

## Mirae Asset Mutual Fund

**Trustee:** Mirae Asset Trustee Company Private Limited  
CIN: U65191MH2007FTC170231

**Investment Manager:** Mirae Asset Investment Managers (India) Private Limited  
CIN: U65990MH2019PTC324625

### Registered & Corporate Office:

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## KEY INFORMATION MEMORANDUM OF

### Mirae Asset Nifty MidSmallcap400 Momentum Quality 100 ETF

(An open-ended scheme replicating/tracking Nifty MidSmallcap400 Momentum Quality 100 Total Return Index)  
(Scrip Code for NSE & BSE will be added after listing of the units)

#### PRODUCT LABELLING

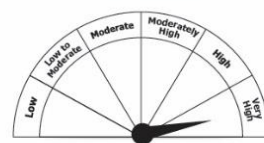
**Mirae Asset Nifty MidSmallcap400 Momentum Quality 100 ETF is suitable for investors who are seeking\***

- Returns that commensurate with performance of Nifty MidSmallcap400 Momentum Quality 100 Total Return Index, subject to tracking error over long term
- Investments in equity securities covered by Nifty MidSmallcap400 Momentum Quality 100 Total Return Index

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

The Product Labelling assigned during the NFO is based on internal assessment of the scheme characteristics or model portfolio and the same may vary post NFO when actual investments are made.

Scheme Riskometer



Investors understand that their principal will be at Very High Risk

Scheme Benchmark: Nifty MidSmallcap400 Momentum Quality 100 Total Return Index



The Benchmark is at Very High Risk

Offer for Sale of Units at 1/1000th value of the Nifty MidSmallcap400 Momentum Quality 100 Index as on the date of allotment for applications received during the New Fund Offer ("NFO") period and at approximately indicative NAV based prices (along with applicable charges and execution variations) during the Ongoing Offer for applications directly received at AMC.

***New Fund Offer opens on: - 06/05/2024***

***New Fund Offer closes on: -17/05/2024***

***Scheme re-opens for continuous Sale and Repurchase from 23/05/2024***

The subscription list may be closed earlier by giving at least one day's notice in one daily newspaper, however the NFO period shall be open for minimum 3 working days. The Trustee reserves the right to extend the closing date of the New Fund Offer Period, subject to the condition that the subscription list of the NFO period shall not be kept open for more than 15 days.

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.

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

#### DISCLAIMER OF NSE:

"As required, a copy of this Scheme Information Document has been submitted to National Stock Exchange of India Limited (hereinafter referred to as NSE). NSE has given vide its letter NSE/LIST/5657 dated February 14, 2024, permission to the Mutual Fund to use the Exchange's name in this Scheme Information Document as one of the stock exchanges on which the Mutual Fund's units are proposed to be listed subject to, the Mutual Fund fulfilling various criteria for listing. The Exchange has scrutinized this Scheme Information Document for its limited internal purpose of deciding on the matter of granting the aforesaid permission to the Mutual Fund. It is to be distinctly understood that the aforesaid permission given by NSE should not in any way be deemed or construed that the Scheme Information Document has been cleared or approved by NSE; nor does it in any manner warrant, certify or endorse the correctness or completeness of any of the contents of this Scheme Information Document; nor does it warrant that the Mutual Fund's units will be listed or will continue to be listed on the Exchange; nor does it take any responsibility for the financial or other soundness of the Mutual Fund, its sponsors, its management or any scheme of the Mutual Fund.

Every person who desires to apply for or otherwise acquire any units of the Mutual Fund may do so pursuant to independent inquiry, investigation and analysis and shall not have any claim against the Exchange whatsoever by reason of any loss which may be suffered by such person consequent to or in connection with such subscription /acquisition whether by reason of anything stated or omitted to be stated herein or any other reason whatsoever."

#### **DISCLAIMER OF BSE:**

"BSE Ltd. ("the Exchange") has given vide its letter no. LO/IPO/AH/MF/IP/097/2023-24 dated February 16, 2024 permission to use the Exchange's name in this SID as one of the Stock Exchanges on which this Mutual Fund's Units are proposed to be listed. The Exchange has scrutinized this SID for its limited internal purpose of deciding on the matter of granting the aforesaid permission to. The Exchange does not in any manner:-

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

and it should not for any reason be deemed or construed that this SID has been cleared or approved by the Exchange.

Every person who desires to apply for or otherwise acquires any unit of this Fund may do so pursuant to independent inquiry, investigation and analysis and shall not have any claim against the Exchange whatsoever by reason of any loss which may be suffered by such person consequent to or in connection with such subscription/ acquisition whether by reason of anything stated or omitted to be stated herein or any other reason whatsoever.

#### **DISCLAIMER NSE INDICES LIMITED**

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NSE INDICES LIMITED do not guarantee the accuracy and/or the completeness of the Nifty SmallMidcap 400 Quality momentum 100 index or any data included therein and NSE INDICES LIMITED shall have not have any responsibility or liability for any errors, omissions, or interruptions therein. NSE INDICES LIMITED does not make any warranty, express or implied, as to results to be obtained by the Issuer, owners of the product(s), or any other person or entity from the use of the Nifty MidSmallcap400 Momentum Quality 100 Index or any data included therein. NSE INDICES LIMITED makes no express or implied warranties, and expressly disclaims all warranties of merchantability or fitness for a particular purpose or use with respect to the index or any data included therein. Without limiting any of the foregoing, NSE INDICES LIMITED expressly disclaim any and all liability for any claims, damages or losses arising out of or related to the Products, including any and all direct, special, punitive, indirect, or consequential damages

(including lost profits), even if notified of the possibility of such damages.

An investor, by subscribing or purchasing an interest in the Product(s), will be regarded as having acknowledged, understood and accepted the disclaimer referred to in Clauses above and will be bound by it.

| <b>Name of the Scheme</b>   | Mirae Asset Nifty MidSmallcap400 Momentum Quality 100 ETF   |      |                     |                             |  |  |                     |  |     |      |           |   |   |    |               |
|---|---|------|---------------------|-----------------------------|--|--|---------------------|--|-----|------|-----------|---|---|----|---------------|
| <b>Category of the Scheme</b>   | Exchange Traded Fund (ETF)  |      |                     |                             |  |  |                     |  |     |      |           |   |   |    |               |
| <b>Type of the Scheme</b>   | An open-ended scheme replicating/tracking Nifty MidSmallcap400 Momentum Quality 100 Total Return Index  |      |                     |                             |  |  |                     |  |     |      |           |   |   |    |               |
| <b>Scheme Code</b>  | MIRA/O/O/EET/24/03/0063   |      |                     |                             |  |  |                     |  |     |      |           |   |   |    |               |
| <b>Investment Objective</b>   | The investment objective of the scheme is to generate returns, before expenses, that are commensurate with the performance of the Nifty MidSmallcap400 Momentum Quality 100 Total Return Index, subject to tracking error. There is no assurance or guarantee that the investment objective of the scheme would be achieved.  |      |                     |                             |  |  |                     |  |     |      |           |   |   |    |               |
| <b>Asset Allocation Pattern of the scheme</b>   | <p>Under normal circumstances, the asset allocation will be as follows:</p> <table border="1"> <thead> <tr> <th><b>Types of Instruments</b></th> <th colspan="2"><b>Indicative allocation (% of total assets)</b></th> <th><b>Risk Profile</b></th> </tr> </thead> <tbody> <tr> <td>Securities included in the Nifty MidSmallcap400 Momentum Quality 100 Index</td> <td>95%</td> <td>100%</td> <td>Very High</td> </tr> <tr> <td>Money market instruments / debt securities, Instruments and/or units of debt/liquid schemes of domestic Mutual Funds.</td> <td>0</td> <td>5%</td> <td>Low to Medium</td> </tr> </tbody> </table> <p>The Asset Allocation portion shall also include subscription and redemption cash flow which may be undeployed due to various reasons (dividend from underlying securities, rebalancing or balances for running cost of the scheme, residual amount due to execution on rounding off etc).</p> <p>Subject to SEBI (MF) Regulations, 1996 and in accordance with Clause 12.11 in SEBI Master Circular SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023 on Securities Lending Scheme, and framework for short selling and borrowing and lending of securities, the Scheme intends to engage in Stock Lending.</p> <p>The Scheme shall adhere to the following limits should it engage in Stock Lending:</p> <p>(a) Not more than 20% of the net assets can generally be deployed in Stock Lending</p> <p>(b) Not more than 5% of the net assets can generally be deployed in Stock Lending to any single approved intermediary i.e. broker.</p> <p>Exposure to equity derivatives of the index itself or its constituent stocks may be undertaken when equity shares are unavailable, insufficient or for rebalancing in case of corporate actions for a temporary period which shall not exceed 7 days. The exposure to derivatives will be rebalanced to align with the underlying index changes in weights or constituents. Index futures/options are meant to be an efficient way of buying/selling an index compared to buying/selling a portfolio of physical shares representing an index for ease of execution and settlement. It can help in reducing the Tracking Error in the Scheme. Index futures/options may avoid the need for trading in individual components of the index, which may not be possible at times, keeping in mind the circuit filter system and the liquidity in some of the individual stocks. Index futures/options can also be helpful in reducing the transaction costs and the processing costs on account of ease of execution of one trade compared to several trades of shares comprising the underlying index and will be easy to settle compared to physical portfolio of shares representing the underlying index. In case of investments in index futures/options, the risk/reward would be the same as investments in portfolio of shares representing an index. However, there may be a cost attached to buying an index future/option. The Scheme will not maintain any leveraged or trading positions. Exposure to such derivatives will be restricted to 20% of net assets of the scheme.</p> <p>The Scheme does not intend to undertake/ invest/ engage in</p> |      |                     | <b>Types of Instruments</b> | <b>Indicative allocation (% of total assets)</b> |  | <b>Risk Profile</b> | Securities included in the Nifty MidSmallcap400 Momentum Quality 100 Index | 95% | 100% | Very High | Money market instruments / debt securities, Instruments and/or units of debt/liquid schemes of domestic Mutual Funds. | 0 | 5% | Low to Medium |
| <b>Types of Instruments</b>   | <b>Indicative allocation (% of total assets)</b>  |      | <b>Risk Profile</b> |                             |  |  |                     |  |     |      |           |   |   |    |               |
| Securities included in the Nifty MidSmallcap400 Momentum Quality 100 Index  | 95%   | 100% | Very High           |                             |  |  |                     |  |     |      |           |   |   |    |               |
| Money market instruments / debt securities, Instruments and/or units of debt/liquid schemes of domestic Mutual Funds. | 0   | 5%   | Low to Medium       |                             |  |  |                     |  |     |      |           |   |   |    |               |

- ADR/ GDR / Foreign Securities
- Securitized Debt
- Debt Instruments with Structured obligation/Credit enhancements
- Repo in Corporate Debt Securities
- Short selling
- Credit default swaps
- Unrated Debt instruments
- Instruments having Special Features as defined under clause 12.2 of SEBI Master Circular SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023
- ReITs and InvITs
- Fund of Fund Schemes;

The cumulative gross exposure to equity, derivatives, debt instruments and money market instruments will not exceed 100% of the net assets of the scheme in accordance with Clause 12.24 of SEBI Master Circular SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023.

Cash or cash equivalents with residual maturity of less than 91 days may be treated as not creating any exposure. SEBI vide letter dated November 3, 2021 has clarified that Cash Equivalent shall consist of Government Securities, T-Bills and Repo on Government Securities having residual maturity of less than 91 days.

In accordance with Clause 3.4 of SEBI Master Circular SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023, the underlying index shall comply with the portfolio concentration norms as prescribed.

Debt securities include, but are not limited to, Debt securities of the Government of India, State and Local Governments, Government Agencies, Statutory Bodies, Public Sector Undertakings, Public Sector Banks or Private Sector Banks or any other Banks, Financial Institutions, Development Financial Institutions, and Corporate Entities, collateralized debt securities or any other instruments as may be prevailing and permissible under the Regulations from time to time).

The Debt Securities (including money market instruments) referred to above could be fixed rate or floating rate, listed, unlisted, privately placed, unrated among others, as permitted by regulation.

Pending deployment of funds of a Scheme in securities in terms of investment objectives of the Scheme a mutual fund can invest the funds of the Scheme in short term deposits of scheduled commercial banks in terms of Clause 12.16 of SEBI Master Circular SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023.

Further, the Scheme may, for meeting liquidity requirements invest in units of money market/liquid schemes of Mirae Asset Mutual Fund and/or any other mutual fund provided that aggregate inter-scheme investment made by all schemes under the same management or in schemes under the management of any other asset management company shall not exceed 5% of the net asset value of the mutual fund in accordance with Clause 4 of Seventh Schedule of SEBI (Mutual Funds) Regulations, 1996. The AMC shall not charge any investment management fees with respect to such investment.

#### **Rebalancing due to passive breach**

In accordance with Clause 3.6.7 of SEBI Master Circular SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023 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

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|  | <p>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.</p> <p><b>Rebalancing of deviation due to short term defensive consideration</b></p> <p>In the event of the asset allocation falling outside the limits specified in the asset allocation table, the Fund Manager will rebalance the same within 7 days. However, at all times the portfolio will adhere to the overall investment objectives of the Scheme. Any alteration in the investment pattern will be for short-term defensive consideration as per Clause 1.14.1.2 of SEBI Master Circular SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023, the intention being at all times to protect the interests of the Unit Holders.</p> <p><b>Tracking error</b></p> <p>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 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 and the same shall be brought to the notice of Trustees with corrective actions taken by the AMC, if any. Since the Scheme is an exchange traded fund, it will endeavor that at no point of time the Scheme will deviate from the index.</p> |
| <p><b>Investment Strategy</b></p>        | <p>Mirae Asset Nifty MidSmallcap400 Momentum Quality 100 ETF will be managed passively with investments in stocks in the same proportion as in the Nifty MidSmallcap400 Momentum Quality 100 Index.</p> <p>The investment strategy of the Scheme will be to invest in a basket of securities forming part of Nifty MidSmallcap400 Momentum Quality 100 Index in similar weight proportion.</p> <p>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.</p> <p><b>For detailed investment strategy, refer SID.</b></p>  |
| <p><b>Risk Profile of the Scheme</b></p> | <p>Mutual Fund Units involve investment risks including the possible loss of principal. Please read the Scheme Information Document (SID) carefully for details on risk factors before investment.</p> <p>The Scheme is subjected to risk factors associated with passive fund investment, Risks Associated with Equity Investments, Risk Associated with Debt &amp; Money Market Instruments, 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.</p>   |
| <p><b>Risk Control measures</b></p>      | <p><b><u>Risks Associated with Equity Investments</u></b></p> <p><b>Market Risk:</b> Market risk is inherent to an equity scheme. Being a passively managed scheme, it will invest in the securities included in its Underlying Index.</p> <p><b><u>Risks Associated with Debt &amp; Money Market Instruments</u></b></p>   |

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|   | <p><b><u>Credit Risk</u></b> - The fund has a rigorous credit research process. There is a regulatory and internal cap on exposure to each issuer. This ensures a diversified portfolio and reduced credit risk in the portfolio.</p> <p>While these measures are expected to mitigate the above risks to a large extent, there can be no assurance that these risks would be completely eliminated.</p>   |
| <b>Plans and Options</b>                                      | <p>The Scheme does not offer any Plans/Options for investment.</p> <p>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 Regulations.</p>   |
| <b>Applicable NAV (after the scheme opens for repurchase)</b> | <p>The Cut-off time for receipt of valid application for Subscriptions and Redemptions is 3.00 p.m. as per Regulatory guidelines.</p> <p><b>In case of Purchase / Redemption directly with Mutual Fund (By Market Makers and Large Investors):</b></p> <p><b>Direct transaction in ETFs through AMCs</b><br/>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.</p> <p>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.</p> <p>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):</p> <p><b>For Redemption of units directly with the Mutual Fund (other than Market Makers and Large Investors):</b></p> <p>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:</p> <ol style="list-style-type: none"> <li>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</li> <li>No quotes for such ETFs are available on stock exchange(s) for 3 consecutive trading days, or</li> <li>Total bid size on the exchange is less than half of creation units size daily, averaged over a period of 7 consecutive trading days.</li> </ol> <p>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.</p> <p>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.</p> <p><b>Settlement of Purchase/Sale of Units of the Scheme on NSE/ BSE</b></p> <p>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 day of the settlement cycle on the Stock Exchange(s). The Units (in the case of Units bought) and the funds (in the case of Units sold) are paid out to the broker on the pay-out day of the settlement cycle on the Stock Exchange(s). The Stock</p> |

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|  | <p>Exchange(s) regulations stipulate that the trading member should pay the money or Units to the investor within 24 hours of the pay-out.</p> <p>If an investor has bought Units, he should give standing instructions for ‘Delivery-In’ to his /her/its DP for accepting Units in his/her/its beneficiary 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.</p> <p>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.</p> |
| <p><b>Minimum Amount &amp; Additional Amount</b></p> <p><b>Application &amp; Minimum Application</b></p> | <p>During NFO Period: Rs. 5,000 per application and in multiples of Re. 1 thereafter. Units will be allotted in whole figures and the balance amount will be refunded.</p> <p>On an on-going Basis:</p> <p><b>Market Maker:</b> 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.</p> <p><b>Large Investors:</b> Minimum amount of Rs. 25 crores for transacting directly with the AMC.</p> <p><b>Other investors (including Market Maker, Large Investors and Regulated Entities):</b> 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.</p>   |
| <p><b>Dispatch of Repurchase (Redemption) Request</b></p>  | <p>The redemption or repurchase proceeds shall be dispatched to the unitholders within 3 working days from the date of redemption or repurchase.</p>   |
| <p><b>Benchmark Index</b></p>  | <p><b>Nifty MidSmallcap400 Momentum Quality 100 TRI (Total Return Index)</b></p>   |
| <p><b>Name of the Fund Manager</b></p>   | <p>The Scheme will be managed by Ms. Ekta Gala &amp; Mr. Vishal Singh</p>  |
| <p><b>Name of the Trustee Company</b></p>  | <p>Mirae Asset Trustee Company Private Limited</p>   |
| <p><b>Expenses of the Scheme</b></p> <p><b>1. Load Structure</b></p>                                     | <p>During New Fund Offer and Ongoing Offer Periods</p> <p><b>Entry Load: Not Applicable</b><br/>In accordance with the requirements specified by in Clause 10.4 of SEBI Master Circular SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023, no entry load will be charged for purchase/additional purchase/switch-in accepted by AMC.</p> <p><b>Exit Load:</b></p> <ul style="list-style-type: none"> <li>•<b>For investors transacting directly with the AMC:</b> No Exit load will be levied on redemptions made by Market Maker / Large Investors directly with the AMC.</li> <li>•<b>For investors transacting on the exchange:</b> Not Applicable.</li> </ul> <p>For any change in load structure AMC will issue an addendum and display it on the website/Investor Service Centres.</p> <p>Investors other than Market Makers/Large investors can redeem units directly with the Fund for less than Creation Unit size at approximately indicative NAV based prices (along with applicable charges and execution variations) during the Ongoing Offer for units without any exit load if:</p> <ul style="list-style-type: none"> <li>• 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</li> </ul>  |

- No quotes for such ETFs are available on stock exchange(s) for 3 consecutive trading days, or
- Total bid size on the exchange is less than half of creation units size daily, averaged over a period of 7 consecutive trading days.

Such instances shall be tracked by the AMC on an ongoing basis and in case if any of the above mentioned scenario arises, the same shall be disclosed on the website of the Mutual Fund.

For any change in load structure AMC will issue an addendum and display it on the website/Investor Service Centres.

The Mutual Fund may charge the load within the stipulated limit of 5% and without any discrimination to any specific group. The Repurchase Price however, will not be lower than 95% of the NAV.

The Trustee reserves the right to modify/alter the load structure and may decide to charge on the Units with prospective effect, subject to the maximum limits as prescribed under the SEBI Regulations. At the time of changing the load structure, the AMC shall take the following steps:

- Arrangements shall be made to display the changes/modifications in the SID in the form of a notice in all the Mirae Asset ISCs' and distributors' offices and on the website of the AMC.
- The notice-cum-addendum detailing the changes shall be attached to SIDs and Key Information Memoranda. The addendum will be circulated to all the distributors so that the same can be attached to all SIDs and Key Information Memoranda already in stock.
- The introduction of the exit load along with the details shall be stamped in the acknowledgement slip issued to the investors on submission of the application form and may also be disclosed in the statement of accounts issued after the introduction of such load.
- Any other measures which the mutual funds may feel necessary.

The AMC may change the load from time to time and in case of an exit/repurchase load this may be linked to the period of holding. It may be noted that any such change in the load structure shall be applicable on prospective investment only. The exit load (net off GST, if any, payable in respect of the same) shall be credited to the Scheme of the Fund.

The distributors should disclose all the commissions (in the form of trail commission or any other mode) payable to them for the different competing schemes of various mutual funds from amongst which the scheme is being recommended to the investor.

## 2. Recurring Expenses

These are the fees and expenses for operating the Scheme. These expenses include Investment Management and Advisory Fee charged by the AMC, Registrar and Transfer Agents' fee, marketing and selling costs etc. as given in the table below:

| Particulars   | % p.a. of daily net assets |
|---|----------------------------|
| Investment Management & Advisory Fee  | Upto 1.00%                 |
| Trustee fee   |                            |
| Audit fees  |                            |
| Custodian fees  |                            |
| RTA Fees  |                            |
| Marketing & Selling expense incl. agent commission                            |                            |
| Cost related to investor communications                                       |                            |
| Cost of fund transfer from location to location                               |                            |
| Cost of providing account statements and redemption cheques and IDCW warrants |                            |
| Costs of statutory Advertisements   |                            |



|   |  |   |  |   |  |   |  |                                       |  |                 |  |  |                   |
|---|--|---|--|---|--|---|--|---------------------------------------|--|-----------------|--|--|-------------------|
|   | <table border="1"> <tr> <td>Cost towards investor education &amp; awareness (1 bps)</td> <td></td> </tr> <tr> <td>Brokerage &amp; transaction cost over and above 12 bps and 5 bps for cash market transactions and derivative transaction respectively @ @</td> <td></td> </tr> <tr> <td>GST on expenses other than investment and advisory fees</td> <td></td> </tr> <tr> <td>GST on brokerage and transaction cost</td> <td></td> </tr> <tr> <td>Other Expenses*</td> <td></td> </tr> <tr> <td><b>Maximum total expense ratio (TER) permissible under Regulation 52 (6) (b)</b></td> <td><b>Upto 1.00%</b></td> </tr> </table> <p>*Other expenses: Any other expenses which are directly attributable to the Scheme, may be charged with approval of the Trustee within the overall limits as specified in the Regulations except those expenses which are specifically prohibited.</p> <p>For the actual current expenses being charged, the investor should refer to the website of the Mutual Fund.</p> <p>@ @ Brokerage and transaction costs which are incurred for the purpose of execution of trade and is included in the cost of investment shall not exceed 0.12 per cent in case of cash market transactions and 0.05 per cent in case of derivatives transactions.</p> <p>The purpose of the above table is to assist the investor in understanding the various costs &amp; expenses that the investor in the Scheme will bear directly or indirectly. These estimates have been made in good faith as per the information available to the AMC and the above expenses (including investment management and advisory fees) are subject to inter-se change and may increase/decrease as per actual and/or any change in the Regulations, as amended from time to time.</p> <p>All scheme related expenses including commission paid to distributors, by whatever name it may be called and in whatever manner it may be paid, shall necessarily be paid from the scheme only within the regulatory limits and not from the books of the Asset Management Companies (AMC), its associate, sponsor, trustee or any other entity through any route.</p> | Cost towards investor education & awareness (1 bps) |  | Brokerage & transaction cost over and above 12 bps and 5 bps for cash market transactions and derivative transaction respectively @ @ |  | GST on expenses other than investment and advisory fees |  | GST on brokerage and transaction cost |  | Other Expenses* |  | <b>Maximum total expense ratio (TER) permissible under Regulation 52 (6) (b)</b> | <b>Upto 1.00%</b> |
| Cost towards investor education & awareness (1 bps)   |  |   |  |   |  |   |  |                                       |  |                 |  |  |                   |
| Brokerage & transaction cost over and above 12 bps and 5 bps for cash market transactions and derivative transaction respectively @ @ |  |   |  |   |  |   |  |                                       |  |                 |  |  |                   |
| GST on expenses other than investment and advisory fees   |  |   |  |   |  |   |  |                                       |  |                 |  |  |                   |
| GST on brokerage and transaction cost   |  |   |  |   |  |   |  |                                       |  |                 |  |  |                   |
| Other Expenses*   |  |   |  |   |  |   |  |                                       |  |                 |  |  |                   |
| <b>Maximum total expense ratio (TER) permissible under Regulation 52 (6) (b)</b>  | <b>Upto 1.00%</b>  |   |  |   |  |   |  |                                       |  |                 |  |  |                   |
| <b>Waiver of Load for Direct Applications</b>   | Not Applicable.  |   |  |   |  |   |  |                                       |  |                 |  |  |                   |
| <b>Tax treatment for the Investors (Unitholders)</b>  | Investors are advised to refer to the paragraph on Taxation in the “Statement of Additional Information” or “Scheme Information Document” and to consult their own unit holder's tax advisors with respect to the specific amount of tax and other implications arising out of their participation in the scheme.  |   |  |   |  |   |  |                                       |  |                 |  |  |                   |
| <b>Daily Net Asset Value (NAV) Publication</b>  | The AMC will calculate and disclose the first NAV under the Scheme not later than 5 Business Days from the date of allotment of units under the NFO Period. Subsequently, the NAV will be declared on all business days. NAV can also be viewed on <a href="http://www.miraeassetmf.co.in">www.miraeassetmf.co.in</a> and <a href="http://www.amfiindia.com">www.amfiindia.com</a> . Investors can also call us on “1800 2090 777” (toll-free from a MTNL / BSNL landline) to know the latest NAV.   |   |  |   |  |   |  |                                       |  |                 |  |  |                   |
| <b>For Investor Grievances please contact</b>   | <p>Mr. Chaitanya Chaubal<br/> Mirae Asset Investment Managers (India) Pvt. Ltd.<br/> 606, 6th Floor, Windsor Bldg, Off CST Road, Kalina,<br/> Santacruz (E), Mumbai - 400 098.<br/> Telephone Nos.: 6780 0300<br/> e-mail: <a href="mailto:customercare@miraeasset.com">customercare@miraeasset.com</a></p> <p><b>Investors are advised to contact any of the ISCs or the AMC by calling the investor line of the AMC at "1800 2090 777" for any queries . Investors can also visit the website at <a href="http://www.miraeassetmf.co.in">www.miraeassetmf.co.in</a> for complete details.</b></p>  |   |  |   |  |   |  |                                       |  |                 |  |  |                   |
| <b>Unitholders' Information</b>   | <p><b>Account Statement:</b><br/> The AMC shall send an allotment confirmation specifying the units allotted by way of e-mail and/or SMS within 5 Business Days of receipt of valid application to the Unit holders registered e-mail address and/or mobile number.</p> <p>As the units of the Scheme will be issued, traded and settled compulsorily in dematerialized (electronic) form, the statement of holding of the Unitholder i.e. beneficiary account holder will be sent by the respective DPs periodically.</p>   |   |  |   |  |   |  |                                       |  |                 |  |  |                   |

**Half yearly Disclosures: Portfolio / Financial Results:** The AMC/Mutual Fund shall within one month from the close of each half year, that is on March 31st and on September 30th, host a soft copy of its unaudited financial results on their website [www.miraeassetmf.co.in](http://www.miraeassetmf.co.in). The half-yearly unaudited financial results shall contain details as specified in Twelfth Schedule of the SEBI (Mutual Funds) Regulations, 1996 and such other details as are necessary for the purpose of providing a true and fair view of the operations of Mirae Asset Mutual Fund.

The AMC/Mutual Fund shall publish an advertisement disclosing the hosting of unaudited financial results on their website [www.miraeassetmf.co.in](http://www.miraeassetmf.co.in) in at least one English daily newspaper having nationwide circulation and in a newspaper having wide circulation published in the language of the region where the Head Office of the Mutual Fund is situated.

The mutual fund shall publish an advertisement 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). The AMC will provide a physical copy of the statement of its Scheme portfolio, without charging any cost, on specific request received from a unitholder.

**Monthly Portfolio:** The AMC/Mutual Fund shall disclose portfolio (along with ISIN) as on the last day of the month for all their schemes on its website on [www.miraeassetmf.co.in](http://www.miraeassetmf.co.in) or before the tenth day of the succeeding month in a user-friendly format.

**Annual Financial Results:** An annual report of the Scheme or an abridged format thereof will be prepared as at the end of each financial year (March 31) and copies of the same will be sent (i) by e-mail to the Unit holders whose e-mail address is available with the Fund, (ii) in physical form to the Unit holders whose email address is not registered with the Fund and/or those Unit holders who have opted/requested for the same as soon as possible but not later than 4 months from the closure of the relevant financial year. The physical copy of the Scheme wise annual report or abridged summary thereof shall be made available to the investors at the registered office of the AMC. A link of the Scheme wise annual report or abridged summary thereof shall be displayed prominently on the website of the Fund and shall also be displayed on the website of Association of Mutual Funds in India (AMFI).

**Product Labeling and Risk-o-meter:** The Risk-o-meter shall have following six levels of risk:

- i. Low Risk
- ii. Low to Moderate Risk
- iii. Moderate Risk
- iv. Moderately High Risk
- v. High Risk and
- vi. Very High Risk

The evaluation of risk levels of a scheme shall be done in accordance with Clause 17.4 of SEBI Master Circular SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023.

Any change in risk-o-meter shall be communicated by way of Notice cum Addendum and by way of an e-mail or SMS to unitholders. The risk-o-meter shall be evaluated on a monthly basis and the risk-o-meter alongwith portfolio disclosure shall be disclosed on the AMC website as well as AMFI website within 10 days from the close of each month.

The AMC shall disclose the risk level of schemes as on March 31 of every year, along with number of times the risk level has changed over the year, on its website and AMFI website.

|                             |  |
|-----------------------------|--|
|                             | <p>The Product Labelling assigned during the NFO is based on internal assessment of the scheme characteristics or model portfolio and the same may vary post NFO when the actual investments are made.</p> <p>Further, in accordance with provisions of Clause 5.16 of SEBI Master Circular dated May 19, 2023, the AMC shall disclose:</p> <ol style="list-style-type: none"> <li>risk-o-meter of the scheme wherever the performance of the scheme is disclosed;</li> <li>risk-o-meter of the scheme and benchmark wherever the performance of the scheme vis-à-vis that of the benchmark is disclosed.</li> <li>scheme risk-o-meter, name of benchmark and risk-o-meter of benchmark while disclosing portfolio of the scheme pursuant to Clause 5.17 of SEBI Master Circular SEBI/HO/IMD/IMD-PoD-1/P/CIR/2023/74 dated May 19, 2023</li> </ol> <p><b>Scheme Summary Document:</b> The AMC has provided on its website a standalone scheme document for all the Schemes which contains all the details of the Scheme viz. Scheme features, Fund Manager details, investment details, investment objective, expense ratios, portfolio details, etc. Scheme summary document is uploaded on the websites of AMC, AMFI and stock exchanges in 3 data formats i.e. PDF, Spreadsheet and a machine readable format (either JSON or XML).</p> <p><b>Monthly disclosures:</b></p> <p>The AMC shall disclose the following on monthly basis:</p> <ul style="list-style-type: none"> <li>Name and exposure to top 7 issuers and stocks respectively as a percentage of NAV of the scheme</li> <li>Name and exposure to top 7 groups as a percentage of NAV of the scheme.</li> <li>Name and exposure to top 4 sectors as a percentage of NAV of the scheme.</li> </ul> <p>Change in constituents of the index, if any, shall be disclosed on the AMC website on the day of change.</p> <p><b>Disclosures with respect to Tracking Error and Tracking Difference:</b></p> <p>Tracking Error (TE): The AMC shall disclose tracking error based on past one year rolling data, on a daily basis, on the website of AMC and AMFI.</p> <p>Tracking Difference (TD): Tracking difference i.e. the annualized difference of daily returns between the index or goods and the NAV of the scheme shall be disclosed on the website of the AMC and AMFI, on a monthly basis, for tenures 1 year, 3 year, 5 year, 10 year and since the date of allotment of units.</p> |
| <b>Segregated Portfolio</b> | <p>In case of a credit event at issuer level and to deal with liquidity risk, Creation of segregated portfolio shall be subject to guidelines specified by SEBI from time to time. For complete details please refer SID of the Scheme.</p>  |
| <b>Stamp Duty</b>           | <p>Pursuant to Notification No. S.O. 1226(E) and G.S.R. 226(E) dated March 30, 2020 issued by Department of Revenue, Ministry of Finance, Government of India, read with Part I of Chapter IV of Notification dated February 21, 2019 issued by Legislative department, Ministry of Law and Justice, Government of India on the Finance Act, 2019, a stamp duty @ 0.005% of the transaction value would be levied on applicable mutual fund transactions, with effect from July 1, 2020. Accordingly, pursuant to levy of stamp duty, the number of units allotted on purchase transactions (including dividend reinvestment) to the unitholders would be reduced to that extent.</p> <p>Please refer Statement of Additional Information for more details.</p>  |

**Disclosures in terms of Clause 5.8 of SEBI Master Circular dated May 19, 2023:**

**Fund Manager Details: -**

| Sr. | Particulars | Details | Details |
|-----|-------------|---------|---------|
|-----|-------------|---------|---------|

| No.  |  |  |  |
|------|--|--|--|
| i.   | Name   | Ms. Ekta Gala  | Mr. Vishal Singh   |
| ii.  | Age  | 30 years   | 29 years   |
| iii. | Qualification  | B.Com & Inter CA (IPCC)  | C.A.; C.F.A; F.R.M; B.Com  |
| iv.  | Past experience  | <p>Ms. Ekta Gala has over 6 years of experience as a dealer. Prior to this assignment, Ms. Ekta Gala was associated with ICICI Prudential Asset Management Company Ltd.</p> <p>The other schemes being managed by Ms. Ekta Gala are:</p> <ol style="list-style-type: none"> <li>1. Mirae Asset Nifty 50 ETF</li> <li>2. Mirae Asset Nifty Next 50 ETF</li> <li>3. Mirae Asset Nifty 100 ESG Sector Leaders Fund of Fund</li> <li>4. Mirae Asset Nifty 100 ESG Sector Leaders ETF</li> <li>5. Mirae Asset NYSE Fang+ ETF Fund of Fund</li> <li>6. Mirae Asset Nifty Financial Services ETF</li> <li>7. Mirae Asset S&amp;P 500 Top 50 ETF Fund of Fund</li> <li>8. Mirae Asset Nifty India Manufacturing ETF</li> <li>9. Mirae Asset Nifty Midcap 150 ETF</li> <li>10. Mirae Asset Hang Seng TECH ETF Fund of Fund</li> <li>11. Mirae Asset Nifty India Manufacturing ETF Fund of Fund</li> <li>12. Mirae Asset Nifty 100 Low Volatility 30 ETF</li> <li>13. Mirae Asset Nifty Midcap 150 ETF</li> <li>14. Mirae Asset Nifty Bank ETF</li> <li>15. Mirae Asset Nifty IT ETF</li> <li>16. Mirae Asset S&amp;P BSE Sensex ETF</li> <li>17. Mirae Asset Nifty 200 Alpha 30 ETF</li> <li>18. Mirae Asset Nifty Smallcap 250 Momentum Quality 100 ETF</li> <li>19. Mirae Asset Nifty Smallcap 250 Momentum Quality 100 ETF Fund of Fund</li> </ol> | <p>Mr. Vishal Singh has over 5 years of experience in the field of financial services. Prior to this assignment, Mr. Singh was associated with NSE Indices Limited.</p> <p>The other schemes being managed by Mr. Vishal Singh are:</p> <ol style="list-style-type: none"> <li>1. Mirae Asset Nifty 50 ETF</li> <li>2. Mirae Asset Nifty Next 50 ETF</li> <li>3. Mirae Asset Midcap 150 ETF</li> <li>4. Mirae Asset Nifty Bank ETF</li> <li>5. Mirae Asset Nifty Financial Services ETF</li> <li>6. Mirae Asset Nifty 100 Low Volatility 30 ETF</li> <li>7. Mirae Asset Nifty India Manufacturing ETF</li> <li>8. Mirae Asset Nifty India Manufacturing ETF Fund of Fund</li> <li>9. Mirae Asset NYSE FANG+ ETF Fund of Fund</li> <li>10. Mirae Asset S&amp;P 500 Top 50 ETF Fund of Fund</li> <li>11. Mirae Asset Hang Seng TECH ETF Fund of Fund</li> <li>12. Mirae Asset Nifty IT ETF</li> <li>13. Mirae Asset S&amp;P BSE Sensex ETF</li> <li>14. Mirae Asset Nifty 200 Alpha 30 ETF</li> <li>15. Mirae Asset Nifty Smallcap 250 Momentum Quality 100 ETF</li> <li>16. Mirae Asset Nifty Smallcap 250 Momentum Quality 100 ETF Fund of Fund</li> </ol> |
| v.   | Tenure for which the fund manager has been managing the scheme | N.A  |  |
| vi.  | Scheme's portfolio turnover ratio                              | N.A.   |  |

#### Comparison with similar existing schemes of Mirae Asset Mutual Fund:

The below table shows the differentiation of the Scheme with the existing ETFs of Mirae Asset Mutual Fund:

#### KIM - Mirae Asset Nifty MidSmallcap400 Momentum Quality 100 ETF

| Scheme Name   | Investment Objective   | Asset Allocation Pattern   | Investment Strategy   | AUM as on March 31, 2024 (in Rs. crores) | No. of Folios as on March 31, 2024 |
|---|--|--|---|--|------------------------------------|
| Mirae Asset Nifty MidSmallcap400 Momentum Quality 100 ETF | The investment objective of the scheme is to generate returns, before expenses, that are commensurate with the performance of the Nifty MidSmallcap400 Momentum Quality 100 Total Return Index, subject to tracking error. There is no assurance or guarantee that the investment objective of the scheme would be achieved. | Securities included in the Nifty MidSmallcap400 Momentum Quality 100 Index: 95% to 100%<br><br>Money market instruments / debt securities, Instruments and/or units of debt/liquid schemes of domestic Mutual Funds: 0 to 5% | The Mirae Asset Nifty MidSmallcap400 Momentum Quality 100 ETF will be managed passively with investments in stocks in the same proportion as in the Nifty MidSmallcap400 Momentum Quality 100 Index.<br><br>The investment strategy of the Scheme will be to invest in a basket of securities forming part of Nifty MidSmallcap400 Momentum Quality 100 Index in similar weight proportion.<br><br>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 | Not applicable since it is a new scheme  |                                    |

|  |   |  |   |               |              |
|--|---|--|---|---------------|--------------|
| <p>Mirae Asset Nifty Smallcap 250 Momentum Quality 100 ETF</p> | <p>The investment objective of the scheme is to generate returns, before expenses, that are commensurate with the performance of the Nifty Smallcap 250 Momentum Quality 100 Total Return Index, subject to tracking error. There is no assurance or guarantee that the investment objective of the scheme would be achieved.</p> | <p>Securities included in the Nifty Smallcap 250 Momentum Quality 100 Index</p> <p>95% to 100%</p> <p>Money market instruments / debt securities, Instruments and/or units of debt/liquid schemes of domestic Mutual Funds.</p> <p>0 to 5%</p> | <p>The Mirae Asset Nifty Smallcap 250 Momentum Quality 100 ETF will be managed passively with investments in stocks in the same proportion as in the Nifty Smallcap 250 Momentum Quality 100 Index.</p> <p>The investment strategy of the Scheme will be to invest in a basket of securities forming part of Nifty Smallcap 250 Momentum Quality 100 Index in similar weight proportion.</p> <p>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.</p> | <p>125.36</p> | <p>10785</p> |
|--|---|--|---|---------------|--------------|

|   |  |   |  |              |             |
|---|--|---|--|--------------|-------------|
| <p>Mirae Asset Nifty 200 Alpha 30 ETF</p> | <p>The investment objective of the scheme is to generate returns, before expenses, that are commensurate with the performance of the Nifty 200 Alpha 30 Total Return Index, subject to tracking error. There is no assurance or guarantee that the investment objective of the scheme would be achieved.</p> | <p>Securities included in the Nifty 200 Alpha 30 Index</p> <p>95% to 100%</p> <p>Money market instruments / debt securities, Instruments and/or units of debt/liquid schemes of domestic Mutual Funds.</p> <p>0 to 5%</p> | <p>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.</p> <p>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.</p> <p>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.</p> | <p>34.66</p> | <p>4851</p> |
| <p>Mirae Asset Nifty IT ETF</p>           | <p>to generate returns, before expenses, that are commensurate with the performance of the Nifty IT Total Return Index, subject to tracking error. There is no assurance or guarantee that the investment objective of the scheme would be achieved.</p>   | <p>Securities included in the Nifty IT Index: 95% to 100%</p> <p>Money market instruments / debt securities, Instruments and/or units of debt/liquid schemes of domestic Mutual Funds: 0 to 5%</p>                        | <p>Mirae Asset Nifty IT ETF will be managed passively with investments in stocks in the same proportion as in the Nifty IT Index.</p> <p>The investment strategy of the Scheme will be to invest in a basket of securities forming part of Nifty IT Index in similar weight proportion.</p>  | <p>16.81</p> | <p>7180</p> |

|                               |   |   |   |         |       |
|-------------------------------|---|---|---|---------|-------|
| Mirae Asset Nifty 50 ETF      | The investment objective of the scheme is to generate returns, before expenses, that are commensurate with the performance of the Nifty 50 Index, subject to tracking error. The Scheme does not guarantee or assure any returns.                   | Securities included in the Nifty 50 Index: 95% to 100%<br><br>Money market instruments / debt securities, Instruments and/or units of debt/liquid schemes of domestic Mutual Funds: 0% to 5%  | The NIFTY 50 ETF will be managed passively with investments in stocks in a proportion that match as close as possible to the weights of these stocks in Nifty 50 Index. The investment strategy would revolve around reducing the tracking error to the least possible through regular rebalancing of the portfolio, taking into account 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.           | 2295.88 | 12311 |
| Mirae Asset Nifty Next 50 ETF | The investment objective of the scheme is to generate returns, before expenses, that are commensurate with the performance of the Nifty Next 50 Total Return Index, subject to tracking error. The Scheme does not guarantee or assure any returns. | Securities included in the Nifty Next 50 Index: 95% to 100%<br><br>Money market instruments / debt securities, Instruments and/or units of debt/liquid schemes of domestic Mutual Funds, but excluding subscription and redemption cash flow*: 0% to 5% | The NIFTY NEXT 50 ETF will be managed passively with investments in stocks in a proportion that match as close as possible to the weights of these stocks in Nifty Next 50 Index. The investment strategy would revolve around reducing the tracking error to the least possible through regular rebalancing of the portfolio, taking into account 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. | 186.50  | 3428  |



|  |   |   |  |         |        |
|--|---|---|--|---------|--------|
| Mirae Asset Nifty 100 ESG Sector Leaders ETF | The investment objective of the scheme is to generate returns, before expenses, that are commensurate with the performance of the Nifty100 ESG Sector Leaders Total Return Index, subject to tracking error. The Scheme does not guarantee or assure any returns.   | Securities included in the Nifty100 ESG Sector Leaders Index: 95% to 100%<br><br>Money market instruments / debt securities, Instruments and/or units of debt/liquid schemes of domestic Mutual Funds: 0% to 5% | The Mirae Asset Nifty 100 ESG Sector Leaders ETF will be managed passively with investments in stocks in a proportion that match as close as possible to the weights of these stocks in Nifty100 ESG Sector Leaders Index. | 135.83  | 5077   |
| Mirae Asset NYSE FANG+ ETF                   | The investment objective of the scheme is to generate returns, before expenses, that are commensurate with the performance of the NYSE FANG+ Total Return Index, subject to tracking error and forex movement. The Scheme does not guarantee or assure any returns. | Securities included in the NYSE FANG+ Index: 95% 100%<br><br>Money market instruments / debt securities, Instruments and/or units of schemes of domestic Mutual Funds. 0 - 5%                                   | The Mirae Asset NYSE FANG+ ETF will be managed passively with investments in stocks in a proportion that match as close as possible to the weights of these stocks in NYSE FANG+ Index.                                    | 2079.37 | 121957 |

|  |  |  |   |               |              |
|--|--|--|---|---------------|--------------|
| <p>Mirae Asset S&amp;P 500 Top 50 ETF</p>        | <p>The investment objective of the scheme is to generate returns, before expenses, that are commensurate with the performance of the S&amp;P 500 Top 50 Total Return Index, subject to tracking error and forex movement. The Scheme does not guarantee or assure any returns.</p> | <p>Securities included in the S&amp;P 500 Top 50 Index: 95% 100%</p> <p>Money market instruments / debt securities, Instruments and/or units of schemes of domestic Mutual Funds. 0 - 5%</p>                         | <p>The Mirae Asset S&amp;P 500 Top 50 ETF will be managed passively with investments in stocks in a proportion that match as close as possible to the weights of these stocks in S&amp;P 500 TOP 50 Index.</p> <p>The investment strategy of the Scheme will be to invest in a basket of securities forming part of S&amp;P 500 TOP 50 Index in similar weight proportion.</p>                      | <p>679.24</p> | <p>18880</p> |
| <p>Mirae Asset Nifty India Manufacturing ETF</p> | <p>The investment objective of the scheme is to generate returns, before expenses, that are commensurate with the performance of the Nifty India Manufacturing Total Return Index, subject to tracking error. The Scheme does not guarantee or assure any returns.</p>             | <p>Securities included in the Nifty India Manufacturing Index: 95% to 100%</p> <p>Money market instruments / debt securities, Instruments and/or units of debt/liquid schemes of domestic Mutual Funds: 0% to 5%</p> | <p>The Mirae Asset Nifty India Manufacturing ETF will be managed passively with investments in stocks in a proportion that match as close as possible to the weights of these stocks in Nifty India Manufacturing Index.</p> <p>The investment strategy of the Scheme will be to invest in a basket of securities forming part of Nifty India Manufacturing Index in similar weight proportion.</p> | <p>119.93</p> | <p>6235</p>  |

|   |   |   |   |               |              |
|---|---|---|---|---------------|--------------|
| <p>Mirae Asset Nifty Financial Services ETF</p> | <p>The investment objective of the scheme is to generate returns, before expenses, that are commensurate with the performance of the Nifty Financial Services Total Return Index, subject to tracking error. The Scheme does not guarantee or assure any returns.</p> | <p>Securities included in the Nifty Financial Services Index: 95% to 100%</p> <p>Money market instruments / debt securities, Instruments and/or units of debt/liquid schemes of domestic Mutual Funds: 0% to 5%</p> | <p>The Mirae Asset Nifty Financial Services ETF will be managed passively with investments in stocks in a proportion that match as close as possible to the weights of these stocks in Nifty Financial Services Index.</p> <p>The investment strategy of the Scheme will be to invest in a basket of securities forming part of Nifty Financial Services Index in similar weight proportion.</p> <p>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.</p> | <p>258.54</p> | <p>38357</p> |
|---|---|---|---|---------------|--------------|

|                                  |   |  |  |        |       |
|----------------------------------|---|--|--|--------|-------|
| Mirae Asset Hang Seng TECH ETF   | The investment objective of the scheme is to generate returns, before expenses, that are commensurate with the performance of the Hang Seng TECH Total Return Index, subject to tracking error and forex movement. The Scheme does not guarantee or assure any returns. | Securities included in the Hang Seng TECH Index: 95% to 100%<br><br>Money market instruments / debt securities, Instruments and/or units of schemes of domestic Mutual Funds: 0% to 5%               | The Mirae Asset Hang Seng TECH ETF will be managed passively with investments in stocks in a proportion that match the weights of these stocks in Hang Seng TECH Index.  | 245.38 | 36161 |
| Mirae Asset Nifty Midcap 150 ETF | The investment objective of the scheme is to generate returns, before expenses, that are commensurate with the performance of the Nifty Midcap 150 Total Return Index, subject to tracking error. The Scheme does not guarantee or assure any returns.                  | Securities included in the Nifty Midcap 150 Index: 95% to 100%<br><br>Money market instruments / debt securities, Instruments and/or units of debt/liquid schemes of domestic Mutual Funds: 0% to 5% | The Mirae Asset Nifty Midcap 150 ETF will be managed passively with investments in stocks in the same proportion as in the Nifty Midcap 150 Index.<br><br>The investment strategy of the Scheme will be to invest in a basket of securities forming part of Nifty Midcap 150 Index in similar weight proportion. | 633.03 | 54276 |

|  |   |   |  |        |       |
|--|---|---|--|--------|-------|
| Mirae Asset Gold ETF                     | The investment objective of the scheme is to generate returns that are in line with the performance of physical gold in domestic prices, subject to tracking error. The Scheme does not guarantee or assure any returns.  | Gold and gold related instruments: 95% to 100%<br><br>Money market instruments including Tri Party REPO/ debt securities, Instruments and/or units of debt/liquid schemes of domestic Mutual Funds: 0% to 5%    | The AMC will strive to achieve the investment objective by way of a judicious portfolio mix comprising Gold (includes physical Gold and other Gold related instruments which may be permitted by Regulator from time to time) and instruments related to gold (including derivatives as and when permitted by SEBI), Debt Securities and Money Market Instruments. Investments in gold (includes physical Gold and other Gold related instruments which may be permitted by Regulator from time to time) would be primarily assessed with regard to its fineness | 198.58 | 10809 |
| Mirae Asset Nifty 100 Low Volatility ETF | The investment objective of the scheme is to generate returns, before expenses, that are commensurate with the performance of the Nifty 100 Low Volatility 30 Total Return Index, subject to tracking error. The Scheme does not guarantee or assure any returns. | Securities included in the Nifty 100 Low Volatility 30 Index: 95% to 100%<br><br>Money market instruments / debt securities, Instruments and/or units of debt/liquid schemes of domestic Mutual Funds: 0% to 5% | The Mirae Asset Nifty 100 Low Volatility 30 ETF will be managed passively with investments in stocks in the same proportion as in the Nifty 100 Low Volatility 30 Index.<br><br>The investment strategy of the Scheme will be to invest in a basket of securities forming part of Nifty 100 Low Volatility 30 Index in similar weight proportion.  | 9.38   | 530   |

|  |  |  |  |              |            |
|--|--|--|--|--------------|------------|
| <p>Mirae Asset Nifty 8-13 Yr G-Sec ETF</p> | <p>The investment objective of the Scheme is to provide returns before expenses that correspond to the returns of Nifty 8-13 yr G-Sec Index, subject to tracking errors. However, there is no assurance that the investment objective of the Scheme will be realized and the Scheme does not assure or guarantee any returns</p> | <p>Government securities, TREPS on Government Securities, Treasury bills: 95% to 100%</p> <p>Money Market instruments (Treasury Bills, Government Securities and Tri-party Repo on government securities or T-bills Only)*: 0% to 5%</p> | <p>The fund is a passively managed index fund which will employ an investment approach designed to track the performance of Nifty 8-13 yr G-Sec Index.</p> <p>The Scheme will invest in Government Securities which are constituents of the underlying Index viz. Nifty 8-13 yr G-Sec Index. Based on the availability of issuances, it is expected that the portfolio allocation could be different than that of underlying index allocation and could result in Tracking Error. That said broad risk parameters of the portfolio of the Scheme such as credit rating, weighted average YTM, weighted average maturity, asset allocation etc. are expected to be similar to the Underlying Index.</p> | <p>81.76</p> | <p>428</p> |
|--|--|--|--|--------------|------------|

|                                   |  |  |  |              |             |
|-----------------------------------|--|--|--|--------------|-------------|
| <p>Mirae Asset Nifty Bank ETF</p> | <p>The investment objective of the scheme is to generate returns, before expenses, that are commensurate with the performance of the Nifty Bank Total Return Index, subject to tracking error. There is no assurance or guarantee that the investment objective of the scheme would be achieved.</p> | <p>Securities included in the Nifty Bank Index: 95% to 100%</p> <p>Money market instruments / debt securities, Instruments and/or units of debt/liquid schemes of domestic Mutual Funds: 0 to 5%</p> | <p>The Mirae Asset Nifty Bank ETF will be managed passively with investments in stocks in the same proportion as in the Nifty Bank Index.</p> <p>The investment strategy of the Scheme will be to invest in a basket of securities forming part of Nifty Bank Index in similar weight proportion.</p> <p>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.</p> | <p>61.18</p> | <p>2181</p> |
|-----------------------------------|--|--|--|--------------|-------------|

|   |  |   |  |               |             |
|---|--|---|--|---------------|-------------|
| <p>Mirae Asset Nifty 1D Rate Liquid ETF</p> | <p>The investment objective is to seek to provide current income, commensurate with low risk while providing a high level of liquidity through a portfolio of Tri-Party Repo on Government Securities or T-bills / Repo &amp; Reverse Repo. The Scheme endeavors to provide returns that before expenses, closely correspond to the returns of Nifty 1D Rate Index subject to tracking errors. However, there is no assurance that the investment objective of the Scheme will be realized and the Scheme does not assure or guarantee any returns</p> | <p>Securities included in the Nifty 1D Rate Index (TREPS): 95% to 100%</p> <p>Units of Liquid schemes, Money Market Instruments (with maturity not exceeding 91 days), cash &amp; cash equivalents: 0 to 5%</p> | <p>The AMC uses a “passive” approach to try and achieve Scheme’s investment objective. Unlike other Fund, the Scheme does not try to “beat” the markets. The AMC does not make any judgments about the investment merit of a particular instrument or a particular industry segment nor will it attempt to apply any economic, financial or market analysis.</p> <p>Subject to the Regulations and the applicable guidelines the Scheme may invest in the schemes of Mutual Funds.</p> | <p>361.72</p> | <p>6880</p> |
|---|--|---|--|---------------|-------------|



|                        |  |   |   |       |      |
|------------------------|--|---|---|-------|------|
| Mirae Asset Silver ETF | To generate returns that are in line with the performance of physical silver in domestic prices, subject to tracking error. The Scheme does not guarantee or assure any returns. | Silver- 95% to 100 %<br><br>Money market instruments including Tri Party REPO/ debt securities, Instruments and/or units of debt/liquid schemes of domestic Mutual Funds:- 0% to 5% | Investments made from the net assets of the Scheme would be in accordance with the investment objective of the Scheme and the provisions of the SEBI (MF) Regulations. The AMC will strive to achieve the investment objective by way of a judicious portfolio mix comprising Silver (includes physical Silver and other Silver related instruments which may be permitted by Regulator from time to time) and instruments related to silver (including derivatives as and when permitted by SEBI), Debt Securities and Money Market Instruments. Investments in silver (includes physical Silver and other Silver related instruments which may be permitted by Regulator from time to time) would be primarily assessed with regard to its fineness. The AMC will endeavor to address the key risks associated with investments in Silver Bullion as under:<br><br>1. Quality and Purity Risk<br>2. Passive Investments<br>3. Custody risk<br>4. Tracking Error | 13.30 | 1812 |
|------------------------|--|---|---|-------|------|

Date: April 15, 2024

# Mirae Asset Nifty MidSmallcap400 Momentum Quality 100 ETF - APPLICATION FORM

(An open-ended scheme replicating/tracking Nifty MidSmallcap400 Momentum Quality 100 Total Return Index)



Offer for Sale of Units at 1/1000th value of the Nifty MidSmallcap400 Momentum Quality 100 closing Index as on the date of allotment for applications received during the New Fund Offer

NFO Dates: 06/05/2024 to 17/05/2024 Scheme re-opens for continuous sale & re-purchase on and from 23/05/2024

## MIRAE ASSET NIFTY MIDSMALLCAP400 MOMENTUM QUALITY 100 ETF

An open-ended scheme replicating/tracking Nifty MidSmallcap400 Momentum Quality 100 Total Return Index

New Fund Offer open on : 06/05/2024  
New Fund Offer closes on : 17/05/2024

Application No.:

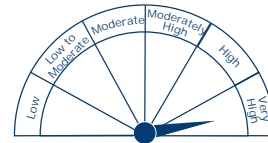
Mirae Asset Mirae Asset Nifty MidSmallcap400 Momentum Quality 100 ETF is suitable for investor who are seeking\*

Scheme Riskometer

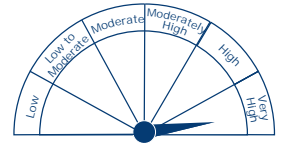
Scheme Benchmark:  
Nifty MidSmallcap400 Momentum Quality 100 Total Return Index

- Returns that commensurate with performance of Nifty MidSmallcap400 Momentum Quality 100 Total Return Index, subject to tracking error over long term
  - Investments in equity securities covered by Nifty MidSmallcap400 Momentum Quality 100 Total Return Index
- \*Investors should consult their financial advisers if they are not clear about the suitability of the product

The Product Labelling assigned during the NFO is based on internal assessment of the scheme characteristics or model portfolio and the same may vary post NFO when the actual investments are made.



Investors understand that their principal will be at Very High Risk



The Benchmark is at Very High Risk

| Name & Broker Code/<br>ARN/RIA Code** | Sub Broker /<br>Agent ARN Code | Sub Agent Code | EUIN* | Internal Code for AMC | ISC Date Time Stamp<br>Reference No. |
|---------------------------------------|--------------------------------|----------------|-------|-----------------------|--------------------------------------|
|                                       |                                |                |       |                       |                                      |

\*EUIN Declaration: Declaration for "Execution Only" Transaction (where Employee Unique Identification Number-EUIN\* box is left blank). Please refer instruction 12 for complete details on EUIN. I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this transaction is executed without any interaction or advice by the employee/relationship manager/sales person of the above distributor/sub broker or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor/sub broker. \*\*RIA/Declaration: I/We hereby give you my/our consent to share/provide the transactions data feed/portfolio holdings/NAV etc. in respect of my/our investments under Direct Plan of all Schemes managed by you, to the above mentioned SEBI-Registered Investment Adviser/ RIA\*.

Sign of 1<sup>st</sup> Applicant / Guardian / Auth. Signatory / PoA / Karta

### TRANSACTION CHARGES (Please any one of the below. Refer Instruction No. 11)

I AM A FIRST TIME INVESTOR IN MUTUAL FUNDS OR  I AM AN EXISTING INVESTOR IN MUTUAL FUNDS

Applicable transaction charges will be deducted in case your distributor has opted for such charges. Upfront commission shall be paid directly by the investor to the ARN Holder (AMFI registered Distributor) based on the investor's assessment of various factors including the services rendered by the ARN Holder.

### 1. EXISTING UNIT HOLDER INFORMATION - Please fill in your Folio Number, PAN, KIN in below Sections 2, 3, 4 & proceed to Section 7 for Investment Details.

Folio No. \_\_\_\_\_ The details in our records under the Folio No. mentioned alongside will apply for this application. All Unit Holders in the given Folio should be KYC compliant. Any updation in KYC credentials may be filled in the below sections.

### 1a. MODE OF HOLDING AND UNITS HOLDING PATTERN - The Mode of Holding & Pattern will be as is Registered with Depository Participant for this application.

### 2. DEMAT ACCOUNT DETAILS - Mandatory

The first applicant details provided in the Application Form / Folio No. should be same as per the Demat Account details mentioned below which is held with the Depository Participant.

| National Securities Depository Limited (NSDL) | Central Depository Services (India) Limited (CDSL) |
|---|--|
| DP Name                                       | DP Name  |
| DP ID   N   _____                             | Benef. A/C No. _____                               |
| 16 Digit A/C No. _____                        | _____  |

Enclosures - Please   Client Masters List (CML)  Transaction cum Holding Statement  Delivery Instruction Slip (DIS)

### 3. APPLICANT(S) NAME AND INFORMATION [Refer Instruction 2] If the 1<sup>st</sup>/ Sole Applicant is Minor, then please provide details of natural / legal guardian

1<sup>st</sup> SOLE APPLICANT Mr. / Ms. / M/s. PAN \_\_\_\_\_

(Please write the name as per PAN Card)

LEI Code for entities \_\_\_\_\_ LEI Expiry date: D D M M Y Y Y Y

CKYC ID No. (KIN) \_\_\_\_\_ Pls indicate if US Person or a resident for tax purpose / Resident of Canada

Yes  No<sup>s</sup> (\$Default if not

GUARDIAN (In case 1<sup>st</sup> Applicant is a Minor) Relationship with Minor (Please   
Mr. / Ms. / M/s.  Mother  Father  Legal Guardian

GUARDIAN CKYC ID No. (KIN) \_\_\_\_\_ KYC (Please   
 Proof Attached GUARDIAN PAN \_\_\_\_\_

POA / Custodian Name: \_\_\_\_\_ KYC (Please   
 Proof Attached

POA / Custodian CKYC ID No. (KIN) \_\_\_\_\_ POA / Custodian PAN \_\_\_\_\_

Contact Person for Corporate Investor: \_\_\_\_\_ Name \_\_\_\_\_ Designation: \_\_\_\_\_

### 4. FIRST APPLICANT AND KYC DETAILS All fields marked as '\*' are Mandatory

1<sup>st</sup> SOLE APPLICANT  Individual or  Non-Individual [Please fill Ultimate Beneficial Ownership (UBO) Declaration Form in section 10a & 10b - Refer Instruction No. 17]

\*Date of Birth/ Incorporation D D M M Y Y Y Y Proof of Date of Birth (Please   
(Individual) (Non-individual) Birth Certificate School Leaving Certificate / Mark Sheet  
(Please write the Date of birth as per Aadhaar Card) (For minor applicant) Passport of the Minor Others \_\_\_\_\_

Place of Birth / Country of Birth / Nationality: Gender  Male  Female  Other  
Incorporation: (Please write the Date of birth as per Aadhaar Card)

Type:  Resident Individual  Sole Prop  NRI - NRE  Trust  Bank / FIs  FIs  PIO  Society/AOP/BOI  Minor through Guardian  NRI - NRO  
 HUF  LLP  Listed Company  Private Company  Public Ltd. Company  Artificial Juridical Person  Partnership Firm  FOF - MF Schemes  Others \_\_\_\_\_

NPO Registration Number of DARPAN Portal \_\_\_\_\_

a\*. Occupation Details [Please tick (✓)]  Private Sector  Public Sector  Government Service  Student  Professional  Housewife  
 Business  Retired  Retired  Proprietorship  Others \_\_\_\_\_

b\*. Politically Exposed Person (PEP) Status (Also applicable for authorised signatories/Promoters/Karta/Trustee/Whole time Directors)  I am PEP  I am Related to PEP  Not Applicable

c\*. Gross Annual Income (₹) [Please tick (✓)]  Below 1 Lakh  1-5 Lakhs  5-10 Lakhs  10-25 Lakhs  >25 Lakhs  > 1 Crore

d\*. Net-worth (Mandatory for Non-Individuals) \_\_\_\_\_ as on D D M M Y Y Y Y (Not older than 1 year)

e\*. Non-Individual Investors involved/providing any of the mentioned services  Foreign Exchange / Money Changer Services  Gaming/Gambling/Lottery/Casino Services  
 Money Lending / Pawning  None of the above

Please Read All Instructions as given in KIM, to help you complete the Application Form Correctly.

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5. JOINT APPLICANTS, IF ANY AND THEIR KYC DETAILS All fields marked as '\*' are Mandatory

2nd APPLICANT Mr. / Ms. / M/s. (Not Applicable in case of Minor Applicant) Gender Male Female Other

PAN Details Pls indicate if US Person or a resident for tax purpose / Resident of Canada Yes No\* (\*Default if not checked)

CKYC ID No. (KIN) KYC Pls Proof Attached Date of Birth (Mandatory) (As per PAN Card)

Place of Birth Country of Birth Nationality:

a\*. Occupation Details [Please tick (checked)] Private Sector Public Sector Government Service Student Professional Housewife Business Retired Agriculture Proprietorship Others (Please specify)

b\*. Politically Exposed Person (PEP) Status I am PEP I am Related to PEP Not Applicable

c\*. Gross Annual Income ( ) [Please tick (checked)] Below 1 Lakh 1-5 Lakhs 5-10 Lakhs 10-25 Lakhs >25 Lakhs > 1 Crore

d\*. Net-worth as on DDMMYYYY (Not older than 1 year)

3rd APPLICANT Mr. / Ms. / M/s. (Not Applicable in case of Minor Applicant) Gender Male Female Other

PAN Details Pls indicate if US Person or a resident for tax purpose / Resident of Canada Yes No\* (\*Default if not checked)

CKYC ID No. (KIN) KYC Pls Proof Attached Date of Birth (Mandatory) (As per PAN Card)

Place of Birth Country of Birth Nationality:

a\*. Occupation Details [Please tick (checked)] Private Sector Public Sector Government Service Student Professional Housewife Business Retired Agriculture Proprietorship Others (Please specify)

b\*. Politically Exposed Person (PEP) Status I am PEP I am Related to PEP Not Applicable

c\*. Gross Annual Income ( ) [Please tick (checked)] Below 1 Lakh 1-5 Lakhs 5-10 Lakhs 10-25 Lakhs >25 Lakhs > 1 Crore

d\*. Net-worth as on DDMMYYYY (Not older than 1 year)

6. MAILING ADDRESS [Please provide your E-mail ID and Mobile Number to help us serve you better Refer Instructions 6 ]

Local Address of 1st Applicant City State Pin Code

Tel. Off. Resi. Mobile

Mobile No specified above belongs to Self or Family, due to Investor being (Please tick any one option from below.) Spouse Guardian (for Minor Investment) Dependent Children Dependent Parents Dependent Siblings

E-Mail ID

Please Use Block Letters. Investors providing email ID would mandatorily receive all Communications, Statement of Accounts and Abridged Annual Report through e-mail only. In case if physical copies are required kindly refer instruction no. 6(g)

Email address specified above belongs to Self or Family, due to Investor being (Please tick any one option from below.) Spouse Guardian (for Minor Investment) Dependent Children Dependent Parents Dependent Siblings

6a. MANDATORY FOR NRI / FLL APPLICANT [Please provide Full Address. P. O. Box No. may not be sufficient. For Overseas Investors, Indian Address is preferred]

Overseas Correspondence Address

7. BANK ACCOUNT DETAILS - Mandatory [Refer Instruction Nos. 3 & 4]

Name of the Bank:

Core Banking A/c No. A/c. Type Pls. (checked) NRE CURRENT SAVINGS NRO Other

Branch Name: Address:

Bank Branch City: State: Pin Code

MICR Code Please attach a cancelled cheque OR a clear photo copy of a cheque IFSC Code (Mandatory for Credit via NEFT/RTGS)

8. INVESTMENT AND PAYMENT DETAILS ( For complete information on Investment Details please refer to Instructions No. 6. )

Scheme - Mirae Asset Nifty MidSmallcap400 Momentum Quality 100 ETF

Payment Type [Please (checked)] Self (Non-Third Party Payment) Third Party Payment ( Please attach 'Third Party Payment Declaration Form')

Table with 6 columns: Cheque / DD / UTR No. & Date, Amount of Cheque / DD / RTGS / NEFT in figures (Rs.), DD Charges, if any, Net Purchase Amount, Drawn on Bank / Branch, Pay-In Bank A/c No. (For Cheque Only)

9. NOMINATION DETAILS - The Nomination Details will be as is Registered with Depository Participant for this application.

Please Register My/Our Nominee as per below details OR I/we do not wish to nominate

Table for Nominee details with columns: No., Nominee(s) Name, Date of Birth (in case of Minor), Name of the Guardian (in case of Minor), Relationship, % of Share, Signature of Nominee / Guardian (Preferred but not Mandatory)

I / We hereby confirm that I / We do not wish to appoint any nominee(s) for my mutual fund units held in my / our mutual fund folio and understand the issues involved in non appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents issued by Court or other such competent authority, based on the value of assets held in the mutual fund folio.

Signature of 1st Applicant / Guardian / Auth. Signatory / PoA / Karta (AS IN BANK RECORDS) Signature of 2nd Applicant / Guardian / Auth. Signatory / PoA (AS IN BANK RECORDS) Signature of 3rd Applicant / Guardian / Auth. Signatory / PoA (AS IN BANK RECORDS)

Please Read All Instructions as given in KIM, to help you complete the Application Form Correctly.

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**FOR NON-INDIVIDUALS ONLY**

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

**PART A To be filled by Financial Institutions or Direct Reporting Non Financial Entity (NFEs)**

We are a,  
**Financial institution**   
**or**  
**Direct reporting NFE**   
**[Please tick (✓)]**

**GIIN**

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

**Name of sponsoring entity:** \_\_\_\_\_

**GIIN not available [Please tick (✓)]**  **Applied for**  **Not required to apply for - please specify 2 digits sub-category**    **Not obtained - Non-participating FI**

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

|   |  |   |
|---|--|---|
| 1 | <b>Is the Entity a publicly traded company (that is, a company whose shares are regularly traded on an established securities market)</b>            | <input type="checkbox"/> Yes (If yes, please specify any one stock exchange on which the stock is regularly traded)<br>Name of stock exchange: _____  |
| 2 | <b>Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market)</b> | <input type="checkbox"/> Yes (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded)<br>Name of Listed company: _____<br>Nature of relation <input type="checkbox"/> Subsidiary of the Listed Company or <input type="checkbox"/> Controlled by a Listed Company<br>Name of stock exchange: _____ |
| 3 | <b>Is the Entity an active NFE</b>   | <input type="checkbox"/> Yes (If yes, please fill UBO declaration in the next section.)<br>Nature of Business: _____<br>Please specify the sub-category of Active NFE <input type="text"/> <input type="text"/> Mention code: Refer instruction 15(c)   |
| 4 | <b>Is the Entity an Passive NFE</b>  | <input type="checkbox"/> Yes (If yes, please fill UBO declaration in the next section.)<br>Nature of Business: _____  |

**For details refer instruction no. 15.**

# If passive NFE, please provide below additional details. (Please attach additional sheets if necessary). Also provide below mandatory details if the UBO does not have a PAN. (Refer Instruction No. 16)

|   |   |   |
|---|---|---|
| <b>PAN / Any other Identification Number</b> (PAN, Aadhaar, Passport, Election ID, Govt. ID, Driving Licence NREGA Job Card, Others)<br><b>City of Birth - Country of Birth</b> | <b>Occupation Type:</b> Service, Business, Others<br><b>Nationality:</b><br><b>Father's Name:</b> Mandatory if PAN in not available | <b>DOB:</b> Date of Birth<br><b>Gender:</b> Male, Female, Other   |
| 1. PAN:<br>City of Birth<br>Country of Birth:   | <b>Occupation Type:</b><br><b>Nationality:</b><br><b>Father's Name:</b>   | <b>Date of Birth:</b><br><b>Gender</b> <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Other |
| 2. PAN:<br>City of Birth<br>Country of Birth:   | <b>Occupation Type:</b><br><b>Nationality:</b><br><b>Father's Name:</b>   | <b>Date of Birth:</b><br><b>Gender</b> <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Other |
| 3. PAN:<br>City of Birth<br>Country of Birth:   | <b>Occupation Type:</b><br><b>Nationality:</b><br><b>Father's Name:</b>   | <b>Date of Birth:</b><br><b>Gender</b> <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Other |

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

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

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

**11 DECLARATION FOR ULTIMATE BENEFICIAL OWNERSHIP [UBO] (Refer instruction No. 17)\***

\*This declaration is not needed for Companies that are listed on any recognized stock exchange or is a Subsidiary of such Listed Company or is Controlled by such Listed Company. Please list below the details of controlling person(s), confirming ALL countries of tax residency / permanent residency / citizenship and ALL Tax Identification Numbers for EACH controlling person(s). Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BENE

**Our company is a Listed Company on a recognized stock exchange in India / Subsidiary of a or Controlled by a Listed Company** [If this category is selected, no need to provide UBO details].

Name of the Stock Exchange where it is listed. \_\_\_\_\_ **Security ISIN** \_\_\_\_\_

Name of the Listed Company (applicable if the investor is subsidiary/associate): \_\_\_\_\_

Unlisted Company  Partnership Firm / LLP  Unincorporated association / body of individuals  Public Charitable Trust  Private Trust  Religious Trust

Trust created by a Will.  Others [please specify] \_\_\_\_\_

**11a. Ultimate Beneficiary Owner (UBO) / Controlling Person(s) / Senior Managing Official details.**

**Does your company/entity have any individual person(s) who holds direct / indirect controlling ownership above the prescribed threshold limit? #**  Yes  No

If 'YES' - We hereby declare that the following individual person holds directly / indirectly controlling ownership in our entity above the prescribed threshold limit. Details of such individual(s) are given below.

If 'NO' - declare that no individual person (directly / indirectly) holds controlling ownership in our entity above the prescribed threshold limit. Details of the individual who holds the position of Senior Managing Official (SMO) are provided below.

**Cheque/DD should be Drawn in favour of the Scheme Name Mirae Asset Nifty MidSmallcap400 Momentum Quality 100 ETF**

Application No.:

**Mutual Fund investments are subject market risks, read all scheme related document carefully.**

The detail of this page should be filled by Non-Individual investors only.

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|   | UBO-1 / Senior Managing Official (SMO)  | UBO-2   | UBO-3   |
|---|---|---|---|
| Name of the UBO / SMO#.   |   |   |   |
| UBO / SMO PAN#.<br>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 of Birth#   | Place of Birth _____<br>Country of Birth _____  | Place of Birth _____<br>Country of Birth _____  | Place of Birth _____<br>Country of Birth _____  |
| UBO / SMO Nationality   |   |   |   |
| UBO / SMO Date of Birth [dd-mmm-yyyy] #   |   |   |   |
| UBO / SMO PEP#  | PEP. <input type="checkbox"/><br>Related to PEP. <input type="checkbox"/><br>Not a PEP. <input type="checkbox"/>  | PEP. <input type="checkbox"/><br>Related to PEP. <input type="checkbox"/><br>Not a PEP. <input type="checkbox"/>  | PEP. <input type="checkbox"/><br>Related to PEP. <input type="checkbox"/><br>Not a PEP. <input type="checkbox"/>  |
| UBO / SMO Address Type  | Residence <input type="checkbox"/><br>Business <input type="checkbox"/><br>Registered Office <input type="checkbox"/>                                       | Residence <input type="checkbox"/><br>Business <input type="checkbox"/><br>Registered Office <input type="checkbox"/>                                       | Residence <input type="checkbox"/><br>Business <input type="checkbox"/><br>Registered Office <input type="checkbox"/>                                       |
| UBO / SMO Occupation  | Public Service <input type="checkbox"/><br>Private Service <input type="checkbox"/><br>Business <input type="checkbox"/><br>Others <input type="checkbox"/> | Public Service <input type="checkbox"/><br>Private Service <input type="checkbox"/><br>Business <input type="checkbox"/><br>Others <input type="checkbox"/> | Public Service <input type="checkbox"/><br>Private Service <input type="checkbox"/><br>Business <input type="checkbox"/><br>Others <input type="checkbox"/> |
| 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 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.

**11. FATCA AND CRS DETAILS (Self Certification) (Refer instruction No. 15)**

**(FOR INDIVIDUALS & NON-INDIVIDUALS)**

FOR INDIVIDUALS: Please indicate all countries in which you are resident for tax purposes and the associated Tax Reference Numbers below.

FOR NON-INDIVIDUALS: Is the "Entity" a tax resident of any country other than India?  Yes  No

(If Yes, please provide country/ies in which the entity is a resident for tax purpose and the associated Tax Identification No. below)

| 1 <sup>st</sup> Applicant (Sole / Guardian / Non-Individual)                                   |  | 2 <sup>nd</sup> Applicant  |  | 3 <sup>rd</sup> Applicant  |  |
|--|--|--|--|--|--|
| Do you have any non-Indian Country(ies) of Birth / Citizenship / Nationality and Tax Residency | <input type="checkbox"/> Yes <input type="checkbox"/> No                                       | Do you have any non-Indian Country(ies) of Birth / Citizenship / Nationality and Tax Residency | <input type="checkbox"/> Yes <input type="checkbox"/> No                                       | Do you have any non-Indian Country(ies) of Birth / Citizenship / Nationality and Tax Residency | <input type="checkbox"/> Yes <input type="checkbox"/> 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?   | <input type="checkbox"/> Yes <input type="checkbox"/> No<br>Please provide Tax Payer Id. _____ | Are you a US specified person?   | <input type="checkbox"/> Yes <input type="checkbox"/> No<br>Please provide Tax Payer Id. _____ | Are you a US specified person?   | <input type="checkbox"/> Yes <input type="checkbox"/> No<br>Please provide Tax Payer Id. _____ |

For non-Individual investor, in case your country of incorporation / Tax residence is US, but you are not a specified US person then please mention exemption code

Refer instruction 15(e)

| Individual or Non-Individual investors fill this section if ticked Yes above.  |          |  | Individual investor have to fill in below details in case of joint applicants |          |  |                         |          |  |
|--|----------|--|---|----------|--|-------------------------|----------|--|
| Tax Residency Status: 1  | Country: |  | Tax Residency Status: 1   | Country: |  | Tax Residency Status: 1 | Country: |  |
|  | No.:     |  |   | No.:     |  |                         | No.:     |  |
|  | Type:    |  |   | Type:    |  |                         | Type:    |  |
| Tax Residency Status: 2  | Country: |  | Tax Residency Status: 2   | Country: |  | Tax Residency Status: 2 | Country: |  |
|  | No.:     |  |   | No.:     |  |                         | No.:     |  |
|  | Type:    |  |   | Type:    |  |                         | Type:    |  |
| Tax Residency Status: 3  | Country: |  | Tax Residency Status: 3   | Country: |  | Tax Residency Status: 3 | Country: |  |
|  | No.:     |  |   | No.:     |  |                         | No.:     |  |
|  | Type:    |  |   | Type:    |  |                         | Type:    |  |
| Address Type _____   |          |  | Address Type _____  |          |  | Address Type _____      |          |  |
| (Address Type: Residential or Business (default) / Residential / Business / Registered Office) (For address mentioned in form / existing address appearing in folio) |          |  |   |          |  |                         |          |  |

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

**12. DECLARATION AND SIGNATURES / THUMB IMPRESSION OF APPLICANT(S) [Refer Instructions 2(f) ]**

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 Money Laundering Laws or any other applicable laws enacted by the Government of India from time to time. (C) Signature of the nominee acknowledging receipts of my/our credit will constitute full discharge of liabilities of Mirae Asset Mutual Fund. (D) The information given in / with this application form is true and correct and further agrees to furnish additional information sought by Mirae Asset Investment Managers (India) Private Limited (AMC) / Fund and undertake to update the information/details with the AMC / Fund/Registrars and Transfer Agent (RTA) from time to time. I/We hereby confirm that the AMC/Fund shall have the right to share my information and other details with the regulatory and government authorities as and when needed. I/We will indemnify the Fund, AMC, Trustee, RTA and other intermediaries in case of any dispute regarding the eligibility, validity and authorization of my/our 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/ or any indicative yield by the Fund/AMC/its distributor for this investment. I/We have not received nor have been induced by any rebate or gifts, directly or indirectly in making this investment. (G) Applicable to Investors availing the online facility: I/We have read, understood and shall be bound by the terms & conditions of the PIN agreement available on the AMC website for transacting online. (H) RIA: I/We hereby agree to consent the AMC to share my transaction details to the registered investment advisor (RIA) through the registrar or otherwise. (I) Applicable to Foreign Resident's Residing in India: I/We confirm that I/We satisfy the Residency test as prescribed under FEMA provisions. I/We further declare that I/We am/are "Person Resident in India" and are allowed to invest into the Scheme as per the said FEMA regulations and other applicable laws and regulations. (J) I/We confirm that I am / We are not United States person(s) under the laws of United States or resident(s) of Canada. In case of change to this status, I / We shall notify the AMC, in which event the AMC reserves the right to redeem my / our investments in the Scheme(s). (K) FATCA/CRS Certification: I / We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me / us on this Form is true, correct, and complete. I / We also confirm that I / We have read and understood the FATCA & CRS Terms and Conditions and hereby accept the same. In case the above information is not provided, it will be presumed that applicant is the ultimate beneficial owner, with no declaration to submit. In such case, the concerned SEBI registered intermediary reserves the right to reject the application or reverse the allotment of units, if subsequently it is found that applicant has concealed the facts of beneficial ownership. I/We also undertake to keep you informed in writing about any changes/modification to the above information in future & also undertake to provide any other additional information as may be required at your end. (L) Aadhaar: I/We hereby voluntarily submit Aadhaar card to the Fund/AMC for updating the same in my folio.

|  |   |  |
|--|---|--|
| Signature of 1 <sup>st</sup> Applicant/Guardian/Authorised Signatory/PoA/Karta<br>(AS IN BANK RECORDS) | Signature of 2 <sup>nd</sup> Applicant/Guardian /Authorised Signatory/PoA<br>(AS IN BANK RECORDS) | Signature of 3 <sup>rd</sup> Applicant/Guardian/Authorised Signatory/PoA<br>(AS IN BANK RECORDS) |
|--|---|--|

ACKNOWLEDGMENT SLIP

Received Application from Mr. / Ms. / M/s. \_\_\_\_\_ as per details below:

| Scheme Name and Plan   | Payment Details   | Date & Stamp of Collection Centre / ISC |
|--|---|---|
| <b>Mirae Asset Nifty MidSmallcap400 Momentum Quality 100 ETF</b> | Amount (Rs) _____<br>Cheque / DD No.: _____<br>Dated _____<br>Bank & Branch _____ |   |

Cheque / DD is subject to realisation

CUJ04/2024

Please Read All Instructions as given in KIM, to help you complete the Application Form Correctly.



# 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).

Enclosed relevant documentary proof evidencing the above definition.

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 |  |
|--------------------------------------|--|

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:

|                      |                      |                      |
|----------------------|----------------------|----------------------|
| Authorized Signatory | Authorized Signatory | Authorized Signatory |
|----------------------|----------------------|----------------------|

Place: \_\_\_\_\_

Date: \_\_\_/\_\_\_/\_\_\_

# 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

- 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 CAF. (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.

## 2. Applicant Information

- 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). A local address if available should also be mentioned in the CAF.
- 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.
- 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, FII 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.
- 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 records 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 KRA KYC 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 is not registered or verified in the KRA system will be required to fill the new CKYC form while investing with the Fund. (ii) If any new individual investor uses the old KRA KYC form, then such investor will be required to either fill the new CKYC form or provide the missing/additional information using the Supplementary KYC form. (iii) Investors who have already completed KYC 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 normal 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 update its records as and when required. The CKYC form and Supplementary KYC form for individual investors and common application form are available on our website. Currently there is no impact on the Existing Investors who have done the SEBI KYC (KYC thru 5 KRAs, CVL, NDML, DOTEK, KARVY & CAMS). They can continue to invest as it is in any schemes of any Mutual Fund; Existing Investors who wish 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.

- 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 KRA and that direct application to AMC will be not processed/rejected. In case if the applications are rejected after detailed scrutiny 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, Kin Technologies Ltd. or send an email to [customercare@miraasset.com](mailto:customercare@miraasset.com).
- (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 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:

- Cancelled original cheque of the new bank mandate with first unit holder name and bank account number 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 in the old bank mandate, if the credentials of the new bank mandate cannot be authenticated. Any COB accompanied with any other transaction is liable 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 cum capital withdrawal option proceeds, or the Fund may withhold the payment for upto 10 calendar days to ensure validation of new bank mandate mentioned.

- 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 unit holder 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 unit holder 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:

- Cancelled original cheque of the new bank mandate with first unit holder name and bank account number 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. If photocopies of the above stated documents are submitted, investor must produce the original for verification at the official point of acceptance of transaction. 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:

- Resident Investors may make payment by cheque payable locally in the city where the application form is submitted at the local Mira Asset Mutual Fund (MAMF)/AMC office or Authorised Collection Centre(s).
- 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 certificate from the Bank issuing the draft, confirming the debit should be submitted.

For subscription made by NRE/FCNR Account cheques, the CAF must be accompanied with a photocopy of the cheque or 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.
- For Direct Investments, please mention "Direct" in the column "Broker / Agent Code".
- 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 guardian.
  - 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.
- 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
- Physical Copies: Investors who requires physicals copies kindly reach us through email id: [customercare@miraasset.com](mailto:customercare@miraasset.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:

- 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.
  - 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.
  - 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.
  - 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 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 intimated the Fund/its transfer agents about any changes in the email address from time to time.
- Online Transactions/Personal Identification Number (PIN): This facility ([transact@eam](mailto:transact@eam)) enables Investors to transact on the website of the Fund which is <https://transact.miraassetmi.com.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 factors including service rendered by the ARN Holder. Investors should note the following instructions for ensuring that the application is treated as a direct application:

- Broker code, if already printed on the forms must be struck off and countersigned by the investors.
- 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 application (An investor who invests for the first time ever in any mutual fund either by way of subscription); (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 investments in other mutual funds to ascertain new or existing investors. Transaction charges shall not be deducted for transactions carried out through the stock exchange platforms (i.e. BSE SIAR MF, NSE NMFII, ICEX and Channel Partners Platform). In addition to above, upfront commission to distributors shall continue to be paid by the investor directly.

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

In order to assist 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 EUIIN (for non-advisory transactions (execution only) & advisory transactions) obtained from AMFI in the CAF. The EUIIN is a 7 digit unique alpha numeric number (one alphabet and six numerals), Individual ARN holders including senior citizens are also required to obtain and quote EUIIN in the Application Form. Hence, if your investments are routed through a distributor please ensure that the EUIIN is correctly filled up in the Application Form. It is further clarified that a mere quoting of EUIIN 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 distributor/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).

- Units in Demat mode: All the units of the fund will be held in Dematerialized ("Demat") Form, the statement of holding of the beneficiary account holder will be sent by the respective Depository Participant periodically. Unit holders must provide their Demat Account details in the specified section of the CAF. In order to hold the units in Demat form, unit holders shall have a beneficiary account with the Depository Participant (DP) (registered with NSDL / CDSL as may be indicated by the Fund at the time of launch of the Plan) and will be required to indicate in the CAF the DP's name, DP ID Number and the beneficiary account number of the applicant with the DP. Applicants must ensure that the sequence of names and other details like Client ID, Address and PAN details as mentioned in the application form matches that of the account held with the DP. Only those applications where the details are matched with the DP data will be treated as valid applications. If the details mentioned in the application are incomplete/incorrect, not matched with the DP data, the application shall be treated as invalid and shall be liable to be rejected. Unit Holders opting the units in the demat mode, can submit redemption/switch only through DP or through stock exchange platform. In case Unit holders do not provide their Demat Account details, an Account Statement shall be sent to them. Such investors will not be able to trade on the stock exchange till the holdings are converted into demat form.

- 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. 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 ability to withhold taxes that may be due from certain payments made to the investor's account; (c) 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 accounts. The investor agrees to inform, or respond to any request from, the fund, if there are any changes to tax information previously provided.



# INSTRUCTIONS

All Investors including non-individual investors, shall be required to submit a mandatory declaration form along with the investment 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 / 'C/o 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 (8) 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 FATCA guidelines.

Non-Financial Entity (NFE): Types of NFEs that are regarded as excluded NFE are:

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

| Code | Sub-category   |
|------|--|
| 01   | Less than 50 percent of the NFE's gross income for the preceding financial year is passive income and less than 50 percent of the assets held by the NFE during the preceding financial year are assets that produce or are held for the production of passive income;   |
| 02   | The NFE is a Governmental Entity, an International Organization, a Central Bank, or an entity wholly owned by one or more of the foregoing;  |
| 03   | Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an entity shall not qualify for this status if the entity functions as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;  |
| 04   | The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFE;  |
| 05   | The NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution;  |
| 06   | The NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution;   |
| 07   | Any NFE that fulfills all of the following requirements: (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 than pursuant to the conduct of the NFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and The applicable laws of the NFE's country or territory of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of the NFE's country or territory of residence or any political subdivision thereof. Explanation: For the purpose of this sub-clause, the following shall be treated as fulfilling the criteria provided in the said sub-clause, namely: (1) an 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; |
| 08   | 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.   |

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.

- 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 its agencies or instrumentalities, (iii) A state, the District of Columbia, a possession of the United States or any of their political subdivision or instrumentalities, (iv) A corporation the stock of which is regularly traded on one or more established securities markets, as described in Reg. section 1.1472-1(c)(1)(i), (v) A corporation that is a member of the same expanded affiliated group as a corporation described in Reg. section 1.1472-1(c)(1)(i), (vi) A dealer in securities, commodities, 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) A broker, (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 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; Net 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 ordinary course of such dealer's business as such a dealer.)

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 NFE 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 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 deemed compliant FFI (other than an owner-documented FFI), an entity that is a U.S. person, an exempt beneficial owner, or an excepted NFE.

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)

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 intimate 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.miraassetmf.co.in](http://www.miraassetmf.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 ultimately has a 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 ownership.

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.

C UBO Code Description: UBO-1: Controlling ownership interest of more than 10% of shares or capital or profits of the juridical person [Investor], where the juridical person is a company. UBO-2: Controlling ownership interest of more than 15% of the capital or profits of the juridical person [Investor], where 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 [Investor], where the juridical person is an unincorporated association or body of individuals. UBO-4: Natural 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. UBO-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.

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 [www.miraassetmf.co.in](http://www.miraassetmf.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).

**APPLICATION FORM FOR AUTO SWITCH OUT TO NEW FUND OFFER SCHEME**  
**Mirae Asset Nifty MidSmallcap400 Momentum Quality 100 ETF**



| Name & Broker Code/<br>ARN/RIA Code | Sub Broker /<br>Agent ARN Code | Sub Agent Code | EUIN* | Internal Code for AMC | ISC Date Time Stamp<br>Reference No. |
|-------------------------------------|--------------------------------|----------------|-------|-----------------------|--------------------------------------|
|                                     |                                |                |       |                       |                                      |

EUIN Declaration: Declaration for "Execution Only" Transaction (where Employee Unique Identification Number-EUIN\* box is left blank). Please refer instruction 12 for complete details on EUIN. I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this transaction is executed without any interaction or advice by the employee/relationship manager/sales person of the above distributor/sub broker or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor/sub broker. RIA/Declaration: "I/We hereby give you my/our consent to share/provide the transactions data feed/portfolio holdings/NAV etc. in respect of my/our investments under Direct Plan of all Schemes managed by you, to the above mentioned SEBI-Registered Investment Adviser/ RIA".

|  |  |  |
|--|--|--|
| Sign of 1 <sup>st</sup> Applicant / Guardian / Auth. Signatory / PoA / Karta | Sign of 1 <sup>st</sup> Applicant / Guardian / Auth. Signatory / PoA / Karta | Sign of 1 <sup>st</sup> Applicant / Guardian / Auth. Signatory / PoA / Karta |
|--|--|--|

**1. EXISTING UNIT HOLDER INFORMATION (The details in our records under the folio number mentioned will apply for this application.)**

|            |   |
|------------|---|
| Folio No.: | Name of 1 <sup>st</sup> Unit Holder (as per PAN card) |
|------------|---|

**2. ADDITIONAL PURCHASE IN EXISTING SCHEME FROM WHERE THE SWITCH OUT TO NFO SCHEME IS INTENDED**

KYC compliance status: Please  Regular Plan  Growth (Default)  IDCW Payout  IDCW\* Frequency<sup>A</sup>  
 Direct Plan  IDCW Reinvestment

Scheme -  Regular Plan  Growth (Default)  IDCW Payout  IDCW\* Frequency<sup>A</sup>  
 Direct Plan  IDCW Reinvestment

\*IDCW frequency is applicable only for Mirae Asset Liquid Fund, Mirae Asset Overnight Fund & Mirae Asset Low Duration Fund. Default option here will be Daily if frequency not selected.  
 \*Income Distribution cum Capital Withdrawal. IDCW <sup>A</sup>Frequency can be Daily or Weekly or Monthly; If not selected Monthly will be considered as default, refer SID for more details

Payment Type: Please  Non-Third Party Payment  Third Party Payment (Please attach 'Third Party Payment Declaration Form')

Core Banking A/c No.: A/c. Type Please  NRE  CURRENT  SAVINGS  NRO

| Cheque / DD / UTR No. & Date | Amount of Cheque / DD / RTGS / NEFT in ?gures ( ) | Net Purchase Amount | Drawn on Bank / Branch | Pay-In Bank A/c No. (For Cheque Only) |
|------------------------------|---|---------------------|------------------------|---------------------------------------|
|                              |   |                     |                        |                                       |

TRANSACTION CHARGES (Refer Instruction in the KIM) :In case, the purchase amount is ` 10,000 or above and distributor has opted to receive transaction charges, ` 100/- will be deducted from the Purchase amount and paid to the distributor. Units shall be allotted for the balance amount only.

**2a. DEMAT ACCOUNT DETAILS - Mandatory for units in Demat Mode - Please ensure that the sequence of names as mentioned as given in folio, matches as per the Depository Details.**

National Securities Depository Limited (NSDL) Central Depository Services (India) Limited (CDSL)

DP Name: DP Name:

|       |   |   |                     |                  |
|-------|---|---|---------------------|------------------|
| DP ID | I | N | Beneficiary A/c No. | 16 Digit A/C No. |
|-------|---|---|---------------------|------------------|

Enclosures: Please  Client Masters List (CML)  Transaction cum Holding Statement  Delivery Instruction Slip (DIS)

**3. SWITCH REQUEST - I WISH TO SWITCH UNITS / AMOUNT AS UNDER CONSIDERING ABOVE THE PURCHASE**

From Scheme -  Regular Plan  Growth (Default)  IDCW Payout  IDCW\* Frequency<sup>A</sup>  
 Direct Plan  IDCW Reinvestment

\*IDCW frequency is applicable only for Mirae Asset Liquid Fund, Mirae Asset Overnight Fund & Mirae Asset Low Duration Fund. Default option here will be Daily if frequency not selected.  
 \*Income Distribution cum Capital Withdrawal. IDCW <sup>A</sup>Frequency can be Daily or Weekly or Monthly; If not selected Monthly will be considered as default, refer SID for more details

Amount (in ?gures) ( ): Or Units (in ?gures): Or All Units

Amount (in words) ( ):

To Scheme: Mirae Asset Nifty MidSmallcap400 Momentum Quality 100 ETF

\*Payout of Income Distribution cum capital withdrawal option frequency is applicable for Mirae Asset Liquid Fund, Mirae Asset Overnight Fund & Mirae Asset Low Duration Fund.

**4. DECLARATION AND SIGNATURES / THUMB IMPRESSION OF APPLICANT(S) [Refer Instructions 2(f)]**

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 Money Laundering Laws or any other applicable laws enacted by the Government of India from time to time. (C) Signature of the nominee acknowledging receipts of my/our credit will constitute full discharge of liabilities of Mirae Asset Mutual Fund. (D) The information given in / with this application form is true and correct and further agrees to furnish additional information sought by Mirae Asset Investment Managers (India) Private Limited (AMC) / Fund and undertake to update the information/details with the AMC / Fund/Registrars and Transfer Agent (RTA) from time to time. I/We hereby confirm that the AMC/Fund shall have the right to share my information and other details with the regulatory and government authorities as and when needed. I/We will indemnify the Fund, AMC, Trustee, RTA and other intermediaries in case of any dispute regarding the eligibility, validity and authorization of my/our 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/ or any indicative yield by the Fund/AMC/its distributor for this investment. I/We have not received nor have been induced by any rebate or gifts, directly or indirectly in making this investment. (G) Applicable to Investors availing the online facility: I/We have read, understood and shall be bound by the terms & conditions of the PIN agreement available on the AMC website for transacting online. (H) RIA: I/We hereby agree to consent the AMC to share my transaction details to the registered investment advisor (RIA) through the registrar or otherwise. (I) Applicable to Foreign Resident's Residing in India: I/We confirm that I/We satisfy the Residency test as prescribed under FEMA provisions. I/We further declare that I/We am/are "Person Resident in India" and are allowed to invest into the Scheme as per the said FEMA regulations and other applicable laws and regulations. (J) I/We confirm that I am / We are not United States person(s) under the laws of United States or resident(s) of Canada. In case of change to this status, I/We shall notify the AMC, in which event the AMC reserves the right to redeem my / our investments in the Scheme(s). (K) FATCA/CRS Certification: I/We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me / us on this Form is true, correct, and complete. I/We also confirm that I/We have read and understood the FATCA & CRS Terms and Conditions and hereby accept the same. In case the above information is not provided, it will be presumed that applicant is the ultimate beneficial owner, with no declaration to submit. In such case, the concerned SEBI registered intermediary reserves the right to reject the application or reverse the allotment of units, if subsequently it is found that applicant has concealed the facts of beneficial ownership. I/We also undertake to keep you informed in writing about any changes/modification to the above information in future & also undertake to provide any other additional information as may be required at your end. (L) Aadhaar: I/We hereby voluntarily submit Aadhaar card to the Fund/AMC for updating the same in my folio.

|   |  |   |
|---|--|---|
| Signature of 1 <sup>st</sup> Applicant/Guardian/Authorised Signatory/PoA/Karta (AS IN BANK RECORDS) | Signature of 2 <sup>nd</sup> Applicant/Guardian /Authorised Signatory/PoA (AS IN BANK RECORDS) | Signature of 3 <sup>rd</sup> Applicant/Guardian/Authorised Signatory/PoA (AS IN BANK RECORDS) |
|---|--|---|

Received Application from Mr. / Ms. / M/s. \_\_\_\_\_ as per details below:

| Scheme Name and Plan   | Payment Details   | Date & Stamp of Collection Centre / ISC |
|--|---|---|
| <b>Mirae Asset Nifty MidSmallcap400 Momentum Quality 100 ETF</b><br>(AUTO SWITCH OUT APPLICATION FORM) | Amount (Rs) _____<br>Cheque / DD No.: _____<br>Dated _____<br>Bank & Branch _____ |   |

ACKNOWLEDGMENT SLIP

1. Auto Switch facility is a Special facility available to the existing investors having investments in Specified Schemes of Mirae Asset Mutual Fund (MAMF) only during the New Fund Offering (NFO) period whereby investors can switch their units from such Specified Schemes at the specified date during the NFO Period.
2. Unit holders are advised to read the Statement of Additional Information (SAI), Scheme Information Document (SID) and Key Information Memorandum (KIM) of the Scheme which is available at all the Designated Investor Service Centers (ISCs), Brokers / Distributors and on our website [www.miraeassetmf.co.in](http://www.miraeassetmf.co.in) carefully before investing.
3. This Auto Switch Form can be used only by Existing Unit holders having investments in specified schemes of Mirae Asset Mutual Fund to switch their units. MAMF reserves the right to extend or limit the said facility on such terms and conditions as may be decided from time to time. For eligible/specified transferor scheme please refer to SID The application for Auto Switch will be processed on the closing day of the NFO.
4. Existing unit holders having investments in schemes other than specified schemes and wish to switch their investments have to fill up Switch Section of the Application Form.
5. Auto-Switch Transaction reported from Offshore FOF schemes will be process with NAV as per below mentioned table
- 5a. The acceptance of Auto-switch transaction cut off is as mentioned below:

| SCHEME NAME/ CATEGORY  | Last date of Acceptance of Auto Switch Transaction |
|--|--|
| MIRAE ASSET NYSE FANG + ETF Fund of Fund                                   | 14-MAY-2024 [CUTOFF 15:00 HOURS]                   |
| MIRAE ASSET S&P 500 TOP 50 ETF Fund of Fund                                | 14-MAY-2024 [CUTOFF 15:00 HOURS]                   |
| Mirae Asset Global X Artificial Intelligence & Technology ETF Fund of Fund | 14-MAY-2024 [CUTOFF 15:00 HOURS]                   |
| MIRAE ASSET HANG SENG TECH ETF Fund of Fund                                | 13-MAY-2024 [CUTOFF 15:00 HOURS]                   |
| Mirae Asset Global Electric & Autonomous Vehicles ETFs Fund of Fund        | 14-MAY-2024 [CUTOFF 15:00 HOURS]                   |
| Liquid and Debt Funds  | 17-MAY-2024 [CUTOFF 15:00 HOURS]                   |
| Equity Funds   | 17-MAY-2024 [CUTOFF 15:00 HOURS]                   |

6. All valid Auto Switch request would be treated as switch out / redemption for the Transferor Scheme.
7. The units from the Specified Transferor Scheme will be switched, subject to provisions mentioned in the Scheme Information Document of the Transferor Scheme. The units in the Transferee Scheme will be allotted at the NFO Price of the Scheme on the Specified Schemes Specified Schemes allotment date.
8. Unit holder are required to maintain clear balance in accordance with amount specified in the Auto Switch Application Form on the execution date. In case of insufficient balance in the account / folio, the application for Auto Switch will be rejected.
9. Unit holders should note that Unit holders' details and mode of holding (single, joint, anyone or survivor) in the Transferee Scheme will be as per the existing folio number of the Transferor Scheme. Units will be allotted under the same folio number
10. The Unit holders are given an Option to hold the units by way of an Account Statement or in Dematerialized ("Demat") form. Unit holders opting to hold the units in Demat form must provide their Demat Account details in the specified section of the application form. The Unit holder intending to hold the units in Demat form are required to have a beneficiary account with the DP (registered with NSDL / CDSL as may be indicated by the Fund at the time of launch of the Plan) and will be required to indicate in the application the DP's name, DP ID Number and the Beneficiary account number of the applicant with the DP. In case Unit holders do not provide their Demat Account details, an Account Statement shall be sent to them. Such investors will not be able to trade on the stock exchange till the holdings are converted in to Demat form.
11. This facility will not be available for units which are under any Lien/Pledged or any lock-in period.
12. The Application is subject to detailed scrutiny and verification. Applications which are not complete in all respect are liable for rejection either at the collection point itself or subsequently after detailed scrutiny / verification at the back office of the Registrar.
13. MAMF reserves the right to withdraw this amend or withdraw this facility or change the procedures from time to time.
14. Employee Unique Identification Number (EUIIN) would assist in tackling the problem of mis-selling even if the employee/ relationship manager / sales person leave the employment of the distributor.

### MIRAE ASSET MUTUAL FUND BRANCH OFFICES

• Ahmedabad - Unit No:-104, 1st Floor, SPG Empressa, Mithakhali - 380 009. • Bangalore - Unit No. 203 & 204, 2nd Floor Prestige Meridian II, No. 30, M.G Road, Bangalore - 560 001. Tel-080-44227777. • Bhubaneswar –Ground Floor, No. 185, Janpath road, near Kharvela Nagar Police Station, Bhubaneswar - 751009. • Chandigarh - SCO 2471-72, Second Floor, Sector 22 C, Chandigarh - 160022. Tel-0172-5030688. • Chennai - Ground Floor, C.N. Deivanayagam Complex No. 33 - Venkatanarayan Road, T. Nagar Chennai - 600017 • Indore – Ground Floor, G-2 Vitraj 30/ I South Tukoganj, Indore – 452001 • Jaipur - Unit 804, 8th Floor, Okay Plus Tower, Ajmer Road, Jaipur-302001. Tel-0141-2377222. • Kanpur - Ofce no 303 & 304, 3rd Floor, 14/113 KAN Chambers, Civil Lines, Kanpur-208 001. Tel-81770 00201. • Kochi - 1st Floor, Business Communication Centre, Chiramel Chambers, Kurisupally Road, Ravipuram, Kochi-682015. • Kolkata - Krishna Building, 5th Floor, Room No 510, 224, A.J.C. Bose Road, Kolkata-700017. Tel-033-44227777. • Lucknow - Office No- 8 & 9 Ground Floor Saran Chambers II, 5 Park Road Lucknow 226001 Telephone:(91) 9305174817. • Mumbai (Corporate Office) - Unit No. 606, 6th Floor, Windsor Bldg., Off. CST Road, Kalina, Santacruz (E), Mumbai-400 098.Tel-022-67800300. • Mumbai (Branch Office) - Ground Floor, 3, 4, 9, Rahimtoola House, 7, Homji Street, Fort, Mumbai - 400001. Tel-022-49763740. • Nagpur - 1st Floor, Shalwak Manor, Office No.101, Plot No 64-B, VIP Road, New Ramdaspath, Near Central Mall, Nagpur – 440010 • New Delhi - Unit No 1501-1505, 15th Floor, Narain Manzil Barakhambha Road, New Delhi- 110 001 . • Patna - D-215, Dumraon Place, Fraser Road, Patna-800001 Pune - 75/76, 4th Floor, C-Wing, Shreenath Plaza, Dnyaneshwar Paduka Chowk, Shivaji Nagar, Pune-411 005. Tel-020-44227777. • Rajkot - Office No. 406, 4th Floor, The Imperia, Near Limbda Chowk, Opposite Shastri Maidaan, Rajkot - 360 002 • Secunderabad - No. 208, Legend Crystal Building, 2nd Floor, PG Road, Secunderabad-500003. Tel-040-66666723. • Surat - D - 112, International Trade Center (ITC Building), Majuragata, Ring Road, Surat – 395 002,. Tel-0261-4888844. • Vadodara- Office No. 244, Second Floor, Emerald One, Jetalpur Road, • Vadodara – 390020. Tel-9375504443. Tel-9375504443. • Varanasi - D- 64 / 52, G- 4, Arihant Complex, Second Floor, Madhopur, Shivpurva, Sigra, Near Petrol Pump, Varanasi, Uttar Pradesh - 221010.

### KFIN TECHNOLOGIES LIMITED (REGISTRAR)

• Agra - House No. 17/2/4, 2nd Floor, Deepak Wasan Plaza, Behind Hotel Holiday Inn, Sanjay Place, Agra, Uttar Pradesh - 282 002. • Ahmedabad - Office No. 401, 4th Floor, ABC-I, Off. C.G. Road - Ahmedabad -380009 • Ajmer - 1-2, 2nd Floor Ajmer Tower, Kutchary Road, Ajmer-305001 • Allahabad - Meena Bazar, 2nd Floor, 10, S. P. Marg, Civil Lines, Subhash Chauraha, Allahabad, Uttar Pradesh - 211 001. • Amritsar - 72-A, Taylor's Road, Aga Heritage Gandhi Ground, Amritsar-143001 • Anand - B-42, Vaibhav Commercial Center, Nr. TVS Down Town Show Room, Grid Char Rasta, Anand - 380001 • Asansol - 112/N G. T. Road, Bhanga, Panchil, Bardhaman West Bengal, Asansol - 713303 • Aurangabad - Shop no B - 38, Motiwala Trade Centre, Nirala Bazar ,Aurangabad 431001 • Balasore - 1-B, 1st Floor, Kalinga Hotel Lane, Baleshwar, Baleshwar Sadar Balasore - 756001, Orissa • Bangalore - No 35, Skanda Puttanna Road, Basavanagudi, Bangalore 560004 • Vadodara – 1st Floor, 125 Kanha Capital, Opp Express Hotel, R C Dutt Road, Alkapuri Vadodara, 390007 • Bharuch – 123 Nexus business Hub ,Near Gangotri Hotel ,B/s Rajeshwari Petroleum ,Makampur Road ,Bharuch -392001 • Bhavnagar - Ofce No 306-307, Krushna Darshan Complex, 3rd Floor, Parimal Chowk, Above Jed Blue Show Room Bhavnagar - 364002 • Bhilai - Office No.2, 1st Floor, Plot No. 9/6, Nehru Nagar [East], Bhilai 490020, Chhattisgarh • Bhopal - Gurukripa Plaza, Plot No. 48A, Opposite City Hospital, Zone-2, M P Nagar, Bhopal, Madhya Pradesh - 462 011. • Bhubaneswar - A/181, Saheed Nagar, Janardan House, Room No: 07, 3rd Floor, Bhubaneswar, Orissa - 751007. • Burdwan - Saluja Complex; 846, Laxmipur, G T Road, Burdwan; PS: BURDWAN & DIST: BURDWAN-EAST, PIN: 713101. • Calicut - Sowbhagya Shopping Complex, Areyadathupalam, Mavoor Road, Calicut-673004 • Chandigarh - SCO 2423-2424, Sector 22-C, Chandigarh-160022 • Chennai 9th Floor, Capital Towers, 180, Kodambakkam High Road, Nungambakkam, Chennai – 600 034 • Kochi - Door No: 61/2784, Second floor, Sreelakshmi Tower, Chittoor Road, Ravipuram, Ernakulam-Kerala-682015 • Coimbatore - 1057, 3rd Floor, Jaya Enclave, Avانشi Road, Coimbatore-641018 • Cuttack - Dargha Bazar, Opp. Dargha Bazar Police Station, Buxibazar, Cuttack-753001 • Dehradun – Shop No-809/799, Street No-2 A, Rajendra Nagar, Near Sheesha Lounge, Kaulagarh Road, Dehradun-248001 • Dhanbad - 208, New Market, 2nd Floor, Katras Road, Bank More, Dhanbad-826001 • Durgapur - MWAV-16 Bengal Ambuja, 2nd Floor, City Centre, Durgapur-713216 • Faridabad - A-2B, 2nd Floor, Neelam Bata Road, Peerki Mazar, Nehru Ground, Nit, Faridabad, Haryana -121 001 • Gandhinagar - Plot No.945/2, Sector-7/C, Gandhinagar-382007 • Ghaziabad - 1st Floor, C-7, Lohia Nagar, Ghaziabad-201001 • Gorakhpur - Above V.I.P. House, Ajdacent A. D. Girls College, Bank Road, Gorakhpur-273001 • Gurgaon - 2nd Floor, Vipul Agora, M. G. Road, Gurgaon - 122001, Haryana • Guwahati - 54, Sagarika Bhawan, R. G. Baruah Road, (AIDC Bus Stop), Guwahati-781024 • Hubli - 22 & 23, 3rd Floor, Eurecka Junction, T. B. Road, Hubli-580029 • Hyderabad -303, Vamsee Estates, Opp. Bigbazaar, Ameerpet, Telangana - 500 016. • Indore - 101, Diamond Trade Centre, Indore, Madhya Pradesh - 452 001 • Jalandhar - Office No 7, 3rd Floor, City Square building, E-H197 Civil Lines, Jalandhar 144001 • Jabalpur - 3rd Floor, R.R. Tower. 5, Lajpatkunj, Near Tayabali Petrol Pump, Jabalpur - 482 001. • Jamnagar - 131, Madhav Plaza, Opp Sbi Bank, Nr Lal Bunglow, Jamnagar 361008 • Jamshedpur - Madhukunj, 3rd Floor ,Q Road, Sakchi, Bistupur, East Singhbhum, Jamshedpur 831001 Jharkhand • Jodhpur - Shop No. 6, Ground Floor, Gang Tower, Opposite Arora Moter Service Center, Near Bombay Moter Circle, Jodhpur, Rajasthan - 342 003. • Kanpur - 15/46, Ground Floor, Opp. Muir Mills, Civil Lines, Kanpur-208001 • Kolhapur - 605/1/4 'E' Ward, Near Sultane Chambers, Shahupuri, 2nd Lane, Kolhapur-416001 • Kolkata - 2/1 Russel Street 4th Floor, Kankaria Centre, Kolkata 700071, West Bengal • Lucknow - 1st Floor, A.A. Complex, Thaper House, 5 Park Road, Hazratganj, Lucknow-226001 • Ludhiana - SCO 122, 2nd Floor, Above HDFC Mutual fund, Feroze Gandhi Market, Ludhiana 141001 • Madurai - G-16/17, AR Plaza, 1st floor, North Veli Street, Madurai 625001 • Mangalore - Shop No – 305, Marian Paradise Plaza, 3rd Floor, Bunts Hostel Road, Mangalore – 575003, Dakshina Kannada, Karnataka. • Mehsana - FF-21, Someshwar Shopping Mall, Modhera Char Rasta, Mehsana - 384 002 • Moradabad - Chadha Complex, G. M. D. Road, Near Tadi Khana Chowk, Moradabad - 244 001, Uttar Pradesh •



Mumbai - Borivali - (Only for non-liquid transactions) Gomati Smuti, Ground Floor, Jambli Gully, Near Railway Station, Borivali West, Mumbai-400091 • Mumbai - Chembur - (Only for Equity transactions) Shop No.4, Ground Floor, Shram Safalya Building, N G Acharya Marg, Chembur, Mumbai-400071 • Mumbai - Fort - (Only for Equity transactions) 6/8 Ground Floor, Crossely House Near BSE (Bombay Stock Exchange) Next Union Bank , Fort Mumbai - 400 001 • Mumbai - Thane - (Only for non-liquid transactions) Room No. 302, 3rd Floor, Ganga Prasad, Near RBL Bank Ltd., Ram Maruti Cross Road, Naupada, Thane West - 400 602 • Mumbai - Vashi - (Only for Equity transactions) A-Wing, Shop No. 205, 1st Floor, Vashi Plaza, Sector 17, Navi Mumbai - 400 073. • Mumbai - Vile Parle - (Only for Equity transactions) 104, Sangam Arcade, V P Road, Opp. Railway Station, Above Axis Bank, Vile Parle West, Mumbai-400056 • Muzaffarpur - First Floor, Saroj Complex, Diwam Road, Near Kalyani Chowk, Muzaffarpur, Bihar - 842001 • Mysore - L-350, Silver Tower, Clock Tower, Ashoka Road, Mysore-570001 • Nadiad - 104/105 Gf City Point, Near Paras Cinema, Nadiad-387001 • Nagpur -Plot No. 2 , Survey No. 1032 and 1033 of Gagda Khare Town, Dharampeth, Nagpur – 440010 • Nasik - F-1, Suyojit Sankul, Sharanpur Road, Near Rajiv Gandhi Bhavan, Nasik- 422002 • Navsari - 103, 1st Floor Landmark Mall, Near Sayaji Library, Navsari, Gujarat-396 445 • New Delhi - 305, 3rd Floor, New Delhi House, Bara Khamba Road, Connaught Place, New Delhi-110001 • Panipat - Shop No. 20, 1st Floor BMK Market, Behind HIVE Hotel, G.T. Road, Panipat-132103, Haryana • Panjim - City Business Centre, Coelho Pereira Building, Room Nos.18, 19 & 20, Dada Vaidya Road, Panjim-403001 • Patiala - Sco. 27 D, Chhoti Baradari, Patiala-147001 • Patna - Flat No.- 102, 2BHK Maa Bhawani Shardalay, Exhibition Road, Patna-800001 • Pondicherry - No.122(10b), Muthumariamman koil street, Pondicherry - 605001 • Pune - Mozaic Bldg., CTS No. 1216/1, Final Plot No.576/1 TP, Scheme No. 1, F C Road, Bhamburda, Shivaji Nagar, Pune-411004 • Raipur - 2 & 3 Lower Level, Millenium Plaza, Room No. Ll 2& 3, Behind Indian Coffee House, Raipur-492001 • Rajkot - 104, Siddhi Vinayak Complex, Dr. YagnikRoad, Opp. Ramkrishna Ashram, Rajkot-360001 • Ranchi- Room no 103, 1st Floor, Commerce Tower, Beside Mahabir Tower, Main Road, Ranchi -83400 • Rourkela - (Only for Equity transactions) 2nd Floor, Main Road, Udit Nagar, Rourkela, Sundargarh, Orissa – 769012 • Salem - No 40, 2nd Floor, Brindavan Road, Near Perumal Koil, Fairlands, Salem-636016 • Sambalpur - Sahej Plaza, First Floor, Shop No. 219, Golebazar, Sambalpur, Odisha - 768 001 • Shillong - Mani Bhawan, Thana Road, Lower Police Bazar, Shillong-793 001 • Siliguri - 2nd Floor, Nanak Complex, Sevoke Road, Siliguri - 734001 • Surat - G-5 Empire State Building, Near Parag House, Udhna Darwaja, Ring Road, Surat- 395002 • Trichy - No 23C/1 E VR Road, Near Vekkaiammam Kalyana Mandapam, Putthur, Trichy - 6200017, Tamilnadu • Trivandrum - 2nd Floor, Akshaya Towers, Above Jetairways, Sasthamangalam, Trivandrum-695010 • Udaipur - Shop No. 202, 2nd Floor, Business Centre, 1C Madhuvan, Opp G.P.O., Chetak Circle, Udaipur, Rajasthan - 313 001 • Valsad - 406 Dreamland Arcade, Opp Jade Blue, Tithal Road, Valsad - 396001, Gujarat • Vapi - A-8, First Floor, Solitaire Business Centre, Opp DCB Bank, GIDC Char Rasta, Silvassa Road, Vapi - 396 191 • Varanasi - D-64/132, 2nd Floor, KA, Mauza, Shivpurwa, Settlement, Plot No 478, Pargana: Dehat Amanat, ohalla Sigra, Varanashi - 221010, Uttar Pradesh • Vijayawada - 1st Floor, H No. 26-23, Sundaramma Street, Gandhi Nagar, Vijayawada, Andhra Pradesh - 520 011. • Visakhapatnam - Ground Floor, 48-10-40, SriNagar Colony, Visakhapatnam, 530016 • Vellore - No.1, M N R Arcade, Of cers Line, Krishna Nagar, Vellore-632001 • Warrangal - 5-6-95, 1st Floor, Opp. B Ed College, Lashkar Bazar, Chandra Complex, Hanmakonda, Warrangal-506001 • Guntur - D No. 6-10-27, Srinilayam, Arundelpet, 10/1, Guntur - 522002 • Kurnool - Shop No. 47, 2nd Floor, S Komda Shoping Mall, Kurnool – 518001 • Bhagalpur - 2nd Floor, Chandralok Complex, Near Ghanta Ghar, Bhagalpur - 812001, Bihar • Darbhanga - H No-185, Ward No-13, National Statistical office Campus, Kathalbari, Bhandar Chowk, Darbhanga, Bihar – 846004 • Bilaspur - KFin Technologies Ltd, Anandam Plaza; Shop.No. 306; 3rd Floor, Vyapar Vihar Main Road, Bilaspur - 495001, Chattisgarh • Gandhidham - Shop # 12, Shree Ambica Arcade, Plot # 300, Ward 12, Opp. CG High School, Near HDFC Bank, Gandhidham - 370201 • Junagadh - Shop no-201, 2nd floor, V\_ARCADE Complex, Near Vanzari Chawk,M.G. road, Junagadh – 362001 • Ambala - 6349, 2nd Floor, Nicholson Road, Adjacent Kos Hospital Ambala Cant, Ambala - 133001, Haryana • Rohtak - Office No:- 61, First Floor, Ashoka Plaza, Delhi Road, Rohtak 124001 • Yamuna Nagar - B-V, 185/A, 2nd Floor, Jagadri Road, Near DAV Girls College, (UCO Bank Building) Pyara Chowk, Yamuna Nagar - 135001, Haryana • Shimla - 1st Floor, Hills View Complex, Near Tara Hall, Shimla 171001 • Jammu - Gupta's Tower, 2nd Floor, CB-12, Rail Head Complex, Jammu - 180012 • Bokaro – City Centre, Plot No. HE-07; Sector-IV; Bokaro Steel City - 827004 • Belgaum - CTS No. 3939 / A2 A1, Above Raymonds Show Room, Beside Harsha Appliances, Club Road, Belgaum - 590001 • Kottayam - 11-4-3/3 Shop No. S-9, 1st Floor, Srivenkata Sairam Arcade, Old CPI Office, Near Priyadarshini College, Nehru Nagar, Khammam - 507002, Telangana • Trichur - 2nd Floor, Brothers Complex, Naikkanal Junction, Shornur Road, Near Dhanalakshmi Bank H O, Thrissur - 680001 • Gwalior - City Centre, Near Axis Bank, Gwalior, Madhya Pradesh - 474 011 • Amaravathi - Shop No. 21, 2nd Floor, Gulshan Tower, Near Panchsheel Talkies, Jaistambh Square, Amaravathi - 444601 • Shillong - Annex Mani Bhawan, Lower Thana Road, Near R K M LP School, Shillong - 793001 • Berhampur (Or) - Opp. Divya Nandan Kalyan Mandap, 3rd Lane Dharam Nagar, Near Lohiya Motor, Berhampur (Or) - 760001 • Bhatinda - Second floor, MCB -2-3-01043 Goniana Road Opposite Nippon India MF GT Road, Near Hanuman Chowk Bhatinda - 161001 • Bhilwara - Shop No. 27-28, 1st Floor, Heera Panna Market, Pur Road, Bhilwara - 311001 • Bikaner - H. No. 10, Himtasar House, Museum circle, Civil line, Bikaner, Rajasthan – 334001 • Kota - D-8, Shri Ram Complex, Opposite Multi Purpose School, Gumanpura, Kota, Rajasthan - 324 007 • Sri Ganganagar - 35E Block, Opp. Sheetla Mata Vaateka Sri Ganganagar - 335001 • Erode - No. 4, Veerappan Traders Complex, KMY Salai, Sathy Road, Opp. Erode Bus Stand, Erode - 638003 • Tirupur - First Floor, 244 A, Above Selvakumar Dept Stores, Palladam Road, Opp. to Cotton Market Complex, Tirupur - 641604 • Agartala - Bidurkarta Chowmuhani, J N Bari Road, Tripura (West) - 799001 • Aligarh - Sebti Complex Centre Point, in the city of Aligarh - 202001, UttarPradesh. • Bareilly - 54 - Civil Lines, Ayub Khan Chauraha, Bareilly - 243001, Uttar Pradesh • Meerut - Shop No:- 111, First Floor, Shivam Plaza, Near Canara Bank,Opposite Eves Petrol Pump, Meerut-25001, Uttar Pradesh, India • Saharanpur - 18, Mission Market, Court Road, Saharanpur - 247001 • Haldwani - Shop No 5, KMVN Shopping Complex, Haldwani 263139 Uttarakhand • Haridwar - 8, Govind Puri, Opp. LIC - 2, Above Vijay Bank, Main Road, Ranipur More, Haridwar - 249401 • Kharagpur - 180, Malancha Road, Beside Axis Bank Ltd, Kharagpur - 721304 • Nungambakkam - No. 23, Cathedral Garden Road,

Nungambakkam, Chennai, Tamil Nadu - 600 034 • Jhansi - 371/01, Narayan Plaza Gwalior Road, Near Jeevan Shah Chauraha, Jhansi - 284001 • Chinsura - KFin Technologies Ltd, 96, Doctors Lane, Po: Chinsurah, Dt: Hooghly, Pin: 712101, West Bengal • Malda - KFin Technologies Ltd, 96, Doctors Lane, Po: Chinsurah, Dt: Hooghly, Pin: 712101, West B • Noida - KFin Technologies Ltd, F - 21, Sector - 18, Noida - 201301, Uttar Pradesh • Alwar - KFin Technologies Ltd, Office Number 137, First Floor, Jai Complex Road No - 2, Alwar 301001, Rajasthan • Jaipur - KFin Technologies Ltd, Office Number 137, First Floor, Jai Complex Road No - 2, Alwar 301001, Rajasthan.

MF Central has been designated as OPAT vide notice dated September 23, 2021