporation (2) Having US telephone number (3) Having any residence / mailing address / 12/a address / hold mail address / PO Box address in the US (4) Having Standing instruction to transfer funds to an account maintained in USA (5) Being POA holder based out of US or having US residence / citizenship (6) Paying tax in the US (7) Having Identification Number or any identification that indicates US residence / citizenship (6) Having US beneficiary owners /shareholders (9) The Director / Promotor / Authorised signatory / POA holder of nonindividual investor is based out of US or holds US residence / citizenship.

### 15. Details under FATCA & CRS

As a part of regulatory process, the AMC may seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders and will report to tax authorities / appointed agencies/institutions such as withholding agents should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.

The investor may receive more than one request for information if you have multiple relationships with the AMC or its group entities. Kindly respond to all our requests, even if you have already supplied any previously requested information. For any queries about your tax residency, kindly contact your tax advisor. If you are a US citizen or resident or greencard holder, please include United States in the foreign country information field along with your US Tax Identification Number.

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

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 under FATCAguidelines.

Non-Financial Entity (NFE): 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

- 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; 01
- The NFE is a Governmental Entity, an International Organization, a Central Bank , or an entity wholly owned by one or more of the foregoing; 02
- 03 Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or Substantially and the authless of the NL except that an entity shall not qualify for this status if the entity providing financing and services to, one or more substationaries 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;
- The NFE is not yet operating a business and has no prior operating history, but is investing capital into asse with the intent to operate a business other than that of a Financial Institution, provided that the NFE shall no qualify for this exception after the date that is 24 months after the date of the initial organization of the NFE; 04 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;
- Any NFE that fulfills all of the following requirements: (1) 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; (2) It is exempt from income tax in India; (3) 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 thar 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 louidation 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 ferritory 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: (1) an Investor Protection Fund Ferred to in (Lause (23EA): (2) a Credit Guarantee Fund Trust for Small Industries. 07 Any NFE that fulfills all of the following requirements: (1) It is established and operated in India exclusively for Investor Protection Fund referred to in clause (23EA); (2) a Credit Guarantee Fund Trust for Small Industries referred to in clause 23EB; and (3) an Investor Protection Fund referred to in clause (23EC), of section 10 of the Act

The stock of the entity is regularly traded on an established securities market or the non financial entity is a related entity of the entity, the stock of which is regularly traded on an established securities market. 08

d. Document Type: Please mention the Code or Document as: "A" Passport; "B" Election ID Card; "C" PAN CARD; "D" Driving License; "E" NREGA Job Card.

e. Exemption code for U.S. person (Refer 114F(9) of Income Tax Rules, 1962 for details.

e. Exemption code to U.S. person (Refer 114-(9) of income tax Rules, 1902 for details. (i) An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37). (ii) The United States or any of their political subdivision or instrumentalities. (iii) A state, the District of Columbai, a possession of the United States or any of their political subdivision or instrumentalities. (iii) A state, the District of Columbai, a is regularly traded on one or more established securities markets, as described in Reg. section 1.1472-1(c)(1)(i). (v) A corporation that is a member of the same expanded affiliated group as a corporation described in Reg. section 1.1472-(c)(1)(). (v)A dealer in securities, commodilies, or derivative financial instruments (including national principal contracts, futures, forwards and options) that is registered as such under the laws of the United States or any state. (vii) A real estate investment trust, (viii) 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. (ix) A common trust fund as defined in section 584(a). (x) A bank as defined in section 581. (xi) Abroker

(xii) A trust exempt from tax under section 664 or described in section 4947(a)(1). (xiii) A tax exempt trust under a section 403(b) plan or section 457(g) plan.

Passive Income includes: Payout of Income Distribution cum capital withdrawal options; Interest; Income equivalent to Passive income includes: Payoutor income bistribution cum capital windrawaroptions, interest, encome equivalent to interest, 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; Annuities; excess of gains over losses from the sale or exchange of financial assets that gives rise to passive income; excess of gains over losses from transactions (including futures, forwards, options and similar transactions) in any financial assets; excess of foreign currency gains over foreign currency losses; ket income from swaps; 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 Passive NFE means: 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 an investment entity defined in clause (b) of these instructions 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). Direct reporting NFE means: a NFFE that elects to report information about its direct or indirect substantial U.S. owners to the IRS

Owner documented FFI: An FFI meets the following requirements: The FFI is an FFI solely because it is an Owner documented FFI: An FFI meets the following requirements: The FFI is an FFI solely because it is an investment entity; The FFI is not owned by or related to any FFI that is a depository institution, custodial institution, or specified insurance company; The FFI does not maintain a financial account for any non participating FFI; 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 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 deemedcompliant FFI (other than an owner-documented FFI), an entity that is a U.S. person, an exempt beneficial owner, or an excepted NFE.

16. With effect from January 1, 2014, as per the US Securities Act of 1933, United States Person (U.S. Person), corporations and other entities organized under the applicable laws of the United States (U.S.) and Residents of Canada as defined under the applicable laws of Canada should not invest in units of any of the Schemes of the Fund and should note the following:

No fresh purchases / additional purchases/switches in any Schemes of the Fund would be allowed. However, existing Unit Holder(s) will be allowed to redeem their units from the Schemes of the Fund. If an existing Unit Holder(s) subsequently becomes a U.S. Person or Resident of Canada, then such Unit Holder(s) will not be able to purchase any additional Units in any of the Scheme of the Fund. • For transaction from Stock Exchange platform, while transferring units from the broker account to investor account, if the

investor has U.S./Canadian address then the transactions would be rejected.

In case the AMC/MAMF subsequently identifies that the subscription amount is received from U.S. Person(s) or

Resident(s) of Canada, in that case the AMC/Fund at its discretion shall redeem all the units held by such person from the Scheme of the Fund at applicable Net Asset Value

### 17. Ultimate Beneficial Owner (UBO)

17. Ultimate Beneficial Owner (UBO) Investors (other than Individuals) are required to provide details of UBO(s) and submit POI (viz. PAN with photograph or any other acceptable POI prescribed in common KYC form) of UBO(s). Non-individual applicants/investors are mandated to provide the details on UBO(s') by filling up the declaration form for UBO. Providing information about beneficial ownership will be applicable to the subscriptions received from all categories of investors except Individuals and a Company listed on a stock exchange or is a majority owned subsidiary of such a Company. In case of any change in the beneficial ownership, the investor should immediately initiate AMC / its Registrar / KRA, as may be applicable, about such changes. Please contact the nearest ISC of MAMF or log on to our website www.miraeassetmf.co.in for the Declaration Form.

### A Ultimate Beneficial Owner means:

I. For Investor other than Trust: A 'Natural Person', who, whether acting alone or together, or through one or more juridical

person, exercises control through ownership or who utilized to controlling ownership interest. Controlling ownership interest means ownership of / entitlements to: (i) more than 10% 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.

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

natural person who holds the position of senior managing official should be provided. **ii. For Trust:** The settler of the trust, the trustees, the protector, the beneficiaries with 10% or more of interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or wnership. **B Applicability for foreign investors:** The identification of beneficial ownership in case of Foreign Institutional Investors (FIIs), their sub-accounts and Multilateral Funding Agencies / Bodies Corporate incorporated outside India with the permission of Government of India / Reserve Bank of India may be guided by the clarifications issued vide SEBI circular CIR/MIRSD/11/2012 dated September 5, 2012.

CIRMIRSD/11/2012 dated September 5, 2012. **C UBO Code Description: UBO-1:** Controlling ownership interest of more than 10% of shares or capital or profits of the juridical person is a company. UBO-2: Controlling ownership interest of more than 15% of the capital or profits of the juridical person is a company. UBO-2: Controlling ownership interest of more than 15% of the capital or profits of the juridical person is a company. UBO-2: Controlling ownership interest of more than 15% of the capital or profits of the juridical person is a partnership. UBO-3: Controlling ownership interest of more than 15% of the capital or profits of the juridical person is a partnership. UBO-3: Controlling ownership interest of more than 15% of the property or capital or profits of the juridical person exercising control over the juridical person through other means exercised through voting rights, agreement, arrangements or in any other manner [In cases where there exists doubt under UBO-1 to UBO-3 above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests]. UBO-5: Natural person who holds the position of senior managing official [In case no natural person cannot be identified as above]. UBO-6: The settlor(s) of the Trust [MD-7: Trustee(s) of the Trust. UBO-8: The Protector(s) of the Trust [If applicable]. UBO-9: The beneficiaries with 10% or more interest in the trust if they are natural person(s). UBO-10: Natural person(s) exercising ultimate effective control over the Trust through a chain of control or ownership. D. PAN and KYC of all the beneficiaries of ILBO is mandatory to accent the transaction.

D. PAN and KYC of all the beneficiaries of UBO is mandatory to accept the transaction

18. Investors may please note that the primary holders own email address and mobile number should be provided for speed and ease of communication in a convenient and cost effective manner, and to help prevent fraudulent transactions. In case of any change in the information such as address, telephone number, citizenship, etc., investors are requested to bring this to the notice of the fund and submit the FATCA declaration form (available on requested to bring this www.miraeassetmf.co.in).

19. LEI (Legal Entity Identifier) Code : The Legal Entity Identifier (LEI) is a global reference number that uniquely identifies every legal entity or structure that is party to a financial transaction, in any jurisdiction. The Reserve Bank of India has mandated the LEI Number for all payment transactions of value 50 crore and above undertaken by entities (non-individuals) for Real Time Gross Settlement (RTGS) and National Electronic Funds Transfer (NEFT).