



Key Information Memorandum

Shriram Gold ETF Passive FOF

(An open-ended Fund of Fund Scheme investing in units of Gold ETFs.)

This product is suitable for investors who are seeking*:	Scheme Risk-o-meter	Scheme Benchmark: Domestic Price of Physical Gold Benchmark Risk-o-meter
- Long term capital appreciation - Investment in units of various Gold ETFs which further invests in physical Gold There is no assurance that the investment objective of the Scheme will be achieved	The risk of the scheme is very high risk	The risk of Domestic Price of Physical Gold (Benchmark) is very high risk

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

The above product labelling assigned during the New Fund Offer (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.

Offer for Units of INR 10/- per unit for cash during the New Fund Offer period and at NAV based prices upon re-opening

NFO open date: **September 11, 2026**

NFO close date: **September 24, 2026**

Scheme re-opens for continuous sale and repurchase on: **September 30, 2026**

Name of Mutual Fund	Shriram Mutual Fund
Name of Asset Management Company	Shriram Asset Management Company Limited CIN: L65991MH1994PLC079874
Name of Trustee Company	Shriram Trustees Limited CIN: U66190TN2024PLC173213
Registered Address Office & Website	217, 2nd Floor, Swastik Chambers, Near Junction of S.T. & C.S.T. Road, Chembur, Mumbai-400 071, India www.shriramamc.in

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

The Scheme particulars have been prepared in accordance with Securities and Exchange Board of India (Mutual Funds) Regulations 2026, as amended till date, and filed with Securities and Exchange Board of India (SEBI). The units being offered for public subscription have not been approved or disapproved by SEBI, nor has SEBI certified the accuracy or adequacy of this KIM.

The Key Information Memorandum is dated: **August 28, 2026**

Investment Objective	The investment objective of the scheme is to generate long-term capital appreciation by investing in units of various Gold ETFs. However, there is no assurance that the investment objective of the Scheme will be achieved.											
Asset Allocation Pattern of the scheme	Under normal circumstances, the anticipated asset allocation pattern of the Scheme would be as under: <table><tr><th rowspan="2">Instruments</th><th colspan="2">Indicative Allocations (% of total assets)</th></tr><tr><th>Minimum</th><th>Maximum</th></tr><tr><td>Units of various Gold ETFs</td><td>95%</td><td>100%</td></tr><tr><td>Money market instruments including Tri Party REPO/ debt securities, Instruments and/or units of debt/liquid schemes of domestic Mutual Funds</td><td>0%</td><td>5%</td></tr></table> The Scheme does not intend to undertake/ invest/ engage in: • Securitised debt • Debt Instruments with Structured obligation/Credit enhancements • Debt Instruments having Special Features as defined under clause 13.1.9 of SEBI Master Circular dated March 20, 2026 • Credit Default Swaps • Repo in corporate debt securities • Unrated Debt instruments • Securities lending or short selling • ADR/ GDR / Foreign Securities • Derivatives • REITs and InvITs • Other Fund of Fund Schemes The Scheme will invest in the units of publicly traded various Gold ETFs. The cumulative gross exposure through units of various Gold ETFs, Money market instruments / debt securities, Instruments and/or units of debt/liquid schemes of domestic Mutual Funds shall not exceed 100% of the net assets of the Scheme in accordance with Clause 13.18.1 of SEBI Master Circular dated March 20, 2026. Cash and cash equivalents as per 13.18.6 (a) of SEBI Master Circular No. SEBI/ HO/24/13/11(1)2026-IMD-POD-1/1/7602/2026 dated March 20, 2026 which includes T-bills, Government Securities and Repo on Government Securities having residual maturity of less than 91 calendar Days, shall not be considered for the purpose of calculating gross exposure limit. 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, collateralised 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. The investment in these deposits shall be in accordance with clause 13.7 of SEBI Master Circular dated March 20, 2026.	Instruments	Indicative Allocations (% of total assets)		Minimum	Maximum	Units of various Gold ETFs	95%	100%	Money market instruments including Tri Party REPO/ debt securities, Instruments and/or units of debt/liquid schemes of domestic Mutual Funds	0%	5%
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	Minimum	Maximum										
Units of various Gold ETFs	95%	100%										
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Indicative Table (Actual instrument/percentages may vary subject to applicable SEBI circulars)

Sl. No.	Type of Instrument	Percentage of Exposure	Circular references*
1	Derivatives	0%	-
2	Securitised Debt	0%	-
3	Debt Instruments with special features (AT1 and AT2 Bonds)	0%	-
4	Debt Instruments with Structured Obligations (SO)/ Credit Enhancements (CE)	0%	-
5	Stock lending and Borrowing	0%	-
6	Overseas Investments	0%	-
7	REITs and InvITs	0%	-
8	Tri-party repos (TREPS)**	Up to 5% of the net assets of the Scheme	-
9	Units of underlying Gold ETFs	Up to 100% of the net assets of the Scheme	-
10	Repo/ reverse repo transactions in corporate debt securities	0%	-
11	Credit Default Swap transactions	0%	-
12	Units of debt/liquid schemes of domestic Mutual Funds	5%	Clause 3 of Sixth Schedule of SEBI (Mutual Funds) Regulations, 2026 and Para 13.14 of SEBI Master circular dated March 20, 2026.
13	Fund of Fund Schemes	0%	Clause 4 of Sixth Schedule of SEBI (Mutual Funds) Regulations, 2026

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

**Allocation may be made to TREPS from any amounts that are pending deployment or on account of any adverse market situation.

Rebalancing due to Short Term Defensive Consideration

Due to market conditions, the AMC may invest beyond the range set out in the asset allocation. Such deviations shall normally be for a short term and defensive considerations as per Clause 1.9.1(b) of SEBI Master Circular No. SEBI/HO/24/13/11(1)2026-IMDPOD-1/I/7602/2026 dated March 20, 2026, and the fund manager will rebalance the portfolio within 30 calendar days from the date of deviation.

Rebalancing due to Passive Breach:

Further, as per para 3.11 of SEBI Master Circular on Mutual Funds dated March 20, 2026, as may be amended from time to time, in the event of deviation from mandated asset allocation due to passive breaches (occurrence of instances not arising out of omission and commission of the AMC), the fund manager shall rebalance the portfolio of the Scheme within 30 Business Days. In case the portfolio of the Scheme is not rebalanced within the period of 30 Business Days, justification in writing, including details of efforts taken to rebalance the portfolio shall be placed before the Investment Committee of the AMC. The Investment Committee, if it so desires, can extend the timeline for rebalancing up to sixty (60) Business Days from the date of completion of mandated rebalancing period. Further, in case the portfolio is not rebalanced within the aforementioned mandated plus extended timelines the AMC shall comply with the prescribed restrictions, the reporting and disclosure requirements as specified in para 3.11 of SEBI Master Circular on Mutual Funds dated March 20, 2026.

Timelines for deployment of funds collected in NFO:

Further, as per para 7.24 of SEBI Master Circular on Mutual Funds dated March 20, 2026, deployment of the funds garnered in NFO shall be made within 30 business days from the date of allotment of units. In an exceptional case, if the AMC is not able to deploy the funds in 30 business days, reasons in writing, including details of efforts taken to deploy the funds, shall be placed before the Investment Committee.

The Investment Committee shall examine the root cause for delay in deployment before granting approval for part or full extension. The Investment Committee shall not ordinarily give part or full extension where the assets for any scheme are liquid and readily available.

In case the funds are not deployed as per the asset allocation mentioned in the SID as per the aforesaid mandated plus extended timelines, AMC shall:

	(i) not be permitted to receive fresh flows in the same scheme till the time the funds are deployed as per the asset allocation mentioned in the SID. (ii) not be permitted to levy exit load, if any, on the investors exiting such scheme(s) after 60 business days of not complying with the asset allocation of the scheme. (iii) inform all investors of the NFO, about the option of an exit from the concerned scheme without exit load, via email, SMS or other similar mode of communication. (iv) report deviation, if any, to Trustees at each of the above stages.
What are the Investment Strategies?	The Shriram Gold ETF Passive FOF will predominantly invest in units of publicly traded gold ETF. The performance of the underlying gold commodities depends on various factors, but not limited to the following: • Interest rates • Inflation • Taxes & duties • Global trades • Supply demand • Industrial demand and • Demand from central banks as currency hedge. Shriram Gold ETF Passive FOF is a Fund of Fund scheme with the primary objective to generate capital appreciation by investing in the units of various Gold ETFs. The scheme shall invest in line with stated asset allocation pattern provided under Section X "Asset Allocation" of the said SID. 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. Though every endeavor will be made to follow the investment strategy narrated above and achieve the objective of the Scheme, the AMC/Sponsor/Trustee do not guarantee the same. No guaranteed returns are being offered under the Scheme. Portfolio Turnover: Portfolio turnover is defined as the aggregate value of purchases or sales as a percentage of the corpus of a scheme during a specified period of time. The Scheme is open ended, with subscriptions and redemptions expected on a daily basis, resulting in net inflow/outflow of funds, and on account of the various factors that affect portfolio turnover; it is difficult to give an estimate, with any reasonable amount of accuracy. However, during volatile market conditions, the fund manager has the flexibility to churn the portfolio actively to optimize returns keeping in mind the cost associated with it.
Risk Profile of the Scheme	Scheme Specific Risk Factors • As the investors are incurring expenditure at both the Fund of Funds level and the scheme into which the Fund of Funds invests, the returns that they may obtain may be materially impacted or may at times be lower than the returns that investors may obtain by directly investing in such schemes. • As the Fund of Funds scheme will invest into an underlying scheme, the expense charged being dependent on the structure of the underlying scheme (being different), it may lead to a non- uniform charging of expenses over a period of time. • In the Fund of Funds (FOF) factsheets and disclosures of portfolio will be limited to providing the particulars of the schemes invested at FOF level, thus investors may not be able to obtain specific details of the investments of the underlying schemes. • The fund of funds scheme may have different returns/performance than the underlying scheme due to various reasons. The return of the Fund of Funds may be adversely impacted by Total expense ratio, cash drag, timing and pricing difference b/w the subscription/redemption in the Fund of Funds v/s underlying scheme, operational and transactional reasons etc. • The scheme specific risk factors of the underlying schemes become applicable where a fund of funds invest. Investors who intend to invest in Fund of Funds are required to and are deemed to have read and understood the risk factors of the underlying scheme in which Fund of Funds scheme invest in. Copies of the Scheme Information Documents pertaining to the various schemes of Shriram Mutual Fund, which disclose the relevant risk factors, are available at the Investor/Customer Service Centers or may be accessed at www.shriramamc.in. • The FoF may invest in the underlying ETF through stock exchange, where market price of underlying ETF may be different from its Indicative Net Asset Value (INAV)/NAV. This may affect the performance of the scheme. • The subscription and redemption in FoF is also dependent on the liquidity of the underlying scheme. The illiquidity of the same may affect the performance of the FoF. A Fund Manager managing the Fund of Funds scheme may also be the Fund Manager for any underlying schemes. Risks Associated with Debt & Money Market Instruments • Price-Risk or Interest-Rate Risk: Fixed income securities such as bonds, debentures and money market instruments run price-risk or interest-rate risk. Generally, when interest rates rise, prices of existing fixed income securities fall

and when interest rates drop, such prices increase. The extent of fall or rise in the prices is a function of the existing coupon, days to maturity and the increase or decrease in the level of interest rates.

- **Credit Risk:** In simple terms this risk means that the issuer of a debenture/ bond or a money market instrument may default on interest payment or even in paying back the principal amount on maturity. Even where no default occurs, the price of a security may go down because the credit rating of an issuer goes down. It must, however, be noted that where the Scheme has invested in Government securities, there is no credit risk to that extent.
- **Liquidity or Marketability Risk:** This refers to the ease with which a security can be sold at or near to its valuation yield-to-maturity (YTM). The primary measure of liquidity risk is the spread between the bid price and the offer price quoted by a dealer. Liquidity risk is today characteristic of the Indian fixed income market.
- **Reinvestment Risk:** Investments in fixed income securities may carry reinvestment risk as interest rates prevailing on the interest or maturity due dates may differ from the original coupon of the bond. Consequently, the proceeds may get invested at a lower rate.
- **Pre-payment Risk:** Certain fixed income securities give an issuer the right to call back its securities before their maturity date, in periods of declining interest rates. The possibility of such prepayment may force the fund to reinvest the proceeds of such investments in securities offering lower yields, resulting in lower interest income for the fund.
- **Spread Risk:** In a floating rate security the coupon is expressed in terms of a spread or mark up over the benchmark rate. In the life of the security this spread may move adversely leading to loss in value of the portfolio. The yield of the underlying benchmark might not change, but the spread of the security over the underlying benchmark might increase leading to loss in value of the security.
- **Concentration Risk:** The Scheme portfolio may have higher exposure to a single sector, subject to maximum of 20% of net assets, depending upon availability of issuances in the market at the time of investment, resulting in higher concentration risk. Any change in government policy / businesses environment relevant to the sector may have an adverse impact on the portfolio.
- **Different types of securities in which the scheme would invest as given in the SID carry different levels and types of risk.** Accordingly the scheme's risk may increase or decrease depending upon its investment pattern. E.g. corporate bonds carry a higher amount of risk than Government securities. Further even among corporate bonds, bonds, which are AA rated, are comparatively more risky than bonds, which are AAA rated.

Risks associated with segregated portfolio

- Investor holding units of segregated portfolio may not able to liquidate their holding till the time recovery of money from the issuer.
- Security comprises of segregated portfolio may not realise any value.
- Listing of units of segregated portfolio in recognised stock exchange does not necessarily guarantee their liquidity. There may not be active trading of units in the stock market. Further trading price of units on the stock market may be significantly lower than the prevailing NAV.

Risks associated with investing in Tri-Party Repo through CCIL (TREPS)

The mutual fund is a member of securities segment and Tri-party Repo trade settlement of the Clearing Corporation of India (CCIL). All transactions of the mutual fund in government securities and in Triparty Repo trades are settled centrally through the infrastructure and settlement systems provided by CCIL; thus reducing the settlement and counterparty risks considerably for transactions in the said segments. CCIL maintains prefunded resources in all the clearing segments to cover potential losses arising from the default member. In the event of a clearing member failing to honor his settlement obligations, the default Fund is utilised to complete the settlement. The sequence in which the above resources are used is known as the "Default Waterfall". As per the waterfall mechanism, after the defaulter's margins and the defaulter's contribution to the default fund have been appropriated, CCIL's contribution is used to meet the losses. Post utilization of CCIL's contribution if there is a residual loss, it is appropriated from the default fund contributions of the non-defaulting members. Thus the scheme is subject to risk of the initial margin and default fund contribution being invoked in the event of failure of any settlement obligations. In addition, the fund contribution is allowed to be used to meet the residual loss in case of default by the other clearing member (the defaulting member). However, it may be noted that a member shall have the right to submit resignation from the membership of the Security segment if it has taken a loss through replenishment of its contribution to the default fund for the segments and a loss threshold as notified have been reached. The maximum contribution of a member towards replenishment of its contribution to the default fund in the 7 days (30 days in case of securities segment) period immediately after the afore-mentioned loss threshold having been reached shall not exceed 5 times of its contribution to the Default Fund based on the last re-computation of the Default Fund or specified amount, whichever is lower. Further, it may be noted that, CCIL periodically prescribes a list of securities eligible for contributions as collateral by members. Presently, all Central Government securities and Treasury bills are accepted as collateral by CCIL. The risk factors may undergo change in case the CCIL notifies securities other than Government of India securities as eligible for contribution as collateral."

The underlying schemes having exposure to the fixed income securities and/ or equity and equity related securities will be subject to the following risks and in turn the Scheme's/ Plans' performance will be affected accordingly.

RISKS ASSOCIATED WITH INVESTING IN UNDERLYING SCHEMES (AS APPLICABLE):

The scheme specific risk factors of the underlying schemes become applicable where a fund of funds invests. Investors who intend to invest in Fund of Funds are required to and are deemed to have read and understood the risk factors

of the underlying scheme in which the Fund of Funds scheme invest in. Copies of the Scheme Information Documents pertaining to the various schemes of Shriram Mutual Fund, which disclose the relevant risk factors, are available at the Customer Service Centers or may be accessed at www.shriramamc.in.

TRACKING ERROR AND TRACKING DIFFERENCE RISK

The Fund Manager would not be able to invest the entire corpus exactly in the same proportion as in the underlying index due to certain factors such as the fees and expenses of the Scheme, corporate actions, cash balance, changes to the underlying index and regulatory restrictions, which may result in Tracking Error with the underlying index. The Scheme's returns may therefore deviate from those of the underlying index. "Tracking Error" is defined as the standard deviation of the difference between daily returns of the underlying index and the NAV of the Scheme. Tracking Difference" is the annualized difference of daily returns between the Index and the NAV of the scheme (difference between fund return and the index return). Tracking Error and Tracking difference may arise including but not limited to the following reasons:

- Expenditure incurred by the Fund.
- Available funds may not be invested at all times as the Scheme may keep a portion of the funds in cash to meet Redemptions, for corporate actions or otherwise.
- Securities trading may halt temporarily due to circuit filters.
- Corporate actions such as debenture or warrant conversion, rights issuances, mergers, change in constituents etc.
- Rounding-off of the quantity of shares in the underlying index.
- Dividend payout.
- Index providers undertake a periodical review of the scrips that comprise the underlying index and may either drop or include new scrips. In such an event, the Fund will try to reallocate its portfolio but the available investment/reinvestment opportunity may not permit absolute mirroring immediately.

SEBI Regulations (if any) may impose restrictions on the investment and/or divestment activities of the Scheme Such restrictions are typically outside the control of the AMC and may cause or exacerbate the Tracking Error.

It will be the endeavor of the fund manager to keep the tracking error as low as possible. However, in case of events like, dividend received from underlying securities, rights issue from underlying securities, and market volatility during rebalancing of the portfolio following the rebalancing of the underlying index, etc. or in abnormal market circumstances may result in tracking error. There can be no assurance or guarantee that the Scheme will achieve any particular level of tracking error relative to performance of the Index.

Risk Associated while transacting through Email (Applicable only for large investors and market makers):

The AMC allows investors for transacting in mutual fund units through email. This may involve certain risks which the investor should carefully consider. Investors should note that email based instructions are inherently vulnerable to risks such as interception, unauthorised access, phishing, spoofing, failed delivery and unintended transmission and should ensure appropriate safeguards are in place when using such mode of transaction. The AMC does not accept any responsibility or liability for any loss, damages or inconvenience caused due to errors, delays, non - receipt or unauthorised access associated with transacting through email.

Risk mitigation strategies

Risks Associated with Debt & Money Market Instruments

Credit Risk - 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. 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.

RISK MITIGATION MEASURES FOR UNDERLYING SCHEMES

Risks Associated with Debt & Money Market Instruments

Credit Risk - 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.

Market Liquidity Risk: The Investment Manager will select fixed income securities, which have or are expected to have high secondary market liquidity.

Interest Rates Risk: As the investments of the Scheme are expected to be of short duration in nature, the risk can be expected to be minimum. 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.

Plans/Options	Regular Plan (For applications routed through Distributors) • Growth • Income Distribution cum Capital Withdrawal option (Payout/Reinvestment) Direct Plan (For applications not routed through Distributors) • Growth • Income Distribution cum Capital Withdrawal option (Payout/Reinvestment) Note: IDCW amounts can be distributed out of investors capital (Equalization Reserve), which is part of sale price that represents realised gains. IDCW distribution is at the discretion of the Trustees and subject to available distributable surplus. However, the Trustee reserve the right to introduce / modify investment Plans / Options under the Scheme at a future date in accordance with SEBI (MF) Regulations If IDCW payable under Payout of Income Distribution cum Capital Withdrawal option is equal to or less than Rs. 500/- then the IDCW would be compulsorily reinvested in the option of the Scheme. The portfolio of both plans will be unsegregated. The AMC reserves the right to introduce further Options as and when deemed fit. Direct Plan is only for investors who purchase /subscribe Units in the Scheme directly with the Fund and is not available for investors who route their investments through a Distributor. <u>Guidelines for Processing of transactions received under Regular Plan with invalid ARN</u> In accordance with AMFI circular no. 135/BP/ 111 /2023-24 dated February 2, 2024, transactions received in Regular Plan with Invalid ARN shall be processed in Direct Plan of the same Scheme (even if reported in Regular Plan), applying the below logic: <table><tr><th rowspan="2">Transaction Type</th><th colspan="3">Primary ARN</th><th colspan="2">SUB distributor ARN</th><th>EUIN*</th><th>Execution Only Mentioned</th><th>Regular Plan / Direct Plan</th></tr><tr><th>Valid</th><th>Invalid</th><th>Empanelled</th><th>Valid</th><th>Invalid</th><th>Valid</th><th>Yes</th><th></th></tr><tr><td rowspan="7">Lump Sum/ Registration</td><td>Y</td><td></td><td>Y</td><td></td><td></td><td></td><td>Y</td><td>Regular</td></tr><tr><td>Y</td><td></td><td>N</td><td colspan="4">Not applicable</td><td>Direct</td></tr><tr><td>Y</td><td></td><td>Y</td><td>N.A.</td><td>N.A.</td><td>N.A.</td><td>N</td><td>Regular</td></tr><tr><td>Y</td><td></td><td>Y</td><td>Y</td><td></td><td>Y</td><td></td><td>Regular</td></tr><tr><td></td><td>Y</td><td></td><td></td><td></td><td></td><td></td><td>Direct</td></tr><tr><td>Y</td><td></td><td>Y</td><td>Y</td><td></td><td></td><td>Y</td><td>Regular</td></tr><tr><td>Y</td><td></td><td>Y</td><td></td><td>Y</td><td></td><td></td><td>Direct</td></tr><tr><td rowspan="2">Trigger</td><td>Y</td><td></td><td></td><td colspan="4">Not applicable</td><td>Regular</td></tr><tr><td></td><td>Y</td><td></td><td colspan="4">Not applicable</td><td>Direct</td></tr></table>	Transaction Type	Primary ARN			SUB distributor ARN		EUIN*	Execution Only Mentioned	Regular Plan / Direct Plan	Valid	Invalid	Empanelled	Valid	Invalid	Valid	Yes		Lump Sum/ Registration	Y		Y				Y	Regular	Y		N	Not applicable				Direct	Y		Y	N.A.	N.A.	N.A.	N	Regular	Y		Y	Y		Y		Regular		Y						Direct	Y		Y	Y			Y	Regular	Y		Y		Y			Direct	Trigger	Y			Not applicable				Regular		Y		Not applicable				Direct
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Applicable NAV (after the scheme opens for subscriptions and redemptions)	‘Cut-off Timing’ in relation to an investor making an application for purchase or sale of units of the Scheme, shall mean, the outer limit of timing within a particular day which is relevant for determination of the NAV applicable for his transaction. The Applicable NAV used for processing subscriptions/redemptions is based on the time of the Business Day on which the application is time stamped. Investors get units on the basis of the Applicable NAV. Subscriptions / Purchases including Switch – ins: The following cut-off timings shall be observed by the Mutual Fund in respect of purchase (including switch-in) of the Units of the scheme, and the following NAVs shall be applied for such purchase/ switch-in: In respect to valid applications received upto 3.00 p.m. on a day and where the funds for the entire amount are credited to the bank account of the Scheme before the cut off time and the funds are available for utilization before the cut-off time on the same day – the closing NAV of the day shall be applicable. In respect to valid applications received after 3.00 p.m. on a day and where the funds for the entire amount are credited to the bank account of the Scheme either on the same day or before the cut-off time of the next Business Day i.e. available for utilization before the cut off time of the next Business Day – the closing NAV of the next Business Day shall be applicable. Irrespective of the time of receipt of application, where the funds for the entire amount are credited to the bank account of the Scheme before the cut-off time on any subsequent Business Day i.e. available for utilization before the cut-off time of any subsequent Business Day – the closing NAV of such subsequent Business Day shall be applicable.																																																																																											

	For allotment of units in respect of purchase in the Scheme/switch-in to the Scheme, it shall be necessary that: Application for purchase/switch-in is received before the applicable cutoff time. Funds for the entire amount of subscription / purchase as per the application for purchase/switch-in are credited to the bank account of the Scheme before the cut-off time. The funds are available for utilization by the Scheme before the cut-off time without availing any credit facility whether intra-day or otherwise, by the Scheme. In case of switch-in into the Scheme, the NAV applicability shall be based on the date of payout from the switch-out scheme. For systematic investment transactions such as Systematic Investment Plans (SIPs) and Systematic Transfer Plans (STPs), the units will be allotted as per the closing NAV of the day on which the funds are available for utilization by the target scheme irrespective of the SIP/ STP registration date, instalment date and amount of the SIP/ STP. It is clarified that for purchases, if funds are received in advance and the purchase application is received after receipt of funds in the scheme's bank account, then the applicable NAV would be based on the date and time of receipt of the application. Redemptions including Switch – outs The following cut off timings shall be observed by the Mutual Fund in respect of repurchase of units: where the application is received upto 3.00 p.m. – closing NAV of the day of receipt of application where application is received after 3.00 p.m. – closing NAV of the next business day. Applicable NAV in case of Redemptions under dematerialised mode: It may be noted that in case of Redemption of units held in demat mode, the date and time available in the electronic feed from the DP sent to the AMC/Registrar will only be considered for the purpose of determination of Applicable NAV.		
Minimum Application Amount/ Number of Units	Minimum Application Amount/switch in Rs. 500/- and in multiples of Re 1/-thereafter	Minimum Additional Purchase Amount Minimum of Rs. 500/- and in multiples of Re.1/- thereafter	Minimum Redemption/switch out amount The minimum redemption amount for all plans will be Rs. 500 or account balance, whichever is lower.
Despatch of Redemption Request	The redemption or repurchase proceeds shall be dispatched to the unitholders within three working days from the date of redemption or repurchase. For list of exceptional circumstances refer para 15.3.3 of SEBI Master Circular for Mutual Funds dated March 20, 2026. For further details, please refer SID		
Benchmark Index	The performance of the scheme will be benchmarked to the performance of the Domestic Price of Physical Gold.		
Dividend Policy (IDCW)	The IDCW warrants shall be dispatched to the unit holders within 7 working days from the record date. In case of Unit Holder having a bank account with certain banks with which the Mutual Fund would have made arrangements from time to time, the IDCW proceeds shall be directly credited to their account. The IDCW will be paid by warrant and payments will be made in favor of the Unit holder (registered holder of the Units or, if there is more than one registered holder, only to the first registered holder) with bank account number furnished to the Mutual Fund (please note that it is mandatory for the Unit holders to provide the Bank account details as per the directives of SEBI). Further, the IDCW proceeds may be paid by way of ECS/EFT/NEFT/RTGS/any other manner through which the investor's bank account specified in the Registrar & Transfer Agent's records is credited with the IDCW proceeds as per the instructions of the Unit holders. In case the delay is beyond seven working days, then the AMC shall pay interest @ 15% p.a. from the expiry of seven working days till the date of dispatch of the warrant.		
Name of the Fund Manager	Mr. Sudip More & Mr. Surjeet Kumar Singh		
Name of the Trustee Company / Board of Trustees	Shriram Trustees Limited		
Performance of the scheme :	This is a new scheme and does not have any performance track record.		
Additional Scheme Related Disclosures	i. Scheme's portfolio holdings (top 10 holdings by issuer and fund allocation towards various sectors): Not applicable as the scheme is a new Scheme. ii. Disclosure of name and exposure to Top 7 issuers, stocks, groups and sectors as a percentage of NAV of the scheme in case of debt and equity ETFs/index funds: Not applicable		

	iii. Portfolio Disclosure – Fortnightly/Monthly and Half Yearly - Not applicable as the scheme is a new Scheme. iv. Functional website link to the respective addendums to the SID after the last update of SID – https://www.shriramamc.in/investor-downloads v. Portfolio Turnover Rate particularly for equity-oriented schemes - NA vi. Aggregate investment in the Scheme: Not applicable as the scheme is a new Scheme. vii. Investments of AMC in the Scheme – Not Applicable Pursuant to Regulation 22(3)(a) of the SEBI (Mutual Funds) Regulations, 2026 and clause 7.13.2 of SEBI Master Circular No. SEBI/ HO/24/13/11(1)2026-IMD-POD-1/I/7602/2026 dated March 20, 2026 , AMC shall not be required to invest minimum amount as a percentage of AUM in the Scheme. The AMC may invest in the scheme during the New Fund Offer (NFO) or the continuous offer period subject to the SEBI (Mutual Funds). As per the existing SEBI (Mutual Funds) Regulations, the AMC will not charge investment management and advisory fee on the investment made by it in the scheme. The Sponsor, Trustee and their associates may invest in the scheme on an ongoing basis subject to SEBI (Mutual Funds) Regulations & circulars issued by SEBI and to the extent permitted by its Board of Directors from time to time. Link to view the investment (if any): https://www.shriramamc.in/investor-statutory-disclosures viii. Link for details of distribution of Income Distribution cum Capital Withdrawal (IDCW): https://www.shriramamc.in/investor-idcw				
Expenses of the Scheme	New Fund Offer Period: These expenses are incurred for the purpose of various activities related to the NFO like sale and distribution fees paid, marketing and advertising, registrar expenses, printing and stationery, bank charges etc. NFO expenses shall be borne by the AMC.				
Load Structure	Continuous Offer: Exit Load: NIL				
Recurring Expenses	ANNUAL SCHEME RECURRING EXPENSES These are the fees and expenses for operating the Scheme. These expenses include and are not limited to Investment Management and Advisory Fee charged by the AMC, Registrar's fee, Marketing and selling costs etc., as given in the Table 2 which summarizes estimated annualized recurring expenses as a % of daily net assets of the Scheme. This section outlines various expenses that will be borne by the Scheme. The information provided below would assist the investor in understanding the expense structure of the Scheme, types of different fees / expenses, their percentage the investor is likely to incur on purchasing and selling the Units of the Scheme. The AMC has estimated that upto 0.90% of the daily net assets of the scheme will be charged to the scheme as expenses. For the actual current expenses being charged, the investor should refer to the website of the mutual fund. Operating & recurring expenses under regulation 66: The Scheme may charge expenses within overall limits as specified in the Regulations except those expenses which are specifically prohibited. Table 1: Limit for Base Expense ratio as prescribed under regulation 66 (7) (b) of SEBI MF regulations for fund of fund scheme investing in ETFs: <table border="1"> <thead> <tr> <th>Particulars</th><th>As a % of daily net assets as per Regulation 66 (7) (b)</th></tr> </thead> <tbody> <tr> <td>On total assets</td><td>0.90%</td></tr> </tbody> </table> The base expense ratio of Fund of Funds to be charged over and above the weighted average of the base expense ratio of the underlying scheme shall not exceed two times the weighted average of the base expense ratio levied by the underlying scheme(s), subject to the overall ceilings for Fund of Funds as stated above. Notes to Table: In addition to base expenses as permissible under Regulation 66 (7) (b), the AMC may also charge the following to the Scheme under Regulation 66 (9) & 66(10): - A mutual fund scheme may charge expense incurred towards brokerage, for the purpose of execution of trade, over and above the base expense ratio subject to a maximum of 0.06 per cent of trade value in case of cash market transactions and 0.02 per cent of trade value in case of derivatives transactions. Expense charged towards brokerage, over and above the specified limit, shall be part of the base expense ratio limit specified under sub-regulation (7) of regulation 66. - Transaction costs incurred for the purpose of execution of trade mean regulatory levies and any other expenses charged by the stock exchanges, clearing corporation, and clearing house, as applicable. Such transaction costs shall not form part of the base expense ratio.	Particulars	As a % of daily net assets as per Regulation 66 (7) (b)	On total assets	0.90%
Particulars	As a % of daily net assets as per Regulation 66 (7) (b)				
On total assets	0.90%				

c) All statutory levies will be over and above the base expense ratio limits as defined in regulation 66(7).
Total Expense Ratio (TER'):
'Total expense ratio' means the ratio of total of all expenses charged to the investors of the scheme to the total asset under management of the scheme, as may be specified by SEBI.
As per Regulation 67(1), the total of all expenses charged to the investors of the scheme, shall be total of expense charged within the base limit specified under sub-regulation 7 of regulation 66, brokerage cost permitted under sub-regulation 9 of regulation 66, transaction cost incurred for the purpose of execution of trade as referred under sub-regulation 10 of regulation 66, and statutory levies charged to the investors.

Statutory Levy: "statutory levy" means levy imposed by state government and central government;

Others:
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 AMC, its associate, sponsor, trustees or any other entity through any route in terms of SEBI circulars, subject to the clarifications provided by SEBI to AMFI vide letter dated February 21, 2019 on implementation of clause 11.3 of Master Circular.

Provided that the expenses that are very small in value but high in volume (as provided by AMFI in consultation with SEBI) may be paid out of AMC's books. Such expenses can be paid out of AMC's books at actuals or not exceeding 2 bps of the Scheme AUM, whichever is lower.

Further with regards to the cost of borrowings in terms of Regulation 42, the same shall be adjusted against the portfolio yield of the Scheme and borrowing costs in excess of portfolio yield, if any, shall be borne by the AMC.

Disclosure of Total Expense Ratio:
In accordance with clause 11.2 of the SEBI Master Circular, the AMC shall prominently disclose TER on daily basis on the website www.shriramamc.in and on website of AMFI.

Change in Base Expense Ratio ('BER'):
In accordance with clause 11.4 of the SEBI Master Circular, changes in the BER (i.e. expenses as provided in Regulation 66(7) of SEBI (Mutual Funds) Regulations, 2026) in comparison to previous BER charged to any scheme/plan shall be communicated to investors of the scheme/plan through notice via email or SMS at least three working days prior to effecting such change.

The notices of change in BER shall be updated on the website at least three working days prior to effecting such change. Provided that the prior intimation/notice shall not be required for any increase or decrease in BER due to change in AUM and any decrease in BER due to various regulatory requirements.

illustrative example for estimating expenses :

The AMC in good faith has estimated and summarized expenses in the below table for Scheme. The actual total expenses may be more or less than as specified in the table below. The below expenses are subject to inter-se change and may increase/decrease as per actuals, and/or any change in the Regulations.

Table 2: The estimated total expenses as a % of daily net assets of the Scheme are as follows:

Expense Head	% of daily net assets
Investment Management and Advisory Fees	Upto 0.90%
Audit fees/fees and expenses of trustees	
Custodial Fees	
Registrar & Transfer Agent Fees including cost of providing account statement, IDCW/ redemption cheques/ warrants	
Marketing & Selling Expenses including fees, commission and charges towards distribution of mutual fund schemes	
Cost related to investor communications	
Cost of fund transfer from location to location	
Cost towards investor education, awareness and financial inclusion(as per applicable rates in force) ^^^	
Brokerage & transaction cost pertaining to execution of trade in addition to limits prescribed in regulation 66(9)	
Cost of statutory advertisements	
Other Expenses (such other expenses as may be specified or approved by the Board)	

	Maximum Base expense ratio (BER) permissible under Regulation 66(7)(b)	Upto 0.90%																					
	Statutory levies (including GST) on all expenses excluding brokerage and transaction cost	GST of 18% or any other rate as may be levied from time to time on the Taxable/Invoice/Contract amount. Additionally, levies such as Stamp Duty, STT etc.																					
	Statutory levies (including GST) on brokerage and transaction cost	Will be charged on Turnover of securities which will be at prescribed rates																					
Expense Structure for Direct Plan Direct Plan will have lower expense ratio than Regular Plan of the Scheme. The expenses under Direct Plan shall exclude the distribution and commission expenses. All fees and expenses charged in a direct plan (in percentage terms) under various heads including the investment and advisory fee shall not exceed the fees and expenses charged under such heads in a Regular Plan. The above expense structures are indicative in nature. Actual expenses could be lower than mentioned above. The purpose of the above table is to assist the investor in understanding the various costs & expenses that the investor in the Scheme will bear directly or indirectly. For the actual current expenses being charged, the investor should refer to the website of the Mutual Fund. Illustration of impact of expense ratio on scheme's returns: <table border="1"> <thead> <tr> <th>Particulars</th><th>Regular Plan</th><th>Direct Plan</th></tr> </thead> <tbody> <tr> <td>Amount invested at the beginning of the year (₹)</td><td>10,000</td><td>10,000</td></tr> <tr> <td>Annual income accrued to the scheme (₹)</td><td>1,000</td><td>1,000</td></tr> <tr> <td>Expenses other than Distribution expenses (₹)</td><td>75</td><td>75</td></tr> <tr> <td>Distribution expenses (₹)</td><td>25</td><td>-</td></tr> <tr> <td>Returns after expenses at the end of the year (₹)</td><td>900</td><td>925</td></tr> <tr> <td>Returns after expenses at the end of the year (in %)</td><td>9.00%</td><td>9.25%</td></tr> </tbody> </table> Link for TER disclosure: https://www.shriramamc.in/investor-total-expense-ratio The investors shall note that they are bearing the recurring expenses of the scheme, in addition to the expenses of other schemes in which the Fund of Funds Scheme makes investments.			Particulars	Regular Plan	Direct Plan	Amount invested at the beginning of the year (₹)	10,000	10,000	Annual income accrued to the scheme (₹)	1,000	1,000	Expenses other than Distribution expenses (₹)	75	75	Distribution expenses (₹)	25	-	Returns after expenses at the end of the year (₹)	900	925	Returns after expenses at the end of the year (in %)	9.00%	9.25%
Particulars	Regular Plan	Direct Plan																					
Amount invested at the beginning of the year (₹)	10,000	10,000																					
Annual income accrued to the scheme (₹)	1,000	1,000																					
Expenses other than Distribution expenses (₹)	75	75																					
Distribution expenses (₹)	25	-																					
Returns after expenses at the end of the year (₹)	900	925																					
Returns after expenses at the end of the year (in %)	9.00%	9.25%																					
Tax treatment for the Investors (Unitholders)	Investors are advised to refer to the Section on 'Taxation on investing in Mutual Funds' in the 'Statement of Additional Information' and also independently refer to his tax advisor.																						
Daily Net Asset Value (NAV) Publication	The AMC shall declare the Net Asset Value (NAV) of the scheme on every Business Day on AMFI's website (www.amfiindia.com) by 10.00 a.m. of the following business day and also on its website (www.shriramamc.in)																						
For Investor Grievances please contact	Name & Address of Registrar : Computer Age Management Services Ltd., (SEBI Registration No. : INR000002813) New No. 10, Old No. 178, M.G.R. Salai Nungambakkam, Chennai - 600034 Email : enq_sh@camsonline.com, Website : www.camsonline.com SHRIRAM MUTUAL FUND Mr. Chandrashekhar Kadechkar (Investor Relations Officer)																						

	Shriram Asset Management Co. Ltd. 511-512, Meadows, Sahar Plaza, J. B. Nagar, Andheri (East), Mumbai - 400 059 Tel: 022-6947 3400 Email: info@shriramamc.in Website: www.shriramamc.in
Unitholders' Information	Unit holder's Information : The AMC shall send an allotment confirmation specifying the units allotted by way of email and/or SMS within 5 working days of receipt of valid application/transaction to the Unit holders registered e-mail address and/ or mobile number (whether units are held in demat mode or in account statement form). A Consolidated Account Statement (CAS) detailing all the transactions across all mutual funds (including transaction charges paid to the distributor) and holding at the end of the month shall be sent to the Unit holders in whose folio(s) transaction(s) have taken place during the month by mail or email on or before 15th of the succeeding month. Half-yearly CAS shall be issued at the end of every six months (i.e. September/ March) on or before 21st day of succeeding month, to all investors providing the prescribed details across all schemes of mutual funds and securities held in dematerialised form across demat accounts, if applicable. For further details, refer SAI. Portfolio Disclosure : Pursuant to the Para 6.1.1 of SEBI Mutual Funds Master Circular dated March 20, 2026, Mutual Funds/ AMC shall disclose portfolio (along with ISIN) as on the last day of the month for the scheme on AMC website and on the website of AMFI within 10 calendar days from the close of each month in a user-friendly and downloadable spreadsheet format. In case of unit holders whose e-mail addresses are registered, AMC shall send such monthly statements of scheme portfolio to such unitholders via email within the timelines prescribed above at Paragraph 6.1.1. AMC shall declare on the website the hosting of the monthly statement of the scheme portfolio on the AMC website and on the website of AMFI and the modes such as SMS, telephone, email or written request (letter) through which a unit holder can submit a request for a physical or electronic copy of the statement of scheme portfolio. AMC shall provide a physical copy of the statement of the scheme portfolio, without charging any cost, on specific request received from a unit holder. For further details, please refer to the website of the Mutual Fund at https://www.shriramamc.in/investor-statutory-disclosures Portfolio Turnover Policy: Portfolio turnover is defined as the aggregate value of purchases or sales as a percentage of the corpus of a scheme during a specified period of time. The Scheme is open ended, with subscriptions and redemptions expected on a daily basis, resulting in net inflow/outflow of funds, and on account of the various factors that affect portfolio turnover; it is difficult to give an estimate, with any reasonable amount of accuracy. However, during volatile market conditions, the fund manager has the flexibility to churn the portfolio actively to optimize returns keeping in mind the cost associated with it. Half Yearly Unaudited Financial Results: The mutual fund and asset management company shall, within one month from the close of each half-year ending on 31st March and 30th September, host the unaudited financial results of the schemes on the AMC website. For the purpose of easy reference by the investors, mutual fund shall display unaudited half yearly results on the AMC website and on the website of AMFI, in a user-friendly, downloadable and machine readable format, within 1 month after the end of each half year. Written communication (including digital modes such as email/SMS etc.) shall be sent to unitholders by the asset management company about the availability of financial. For further details, please refer to the website of the Mutual Fund at https://www.shriramamc.in/investor-statutory-disclosures Annual Report: The scheme wise annual report, in machine readable format, shall be hosted on the website of the AMC and on the website of AMFI. AMC shall display the link prominently on the AMC website and make the physical copies available to the unit holders, at the registered offices at all times. The website of the AMC shall also be linked with AMFI website so that the investors and analyst(s) can access the annual reports of all mutual funds at one place. AMC shall send an email/SMS to all unitholders regarding the hosting of scheme wise annual report on the AMC website and on the website of AMFI. AMC shall e-mail the scheme annual reports or abridged summary thereof, in machine readable formats, to all such unit

	holders, whose email addresses are registered with the Mutual Fund, within 4 months from the date of closure of the relevant financial year. The said communication shall also include details of modes such as SMS, telephone, email or written request (letter), etc. through which unit holders can submit a request for a physical copy of the scheme wise annual report or abridged summary thereof. Mutual Fund/ AMC shall provide a physical copy of the abridged summary of the Annual Report, without charging any cost, on specific request received from a unit holder. The AMC may provide physical copy of the Annual Report to the unitholders on payment of such nominal fees as may be specified by Shriram Mutual Fund. For further details, please refer to the website of the Mutual Fund at https://www.shriramamc.in/investor-statutory-disclosures Scheme Summary Document (SSD): The AMC shall provide on its website the Scheme Summary Document which is a standalone scheme document which contains all the applicable details of the Scheme, as per the prescribed format. The document shall be updated by the AMC on a monthly basis or on changes in any of the specified fields, whichever is earlier. The document shall be uploaded on the websites of the AMC, AMFI and Stock Exchanges in 3 data formats, namely PDF, Spreadsheet and a machine readable format (either JSON or XML). Periodic disclosure of Risk-o-meter of the Scheme and of the Benchmark: In accordance with Clause 6.16 of SEBI Master Circular for Mutual Funds dated March 20, 2026, the Risk-o-meter of the Scheme shall be evaluated on a monthly basis and any change in risk-o-meter of the scheme or its benchmark shall be communicated to the unitholders of the Scheme by way of Notice cum Addendum and by way of an e-mail or SMS. The Mutual Fund/ AMC shall disclose the Risk-o-meter along with portfolio disclosure for all schemes on its website and on AMFI website within 10 calendar days from the close of each month. The Mutual Fund/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. The Mutual Fund/ AMC shall publish the scheme wise changes in Risk-o-meter in scheme wise Annual Reports and Abridged summary as per the prescribed format. The product label of the Scheme shall be disclosed on the front page of initial offering application form, SID, KIM, common application form and scheme advertisements as prescribed. Further, in accordance with Clause 6.17 of SEBI Master Circular for Mutual Funds dated March 20, 2026, the AMC is required to disclose the following in all disclosures, including promotional material or the disclosures stipulated by SEBI: - risk-o-meter of the Scheme wherever the performance of the Scheme is disclosed; and - risk-o-meter of the Scheme and benchmark wherever the performance of the Scheme vis-a-vis that of the benchmark is disclosed. Additionally, the AMC is also required to include the Scheme risk-o-meter, name of benchmark and risk-o-meter of benchmark in the portfolio disclosure in terms of Clause 6.17 of SEBI Master Circular for Mutual Funds dated March 20, 2026. The Key Information Memorandum is dated as August 28, 2026
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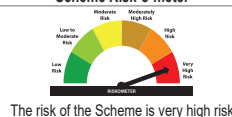
511-512, Meadows, Sahar Plaza,
J. B. Nagar, Andheri (East),
Mumbai - 400 059
Website : www.shriramamc.in

New Fund Offer opens on:	September 11, 2026
New Fund Offer closes on:	September 24, 2026
Scheme Re-opens for continuous sale and repurchase on:	September 30, 2026

The above product labelling assigned during the New Fund Offer (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.

- Long term capital appreciation
- Investment in units of various Gold ETFs which further invests in physical Gold

There is no assurance that the investment objective of the Scheme will be achieved



Application No. _____

Name & ARN Code	Sub Broker Code / ARN	Internal code for sub Agent/Employee	EUIN	Bank Serial No./Bank Stamp/ Receipt Date

The upfront commission on investment made by the investor, if any, shall be paid to the ARN Holder (AMFI registered distributor) directly by the investor, based on the investor's assessment of various factors including service rendered by the ARN Holder.

Applicable only if ARN is mentioned but EUIN box is left blank: "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." Applicable only if RIA Code is mentioned: "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 SEBI-Registered Investment Adviser whose code is mentioned herein."

Signatures	First / Sole Applicant / Guardian	Second Applicant	Third Applicant
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Folio No.									The details in our records under the folio number mentioned will apply for this application.
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Sole /First Applicant/Minor* PAN/PEKRN* Name of GUARDIAN (In case First/Sole applicant is minor / CONTACT PERSON- DESIGNATION/ PoA HOLDER (In case of Non-Individual Investor) PAN/PEKRN* ☐ KYC Proof Attached (Mandatory) Relationship with Minor applicant: ☐ Natural guardian ☐ Court applicant guardian 2nd APPLICANT (Name should be as per Aadhaar) PAN/PEKRN* 3rd APPLICANT (Name should be as per Aadhaar) PAN/PEKRN*	Enclose (Please ✓) ☐ KYC Acknowledgement Letter KYC Id No.* Enclose (Please ✓) ☐ KYC Acknowledgement Letter KYC Id No.* Enclose (Please ✓) ☐ KYC Acknowledgement Letter KYC Id No.*	Date of Birth AADHAAR No.# Date of Birth AADHAAR No.# Date of Birth AADHAAR No.# Date of Birth AADHAAR No.#
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*If the first/sole applicant is a Minor, then please provide details of Natural/Legal Guardian.

If Aadhaar No. is applied for please enclose proof of enrolment.

If the investor applicant is a minor, then please provide details of Natural Legal Guardian.				If Natural No. is applied for please choose proof of enrollment.				
Mode of Holding (Please ✓)	☐ Anyone or Survivor	☐ Single	☐ Joint	(Default option is Anyone or Survivor)				
Tax Status (Please ✓)	☐ Resident Individual	☐ NRI/PIO	☐ Trust	☐ HUF	☐ Bank FIs	☐ Sole Proprietorship	☐ NRO	☐ Other
	☐ Minor	☐ Company/Bodv Corporate		☐ FIs	☐ Partnership Firm	☐ AOP/BOI	☐ Society	

[illegible]

E-mail^

Overseas Correspondence Address (Mandatory for NRI/PIO Applicant)	
---	--

City		Country										Pincode		
------	--	---------	--	--	--	--	--	--	--	--	--	---------	--	--

^ Primary Holder's own email address and mobile number to be provided

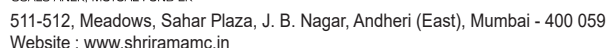
In case family member's Mobile no / Email ID provided, then please provide the family description as per the code given below. Family description code

Values : <Family Code>					
Family Code	Family Description	Family Code	Family Description	Family Code	Family Description
SE	Self	DS	Dependent Siblings	PM	PMS
SP	Spouse	DP	Dependent Parents	CD	Custodian
DC	Dependent Children	GD	Guardian	PO	POA

☐ Opt-in facility to receive physical copy of the scheme - wise annual report or abridged summary there of.

☐ I/We wish to receive Account Statement/Annual Reports/Quarterly Statements/Newsletter/Updates or any other Statutory Information via E-mail/SMS alerts in lieu of Physical Documents.

☐ I/We would like to know more about Shriram MF products over the telephone / Mailer.

ACKNOWLEDGEMENT SLIP (To be filled in by the Sole / First Applicant)**Shriram Gold ETF Passive FOF**

Application No.

Date / /

Stamp, Signature & Date

Received from Mr. / Ms. / M/s.

an application for purchase of units of **Shriram Gold ETF Passive FOF** for Rs. _____ on date _____

an application for purchase of units of **Shriram Gold ETF Passive FOF** for Rs. _____ on date

D	D	/	M	M	/	Y	Y	Y	Y
---	---	---	---	---	---	---	---	---	---

"In case there is any change in your KYC information please update the same by using the prescribed 'KYC Change Request Form' and submit the same at the Point of Service of any KYC Registration Agency"

5. BANK ACCOUNT DETAILS - MANDATORY (For multiple banks registration please submit the Multiple Bank Registration Form)

Name of the Bank																	
Branch Address																	
Bank Branch City						State						Pincode					
Account No.											A/C. Type (Please ☐)	☐ Savings	☐ NRE	☐ Current	☐ NRO	☐ FCNR	
9 digit MICR Code						11 digit IFSC Code											
Please attach a cancelled cheque OR a clear photo copy of a cheque																	

6. ■ UNITS IN DEMAT MODE (Please ✓) ■ NSDL ■ CDSL

DP ID																Beneficiary Account No./Client ID															
DP Name																															

Note : Please attach the depository transaction statement or DP master data indicating the DP account number of the applicant. Please ensure that sequence of names as mention in the Application Form match with that of the account held with the DP.

7. POWER OF ATTORNEY (POA)

POA Name																														
PAN											KYC ☐ Yes ☐ No - if investment is being made by a constitutional Attorney, please submit the notarized copy of the POA																			

8. INVESTMENT DETAILS AND PAYMENT DETAILS-Cheque/DD/RTGS/NEFT/Transfer (outstation cheques will be rejected) Please ☐ wherever applicable.

Scheme Name : SHRIRAM GOLD ETF PASSIVE FOF

Plan : ☐ Regular * ☐ Direct **Option :** ☐ Growth ☐ Income Distribution cum Capital Withdrawal option **Mode of IDCW :** ☐ Payout* ☐ Re-investment
* Default Plan

Investment Amount (Rs.)	DD Charges if any (Rs.)	Net Amount (in words) _____
-------------------------	-------------------------	-----------------------------

Mode of Payment (Please ✓)																													
☐ Cheque ☐ DD ☐ Funds Transfer ☐ RTGS/NEFT Rs. (amt. in Rs.) _____ (in words) _____)																													
Drawn on Bank															Account No.														
Branch & City															IFSC Code														
Cheque / DD No.															Date D D M M Y Y Y Y														

A/c Type - ☐ S/B source of funds ☐ NRE ☐ Current ☐ NRO ☐ FCNR* | *Kindly provide photocopy of the payment Instrument or Foreign Inward Remittance Certificate (FIRC) evidencing

Cheque/D.D. to be crossed "Account Payee" only and should be drawn payable to :-"SHRIRAM GOLD ETF PASSIVE FOF A/C xxxxxx" (Investor PAN) or "SHRIRAM GOLD ETF PASSIVE FOF A/C XXXXXX" (Name of the Firstholder)

9. KYC DETAILS (Mandatory)

Sole/First Applicant	☐ Private sector service ☐ Housewife	☐ Public sector service ☐ Student	☐ Government Services ☐ Forex Dealer	☐ Business ☐ Other (Please Specify)	☐ Professional	☐ Agriculturist	☐ Retired
Second Applicant	☐ Private sector service ☐ Housewife	☐ Public sector service ☐ Student	☐ Government Services ☐ Forex Dealer	☐ Business ☐ Other (Please Specify)	☐ Professional	☐ Agriculturist	☐ Retired
Third Applicant	☐ Private sector service ☐ Housewife Student	☐ Public sector service ☐ Forex Dealer	☐ Government Services ☐ Other (Please Specify)	☐ Business	☐ Professional	☐ Agriculturist	☐ Retired

Gross Annual Income [Please tick (✓)]

Sole/First Applicant	☐ Below 1 Lac OR Net worth (Mandatory for Non - Individuals) _____ as on _____	☐ 1-5 Lac	☐ 5-10 Lacs	☐ 10-25 Lacs	☐ >25 Lacs - 1Crore	☐ >1 Crore OR Net Worth Not older than 1 year
Second Applicant	☐ Below 1 Lac	☐ 1-5 Lac	☐ 5-10 Lacs	☐ 10-25 Lacs	☐ >25 Lacs - 1Crore	☐ >1 Crore OR Net Worth _____
Third Applicant	☐ Below 1 Lac	☐ 1-5 Lac	☐ 5-10 Lacs	☐ 10-25 Lacs	☐ >25 Lacs - 1Crore	☐ >1 Crore OR Net Worth _____

Sole/First Applicant	For Individuals [Please tick (✓)] I am Politically Exposed Person (PEP)* I am Related to Politically Exposed Person (RPEP) Not applicable For Non Individuals [Please tick (✓)] (Please attach mandatory Ultimate Beneficial Ownership (UBO) declaration form: (i) Foreign Exchange/Money changer services - ☐ Yes ☐ No (ii) Gaming/Gambling/Lottery/Casino Services - ☐ Yes ☐ No (iii) Money Lending/Pawing - ☐ Yes ☐ No
Second Applicant	☐ Politically Exposed Person (PEP)* ☐ Related to Politically Exposed Person (RPEP) ☐ Not applicable
Third Applicant	☐ Politically Exposed Person (PEP)* ☐ Related to Politically Exposed Person (RPEP) ☐ Not applicable

Scheme Name : SHRIRAM GOLD ETF PASSIVE FOF

Plan : Regular ☐ Direct (Please any one). **Option :** _____ **Sub Option :** _____

Cheque / DD No. _____ **Date :** _____ **Amount Rs.:** _____

Bank and Branch : _____

REGISTRAR & TRANSFER AGENTS

Computer Age Management Services Ltd., (SEBI Registration No. : INR000002813)

New No. 10, Old No. 178, M.G.R. Salai, Nungambakkam, Chennai - 600 034, Email enq_sh@camsonline.com, Website : www.camsonline.com

10. FATCA AND CRS DETAILS FOR INDIVIDUALS (Including Sole Proprietor) (Mandatory)

Non Individual Investors should mandatorily fill separate **FATCA Form** (The below information is required for all applications guardian.

	Place/City of Birth	Country of Birth	Country of Citizenship / Nationality
First Applicant/Guardian			☐ Indian ☐ U.S. ☐ Others (Please Specify) _____
Second Applicant			☐ Indian ☐ U.S. ☐ Others (Please Specify) _____
Third Applicant			☐ Indian ☐ U.S. ☐ Others (Please Specify) _____

Are you a tax resident (i.e. are you assessed for Tax) in any other country outside India? ☐ Yes ☐ No [Please tick (✓)]

If "Yes" please fill for All countries (Other than India) in which you are a Resident for tax purpose i.e. where you are a Citizen/Resident /Green Card Holder /Tax Resident in the respective countries.

	Country of Tax Residency	Tax identification number or Functional Equivalent	Identification Type (TIN or other please specify)	Country of Citizenship / Nationality
First Applicant/Guardian				Reason : A ☐ B ☐ C ☐
Second Applicant				Reason : A ☐ B ☐ C ☐
Third Applicant				Reason : A ☐ B ☐ C ☐

☐ Reason A : The country where the Account Holder is liable to pay tax does not issue Tax Identification Numbers to its residents.

☐ Reason B : No TIN required (Select this reason only if the authorities of the respective country of tax residence do not require the TIN to be collected)

☐ Reason C : Others, please state the reason thereof: _____

Address Type of Sole/1st Holder :

Address Type of 2nd Holder :

Address Type of 3rd Holder :

☐ Residential ☐ Registered Office ☐ Business ☐ Residential ☐ Registered Office ☐ Business ☐ Residential ☐ Registered Office ☐ Business

FATCA Form for Non Individual is available on the website of AMC i.e. www.shriramamc.in or at the CAMS Investor Service

11. NOMINATION DETAILS [Minor / HUF / POA Holder / Non Individuals Cannot Nominate]

I/We hereby nominate the following person(s) who shall receive all the assets held in my / our account / folio in the event of my / our demise, as trustee and on behalf of my / our legal heir(s)*

Nomination Details								
	Mandatory Details						Additional Details ****	
	Name of nominee	Share of nominee (%)***	Relationship	Postal Address	Mobile / Telephone No. & E-mail	Identity Number ***	D.O. B. of nominee	Guardian
Nominee 1								
Nominee 2								
Nominee 3								

*Joint Accounts:

1) I / We want the details of my / our nominee to be printed in the statement of holding, provided to me/ us by the AMC as follows; (please tick, as appropriate)

☐ Name of nominee(s) ☐ Nomination: Yes / No

2) I hereby authorize _____ (nominee number __) to operate my account on my behalf, in case of my incapacitation in terms of paragraph 3.5 of the circular. He / She is authorized to encash my assets up to ____% of assets in the account / folio or Rs. _____

(strike off portions that are not relevant)

3) This nomination shall supersede any prior nomination made by me / us, if any.

☐ I/We do not wish to nominate anybody on my/our behalf.

Name(s) of holder(s)	Signature(s) of holder	Witness Signature*
Sole / First Holder (Mr./Ms.)		
Second Holder (Mr./Ms.)		
Third Holder (Mr./Ms.)		

*Signature of two witness(es), along with name and address are required, if the account holder affixes thumb impression, instead of wet signature.

Event	Transmission of Account / Folio to
Demise of one or more joint holder(s)	Surviving holder(s) through name deletion The surviving holder(s) shall inherit the assets as owners
Demise of all joint holders simultaneously - having nominess	Nominee
Demise of all joint holders simultaneously - not having nominess	Legal heir(s) of the youngest holder

** If % is not specified, then the assets shall be distributed equally amongst all the nominees. Any odd lot after division / fraction of % shall be transferred to the first nominee mentioned in the nomination form (see table in "Transmission aspects").

***Provided only number: PAN or Driving Licence or Aadhaar (last 4). Copy of the documents is not required. In case of NRI / OCI / PIO, Passport number is acceptable.

**** to be furnished only in following conditions / circumstances:

• Date of Birth (DoB) : please provide only if the nominee is minor.

• Guardian : It is optional for you to provide, if the nominee is minor.

12. DECLARATION

I/We have read, understand and hereby agree to abide by the Scheme information Document/ Key information Memorandum of the Scheme(s), 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. I/We hereby apply to the Shriram Mutual Fund for allotment of units of the Scheme, as indicated above and agree to abide by the terms, conditions, rules and regulations of the Scheme. 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. I/We have not received nor been induced by any rebate or gifts, directly or indirectly in making this investment. I / We authorize the Fund to disclose details of my/our account and all my/our transactions to the intermediary whose stamp appears on the application form. I/We also authorize the Fund to disclose details as necessary, to the Fund's and investor's bankers for the purpose of effecting payments to me/ us. Applicable to NRIs only : I/ We confirm that I am/we are Non-Resident of Indian Nationality/Origin and I/we hereby confirm that the funds for subscription have been remitted from abroad through approved banking channels or from funds in my/our Non-Resident External / Ordinary Account/FCNR/NRSR Account.

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)

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.

Investment in the scheme is made by me / us on : Repatriation basis Non Repatriation basis.

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.

Signature

First / Sole Applicant / Guardian	Second Applicant	Third Applicant
-----------------------------------	------------------	-----------------

Nomination Form

Applicable for Individual Unitholders only

Please read the instructions carefully before filling up this form

I/We wish to make a nomination. [As per details given below]			
Nomination Details			
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.			
Nomination can be made upto three nominees in the account.	Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
Mandatory Details			
1	Name of the nominee(s) (Mr./Ms.) Guardian Name in case of Minor (Optional)		
2	Share of each Nominee Equally [If not equally, please specify percentage]	%	%
<i>Any odd lot after division shall be transferred to the first nominee mentioned in the form.</i>			
3	Date of Birth* (for Minor)		
	Relationship with the Applicant		
4	Address of Nominee(s)/ Guardian in case of Minor City / Place: State & Country:		
	Pincode		
5	Mobile / Telephone No. of nominee(s)/ Guardian in case of Minor		
6	Email ID of nominee(s)/ Guardian in case of Minor		
7	Nominee/ Guardian (in case of Minor) Identification details – [Please tick any one of the following and provide details of same] ☐ Photograph & Signature ☐ PAN ☐ Aadhaar (masked – only last 4 digits visible) ☐ Saving Bank account no. ☐ Proof of Identity ☐ Demat Account ID		

- 1) I / We want the details of my / our nominee to be printed in the statement of holding, provided to me/ us by the AMC as follows; (please tick, as appropriate)
☐ Name of nominee(s) ☐ Nomination: Yes / No
- 2) I hereby authorize _____ (nominee number __) to operate my account on my behalf, in case of my incapacitation in terms of paragraph 3.5 of the circular. He / She is authorized to encash my assets up to ____% of assets in the account / folio or Rs. _____
(strike off portions that are not relevant)
- 3) This nomination shall supersede any prior nomination made by me / us, if any.

Signature(s) – As per mode of holding in demat accounts / MF Folio(s).		
	Name of the Holder	Signature / Thumb Impression
Sole / First Holder (Mr./Ms.)	Name:	Signature /Thumb Impression:
	Witness 1 Name & Address:	Witness 1 Signature:
	Witness 2 Name & Address:	Witness 2 Signature:
Second Holder (Mr./Ms.)	Name:	Signature /Thumb Impression:
	Witness 1 Name & Address:	Witness 1 Signature:
	Witness 2 Name & Address:	Witness 2 Signature:
Third Holder (Mr./Ms.)	Name:	Signature /Thumb Impression:
	Witness 1 Name & Address:	Witness 1 Signature:
	Witness 2 Name & Address:	Witness 2 Signature:
* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature.		
Note: This nomination shall supersede any prior nomination made by the account holder(s), if any. The Intermediary shall provide acknowledgement of the nomination form to the account holder(s)		

Instructions

1. The nomination can be made only by individuals applying for/holding units on their own behalf singly or jointly.
2. Non-individuals including a Society, Trust, Body Corporate, Partnership Firm, Karta of Hindu undivided family, a Power of Attorney holder and/or Guardian of Minor unitholder **cannot nominate**.
3. Nomination is not allowed in a folio of a Minor unitholder.
4. If the units are held jointly (i.e., in case of multiple unitholders in the folio), all joint holders need to sign the Nomination Form. If the mode of holding/operation is on "Anyone or Survivor" basis, any one of the investor can sign).
5. A minor may be nominated. In that event, the name and address of the Guardian of the minor nominee is to be provided optionally.
6. Nomination can also be in favour of the Central Government, State Government, a local authority, any person designated by virtue of his office or a religious or charitable trust.
7. The Nominee shall not be a trust (other than a religious or charitable trust), society, body corporate, partnership firm, Karta of Hindu Undivided Family, or a Power of Attorney holder.
8. A Non-Resident Indian may be nominated subject to the applicable exchange control regulations.
9. **Multiple Nominees:** Nomination can be made in favour of multiple nominees, subject to a maximum of three nominees. In case of multiple nominees, the percentage of the allocation/share should be in whole numbers without any decimals, adding upto a total of 100%. If the total percentage of allocation amongst multiple nominees does not add up to 100%, the nomination request shall be treated as invalid and rejected. If the percentage of allocation/ share for each of the nominee is not mentioned, the allocation /claim settlement shall be made equally amongst all the nominees.
10. Every new nomination for a folio/account shall overwrite the existing nomination, if any.
11. Nomination made by a unit holder shall be applicable for units held in all the schemes under the respective folio / account.
12. Nomination shall stand rescinded upon the transfer of units.
13. **Death of Nominee/s:** In the event of the nominee(s) pre-deceasing the unitholder(s), the unitholder/s is/are advised to make a fresh nomination soon after the demise of the nominee. The nomination will automatically stand cancelled in the event of the nominee(s) pre-deceasing the unitholder(s). In case of multiple nominations, if any of the nominee is deceased at the time of death claim settlement, the said nominee's share will be distributed equally amongst the surviving nominees.
14. Transmission of units in favour of a Nominee shall be valid discharge by the asset management company/ Mutual Fund / Trustees against the legal heir(s).
15. The nomination will be registered only when this form is completed in all respects to the satisfaction of the AMC.
16. In respect of folios/accounts where the Nomination has been registered, the AMC will not entertain any request for transmission / claim settlement from any person other than the registered nominee(s), unless so directed by any competent court.

F. DECLARATION FORM FOR OPTING OUT OF NOMINATION ⁵⁴³

To, Mutual Fund/ AMC's Name Mutual Fund/ AMC's Address	Date: <table border="1" style="width: 100%; text-align: center; font-size: 0.8em;"> <tr> <td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> </table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y		
Mutual Fund Folio Number									
Sole/First Holder Name									
Second Holder Name									
Third Holder Name									
I/We hereby confirm that I/We do not wish to appoint any nominee(s) for any mutual fund this 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 therequisite documents issued by Court or other such competent authority, based on the value of assets held in the mutual fund folio.									
Name and Signature of Unitholder(s)									
Unitholder (1) Signature: _____ Name: _____									
Unitholder (2) Signature: _____ Name: _____									
Unitholder (3) Signature: _____ Name: _____									

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An open-ended Fund of Fund Scheme investing in units of Gold ETFs

To be submitted to Sell Certified Syndicate Bank [SCSB]



SHRIRAM

Mutual Fund

GOALS ANEK. MUTUAL FUND EK

Broker Name (ARN)	Sub Broker Code / ARN	SCSB Stamp / Code / Sr. No.	Application No.

1. APPLICANT(S) INFORMATION (Existing Unit Holder - Please Fill Folio Number and Name)

Folio No.											Name of 1st Unit Holder								
NAME OF 1st / SOLE APPLICANT / CORPORATE INVESTOR / MINOR										DATE OF BIRTH (Mandatory in case of Minor)									
										D	D	M	M	Y	Y	Y	Y		
Mr. / Ms. / M/s.																			
Contact Name									(In case of Corporate investor)							Designation			
NAME OF 2nd APPLICANT Mr. / Ms. / M/s.																			
NAME OF 3rd APPLICANT Mr. / Ms. / M/s.																			
NAME OF THE GUARDIAN (In case 1st Applicant is a Minor) / NAME OF POA HOLDER														Relationship with Minor Please ☐					
Mr. / Ms. / M/s.														Mother ☐		Father ☐		Legal Guardian ☐	

2. PAN DETAILS

1st / Sole Applicant ®									
2nd Applicant									
3rd Applicant									
Guardian/POA Holder									

3. DEPOSITORY PARTICIPANT (DP) DETAILS

[illegible]

@If the 1st / sole applicant is a Minor then please provide details of Natural / Legal Guardian. # Please ensure that the sequence of names as mentioned under section 1 above, matches with DP Details.

4. INVESTMENT DETAILS - (Please (✓) Plan / Option you wish to invest - Growth or Dividend (Div.)

Plan : ☐ Regular * ☐ Direct
* Default Plan

Option : ☐ Growth ☐ Income Distribution cum Capital Withdrawal option

Mode of IDCW : ☐ Payout* ☐ Re-investment

5. SCSB ACCOUNT DETAILS - Attn : NRI Investors : Payment should be made through NRE Accounts only

Name of the Bank																				
Core Banking A/c No.																	A/c. Type Please (✓) NRE ☐ CURRENT ☐ SAVINGS ☐ NRO ☐			
Branch Name																	Address			
Bank Branch City																	State			
Amount to be blocked	(₹)																			In Words

Undertaking by ASBA Investor & A/c Holder, Declaration & Signature(s): 1. I/We hereby Undertake that, I/we have read and understood the instructions contained in this Form and Terms and Conditions concerning ASBA as contained in the Scheme Information Document (SID) / Key Information Memorandum (KIM) of the above mentioned Scheme and Statement of Additional Information (SAI) of Shriram Mutual Fund. Further, I/we understand that if the details as provided by me/us in this Form are different from those in the NFO Application Form, then in such a case, the information as provided by me/us herein will be relied upon. 1.A. I/we further confirm and undertake that I am/we are eligible ASBA applicant(s) as per the relevant provisions of the SEBI (Issue of Capital and Disclosure Requirements) Regulations, 2018. 2. In accordance with provisions of ASBA in the SEBI ICDR Regulations, 2018 and as disclosed in the SAI, I/We authorize - (a) the SCSB to do all acts as are necessary to make an application in the New Fund Offer of above mentioned Scheme, including uploading of application details, blocking the amount to the extent mentioned above under "SCSB BANK ACCOUNT DETAILS" or unblocking of funds in the bank account maintained with the SCSB specified above, transfer of funds of the Shriram Mutual Funds account on receipt of instructions from the Registrar to Shriram Mutual Fund after finalisation of the basis of allotment, entitling me/us to receive mutual fund units on such transfer of funds, etc. (b) Registrar to issue instructions to the SCSB to unlock the funds in the bank account specified above upon finalisation of the basis of allotment and to transfer the requisite money to the Shriram Mutual Fund's account. 3. In case the amount available in the bank account specified above is insufficient, the SCSB shall reject the application. Further, I/We also authorize the SCSB to make relevant revisions as may be required to be done during the NFO. In the event of any modification due to any information required. 4. If the DP ID, Beneficiary or PAN is not provided by me/us or the details on the same as furnished in the form are incorrect or incomplete or not matching with the depository records, my/our application shall be rejected and Shriram Mutual Fund or SCSB shall not be liable for losses, if any.

Signature of 1st Applicant / Guardian / Auth. Signatory / POA / Karta (AS IN BANK RECORDS)	Signature of 2nd Applicant / Guardian / Auth. Signatory / POA / Karta (AS IN BANK RECORDS)	Signature of 3rd Applicant / Guardian / Auth. Signatory / POA / Karta (AS IN BANK RECORDS)
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ACKNOWLEDGEMENT SLIP (To be filled and attached by the Applicant with the Application Form)

An open-ended Fund of Fund Scheme investing in units of Gold ETFs.

App No.:

Received from _____ (sole / 1st applicant ASBA Application Form details of which are as follows :

Application No. _____	Amount Blocked (₹) _____
SCSB (Bank and Branch) _____	Bank Account No. _____
Date of Submission _____	

"In case there is any change in your KYC information please update the same by using the prescribed 'KYC Change Request Form' and submit the same at the Point of Service of any KYC Registration Agency"

GENERAL INSTRUCTIONS FOR INVESTORS

ASBA is an application containing an authorization given by the Investor to block the application/money in his specified bank account towards the subscription of Units offered during the NFO of the Schemes. On intimation of allotment by CAMS (R&T Agent) to the banker the investors account shall be debited to the extent of the amount due thereon. On allotment, units will be credited to the Investor's demat account as specified in the ASBA application form.

Background : In its continuing endeavour to make the existing public issue process more efficient SEBI introduced a supplementary process of applying in public issues, viz: the "Applications Supported by Blocked Amount (ASBA)" process. Accordingly, Securities and Exchange Board of India (Issue of Capital and Disclosure Requirements) Regulations, 2018, as amended have been amended for ASBA process. The salient features of circular no. SEBI/CFD/DIL/ ASBA/1/2009/30/12 dated December 30, 2009 available on SEBI website for "Additional mode of payment through Applications Supported by Blocked Amount (hereinafter referred to as "ASBA") are mentioned below for understanding the ASBA process :

1. SCSB means Self Certified Syndicate Bank registered with the SEBI, which offers the facility of ASBA. The current list of SCSBs as available on SEBI website is as follows :

1. AU Small Finance Bank Limited 2. AXIS BANK LTD (FORMERLY UTI BANK LIMITED) 3. Bandhan Bank 4. Bank of Baroda 5. Bank of India 6. Bank of Maharashtra 7. Barclays Bank PLC 8. BNP Paribas 9. Canara Bank 10. Catholic Syrian Bank Limited 11. Central Bank of India 12. CITI Bank NA 13. City Union Bank Ltd. 14. DBS Bank Ltd. 15. Deutsche Bank 16. Dhanlaxmi Bank Limited 17. Equitas Small Finance Bank 18. GP Parsik Sahakari Bank Limited 19. HDFC Bank Ltd. 20. HSBC Ltd. 21. ICICI Bank Ltd 22. IDBI Bank Ltd. 23. IDFC FIRST Bank 24. Indian Bank 25. Indian Overseas Bank 26. IndusInd Bank 27. J P Morgan Chase Bank, N.A. 28. Jana Small Finance Bank Limited 29. Janata Sahakari Bank Ltd. 30. Karnataka Bank Ltd. 31. Karur Vysya Bank Ltd. 32. Kotak Mahindra Bank Ltd. 33. Mehsana Urban Co-operative Bank Limited 34. Nutan Nagarik Sahakari Bank Ltd. 35. Punjab & Sind Bank 36. Punjab National Bank 37. Rajkot Nagarik Sahakari Bank Ltd 38. RBL Bank Limited 39. South Indian Bank 40. Standard Chartered Bank 41. State Bank of India 42. SVC Co-operative Bank Ltd. 43. Tamilnad Mercantile Bank Ltd. 44. The Ahmedabad Mercantile Co-Op. Bank Ltd. 45. The Federal Bank 46. The Jammu & Kashmir Bank Limited. 47. The Kalupur Commercial Co-operative Bank Ltd. 48. The Saraswat Co-Operative Bank Ltd 49. The Surat Peoples Co-op Bank Ltd 50. TJSB Sahakari Bank Ltd 51. UCO Bank 52. Union Bank of India 53. Utkarsh Small Finance Bank Limited. 54. YES Bank Ltd.

For the complete list of controlling/designated branches of above mentioned SCSBs, please refer to websites - www.sebi.gov.in, www.bseindia.com and www.nseindia.com

2. Eligible investors for ASBA maintaining their account in any of the above SCSBs may use ASBA facility subject to fulfilling all the terms and conditions stipulated in this regard. An investor shall be eligible to apply through ASBA process, if he/she : (i) is a "Resident Retail Individual Investor, Non Institutional Investor, QIBs, Eligible NRIs applying on non-repatriation basis, Eligible NRIs applying on repatriation basis i.e. any investor, (ii) is applying through blocking of funds in a bank account with the SCSB; Such investors are hereinafter referred as "ASBA Investors".

3. ASBA Facility in Brief : Investor shall submit his Bid through an ASBA cum Application Form, either in physical or electronic mode, to the SCSB with whom the bank account of the ASBA Investor or bank account utilised by the ASBA Investor ("ASBA Account") is maintained. The SCSB shall block an amount equal to the NFO application Amount in the bank account specified in the ASBA cum Application Form, physical or electronic, on the basis of an authorisation to this effect given by the account holder at the time of submitting the Application. The Bid Amount shall remain blocked in the aforesaid ASBA Account until the Allotment in the New fund Offer and consequent transfer of the Application Amount against the allocated Units to the Issuer's account designated for this purpose, or until withdrawal/failure of the Offer or until withdrawal/rejection of the ASBA Application, as the case may be. The ASBA data shall thereafter be uploaded by the SCSB in the electronic IPO system of the Stock Exchanges. Once the Allotment is finalised, the R&TA to the NFO shall send an appropriate request to the Controlling Branch of the SCSB for unblocking the relevant bank accounts and for transferring the amount allocable to the successful ASBA Bidders to the AMC account designated for this purpose. In case of withdrawal/Rejection of the Offer, the R&TA to the Offer shall notify the SCSBs to unblock the blocked amount of the ASBA Bidders within one day from the day of receipt of such notification.

4. Mechanism for Redressal of Investor Grievances under ASBA Facility - All grievances relating to the ASBA facility may be addressed to the respective SCSBs, giving full details such as name, address of the applicant, number of Units applied for, counterfoil or the application reference given by the SCSBs, DBs or CBs, amount paid on application and the Designated Branch or the collection centre of the SCSB where the Application Form was submitted by the ASBA Investor.

Other Information for ASBA Investors :

- SCSB shall not accept any ASBA after the closing time of acceptance on the last day of the NFO period.
- SCSB shall give ASBA investors an acknowledgment for the receipt of ASBAs.
- SCSB shall not upload any ASBA in the electronic system of the Stock Exchange(s) unless (i) it has received the ASBA in a physical or electronic form; and (ii) it has blocked the application money in the bank account specified in the ASBA or has systems to ensure that Electronic ASBAs are accepted in the system only after blocking of application money in the relevant bank account opened with it.
- SCSB shall ensure that complaints of ASBA investors arising out of errors or delay in capturing of data, blocking or unblocking of bank accounts, etc. are satisfactorily redressed.
- SCSB shall be liable for all its omissions and commissions in discharging responsibilities in the ASBA process.
- R&TA to the NFO shall act as a nodal agency for redressing complaints of ASBA and non-ASBA investors, including providing guidance to ASBA investors regarding approaching the SCSB concerned.

Grounds for rejection of ASBA applications

ASBA application forms can be rejected by the AMC/Registrar/ SCSBs, on the following technical grounds :

- Applications by persons not competent to contract under the Indian Contract Act, 1872, including but not limited to minors, insane persons etc.
- Mode of ASBA i.e. either Physical ASBA or Electronic ASBA, not selected or ticked.
- ASBA Application Form without the stamp of the SCSB.
- Application by any person outside India if not in compliance with applicable foreign and Indian laws.
- Bank account details not given/incorrect details given.
- Duly certified Power of Attorney, if applicable, not submitted alongwith the ASBA application form.
- No corresponding records available with the Depositories matching the parameters namely (a) Names of the ASBA applicants (including the order of names of joint holders) (b) DPID (c) Beneficiary account-number or any other relevant details pertaining to the Depository Account.
- Insufficient funds in the investor's account
- Application accepted by SCSB and not uploaded on/with the Exchange / Registrar

For more information visit us at www.shriramamc.in	Shriram Asset Management Co. Ltd. <i>Registered Office :</i> 217, 2nd Floor, Swastik Chambers, Near Junction of S.T. & C.S.T. Road, Chembur, Mumbai - 400 071, India
E-mail us at info@shriramamc.in	<i>Admin. Head Office :</i> 511-512, Meadows, Sahar Plaza, J. B. Nagar Andheri (East), Mumbai - 400 059 Phone: (022) 6947 3400

Third Party Payment Declaration Form



Third Party Payment Declaration Form should be completed in English and in BLOCK LETTERS only.
(Please read the Third Party Payment Rules and Instructions carefully before completing this Form)

Declaration Form No.

FOR OFFICE USE ONLY

Date of Receipt	Folio No.	Branch Trans. No.

1. BENEFICIAL INVESTOR INFORMATION (Refer Instruction No. 2)

Folio No.		Application No.	
NAME OF FIRST/SOLE APPLICANT (BENEFICIAL INVESTOR)			
Mr. / Ms. / M/s.			

2. THIRD PARTY INFORMATION (Refer Instruction No. 3)

NAME OF THIRD PARTY (PERSON MAKING THE PAYMENT)			
Mr. / Ms. / M/s.			
Nationality	PAN#	KYC**	(Please tick (✓) Attached (Mandatory for any amount))
#Mandatory for any amount. Please attach PAN Proof. Refer instruction No. 6. ** Refer instruction No. 8.			
NAME OF CONTACT PERSON & DESIGNATION (in case of non-Individual Third Party)			
Mr. / Ms.			
Designation			
MAILING ADDRESS (P.O. Box Address may not be sufficient)			
CITY	STATE	PIN CODE	
CONTACT DETAILS		STD Code	
Tel. Off.	Tel. Resi.	Mobile	
Fax	E-mail		

RELATIONSHIP OF THIRD PARTY WITH THE BENEFICIAL INVESTOR (Refer Instruction No. 3) (Please tick (✓) as applicable)

Status of the Beneficial Investor	☐ Minor	☐ FII ☐ Client	☐ Employee(s)								
Relationship of Third Party with the Beneficial Investor	☐ Father/Mother/Court appointed Legal Guardian (Please attach proof of relationship, if not already submitted) ☐ Grand Parent ☐ Related Person (Please specify relationship) _____ (Maximum investment - Rs. 50,000/- per transaction)	Custodian - SEBI Registration No. of Custodian _____ Registration Valid Till <table border="1"> <tr> <td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> </table>	D	D	M	M	Y	Y	Y	Y	Employer
D	D	M	M	Y	Y	Y	Y				
Declaration by Third Party	I/We declare that the payment made on behalf of minor is in consideration of natural love and affection or as a gift.	I/We declare that the payment is made on behalf of FII/ Client and the source of this payment is from funds provided to us by FII/ Client.	I/We declare that the payment is made on behalf of employee(s) under Systematic Investment Plans or as lump sum/one-time subscription, through Payroll Deductions.								

3. THIRD PARTY PAYMENT DETAILS (Refer Instruction No. 4)

Mode of Payment [Please tick (✓)]	Mandatory Enclosure(s)*
Cheque ☐	In case the account number and account holder name of the third party is not pre-printed on the cheque then a copy of the bank passbook / statement of bank account or letter from the bank certifying that the third party maintains a bank account.
Pay Order ☐	Certificate from the Issuing Banker stating the Bank Account Holder's Name and Bank Account Number debited for issue of the instrument or Copy of the acknowledgement from the bank, wherein the instructions to debit carry the bank account details and name of the third party as an account holder are available or Copy of the passbook/bank statement evidencing the debit for issuance of the instrument.
Demand Draft ☐	
Banker's Cheque ☐	
RTGS ☐	Copy of the Instruction to the Bank stating the Bank Account Number which has been debited.
NEFT ☐	
Fund Transfer ☐	

* SHRIRAM Mutual Fund/SHRIRAM Asset Management Company Limited ("SHRIRAM AMC") reserves the right to seek information and /or obtain such other additional documents/information from the Third Party for establishing the identity of the Third Party.

in figures (Rs.)									
in words									
Cheque/DD/PO/UTR No.	Cheque/DD/PO/RTGS Date <table border="1"> <tr> <td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> </table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y		
Pay-in Bank A/c No.									
Name of the Bank									
Branch	Bank City								
Account Type [Please tick (✓)] ☐ SAVINGS ☐ CURRENT ☐ NRE ☐ NRO ☐ FCNR ☐ OTHERS _____	(please specify)								

including Demand Draft charges, if any.

4. DECLARATIONS & SIGNATURE/S (Refer Instruction No. 5)**THIRD PARTY DECLARATION**

I/We confirm having read and understood the Third Party Payment rules, as given below and hereby agree to be bound by the same.

I/We declare that the information declared herein is true and correct, which SHRIRAM Mutual Fund is entitled to verify directly or indirectly. I agree to furnish such further information as SHRIRAM Mutual Fund may require from me/us. I/We agree that, if any such declarations made by me/us are found to be incorrect or incomplete, SHRIRAM Mutual Fund/SHRIRAM AMC is not bound to pay any interest or compensation of whatsoever nature on the said payment received from me/us and shall have absolute discretion to reject / not process the Application Form received from the Beneficial Investor(s) and refund the subscription monies.

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 any contravention or evasion of any Act, Rules, Regulations, Notifications or Directions issued by any regulatory authority in India. I/We will assume personal liability for any claim, loss and/ or damage of whatsoever nature that SHRIRAM Mutual Fund/SHRIRAM AMC may suffer as a result of accepting the aforesaid payment from me/us towards processing of the transaction in favour of the beneficial investor(s) as detailed in the Application Form.

Applicable to NRIs/OCIs only :

I/We confirm that I am/We are Non-Resident of Indian Nationality/Origin and I/We hereby confirm that the funds for subscription have been remitted from abroad through normal banking channels or from funds in my / our Non-Resident External / Ordinary Account / FCNR Account.

Please (✓) ☐ Yes ☐ No

If yes, (✓) ☐ Repatriation basis
☐ Non-repatriation basis

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Signature of the Third Party

BENEFICIAL INVESTOR(S) DECLARATION

I/We certify that the information declared herein by the Third Party is true and correct.

I/We acknowledge that SHRIRAM Mutual Fund reserves the right in its sole discretion to reject/ not process the Application Form and refund the payment received from the aforesaid Third Party and the declaration made by the Third Party will apply solely to my/our transaction as the beneficial investor(s) detailed in the Application Form. SHRIRAM Mutual Fund/ SHRIRAM AMC will not be liable for any damages or losses or any claims of whatsoever nature arising out of any delay or failure to process this transaction due to occurrences beyond the control of SHRIRAM Mutual Fund/SHRIRAM AMC.

Applicable to Guardian receiving funds on behalf of Minor only :

I/We confirm that I/We are the guardian of the Minor registered in folio and have no objection to the funds received towards Subscription of Units in this Scheme on behalf of the minor.

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

SIGNATURES

**First / Sole
Applicant /
Guardian**

**Second
Applicant**

**Third
Applicant**

THIRD PARTY DECLARATION

1. In order to enhance compliance with Know your Customer (KYC) norms under the Prevention of Money Laundering Act, 2002 (PMLA) and to mitigate the risks associated with acceptance of third party payments, Association of Mutual Funds of India (AMFI) issued best practice guidelines on "risk mitigation process against third party instruments and other payment modes for mutual fund subscriptions". AMFI has issued the said best practice guidelines requiring mutual funds/asset management companies to ensure that Third-Party payments are not used for mutual fund subscriptions

2a. The following words and expressions shall have the meaning specified herein :

- "Beneficial Investor" is the first named applicant/investor in whose name the application for subscription of Units is applied for with the Mutual Fund.
- "Third Party" means any person making payment towards subscription of Units in the name of the Beneficial Investor.
- "Third Party payment" is referred to as a payment made through instruments issued from a bank account other than that of the first named applicant/ investor mentioned in the application form.

Illustrations

Illustration 1 : An Application submitted in joint names of A, B & C alongwith cheque issued from a bank account in names of B, C & Y. This will be considered as Third Party payment.

Illustration 2 : An Application submitted in joint names of A, B & C alongwith cheque issued from a bank account in names of C, A & B. This will not be considered as Third Party payment.

Illustration 3 : An Application submitted in joint names of A, B & C alongwith cheque issued from a bank account in name of A. This will not be considered as Third Party payment.

2b. SHRIRAM Mutual Fund/SHRIRAM Asset Management Company Limited ('SHRIRAM AMC') will not accept subscriptions with Third Party payments

except in the following exceptional cases, which is subject to submission of requisite documentation/ declarations :

- Payment by Parents/Grand-Parents/Related Persons* on behalf of a minor in consideration of natural love and affection or as gift for a value not exceeding Rs. 50,000/- for each regular Purchase or per SIP installment. However, this restriction of Rs. 50,000/- will not be applicable for payment made by a Guardian whose name is registered in the records of Mutual Fund in that folio (i.e. father, mother or court appointed Legal Guardian).
- Payment by Employer on behalf of employee under Systematic Investment Plans or Lump sum/ one-time subscription, through payroll deductions out of expense reimbursements.
- Custodian on behalf of an FII or a Client.

* 'Related Person' means any person investing on behalf of a minor in consideration of natural love and affection or as a gift.

2c. Applications submitted through the above mentioned 'exceptional cases' are required to comply with the following, without which applications for subscriptions for units will be rejected / not processed / refunded.

- Mandatory KYC for all investors (guardian in case of minor) and the person making the payment i.e. third party.
- Submission of a complete and valid 'Third Party Payment Declaration Form' from the investors (guardian in case of minor) and the person making the payment i.e. third party.

2d. Investor(s) are requested to note that any application for subscription of Units of the Scheme(s) of SHRIRAM Mutual Fund accompanied with Third Party payment other than the above mentioned exceptional cases as described in Rule (2b) above is liable for rejection without any recourse to Third Party or the applicant investor(s).

The above mentioned Third Party Payment Rules are subject to change from time to time. Please contact any of the Investor Service Centres of SHRIRAM AMC or visit our website www.shriramamc.in for any further information or updates on the same.

1. GENERAL INSTRUCTIONS

Please read the terms of the Key Information Memorandum, the Scheme Information Document (SID) and Statement of Additional Information (SAI) carefully before filling the Third Party Payment Declaration Form (hereinafter referred to as 'Declaration Form').

The Declaration Form should be completed in ENGLISH and in BLOCK LETTERS only. Please tick in the appropriate box for relevant declarations wherever applicable. Please do not overwrite. Any correction / changes (if any) made in the Declaration Form, shall be authenticated by canceling and re-writing the correct details and counter signature of the Third Party and the Beneficial Investor(s).

Applications along with the Declaration Form completed in all respects, must be submitted at the Official Points of Acceptance of SHRIRAM Mutual Fund.

In case the Declaration Form does not comply with the above requirements, SHRIRAM Mutual Fund/SHRIRAM Asset Management Company Limited (SHRIRAM AMC) retains the sole and absolute discretion to reject / not process such Declaration Form and where required, refund the subscription money to the account from which such money was remitted and shall not be liable for any such rejection.

2. BENEFICIAL INVESTOR INFORMATION

The Third Party should provide the Folio Number of the Beneficial Investor already having an account with SHRIRAM Mutual Fund. In case the Beneficial Investor does not have a Folio Number, the Third Party should mention the Application Number as stated in the Application Form. Name must be written in full.

3. THIRD PARTY INFORMATION

"Third Party" includes the Parent, Grand Parent, Related Person, Custodian of FII/Client, or Employer, making payment towards subscription of Units in the name of the Beneficial Investor(s).

Full Name and relationship of Third Party with the Beneficial Investor must be provided.

The Relationship declared by the Third Party will suggest that the payment made on behalf of Beneficial Investor(s) is :

- On behalf of a minor in consideration of natural love and affection or as a gift, made by Parents / Grand Parents / Related Persons, subject to the limit as prescribed under the applicable AMFI Best Practice Guidelines on third-party payments from time to time (which includes each regular purchase or per SIP instalment). However, such limit shall not be applicable for payment made by a guardian whose name is registered in the records of the Mutual Fund in that folio (i.e. father or mother or court appointed legal guardian), in compliance with applicable PMLA / AMFI guidelines.
or
- On behalf of employee under Systematic Investment Plans or as lump sum/one-time subscription, through Payroll deductions made by employer;
or
- On behalf of an FII or a Client made by the Custodian.

Mailing address and contact details of Third Party must be written in full.

4. THIRD PARTY PAYMENT DETAILS

Third Party must provide in the Declaration Form the details of the Pay-in Bank Account i.e. account from which subscription payment is made in the name of the Beneficial Investor(s).

The Declaration Form with incomplete payment details shall be rejected. The following document(s) is/are required to be submitted by Third Party as per the mode of payment selected :

- Source of funds - if paid by cheque

In case the account number and account holder name of the third party is not preprinted on the cheque, then the third party should provide any one of the following documents :

- a copy# of the bank passbook or a statement of bank account having the name and address of the account holder and account number;
- a letter (in original) from the bank on its letterhead certifying that the third party maintains an account with the bank, along with information like bank account number, bank branch, account type, the MICR code of the branch & IFSC Code (where available). The said letter should be certified by the bank manager with his / her full signature, name, employee code, bank seal and contact number.

the original documents along with the documents mentioned above should be submitted to the ISCs / Official Points of Acceptance of SHRIRAM Mutual Fund.

The copy of such documents will be verified with the original documents to the satisfaction of the SHRIRAM AMC/ SHRIRAM Mutual Fund / Registrar and Transfer Agent. The original documents will be returned across the counter after due verification.

- Source of funds - if funded by pre-funded investments such as Pay Order, Demand Draft, Banker's cheque etc.

The Third Party should attach any one of the following supporting documents with the purchase application where subscription for units

is vide a pre-funded instrument issued by way of debit to his / her bank account: (i) a Certificate (in original) from the issuing banker duly certified by the employee signing the prefunded instrument with his / her full signature, name, employee code, bank seal and contact number, stating the Account holder's name, the Bank Account Number which has been debited for issue of the instrument (Mandatory) and PAN as per bank records, if available (ii) a copy of the acknowledgement from the bank, wherein the instructions to debit carry the bank account details and name of the third party as an account holder are available (iii) a copy of the passbook/bank statement evidencing the debit for issuance of the instrument.

The account number mentioned in the above supporting documents should be the same as the bank details mentioned in the application form.

- Source of funds - if paid by RTGS, Bank Account-to-Account Transfer, NEFT, ECS, etc.

Acknowledged copy of the instruction to the bank stating the account number debited.

5. SIGNATURE(S)

Signature(s) should be in English or in any Indian Language. Declarations on behalf of minors should be signed by their Guardian.

6. PERMANENT ACCOUNT NUMBER

It is mandatory for the Third Party to mention the permanent account number (PAN) irrespective of the amount of Purchase*. In order to verify that the PAN of Third Party has been duly and correctly quoted therein, the Third Party shall attach along with the Declaration Form, a photocopy of the PAN card duly self-certified.

*includes fresh/additional purchase, Systematic Investment Plan.

Declaration Forms not complying with the above requirement will not be accepted/ processed.

For further details, please refer Section 'Permanent Account Number' under the Statement of Additional Information available on our website www.shriramamc.in.

7. PREVENTION OF MONEY LAUNDERING

SEBI vide its circular reference number ISD/CIR/RR/AML/1/06 dated January 18, 2006 and other circulars issued from time to time, mandated that all intermediaries including Mutual Funds should formulate and implement a proper policy framework as per the guidelines on anti-money laundering measures and also to adopt a Know Your Customer (KYC) policy.

The Third Party should ensure that the amount invested in the Scheme is through legitimate sources only and does not involve and is not designated for the purpose of any contravention or evasion of the provisions of the Income Tax Act, Prevention of Money Laundering Act (PMLA), Prevention of Corruption Act and / or any other applicable law in force and also any laws enacted by the Government of India from time to time or any rules, regulations, notifications or directions issued thereunder.

To ensure appropriate identification of the Third Party and with a view to monitor transactions for the prevention of money laundering, SHRIRAM AMC/ SHRIRAM Mutual Fund reserves the right to seek information, record investor's/Third party's telephonic calls and/or obtain and retain documentation for establishing the identity of the third party, their beneficial ownership, proof of residence, source of funds, etc. It may re-verify identity and obtain any incomplete or additional information for this purpose.

SHRIRAM Mutual Fund, SHRIRAM AMC, Shriram Trustees Limited and their Directors, employees and agents shall not be liable in any manner for any claims arising whatsoever on account of freezing the folios/rejection of any application / allotment of Units or mandatory redemption of Units due to non compliance with the provisions of the PMLA, SEBI/AMFI circular(s) and KYC policy and / or where the AMC believes that transaction is suspicious in nature within the purview of the Act and SEBI/AMFI circular(s) and reporting the same to FIU-IND

For further details, please refer Section 'Prevention of Money Laundering' under the Statement of Additional Information available on our website www.shriramamc.in.

8. KNOW YOUR CUSTOMER (KYC) COMPLIANCE

It is mandatory for the Third Party to quote the KYC Compliance Status and attach proof of KYC Compliance, such as the CKYC Acknowledgement or a printout of the KYC Compliance Status downloaded from the Central KYC Registry (www.ckycindia.in) or any SEBI-registered KYC Registration Agency (KRA) website using the PAN. Declaration Forms without valid KYC Compliance for the Third Party will be rejected.

In the event of non-compliance with KYC requirements, Shriram Trustees Limited / Shriram AMC reserves the right to freeze the folio of the investor(s) and effect mandatory redemption of unit holdings at the applicable NAV, subject to payment of exit load, if any.

For further details, please refer to the section 'Know Your Customer (KYC) Compliance' under the Statement of Additional Information (SAI) available on our website www.shriramamc.in.

Aadhaar-PAN Linking: Ensure the investor's PAN is linked with Aadhaar, as non-linked PANs are marked "Inoperative," which can lead to KYC rejection in the CKYC system.

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ONE TIME AUTHORISATION FORM FOR NACH/ECS/DIRECT DEBIT/STANDING INSTRUCTIONS

GOALS ANEK, MUTUAL FUND EK

UMRN

Office use only

Date

Choose (✓)

- ☒ CREATE
☒ MODIFY
☒ CANCEL

Sponsor Bank Code

Office use only

Utility Code

Office use only

I/We hereby authorize

SHRIRAM MUTUAL FUND

to debit (✓)

☐ SB

☐ CA

☐ CC

☐ SB-NRE

☐ SB-NRO

☐ Other

Bank A/c No.:

With Bank:

Bank Name & Branch

IFSC

MICR

an amount of Rupees

Amount in Words

₹

FREQUENCY

☒ Monthly ☒ Quarterly ☒ Half Yearly ☒ Yearly ☐ ~~As~~ when presented (default)

DEBIT TYPE ☒ Fixed Amount ☒ Maximum Amount

Folio No.

Mobile No.

Application No.

Email ID

I agree for the debit of mandate processing charges by the bank whom I am authorising to debit my account as per latest schedule of charges of the bank.

PERIOD

From

D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y

to
or ☐ ~~Until Canceled~~

Sign Signature of First Account Holder Sign Signature of Second Account Holder Sign Signature of Third Account Holder

1. Name as in Bank Records 2. Name as in Bank Records 3. Name as in Bank Records

- This is to confirm that the declaration has been carefully read, understood and made by me/us. I am authorising the user entity/corporate to debit my account.
 - I have understood that I am authorised to cancel/amend this mandate by appropriately communicating the cancellation/amendment request to the user entity/corporate or the bank where I have authorised the debit.
- I/We hereby declare that the above information is true and correct and that the mobile number listed above is registered in my/our name(s) and/or is the number that I/we use in the ordinary course. I/We hereby declare that, irrespective of my/our registration of the above mobile in the provider customer preference register, or in any similar register maintained under applicable laws, now or subsequent to the date hereof. I/We consent to the Bank communicating to me/us about the transactions carried out in my/our aforesaid account(s).

Instructions to fill OTA

1. UMRN is auto generated during mandate creation and is mandatory to be updated during amendment and cancellation of mandate. (maximum length - 20 Alpha Numeric Characters)
 2. Date in DD/MM/YYYY format.
 3. Tick on box to select type of actions to be initiated.
 4. Tick on box to select type of actions to be affected.
 5. Customer's legal account number, left padded with zeroes. (Maximum length - 35 Alpha Numeric Characters)
 6. Name of the Bank and Branch.
 7. IFSC/MICR code of customer bank. (Maximum length - 11 Alpha Numeric Characters)
 8. Amount payable for service of maximum amount per transaction that could be processed, in words.
 9. Amount figures, similar to the amount mentioned in words (Maximum length - 13 digits Numeric, in paisa)
 10. Mention Loan Account number.
 11. Type of loan in Reference Box.
 12. Tick on box to select frequency of transaction.
 13. Validity of mandate with dated in DD/MM/YYYY format.
 14. Names of customer/s and signatures as well as seal of Company (where required). (Maximum length of Name 40 alpha Numeric Characters)
 15. Undertaking of customer.
 16. Telephone no. with STD code of customer or 10 digit mobile number of customer.
 17. Mail of customer.
 18. End date cannot be more than 40 years from the date of mandate.
-

(Please read terms & conditions overleaf)



SHRIRAM
Mutual Fund
GOALS ANEK, MUTUAL FUND EK

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SIP/Micro SIP Date ☐ 1st ☐ 5th ☐ *15th ☐ 20th ☐ 25th ☐ Any other day (Please Specify)

[Default : 15th*] [Refer Item No. 6(iv)]

SIP/Micro SIP Period Start From End On** **Please refer Item No. 6(ii) and 7(b)

First SIP/ Micro SIP Transaction via Cheque No. Cheque Dated Amount @ (Rs.)
Mandatory Enclosure (if 1st Installment is not by cheque) ☐ Blank cancelled cheque ☐ Copy of cheque ☐ @The first cheque amount should be same as each SIP Amount.

DEMAT ACCOUNT DETAILS*	NSDL	CDSL
(Optional - refer instruction 10) Investor opting to hold units in demat form may provide a copy of the DP statement to match the demat details as stated in the application form.	DP Name DP ID Beneficiary Account No.	
I/we hereby authorise SHRIRAM Mutual Fund/SHRIRAM Asset Management Company Limited and their authorised service providers, to debit my/our following bank account by ECS (Debit Clearing) / Direct Debit / Standing Instruction for collection of SIP/ Micro SIP payments.		

BANK DETAILS

Bank Name

Branch Name Bank City

Account Number

9 Digit MICR Code ◀ (Please enter the 9 digit number that appears after the cheque number)

Account Type (Please ✓) ☐ Savings ☐ Current ☐ NRO ☐ NRE ☐ FCNR ☐ Others (please specify)

Account holder Name

as in Bank Account

☐ SIP Top-up (Optional) (Please ✓ to avail this facility) (Refer Item No. 7e) Top-up Amount (Rs.)
(The amount should be in multiples of Rs. 500 only)
SIP Top-up Frequency : ☐ Half-yearly ☐ Yearly (Quarterly SIP offers top-up frequency at yearly intervals only).

I / We hereby confirm and declare as under :

I/ We have read, understood and agree to comply with the terms and conditions of OTM Facility, Scheme related documents of the Scheme and the terms & conditions of enrolment for Systematic Investment Plan (SIP).
The ARN holder has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him/them for the different competing Schemes of various mutual Funds from amongst which the Scheme is being recommended to me/us.

Applicable to SIP Top-up facility (not available under Micro SIP) :

I/We hereby agree to avail the top-up facility for SIP and authorize my bank to execute the NACH/ECS/Direct Debit/Standing Instruction for a further increase in installment from my designated account.
Please write SIP Enrolment Form no. / Folio no. on the reverse of the cheque.

1st Account Holder's Signature (As in Bank Records)		2nd Account Holder's Signature (As in Bank Records)		3rd Account Holder's Signature (As in Bank Records)	
---	----------------------	---	----------------------	---	----------------------

For Office Use only (Not to be filled in by Investor)

Recorded on	Scheme Code
Recorded by	Credit Account Number

The form can be used by investors who wish to enroll for SIP or Micro SIP (PAN exempt investments) facility. However, Investors shall submit separate forms in case they wish to enroll for both SIP and Micro SIP facility.

Micro Systematic Investment Plans (Micro SIPs) where aggregate of investments (Lump sum plus SIP) in a rolling 12 month period or in a financial year i.e. April to March do not exceed Rs. 50,000 shall be exempt from the requirement of PAN. However, such investors shall be required to quote PAN Exempt KYC Reference Number (PEKRN) details of which are given in PAN Exempt Investments in point no. 14 below.

1. SIP (includes reference to Micro SIP) is available to investors in the following Scheme(s) (including Direct Plan thereunder) of SHRIRAM MUTUAL FUND: SHRIRAM GOLD ETF PASSIVE FOF.

The above list is subject to change from time to time. Please contact the nearest Investor Service Centre (ISC) of SHRIRAM Mutual Fund for updated list.

2. Enrolment Form should be completed in English and in Block Letters only. Please tick (✓) in the appropriate box (✓), where boxes have been provided. Enrolment Form complete in all respects, should be submitted at any of the Official Points of Acceptance of SHRIRAM Mutual Fund.

In case SIP/ Micro SIP investments are made through "Third Party Payments" i.e. payment made through an instrument issued from a bank account other than that of the first named applicant/ investor mentioned in the application form, Investors are required to additionally fillup "submit the" Third Party Payment Declaration Form. (available at any of our ISCs or on our website www.shriramamc.in) along with the SIP Enrolment Form.

3. a. Investment through Distributors

Agents / distributors are not entitled to sell units of mutual funds unless they are registered with Association of Mutual Funds in India (AMFI). Further, SEBI has made it compulsory for every employee/relationship manager/ sales person of the distributor of mutual fund products to quote the Employee Unique Identification Number (EUIDN) obtained by him/her from AMFI in the Application Form. EUIDN, particularly in advisory transactions, would assist in addressing any instance of mis-selling even if the employee/relationship manager/sales person later leaves the employment of the distributor. Hence, if your investments are routed through a distributor, please ensure that the EUIDN is correctly filled up in the Application Form.

However, if your distributor has not given you any advice pertaining to the investment, the EUIDN box may be left blank. In this case, you are required to provide a duly signed declaration to this effect, as given in the Form.

These requirements do not apply to Overseas Distributors.

New cadre distributors: SEBI has introduced a new cadre of distributors who can sell only „simple and performing. diversified equity schemes, index funds and fixed maturity plans. There is a prex of "SD" before the ARN number of such distributors. They also hold a EUIDN which must be quoted in the application form. The list of eligible schemes which may be sold by such distributors is available on www.shriramamc.in. In case your application through such distributor is not for an eligible scheme, it is liable to be rejected.

Direct Investments

Investors applying under Direct Plan must mention "Direct" in ARN column. In case Distributor code is mentioned in the application form, but "Direct Plan" is indicated against the Scheme name, the Distributor code will be ignored and the application will be processed under Direct Plan.

- b. Investor holding folio of SHRIRAM Mutual Fund are required to submit only the Enrolment Form. Investor should provide their Folio Number. Investors' details and mode of holding (single, joint, anyone or survivor) will be as per the existing folio number and would prevail over any conflicting information furnished in this form. Investor name should match with the details in the existing folio number, failing which the application form is liable to be rejected.
- c. Signature(s) should be as it appears on the Application Form / Folio and in the same order. In case the mode of holding is joint, all unit holders are required to sign.
4. a. New investors who wish to enroll are required to fill the NACH Form (ii) Enrolment Form (iii) the respective Scheme Application Form (included in the Key Information Memorandum) along with / without the initial investment instrument. Investors are advised to read the Scheme Information Document(s) / Key Information Memorandum(s) and Statement of Additional information available with the ISCs of SHRIRAM Mutual Fund, brokers/ distributors and also displayed at the SHRIRAM Mutual Fund website i.e. www.shriramamc.in

- b. New investors can apply for SIP into respective Scheme/ Plans/ Options without any existing investment / folio. The provision for "Minimum Application Amount" specified in the respective Scheme Information Document will not be applicable for SIP investments. e.g. the minimum application amount for new investors.

In SHRIRAM GOLD ETF PASSIVE FOF - Growth Option is Rs. 1,000/-. However, in case of SIP investments, an investor can enter the Scheme with minimum amount of Rs. Rs. 500/- or 1,000/-.

5. The facility is offered to investors the following four Plans (Frequency) :

- i) Weekly Systematic Investment Plan (WSIP)
- ii) Fortnightly Systematic Investment Plan (FSIP)
- iii) Monthly Systematic Investment Plan (MSIP)
- iv) Quarterly Systematic Investment Plan (QSIIP)

6. (i) The details of minimum amount per installment, minimum number of installments, maximum duration etc. are given below :

SHRIRAM GOLD ETF PASSIVE FOF :

Weekly SIP	Minimum amount per SIP installment
Fortnightly SIP	(i) Rs. 500/- and in multiples of Re. 1/- thereafter for minimum 24 installments.
Monthly SIP	(ii) Rs. 1000/- and in multiples of Re. 1/- thereafter for minimum 12 installments.
Quarterly SIP	
Maximum	No Limit

- (ii) There is no maximum duration for enrolment.

An investor has an option to choose the "End Date" of the SIP by filling the date.

However, SIPs will be registered in a folio held by a minor only till the date of the minor attaining majority, even though the instructions may be for a period beyond that date. The facility will automatically stand terminated upon the Unit Holder attaining 18 years of age.

- (iii) In respect of enrollments, the Load Structure prevalent at the time of enrollment shall govern the investors during the tenure.

The Load Structure for investments through SIP is as follows :

- (a) Entry Load : Not Applicable. The upfront commission on investment made by the investor, if any, shall be paid to the ARN Holder (AMFI registered Distributor) directly by the investor, based on the investor's assessment of various factors including service rendered by the ARN Holder.

- (b) Exit Load : Applicable Exit Load, if any, in the Scheme/Plan/ Option as on the date of enrollment of the SIP will be levied.

For Scheme load structure please refer to Key Information Memorandum or contact the nearest Investor Service Centre (ISC) of SHRIRAM Mutual Fund or visit our website www.shriramamc.in.

- (iv) In case the Frequency (Monthly/Quarterly) and date is not indicated, Monthly frequency shall be treated as the Default Frequency and 15th shall be treated as the Default date.

- (v) In accordance with SEBI Letter No. SEBI/HO/IMD/PoD-1/OW/P/2025/5586/1 dated February 20, 2025, Shriram Asset Management Company Limited ("AMC") has introduced the Shriram Choti SIP ("Choti SIP" / "Facility") under the Shriram Gold ETF Passive FOF.

With the introduction of Choti SIP, the minimum SIP amount for fresh registrations in the said scheme shall be Rs. 250/-. Existing SIP registrations shall continue as per the mandate provided by investors prior to the introduction of this facility.

Key Features of Choti SIP

1. Eligibility: Investors can start a Choti SIP with an investment of Rs. 250/- per instalment, restricted to a maximum of three SIPs (one each in up to three Asset Management Companies).
2. Scheme Option: The Choti SIP facility is available only under the Growth Option of the above-mentioned scheme.
3. Mode of Payment: Investment under Choti SIP can be made only through NACH or UPI AutoPay.
4. Minimum Instalments: The minimum number of SIP instalments shall be 60; however, investors may discontinue earlier without any restriction.
5. Investor Eligibility Condition: Investors who already hold any mutual fund investment (SIP or lumpsum) other than Choti SIP in any mutual fund shall not be eligible to invest under this facility.
6. SIP Frequency: The Choti SIP shall be available with monthly or fortnightly frequency.

7. Mode of Holding: Choti SIP shall be available in Statement of Account (SOA) mode as well as Demat mode.
 8. Contact Details: A mobile number is mandatory for registration under Choti SIP, while providing an email address is optional.
 9. Disclosures: All statutory and transactional communications related to Choti SIP will be sent to investors through their registered mobile number and email ID (if provided).
 7. All installments are available on the 1st, 5th, 15th, 20th, 25th or any other day (as specified) of a month. All installments under MSIP and QSIP should be of the same amount and same date. For example, if an investor is enrolling for the period July- December for total amount of Rs. 30,000/-, there shall be a minimum of six installments (except for first cheque which could be of any date) and same amount. The first cheque should be drawn on the same bank account which is to be registered for NACH/ECS (Debit Clearing)/Direct Debit/Standing Instruction. Alternatively, the cheque may be drawn on any bank, but investor should provide a photocopy of the cheque of the bank/branch for which ECS (Debit Clearing)/Direct Debit/Standing Instruction are to be registered. However, investors need not submit the First Cheque for enrollment provided the Enrolment Form is attested by the Bank from which installment will be debited or copy of the cancelled cheque or photocopy of the cheque of bank account from which the installment will be debited is attached to the form.
 - a. First Cheque and subsequent Installments via NACH/ECS (Debit Clearing)/Direct Debit/Standing Instruction should be of the same amount.
 - b. The Enrolment Form should be submitted at least 30 days before the first date for NACH/ECS (Debit Clearing)/ Direct Debit / Standing Instruction.

If the start period is not mentioned, the chosen/Default date falling 30 days from submission date will be considered as the start date and will be registered from that date (eg. If the application is submitted on June 1 without indicating the start period then the SIP start date would be July 1).

In case the auto debit start date as mentioned in the form does not satisfy this condition, the first date shall be rolled over to begin from the immediately following month (provided the roll over date does not exceed the maximum time gap of 90 days between the SIP submission date and first installment of SIP through NACH/ECS (Debit Clearing) or Direct Debit / Standing Instruction) and the end date shall accordingly get extended.
 - c. Payment may be made by cheque drawn on any bank which is situated at and is a member of the " Bankers" Clearing House located at the place where the SIP application is submitted. No cash, money orders or postal orders will be accepted.
 - d. In case, the name is not pre-printed on the cheque or signature on the cheque does not match, then the first named applicant/investor should submit any one of the following documents i.e. a copy of the bank passbook or a statement of bank account or a letter from the bank on its letterhead certifying the investors bank account details (Account Number, Type, Branch, MICR Code). For other mode of payment and further details, please refer to the section "Third Party Payments" under the Instructions in the Key Information Memorandum and section. How to Apply. under Statement of Additional Information available on our website www.shriramamc.in.
 - e. SIP Top-up Facility :

SIP Top-up Facility is not available under Micro SIPs
 1. SIP Top-up is a facility wherein an investor who wishes to enroll for SIP, has an option to increase the amount of the SIP installment by a fixed amount at pre-defined intervals. The SIP Top-up amount should be filled in the SIP Enrolment Form itself.
 2. The SIP Top-up amount should be in multiples of Rs. 500/- only.
 3. Monthly SIP offers top-up frequency at half yearly and yearly intervals. Quarterly SIP offers top-up frequency at yearly intervals only. In case the top- up frequency is not indicated under Monthly SIP, it will be considered as yearly interval.
 - f. (i) Payment through Electronic Clearing Service NACH (ECS) (Debit Clearing) of the Reserve Bank of India (RBI) - Investors / Unit holders may also enroll for Auto Debit facility through NACH/ ECS (Debit Clearing) of the RBI.

List of Cities for Auto Debit Facility via NACH/ECS (Debit Clearing) should conform to the NACH/ECS Debit locations approved by RBI. The same is available on www.rbi.org.in and on our website www.shriramamc.in

This facility is offered only to the investors having bank accounts in select cities.

The bank account provided for NACH/ECS (Debit) should participate in local MICR clearing.
- Auto debit facility is available only on specific dates of the month as under:
- The investor agrees to abide by the terms and conditions of NACH/ECS facility of RBI.
- (ii) Payment through Direct Debit Facility

Investors / Unit holders may enroll for Direct Debit Facility available with the banks / branches with whom Shriram Mutual Fund may have an arrangement from time to time.

This facility shall be offered only to the investors having bank accounts in select banks/ branches eligible for this facility.

This facility shall be available on all SIP dates of a month / quarter once it is rolled out by the Mutual Fund.
 - (iii) Payment through Standing Instruction

Payment may also be accepted by direct debits to unit holders' bank accounts. For this purpose, unit holders are required to give standing instructions to their bankers (with whom SHRIRAM Mutual Fund may have an arrangement from time to time) to debit their bank accounts at periodic intervals and credit the subscription proceeds to the SHRIRAM Mutual Fund bank account.

The cities / banks / branches in the list may be modified/updated/ changed/ removed at any time in future entirely at the discretion of SHRIRAM Mutual Fund / SHRIRAM Asset Management Company Limited without assigning any reasons or prior notice. If any city / bank / branch are removed, SIP instructions for investors in such city / bank / branch via NACH/ECS (Debit Clearing) / Direct Debit / Standing Instruction route will be discontinued without prior notice. Please contact the nearest Investor Service Centre of SHRIRAM Mutual Fund for updated list
8. Units will be allotted on the applicable dates subject to realization of funds where total SIP investments on a date amount to Rs. 2 lakh or more. In case date falls on the Non- Business Day or falls during a book closure period, the immediate next Business Day will be considered for the purpose of determining the applicability of NAV subject to the realization of the proceeds
 9. The first cheque should be drawn in favor of "the Specific Scheme A/c Permanent Account Number" or "the Specific Scheme A/c First Investor Name" (e.g. in case of SBF the cheque should be drawn in favor of "Shriram Gold ETF Passive FOF A/c ABCDE1234F" OR "SHRIRAM GOLD ETF PASSIVE FOF A/c Robin Saha"; and crossed "Account Payee only". Unit holders must write the SIP Enrolment Form number, if any, on the reverse of the cheque.
 10. Investors have an option to hold the Units in dematerialized form. However, this facility is not available in case of units offered under the Daily/Weekly/ Fortnightly IDCW Option(s). The units will be allotted in demat form based on the applicable NAV as per the terms of the respective Scheme Information Document(s) and will be credited to investor's Demat Account on weekly basis on realization of funds. For e.g. Units will be credited to investor's Demat account every Monday on the basis of realization status received during the last week (Monday to Friday).

Investors desiring to get allotment of units in demat mode must have a beneficiary account with a Depository Participant (DP) of the Depositories i.e. National Securities Depositories Limited (NSDL) / Central Depository Services Limited (CDSL). If PAN is not mentioned by applicants, the application is liable to be rejected. Investors may attach a copy of the Client Master Form / DP statement showing active demat account details for verification. Names, mode of holding, PAN details, etc. of the Investor will be verified against the Depository data. The units will be credited to the beneficiary (demat) account only after successful verification with the depository records and realization of payment. In case the demat details mentioned in the application are incomplete/incorrect or do not match with the depository data, the application shall be treated as invalid for processing under demat mode and therefore may be considered for processing in non-demat form i.e. in physical mode if the application is otherwise valid.

All details such as address, bank details, nomination etc. will be applicable as available in the depositories. records. For effecting any subsequent changes to such information, Investors should approach their DP. Redemption requests for units held in demat mode must be submitted to DP or through Stock Exchange Platform, as applicable.
- Holding / transacting of units held in demat mode shall be in accordance with the procedures / requirements laid down by the Depositories, viz. NSDL/ CDSL in accordance with the provisions under the Depositories Act, 1996 and the regulations thereunder.
11. You can choose to change your bank account or discontinue the facility by giving thirty days written notice to any of our Investor Service Centers. For cancellation request, please mention the start date as mentioned at the time of registration.
 12. AMC reserves the right to freeze the folio of the investor(s) in cases where two consecutive installments are not honored or the Bank Account [for NACH/ECS (Debit clearing)/Direct Debit/Standing Instruction] is closed and

request for change in bank account [for NACH/ECS (Debit clearing) / Direct Debit/Standing Instruction] is not submitted at least 30 days before the next SIP Auto Debit.

13. In case the first SIP installment is processed (as the cheque may be banked) and the application is found to be defective, the SIP registration will be ceased for future installments. Investor will be sent a communication to this effect. No refunds shall be made for the units already allotted. However, redemptions/ switch-outs shall be allowed.

14. Permanent Account Number (PAN)

- (a) SEBI has made it mandatory for all applicants (in the case of application in joint names, each of the applicants) to mention his/her permanent account number (PAN) except as mentioned in point (b) below. Where the applicant is a minor, and does not possess his / her own PAN, he / she shall quote the PAN of his/ her father or mother or the guardian, as the case may be. Applications not complying with the above requirement may not be accepted/ processed. PAN card copy is not required separately if KYC acknowledgement letter is made available.

For further details, please refer Section "Permanent Account Number" under Statement of Additional Information available on our website www.shriramamc.in.

- (b) PAN Exempt Investments

SEBI vide its circular dated July 24, 2012 has clarified that investments in mutual funds schemes (including investments in SIPs) of upto Rs.50,000 per investor per year across all schemes of the Fund shall be exempt from the requirement of PAN. Accordingly, individuals (including Joint Holders who are individuals, NRIs but not PIOs, Minors) and Sole proprietary firms who do not possess a PAN ("Eligible Investors")* are exempt from submission of PAN for investments upto Rs.50,000 in a rolling 12 month period or in a financial year i.e. April to March. However, Eligible Investors are required to undergo Know Your Customer (KYC) procedure with any of the SEBI registered KYC Registration Authorities (KRA). Eligible Investors must quote PAN Exempt KYC Reference Number (PEKRN) issued by the KRA under the KYC acknowledgement letter in the application form and submit a copy thereof along with the application form. In case the applicant is a minor, PAN /PEKRN details of the Guardian shall be submitted, as applicable. Eligible Investors (i.e. the First Holder) must not possess a PAN at the time of submission of application form. Eligible investors must hold only one PEKRN issued by any one of the KRAs.

If an application for investment together within investments made in a rolling 12 month period or in a financial year exceeds Rs.50,000, such an application will be rejected.

Fresh / Additional Purchase and Systematic Investment Plans will be covered in the limit of Rs.50,000. Investors may switch their investments to other Schemes. However, if the amount per switch transaction is Rs.50,000 or more, in accordance with the extant Income Tax rules, investors will be required to furnish a copy of PAN to the Mutual Fund.

The detailed procedures / requirements for accepting applications shall be as specified by the AMC/Trustee from time to time and their decision in this behalf will be final and binding.

** HUFs and other categories are not eligible for such*

15. Know Your Customer (KYC) Compliance

Units held in account statement (non-demat) form

Investors should note that it is mandatory for all registrations to quote the KYC Compliance Status of each applicant (guardian in case of minor) in the application and attach proof of KYC Compliance viz. KYC Acknowledgement Letter.

Units held in electronic (demat) form

For units held in demat form, the KYC performed by the Depository Participant of the applicants will be considered as KYC verification done by the Trustee / AMC.

For further details, please refer Section. Know Your Customer (KYC) Compliance under Statement of Additional Information available on our website www.shriramamc.in.

16. a. Investors will not hold SHRIRAM Mutual Fund / SHRIRAM Asset Management Company Limited (SHRIRAM AMC) its registrars and other service providers responsible and/or liable if the transaction is delayed or not effected or the investor bank account is debited in advance or after the specific SIP date due to local holidays or any other reason.
- b. SHRIRAM Mutual Fund / SHRIRAM AMC, its registrars and other service providers shall not be responsible and liable for any damages/ compensation for any loss, damage etc. incurred by the investor. The investor assumes the entire risk of using this facility and takes full responsibility.
- c. SHRIRAM Mutual Fund / SHRIRAM AMC reserves the right to reject any application without assigning any reason
- d. Auto Debit facility is subject to the terms and conditions of the Banks offering the said facility and the Investors will not hold SHRIRAM Mutual Fund / SHRIRAM AMC responsible for any rejection.
17. The Trustee/SHRIRAM AMC reserves the right to change/modify the terms and conditions of the SIP. For the updated terms and conditions of SIP, contact the nearest ISC or visit our website www.shriramamc.in.

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CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual
Important Instructions:

- | | |
|--|--|
| A) Fields marked with "*" are mandatory fields. | E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end. |
| B) Please fill the form in English and in BLOCK letters. | F) List of two character ISO 3166 country codes is available at the end. |
| C) Please fill the date in DD-MM-YYYY format. | G) KYC number of applicant is mandatory for update application. |
| D) Please read section wise detailed guidelines / instructions at the end. | H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated. |

For office use only	Application Type*	☐ New	☐ Update
(To be filled by financial institution)	KYC Number		
	Account Type*	☐ Normal	☐ Simplified (for low risk customers) ☐ Small

1. PERSONAL DETAILS (Please refer instruction A at the end)

PAN		(Please enclose a duly attested copy of your PAN Card)		
	Prefix	First Name	Middle Name	Last Name
Name*(Same as Aadhaar)				
Maiden Name (If any*)				
Father / Spouse Name*				
Mother Name*				
Date of Birth*				
Gender*	☐ M- Male	☐ F- Female	☐ T-Transgender	
Marital Status*	☐ Married	☐ Unmarried	☐ Others	
Citizenship*	☐ IN- Indian	☐ Others (ISO 3166 Country Code)		
Residential Status*	☐ Resident Individual	☐ Non Resident Indian		
	☐ Foreign National	☐ Person of Indian Origin		
Occupation Type*	☐ S-Service	☐ Private Sector	☐ Public Sector	☐ Government Sector
	☐ O-Others	☐ Professional	☐ Self Employed	☐ Retired ☐ Housewife ☐ Student
	☐ B-Business			
	☐ X- Not Categorised			


2. PERSONAL DETAILS (Please refer instruction A at the end)

ADDITIONAL DETAILS REQUIRED* (Mandatory only if section 2 is ticked)
ISO 3166 Country Code of Jurisdiction of Residence*
Tax Identification Number or equivalent (If issued by jurisdiction)*
Place / City of Birth*
ISO 3166 Country Code of Birth*

3. PROOF OF IDENTITY (PoI)* (Please refer instruction C at the end)

(Certified copy of any one of the following Proof of Identity [PoI] needs to be submitted)

☐ A- Passport Number		Passport Expiry Date	
☐ B- Voter ID Card			
☐ C- PAN Card			
☐ D- Driving Licence		Driving Licence Expiry Date	
☐ E- UID (Aadhaar)			
☐ F- NREGA Job Card			
☐ Z- Others (any document notified by the central government)		Identification Number	
☐ S- Simplified Measures Account - Document Type code		Identification Number	

4. PROOF OF ADDRESS (PoA)*
☐ 4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction D at the end)

(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

Address Type*	☐ Residential / Business	☐ Residential	☐ Business	☐ Registered Office	☐ Unspecified
Proof of Address*	☐ Passport	☐ Driving Licence	☐ UID (Aadhaar)		
	☐ Voter Identity Card	☐ NREGA Job Card	☐ Others		
	☐ Simplified Measures Account - Document Type code				

Address

Line 1*										
Line 2										
Line 3										
District*		Pin / Post Code*		State / U.T Code*		ISO 3166 Country Code*		City / Town / Village*		

☐ **4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS *** (Please see instruction E at the end)

☐ Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1')

Line 1*																					
Line 2																					
Line 3																City / Town / Village*					
District*						Pin / Post Code*						State / U.T Code*			ISO 3166 Country Code*						

☐ **4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES*** (Applicable if section 2 is ticked)

☐ Same as Current / Permanent / Overseas Address details

☐ Same as Current / Permanent / Overseas Address details

Line 1*																					
Line 2																					
Line 3																City / Town / Village*					
District*						Pin / Post Code*						State / U.T Code*			ISO 3166 Country Code*						

☐ **5. CONTACT DETAILS** (All communications will be sent on provided Mobile No. / Email-ID) (Please refer instruction F at the end)

Tel. (Off)						-						Tel. (Res)						-						Mobile						-					
Fax						-						Email ID																							

☐ **6. DETAILS OF RELATED PERSON** (In case of additional related persons, please fill 'Annexure B1') (please refer instruction G at the end)

☐ Addition of Related Person	☐ Deletion of Related Person	☐ KYC Number of Related Person (if available*)																		
Name*(Same as Aadhaar)	☐ Guardian of Minor Name*	☐ Assignee	☐ Authorized Representative																	

	Prefix						First Name						Middle Name						Last Name					
Name*(Same as Aadhaar)																								
(If KYC number and name are provided, below details of section 6 are optional)																								

PROOF OF IDENTITY [PoI] OF RELATED PERSON* (Please see instruction (H) at the end)

☐ A- Passport Number											Passport Expiry Date	DD		-	MM		-	YYYY			
☐ B- Voter ID Card																					
☐ C- PAN Card																					
☐ D- Driving Licence											Driving Licence Expiry Date	DD		-	MM		-	YYYY			
☐ E- UID (Aadhaar)																					
☐ F- NREGA Job Card																					
☐ Z- Others (any document notified by the central government)											Identification Number										
☐ S- Simplified Measures Account - Document Type code											Identification Number										

☐ **7. REMARKS** (If any)

8. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date: DD - MM - YYYY

Place:

[Signature / Thumb Impression

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies

KYC VERIFICATION CARRIED OUT BY	
Date	DD - MM - YYYY
Emp. Name	
Emp. Code	
Emp. Designation	

[Employee Signature]

In-Person Verification (IPV) Carried Out by	
Date	DD - MM - YYYY
Emp. Name	
Emp. Code	
Emp. Designation	

[Employee Signature]

INSTITUTION DETAILS	
Name	
Code	
Emp. B	

[Institution Stamp]

Institution Details	
Name	
Code	
Emp. B	

[Institution Stamp]

General Instructions:

- Fields marked with '*' are mandatory fields.
- Tick ' ' wherever applicable.
- Self-Certification of documents is mandatory.
- Please fill the form in English and in BLOCK Letters.
- Please fill all dates in DD-MM-YYYY format.
- Wherever state code and country code is to be furnished, the same should be the two-digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively list of which is available at the end.
- KYC number of applicant is mandatory for updation of KYC details.
- For particular section update, please tick () in the box available before the section number and strike off the sections not required to be updated.
- In case of "small Account type only personal details at section number 1 and 2, photograph, signature and self-certification required. Clarification / Guidelines on filling 'Personal Details' section

A Clarification / Guidelines on filling 'Personal Details' section

- Name** : Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- Either **father's name or spouse's name** is to be mandatorily furnished. In case PAN is not available father's name is mandatory. Clarification / Guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India

B Clarification / Guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India

- Tax identification Number (TIN)**: TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a "Functional equivalent"), the same may be reported. Examples of that type of number for individual include, a social security / insurance number, citizen / personal identification / services code/number and resident registration number)

C Clarification / Guidelines of filling "Proof of Identity [PoI]" section

- If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
- Mention Identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.
- In case of Simplified Measures Accounts for verifying the identity of the applicant, any one of the following documents can also be submitted and underlined relevant code may be mentioned in point 3 (S).

Document Code	Description
01	Identity card with applicant's photograph issued by Central / State Government Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, and Public Financial Institutions.
02	Letter issued by a gazetted officer, with a duly attested photograph of the person.

D Clarification / Guidelines on filling 'Proof of Address [PoA] - Current / Permanent/ Overseas Address details' section

- PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
- State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- In case of Simplified Measures Accounts for verifying the address of the applicant, any one of the following documents can also be submitted and underlined relevant code may be mentioned in point 4.1.

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal Tax receipt.
03	Bank account or Post Office savings bank account statement.
04	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
05	Letter of allotment of accommodation from employer issued by State or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies. Similarly, leave and license agreements with such employers allotting official accommodation.
06	Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India.

E Clarification / Guidelines on filling 'Proof of Address [PoA] - Correspondence / Local Address details' section

- To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted.
- In case of multiple correspondence / local addresses, Please fill 'Annexure A1'

F Clarification / Guidelines on filling 'Contact details' section

- Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
- Do not add '0' in the beginning of Mobile Number.

G Clarification / Guidelines on filling 'Related Person details' section

- Provide KYC number of related person if available.

H Clarification / Guidelines on filling 'Related Person details – Proof of Identity [PoI] of Related Person' section

- Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.

List of two – digit state / U.T codes as per Indian Motor Vehicle Act, 1988

State / U.T	Code	State / U.T	Code	State / U.T	Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	JK	Punjab	PB
Arunachal Pradesh	AR	Jharkhand	JH	Rajasthan	RJ
Assam	AS	Karnataka	KA	Sikkim	SK
Bihar	BR	Kerala	KL	Tamil Nadu	TN
Chandigarh	CH	Lakshadweep	LD	Telangana	TS
Chattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra and Nagar Haveli	DN	Maharashtra	MH	Uttar Pradesh	UP
Daman & Diu	DD	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	Other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

List of ISO two - digit Country Code

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GQ	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Islands	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Islands	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Mayotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SJ
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Namibia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	NR	Taiwan, Province of China	TW
Botswana	BW	Guinea	GN	Nepal	NP	Tajikistan	TJ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
British Indian Ocean Territory	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	Hong Kong	HK	Niue	NU	Trinidad and Tobago	TT
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG
Chad	TD	Ireland	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU
Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Cote d'Ivoire !Côte d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion !Réunion	RE	Virgin Islands, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curacao !Curaçao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy !Saint Barthélemy	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
Denmark	DK	Lebanon	LB	Saint Kitts and Nevis	KN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		
Dominica	DM	Liberia	LR	Saint Martin (French part)	MF		

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual | Correspondence / Local Address

A) Fields marked with “*” are mandatory fields.	E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
B) Please fill the form in English and in BLOCK letters.	F) List of two character ISO 3166 country codes is available at the end.
C) Please fill the date in DD-MM-YYYY format.	G) KYC number of applicant is mandatory for update application.
D) Please read section wise detailed guidelines / instructions at the end.	H) For particular section update, please tick (☐) in the box available before the section number and strike off the sections not required to be updated.

For office use only	Application Type*	☐ New	☐ Update
(To be filled by financial institution)	KYC Number		
		(Mandatory for KYC update request)	

☐ Same as Current / Permanent / Overseas Address details[illegible]

Tel. (Off)		-		Tel. (Res)		-		Mobile		-	
Fax		-		Email ID							

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.

Date:

D	D
---	---

 -

M	M
---	---

 -

Y	Y	Y	Y
---	---	---	---

[illegible]

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

Annexure B1**CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual | Related Person****Important Instructions:**

- A) Fields marked with "*" are mandatory fields. E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
- B) Please fill the form in English and in BLOCK letters. F) List of two character ISO 3166 country codes is available at the end.
- C) Please fill the date in DD-MM-YYYY format. G) KYC number of applicant is mandatory for update application.
- D) Please read section wise detailed guidelines / instructions at the end. H) For particular section update, please tick (☐) in the box available before the section number and strike off the sections not required to be updated.

For office use only

Application Type*

☐ New☐ Update

(To be filled by financial institution)

KYC Number

(Mandatory for KYC update request)

1. DETAILS OF RELATED PERSON (please refer instruction G at the end)☐ Addition of Related Person☐ Deletion of Related Person☐ KYC Number of Related Person (if available*)

Name*(Same as Aadhaar)

☐ Guardian of Minor Name*☐ Assignee☐ Authorized Representative

Prefix

First Name

Middle Name

Last Name

Name*(Same as Aadhaar)

(If KYC number and name are provided, below details of section 6 are optional)

PROOF OF IDENTITY [PoI] OF RELATED PERSON* (Please see instruction (H) at the end)☐ A- Passport Number

Passport Expiry Date

☐ B- Voter ID Card

☐ C- PAN Card

☐ D- Driving Licence

☐ E- UID (Aadhaar)

Driving Licence Expiry Date

☐ F- NREGA Job Card

☐ Z- Others (any document notified by the central government)

Identification Number

☐ S- Simplified Measures Account - Document Type code

Identification Number

2. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.

[Signature / Thumb Impression]

Date: - - Place:

Signature / Thumb Impression of Applicant

3. ATTESTATION / FOR OFFICE USE ONLY**Documents Received** ☐ Certified Copies**KYC VERIFICATION CARRIED OUT BY**

Date

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name

Code

[Institution Stamp]

[illegible]

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it. - I/we hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.	[Signature / Thumb Impression] Signature / Thumb Impression of Applicant
---	--

Signature / Thumb Impression of Applicant

[illegible]

Documents Received ☐ Certified Copies ☐ Equivalent document

Documents Received ☐ Certified Copies ☐ Equivalent document

INSTITUTION DETAILS

Identity Verification ☐ Done Date - -

[illegible][illegible][illegible][illegible][illegible][illegible]

[Employee Signature]

[Employee Signature]

A. Clarification / Guidelines on filling 'Entity Details' section

1. Entity Constitution Type

A - Sole Partnership	H - Trust	O - Artificial Juridical Person
B - Partnership Firm	I - Liquidator	P - International Organisation or Agency / Foreign
C - HUF	J - Limited Liability Partnership	Q - Not Categorized
D - Private Limited Company	K - Artificial Liability Partnership	R - Others
E - Public Limited Company	L - Public Sector Banks	S - Foreign Portfolio Investors
F - Society	M - Central/State Government Department or Agency	
G - Association of Persons (AOP)/Body of Individuals (BOI)	N - Section 8 Companies (Companies Act, 2013)	

- In case of companies and partnerships, PAN of the entity is mandatory. In case of other entities, Form 60 may be obtained if PAN is not available.

B. Clarification / Guidelines on filling 'Proof of Identity [POI]' section

- Activity Proof 1 and Activity Proof 2 are applicable for accounts in case of proprietorship firms. Please refer to relevant instructions issued by the Reserve Bank of India in this regard.
- Please refer to the relevant instructions issued by the regulator regarding applicable documents for the legal entity.
- Certified copy of document or equivalent e document or OVD obtained through Digital KYC process to be submitted.
- Equivalent e document means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
- Digital KYC process has to be carried out as stipulated in the PML Rules,
- KYC requirements for Foreign Portfolio Investors (FPIs) will be as specified by the concerned regulator from time to time.

C. Clarification/Guidelines for filling Proof of Address [PoA] section

- State/U.T Code and Pin/Post Code will not be mandatory for overseas addresses.
- Certified copy of document or equivalent e document to be submitted.

D. Clarification/Guidelines for filling 'Contact Details' section

- Please mention two digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91 9999999999).
- Do not add '0' in the beginning of Mobile number.

E. Clarification/Guidelines for filling 'Related Person Details' section

1. Personal Details

- The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.

2. Proof of Address [PoA]

- PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
- State/U.T Code and Pin/Post Code will not be mandatory for Overseas addresses.
- In case of deemed PoA such as utility bill, the document need not be uploaded on CKYCR
- REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository.

- If KYC number of Related Person is available, no other details except 'Person Type' and 'Name of the Related' are required.

- Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.

F. Provision for capturing signature of multiple authorised persons is to be made by the RE

List of two – digit state / U.T codes as per Indian Motor Vehicle Act, 1988

State / U.T	Code	State / U.T	Code	State / U.T	Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	JK	Punjab	PB
Arunachal Pradesh	AR	Jharkhand	JH	Rajasthan	RJ
Assam	AS	Karnataka	KA	Sikkim	SK
Bihar	BR	Kerala	KL	Tamil Nadu	TN
Chandigarh	CH	Lakshadweep	LD	Telangana	TS
Chhattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra and Nagar Haveli	DN	Maharashtra	MH	Uttar Pradesh	UP
Daman & Diu	DD	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	Other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

List of ISO two - digit Country Code

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GQ	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Islands	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Islands	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Mayotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SJ
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Namibia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	NR	Taiwan, Province of China	TW
Botswana	BW	Guinea	GN	Nepal	NP	Tajikistan	TJ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
British Indian Ocean Territory	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	Hong Kong	HK	Niue	NU	Trinidad and Tobago	TT
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG
Chad	TD	Ireland	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU
Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Cote d'Ivoire !Côte d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion !Réunion	RE	Virgin Islands, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curacao !Curaçao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy !Saint Barthélemy	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
Denmark	DK	Lebanon	LB	Saint Kitts and Nevis	KN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		
Dominica	DM	Liberia	LR	Saint Martin (French part)	MF		

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Related Person

Important Instructions:

- A) Fields marked with "*" are mandatory fields.
- B) Tick '☐' wherever applicable
- C) Please fill the date in DD-MM-YYYY format.
- D) Please fill the form in English and in BLOCK letters.
- E) KYC number of application is mandatory for update application.
- F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
- G) List of two character ISO 3166 country codes is available at the end.
- H) Please read section wise detailed guidelines / instructions at the end.
- I) For particular section update, please tick (☐) in the box available before the section number and strike off the sections not required to be updated.



For office use only

(To be filled by financial institution)

Application Type*

☐ New☐ Update

KYC Number

(Mandatory for KYC update request)

1. Details of Related Person* (Please refer instruction A at the end)

☐ Addition of Related Person☐ Deletion of Related Person☐ Update Related Person Details☐ KYC Number of Related Person (if available*)

(If KYC number is available, only 'Related Person Type' & 'Name' is mandatory)

Related Person Type*

☐ Director☐ Promoter☐ Karta☐ Trustee☐ Partner☐ Court Appointment Official☐ Proprietor☐ Beneficiary☐ Authorised Signatory☐ Beneficial Owner☐ Power of Attorney Holder☐ Other (Please specify)

DIN (Director Identification Number)

(Mandatory if Related Person Type is Director)

1.1 PERSONAL DETAILS (Please refer instruction E at the end)

	Prefix	First Name	Middle Name	Last Name
☐ Name*(Same as ID proof)				
Maiden Name				
Father / Spouse Name				
Mother Name				
Date of Birth*				
Gender*	☐ M- Male	☐ F- Female	☐ T-Transgender	
Nationality*	☐ IN- Indian	☐ Others (ISO 3166 Country Code		
PAN*				
			☐ Form 60 furnished	

1.2 Proof of Identity and Address* (Please refer instruction E at the end)

I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

☐ A- Passport Number	
☐ B- Voter ID Card	
☐ C- Driving Licence	
☐ D- NREGA Job Card	
☐ E- National Population Register Letter	
☐ F- Proof of Possession of Aadhaar	
☐ E- KYC Authentication	
☐ Offline verification of Aadhaar	

PHOTO
Signature / Thumb Impression

Address

Line 1*	
Line 2	
Line 3	
District*	
Pin / Post Code*	
State / U.T Code*	
City / Town / Village*	
ISO 3166 Country Code*	

1.3 Proof of Identity and Address* (Please refer instruction E at the end)

Same as above mentioned address (In such cases address details as below need not be provided)

I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

☐ A- Passport Number	
☐ B- Voter ID Card	
☐ C- Driving Licence	
☐ D- NREGA Job Card	
☐ E- National Population Register Letter	
☐ F- Proof of Possession of Aadhaar	
☐ E- KYC Authentication	
☐ Offline verification of Aadhaar	
☐ Deemed PoA	
☐ Self-Declaration	

Address

Line 1*																											
Line 2																											
Line 3																											
District*							Pin / Post Code*					State / U.T Code*			City / Town / Village*							ISO 3166 Country Code*					

1.4 CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email ID provided) (Please refer instruction D at the end)

Tel. (Off)					-					Tel. (Res)					-					Mobile			-				
Email ID																											

2. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I /we hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/ email address.

Date: DD - MM - YYYY

Place:

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

3. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies Digital KYC Process ☐ E-KYC data received from UIDAI Equivalent e-document
☐ Data received from Offline verification

KYC VERIFICATION CARRIED OUT BY

Date	DD	-	MM	-	YYYY
Emp. Name					
Emp. Code					
Emp. Designation					
Emp. Branch					

[Employee Signature]

INSTITUTION DETAILS

Name																											
Code																											

[Institution Stamp]

Details of FATCA & CRS information For Non-Individuals / legal entity

Name of the entity

Type of address given at KRA ☒ Residential or Business ☒ Residential ☒ Business ☒ Registered Office

PAN Date of incorporation

City of incorporation

Country of incorporation

Please tick the applicable tax resident declaration :-

1. Is "Entity" a tax resident of any country other than India - YES ☒ NO ☒

(If yes, please provide country / ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

Country	Tax Identification Number*	Identification Type (TIN or other, please specify)

* In case Tax Identification Number is not available, kindly provide its functional equivalent"

In case TIN or its functional equivalent is not available please provide Company identification number or Global Entity identification Number or GIIN etc

In case The Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S exemption code here

Please refer to para 3(vii) Exemption code for U.S. persons under part D of FATCA Instructions & definitions

FATCA & CRS DECLARATION

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

PART A (to be filed by Financial Institutions or Direct Reporting NFEs)

1. We are a ☐ **Global Intermediary Identification Number (GIIN)**
Financial institution³ ☒ Note: If you do not have a GIIN but you are sponsored by another entity, please your sponsor's GIIN above and indicate your sponsor's name below
or
Direct reporting NFE⁴ ☒ Name of sponsoring entity
 (please tick as appropriate)
GIIN Not available (please tick as applicable) ☒ **Applied for**
If the entity as a financial institution ☒ Not required to apply for - please specify 2 digits sub-category¹⁰
☒ Not obtained - Non-participating FI

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

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

¹Refer 2 of Part D | ²Refer 3(II) of Part D | ³Refer 1(1) of Part D / ⁴Refer 3(vi) of Part D |

If passive NFE, Please

# If passive NFE, Please provide below additional details for each of controlling person. (Please attach additional sheets if necessary)		
Name and PAN / Any Other Identification Number (PAN, Aadhar, Passport, Election ID, Govt. ID Driving License, NREGA Jobcard, others)	Occupation Type - Service, Business, Others Nationality Father's Name - Mandatory if PAN is not available	DOB - Date of Birth Gender - Male, Female, Other
1. Name & PAN	Occupation Type	DOB D D/ M M/ Y Y Y Y
City of Birth	Nationality	Gender Male ✓ Female ✓
Country of Birth	Father's Name	Female ✓
1. Name & PAN	Occupation Type	DOB D D/ M M/ Y Y Y Y
City of Birth	Nationality	Gender Male ✓ Female ✓
Country of Birth	Father's Name	Female ✓
1. Name & PAN	Occupation Type	DOB DDMMYYYY
City of Birth	Nationality	Gender Male ✓ Female ✓
Country of Birth	Father's Name	Female ✓

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

The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962. In which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner

The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962. In which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders, in relevant cases, information will have to be reported to tax authorities/ appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto,

Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.

* If any controlling person of the entity is a US citizen or resident or c teen card holder, please include United States in the foreign country information field along with the US Tax Identification Number.

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

Part C : Certification

I / We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct, and complete. I/We also confirm that I/We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same.

Date: / / /

Name	
Designation	
Signature Signature Signature	

PART D FATCA 'Instructions & Definitions' :**(Note : The Guidance Note/notification issued by the CBDT shall prevail in respect to interpretation of the terms specified in the form)**

- 1 (i) 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.
- 1 (ii) Depository Institution:** Is an entity that accepts deposits in the ordinary course of banking or similar business.
- 1 (iii)** Custodial institution is an entity that holds as a substantial portion of its business, holds financial assets for the account of others and where its income attributable to holding financial assets and related financial services equals or exceeds 20 percent of the entity's gross income during the shorter of-
- (i) The three financial years preceding the year in which determination is made; or
 - (ii) The period during which the entity has been in existence, whichever is less.
- 1 (iv)** Investment entity is any entity:
- (a) That primarily conducts a business or operates for or on behalf of a customer for any of the following activities or operations for or on behalf of a customer
 - (i) Trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading; or individual and collective portfolio management; or
 - (ii) Investing, administering or managing funds, money or financial asset or money on behalf of other persons; or
 - (b) The gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets, if the entity is managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or any investment entity described above. An entity is treated as primarily conducting as a business one or more of the 3 activities described above, or an entity's gross income is primarily attributable to investing, reinvesting, or trading in financial assets of the entity's gross income attributable to the relevant activities equals or exceeds 50 percent of the entity's gross income during the shorter of :
 - (i) The three-year period ending on 31 March of the year preceding the year in which the determination is made; or
 - (ii) The period during which the entity has been in existence.

The term "Investment Entity" does not include an entity that is an active non-financial entity as per codes 04, 05, 06 and 07 - refer point 2c.)

- 1 (v)** Specified Insurance Company: Entity that is an insurance company (or the holding company of an insurance company) that issues, or is obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract.

1 (vi) FI not required to apply for GIIN: Refer Rule 114F(5) of Income Tax Rules, 1962 for the conditions to be satisfied as "non-reporting financial Institution and Guidance issued by CBDT in this regard.

A. Reasons why FI not required to apply for GUN:

Code	Sub-category
01	Governmental Entity International Organization or Central Bank
02	Treaty Qualified Retirement Fund; a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; or a Pension Fund of a Governmental Entity, International Organization or Central Bank
03	Non-public fund of the armed forces, an employees' state insurance fund, a gratuity fund or a provident fund
04	Entity is an Indian FI solely because it is an investment entity
05	Qualified credit card issuer
06	Investment Advisors, Investment Managers & Executing Brokers
07	Exempt collective investment vehicle
08	Trust
09	Non-registering local banks
10	FFI with only Low-Value Accounts
11	Sponsored investment entity and controlled foreign corporation
12	Sponsored, Closely Held Investment Vehicle

2. Active Non-financial entity (NFE) : (anyone of the following): Refer Explanation (A) to 114F(6) of income Tax Rules, 1962 for details.	
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 stock of the entity is regularly traded on an established securities market or the non-financial entity is a related entity of an entity, the stock of which is regularly traded on an established securities market.
03	The NFE is a Governmental Entity, an International Organization, a Central Bank, or an entity wholly owned by one or more of the foregoing;
04	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;
05	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;
06	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;
07	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
08	Any NFE that fulfills all of the following requirements It is established and operated in India exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes or it is established and operated in India and it is a professional organization. business league, chamber of commerce, labor organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare. It is exempt from income tax in India : It has no shareholders or members who have a proprietary or beneficial interest in its income or assets The applicable laws of the NFE's country of 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', formation documents require that. upon the NFE's liquidation or dissolution, all of its assets be distributed to • governmental entity or other non-profit organization or es cheat to the government of the NFE's country or territory of residence or any political subdivision thereof. Explanation.- For the purpose of this sub-clause, the following shall be treated as fulfilling the criteria provided in the said sub-clause, namely:- (I) an investor Protection Fund referred to in clause (23EA); (ii) a Credit Guarantee Fund Trust for Small Industries referred to in clause 23EB; and (iii) an Investor Protection Fund referred to in clause of section 10 23EC, of the Act.

3. Other definitions	
(i) Related entity	An entity is a 'related entity' of another entity if either entity controls the other entity. or the. two entities are under common control For this purpose, control includes direct or indirect ownership of more than 50% of the votes and value in an entity.
(ii) Passive NFE	The term passive NFE means (i) any non-financial entity which is not an active non-financial entity; or (ii) an investment entity defined in clause 1 (iv)(b) of these instructions (iii) a withholding foreign partnership or withholding foreign trust;
(iii) Passive income	The term passive income includes income by way of: (1) Dividends, (2) Interest (3) Income equivalent to interest, (4) Rents and royalties, other than rents and royalties derived in the active conduct of a business conducted, at least in part, by employees of the NFE (5) Annuities (6) The excess of gains over losses from the sale or exchange of financial assets that gives rise to passive income (7) The excess of gains over losses from transactions (including futures, forwards, options and similar transactions) in any financial assets, (8) The excess of foreign currency gains over foreign currency losses (9) Net income from swaps (10) Amounts received under cash value insurance contracts But passive income will not include in case of a non-financial entity that regularly acts as a dealer In financial assets, any income from any transaction entered into in the ordinary course of such dealer's business as such a dealer.

(iv) *Controlling persons*

Controlling persons are natural persons who exercise control over an entity and includes a beneficial owner under sub-rule (3) of rule 9 of the Prevention of Money-Laundering (Maintenance of Records) Rules, 2005.

In determining the beneficial owner, the procedure specified In the following circular as amended from time to time shall be applied, namely:-

- (i) DBOD.AML.BC. No.71/14.01.001/2012-13, issued on the 18th January, 2013 by the Reserve Bank of India; or
- (ii) CIRMIRSD/2/2013, issued on the 24th January, 2013 by the Securities and Exchange Board of India; or
- (iii) IRDA/SIDD/GDUCIR/019/02/2013, Issued on the 4th February, 2013 by the Insurance Regulatory and Development Authority.

In the case of a trust, the controlling person means the settlor, the trustees, the protector (If any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, the said expression means the person in equivalent or similar position;

(A) Controlling Persons Type :	
Code	Sub-category
01	CP of legal person-ownership
02	CP of legal person-other means
03	CP of legal person-senior managing official
04	CP of legal arrangement-trust-settlor
05	CP of legal arrangement-trust-trustee
06	CP of legal arrangement-trust-protector
07	CP of legal arrangement-trust-beneficiary
08	CP of legal arrangement-trust-other
09	CP of legal arrangement-Other-settlor equivalent
10	CP of legal arrangement-Other-trustee equivalent
11	CP of legal arrangement-Other-protector equivalent
12	CP of legal arrangement-Other-beneficiary equivalent
13	CP of legal arrangement-Other-other equivalent
14	Unknown

(v) *Specified U.S. person - A U.S. person other than the following:*

- (i) a corporation the stock of which is regularly traded on one or more established securities markets;
- (ii) any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described In clause (i);
- (iii) the United States or any wholly owned agency or Instrumentality thereof;
- (iv) any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or Instrumentality of anyone or more of the foregoing;
- (v) any organization exempt from taxation under section 501(a) of the U.S. Internal Revenue Code or an individual retirement plan as defined in section 7701 (a)(37) of the U.S. Internal Revenue Code;
- (vi) any bank as defined in section 581 of the U.S. Internal Revenue Code;
- (vii) any real estate Investment trust as defined In section 856 of the U.S. Internal Revenue Code;
- (viii) any regulated Investment company as defined In section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64);
- (ix) any common trust fund as defined In section 584(a) of the U.S. Internal Revenue Code;
- (x) any trust that is exempt from tax under section 664(c) of the U.S. Internal Revenue Code or that Is described In section 4947(a)(1) of the U.S. internal Revenue Code;
- (xi) a dealer in securities, commodities, or derivative financial instruments (including national principal contracts, futures, forwards, and I options) that is. registered as such under the laws of the United States or any State;
- (xii) a broker as defined in section 6045(c) of the U.S. Internal Revenue Code; or
- (xiii) any tax-axempt trust under a plan that is described in section 403(b) or section 457(g) of the U.S. Internal Revenue Code.

(vi) *Direct reporting NFE*

A direct reporting NFFE means a NFFE that elects to report information about Its direct or indirect substantial U.S. owners to the IRS.

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

Code	Sub-category
A	An organization exempt from tax under section 501 (a) or any Individual retirement plan as defined in section 7701 (a)(37)
B	The United States or any of its agencies or Instrumentalities
C	A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or Instrumentalities
D	A corporation the stock of which is regularly traded on one or more established securities markets, as described in Reg. section 1.1472-1(c)(1)(i)
E	A corporation that is a member of the same expanded affiliated group as a corporation described in Reg. section 1.1472-1 (c)(1)(i)
F	A dealer in securities, commodities, or derivative financial Instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state
G	A real estate investment trust
H	A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940
I	A common trust fund as defined in section 584(a)
J	A bank as defined in section 581
K	A broker
L	A trust exempt from tax under section 664 or described in section 4947(a)(1)
M	A tax exempt trust under a section 403(b) plan or section 457(g) plan



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

A. For Investors other than individuals or trusts:

- (i) The identity of the natural person, who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest. Controlling ownership interest means ownership of/entitlement to:
 - more than 10% of shares or capital or profits of the juridical person, where the juridical person is a company.
 - more than 10% of the capital or profits of the juridical person, where the juridical person is a partnership or or who exercises control through other means."

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

 - more than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.
- (ii) In cases where there exists doubt under clause (i) above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity of the natural person exercising control over the juridical person through other means like through voting rights, agreement, arrangements or in any other manner.
- (iii) Where no natural person is identified under clauses (i) or (ii) above, the identity of the relevant natural person who holds the position of senior managing official.

B. For Investors which is a trust:

The identity of the settler of the trust, the trustee, the protector, the beneficiaries with 10% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

Provided that in case of a trust, the reporting entity shall ensure that trustees disclose their status at the time of commencement of an account-based relationship or when carrying out transactions as specified in clause (b) of sub- rule (1) rule 9.

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.

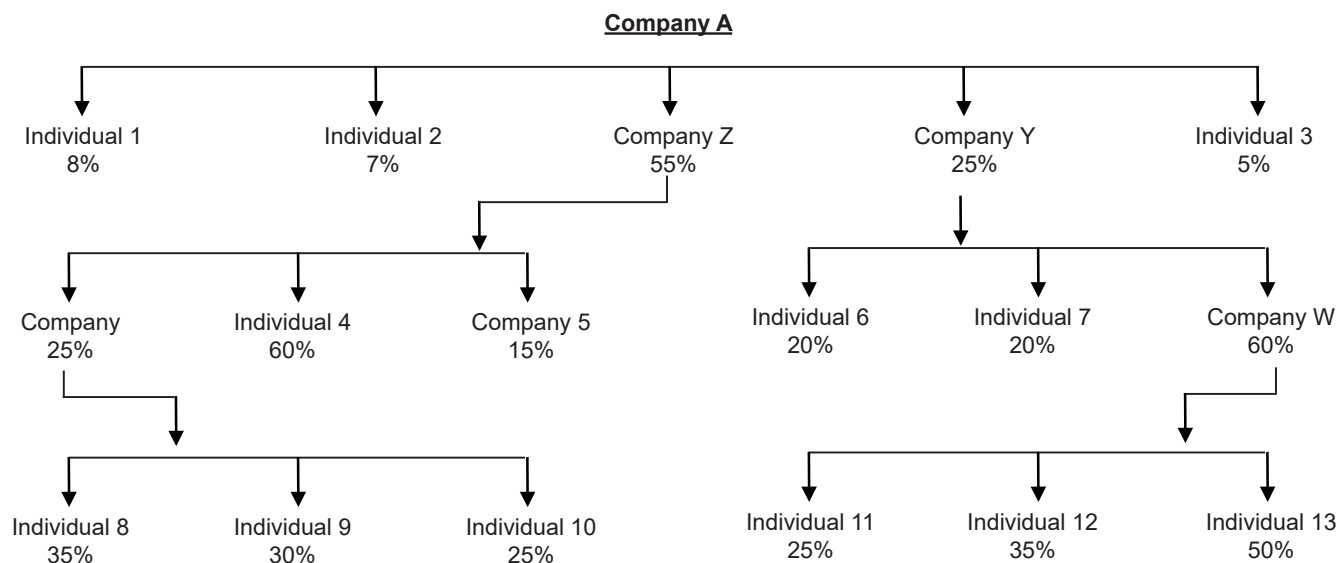
D. KYC requirements

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.

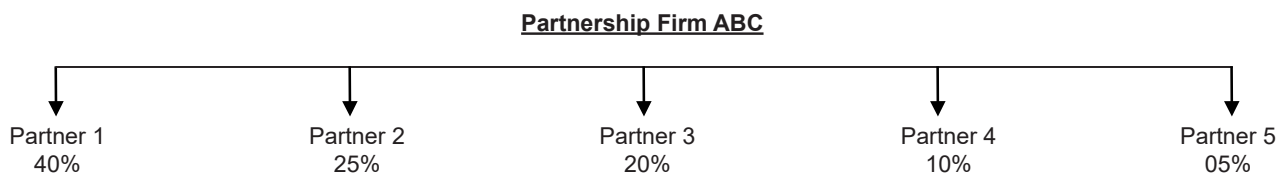
Sample Illustrations for ascertaining beneficial ownership:

Illustration No. 1 - Company A



For Applicant A, Individual 4 is considered as UBO as it holds effective ownership of 33% in Company A. Hence details of Individual 4 must be provided with KYC proof, Shareholding pattern of Company A, Z & Y to be provided along with details of persons of Company Y who are senior managing officials and those exercising control.

Illustration No. 2 - Partner ABC



For Partnership Firm ABC, Partners 1, 2, 3 and 4 are considered as UBO as each of them holds $\geq 10\%$ of capital. KYC proof of these partners needs to be submitted including shareholding.

Illustration No. 3 - Trustee ZYX



For Trust ZYX, Beneficiaries A, B and C are considered as UBO as they are entitled to get benefitted for $\geq 10\%$ of funds used. KYC proof for these beneficiaries needs to be submitted. Additionally, if they have nominated any person or group of persons as Settlor of Trust / Protector of Trust, relevant information to be provided along with the proof indicated.

SHRIRAM ASSET MANAGEMENT COMPANY LIMITED (SHRIRAM AMC LTD.)
- INVESTOR SERVICE CENTRES / OFFICIAL POINTS OF ACCEPTANCE FOR SHRIRAM MUTUAL FUND
(For Ongoing Transactions)

****Official points of acceptance of transactions for schemes of SHRIRAM Mutual Fund**

SHRIRAM Mutual Fund Administrative Head Office: 511-512, Meadows, Sahar Plaza, J. B. Nagar, Andheri (East), Mumbai - 400 059.

Address of CAMS Centres:

Andhra Pradesh:

40 - 1 - 68, Rao & Ratnam Complex, Near Chennupati Petrol Pump, M.G. Road, Labbipet, Vijayawada, Andhra Pradesh - 520010| Flat No. GF2, D. No. 47 - 3 - 2 / 2, Vigneshwara Plaza, 5th Lane, Dwarakanagar, Visakhapatnam, Andhra Pradesh - 530016| Door No. 31 - 13 - 1158, First Floor, 13 / 1, Arundelpet, Ward No. 6, Guntur - 522002| Shop No. 2, 1st Floor, NSR Complex, James Garden, Near Flower Market, Nellore - 524001 | Door No. 6 - 2 - 12, First Floor, Rajeswari Nilayam, Near Vamsikrishna Hospital, Nyapathi Vari Street, T. Nagar, Rajahmundry, Andhra Pradesh - 533101| Shop No. 6, Door No. 19 - 10 - 8, (Opp to Passport Office), AIR Bypass Road, Tirupati, Andhra Pradesh - 517501| D. No. 3/2151/2152, Shop No 4, Near Food Nation, Raja Reddy Street, Kadapa – 516001, Andhra Pradesh| AGVR Arcade, Second Floor, Plot No. 37 (Part), Layout No. 466 / 79, Near Canara Bank, Sangamesh Nagar, Anantapur, Andhra Pradesh - 515001| Shop No. 26 and 27, Door No. 39 / 265 A and 39 / 265 B, Second Floor, Skanda Shopping Mall, Old Chad Talkies, Vaddageri, 39th Ward, Kurnool - 518001| D. No. 25 - 4 - 29, First Floor, Kommireddy vari street, Beside Warf Road, Opp swathi medicals, Kakinada - 533001| Door No 10-5-65, 1st Floor, Dhanwanthri Complex, Kalinga Road, Opp Chandramouli Departmental Store, Near Seven roads Junction, Srikakulam – 532 001

Assam:

Piyali Phukan Road, K. C. Path, House No. 1, Rehabari, Guwahati - 781008| Bangiya Vidyalaya Road, Near Old post office, Durgabari, Tinsukia, Assam - 786.125

Bihar:

301B, Third Floor, Patna One Plaza, Near Dak bungalow Chowk, Patna 800001| Brahman Toli, Durgasthan Gola Road, Muzaffarpur, Bihar - 842001| Ground Floor, Gurudwara Road, Near Old Vijaya Bank, Bhagalpur - 812001| Ground Floor , Belbhadrapur, Near Sahara Office, Laheriasarai Tower Chowk, Laheriasarai, Darbhanga - 846001

Chattisgarh:

First Floor, Plot No.3, Block No.1, Priyadarshini Pariswar west, Behind IDBI Bank, Nehru Nagar, Bhilai - 490020| HIG, C - 23 Sector - 1, Devendra Nagar, Raipur, Chattisgarh - 492004| Shop No. B - 104, First Floor, Narayan Plaza, Link Road, Bilaspur (C. G) - 495001

Goa:

Office No. 103, 1st Floor, Unitech City Centre, M.G. Road, Panaji Goa, Goa - 403001| F4 - Classic Heritage, Near Axis Bank, Opp. BPS Club, Pajifond, Margao, Goa - 403601| Office No. 503, Buildmore Business Park, New Canca By pass Road, Ximer, Mapusa Goa - 403507| Office No. 503, Buildmore Business Park, New Canca By pass Road, Ximer, Mapusa Goa - 403507| No. DU 8, Upper Ground Floor, Behind Techoclean Clinic, Suvidha Complex Near ICICI Bank, Vasco, Goa - 403802

Gujarat:

303 – 304 ,3rd Floor Mercado, Opp Municipal Market, Nr President Hotel, C G Road, Ahmedabad – 380 009| Shop No. G-5, International Commerce Center, Nr. Kadiwala School, Majura Gate, Ring Road, Surat - 395002| 103, Aries Complex, Bpc Road, Off R.C. Dutt Road, Alkapuri, Vadodara, Gujarat - 390007| 101, A.P. Tower, B / H, Sardhar Gunj, Next to Nathwani Chambers, Anand, Gujarat - 388001| 501 – 503, Bhayani Skyline, Behind Joggers Park, Atabhai Road, Bhavnagar – 364001| 207, Manek Centre, P N Marg, Jamnagar, Gujarat - 361001| Office 207 - 210, Everest Building, Harihar Chowk, Opp Shastri Maidan, Limda Chowk, Rajkot, Gujarat - 360001| 3rd floor, Gita Nivas, Opp Head Post Office, Halar Cross Lane Valsad, Gujarat - 396001| 214 - 215, Second Floor, Shivani Park, Opp. Shankheswar Complex, Kaliawadi, Navsari, Gujarat – 396445| Tirthkala First Floor, Opp BNCB Bank, New Station Road, Bhuj _kachchh. 370001| “Aastha Plus”, 202 - A, Second Floor, Sardarbag Road, Nr. Alkapuri, Opp. Zansi Rani Statue, Junagadh, Gujarat - 362001| Shop No. F - 56, First Floor, Omkar Complex, Opp. Old Colony, Near Valia Char Rasta, GIDC, Ankleshwar, Gujarat - 393002| First Floor, Subhadra Complex Urban Bank Road, Mehsana, Gujarat, 384002| 208, Second Floor, HEENA ARCADE, Opp. Tirupati Tower, Near G.I.D.C. Char Rasta, Vapi, Gujarat - 396195| A - 111, First Floor, R K Casta, Behind Patel Super Market, Station Road, Bharuch - 392001| F 142, First Floor, Ghantakarna Complex Gunj Bazar, Nadiad, Gujarat - 387001| Shyam Sadan, First Floor, Plot No. 120, Sector 1 / A, Gandhidham - 370201| Unit No. 326, Third Floor, One World - 1, Block - A, Himmatnagar - 383001| Gopal Trade center, Shop No. 13 - 14, Third Floor, Nr. BK Mercantile bank, Opp. Old Gunj, Palanpur - 385001| Shop No. 12, M. D. Residency, Swastik Cross Road, Surendranagar - 363001| A / 177, Kailash Complex, Opp. Khedut Decor Gondal, Gujarat, 360311

Haryana:

LG3, SCO 12 Sector 16, Behind Canara Bank, Faridabad – 121002| Unit No. - 115, First Floor Vipul Agora Building, Sector - 28, Near Sahara Mall, Mehrauli, Gurgaon Road, Chakkarpur, Gurgaon - 122001| SCO 83 - 84, First Floor, Devi Lal Shopping Complex, Opp RBL Bank, G.T.Road , Panipat, Haryana - 132103| SCO 06, Ground Floor, MR Complex, Near Sonipat Stand Delhi Road, Rohtak - 124001| 124 - B / R, Model Town Yamunanagar, Yamuna Nagar, Haryana - 135001| No - 12, Opp. HDFC Bank, Red Square Market, Hisar, Haryana - 125001| Shop No.4250, Near B D Senior Secondary School, Ambala Cantt, Ambala Haryana – 133001| No. 29, Avtar Colony, Behind vishal mega mart, Karnal - 132001| Ground Floor of CA Deepak Gupta, M G Complex, Bhawna Marg, Beside Over Bridge, Bansal Cinerma Market, Sirsa Haryana - 125055

Himachal Pradesh:

First Floor, Opp. Panchayat Bhawan Main gate, Bus stand, Shimla, Himachal Pradesh - 171001| First Floor, Above Sharma General Store, Near Sanki Rest house, The Mall, Solan, Himachal Pradesh - 173212

Jammu & Kashmir:

JRDS Heights, Sector 14, Nanak Nagar, Near Peaks Auto Showroom, Jammu Jammu & Kashmir - 180004

Jharkhand:

1st Floor, Plot No. HE-7 City Centre, Sector 4, Bokaro Steel City, Bokaro, Jharkhand - 827004| Urmila Towers, Room No. 111 First Floor, Bank More, Dhanbad, Jharkhand - 826001| Tee Kay Corporate Towers, 3rd Floor, S B Shop Area, Main Road, Bistupur, Jamshedpur-831001| 4, HB Road No. 206, Second Floor, Shri Lok Complex, H B Road, Near Firayalal, Ranchi, Jharkhand - 834001| S S M Jalan Road, Ground floor, Opp. Hotel Ashoke, Caster Town, Deoghar, Jharkhand - 814112| Municipal Market, Annanda Chowk, Hazaribag, Jharkhand - 825301

Karnataka:

Trade Centre, 1st Floor, 45, Dikensen Road (Next to Manipal Centre), Bangalore, Karnataka - 560042| 14-6-674/15(1), SHOP NO -UG11-2, MAXIMUS COMPLEX, LIGHT HOUSE HILL ROAD, MANGALORE – 575001, KARNATAKA| Classic Complex, Block No. 104, First Floor, Saraf Colony, Khanapur Road, Tilakwadi, Belgaum - 590006| 13, First Floor, Akkamahadevi Samaj Complex, Church Road, P. J. Extension, Davangere, Karnataka - 577002| No. 204 - 205, First Floor, B - Block, Kundagol Complex, Opp. Court, Club Road, Hubli, Karnataka- 580029| No. 1, First Floor, CH. 26 7th Main, 5th Cross (Above Trishakthi Medicals), Saraswati Puram, Mysore, Karnataka, - 570009| No. 18 /47 /A, Govind Nilaya, Ward No. 20, Sangankal Moka Road, Gandhinagar, Ballari - 583102| No. 65, First Floor, Kishnappa Compound, 1st Cross, Hosmane Extn, Shimoga, Karnataka - 577201| First Floor, No. 17 / 1, (272) Tweleth Cross Road, Wilson Garden, Bangalore - 560027| Pal Complex, First Floor, Opp. City Bus Stop, Super Market, Gulbarga, Karnataka - 585101| Shop No. A2, Basement Floor, Academy Tower, Opposite Corporation Bank, Manipal, Karnataka - 576104

Kerala:

Building Name Modayil, Door No. 39 / 2638, DJ, 2nd Floor, 2A, M.G. Road, Cochin - 682016| 29 / 97G, 2nd Floor, S A Arcade, Mavoor Road, Arayidathupalam, Calicut, Kerala - 673016| 1307 B, Puthenparambil Building, KSACS Road, Opp. ESIC Office, Behind Malayala Manorama Muttambalam - P O, Kottayam - 686501| Room No. 26 & 27, Dee Pee Plaza, Kokkalai, Trichur, Kerala - 680001| TC NO: 22/902, 1st - Floor “BLOSSOM” BLDG, OPP.NSS KARAYOGAM, SASTHAMANGALAM VILLAGE P.O, Thiruvananthapuram Trivandrum-695010. Kerala| Uthram Chanmbers (Ground Floor), Thamarakulam, Kollam - 691006| Room No. PP. 14 / 435, Casa Marina Shopping Centre, Talap, Kannur, Kerala - 670004| Door No. 18 / 507 (3), Anugraha, Garden Street, College Road, Palakkad, Kerala - 678001| First Floor, Room No. 61 (63), International shopping Mall, Opp. ST Thomas Evangelical Church, Above Thomsan Bakery, Manjady, Thiruvalla - 689105| Doctor's Tower Building, Door No. 14 / 2562, First Floor, North of Iorn Bridge, Near Hotel Arcadia Regency, Alleppey, Kerala - 688001

Madhyapradesh:

101, Shalimar Corporate Centre, 8 - B, South Tukogunj, Opp.Greenpark, Indore, MadhyaPradesh - 452001| Plot no 10, 2nd Floor, Alankar Complex, Near ICICI Bank, MP Nagar, Zone II, Bhopal, Madhya Pradesh - 462011| G - 6, Global Apartment, Kailash Vihar Colony, Opp. Income Tax Office, City Centre, Gwalior, Madhya Pradesh - 474002| 8, Ground Floor, Datt Towers, Behind Commercial Automobiles, Napier Town, Jabalpur, Madhya Pradesh - 482001| Second Floor, Parasia Road, Near Surya Lodge, Sood Complex, Above Nagpur CT Scan, Chhindwara, Madhya Pradesh - 480001| First Floor, Gurunanak dharmakanta, Jabalpur Road, Bargawan, Katni, Madhya Pradesh - 483501| Dafria & Co., No. 18, Ram Bagh, Near Scholar's School, Ratlam, Madhya Pradesh - 457001| Opp. Somani Automobile, S Bhagwanganj Sagar, Madhya Pradesh - 470002| Adjacent to our existing Office at 109, First Floor, Siddhi Vinayak Trade Center, Shahid Park, Ujjain - 456010

Maharashtra:

30, Rajababdur Compound, Opp. Indian Bank, Mumbai Samachar Marg, Fort, Mumbai, Maharashtra – 400023| 145, Lendra, New Ramdaspath, Nagpur, Maharashtra - 440010| Vartak Pride, 1st Floor, Survey No. 46, City Survey, No. 1477, Hingne budruk, D.P.Road, Behind Dinanath mangeshkar Hospital, Karvenagar, Pune - 411052| 81, Gulsham Tower, 2nd Floor, Near Panchsheel Talkies, Amaravati, Maharashtra, 444601| 2nd Floor, Block No. D - 21 - D - 22, Motiwala Trade Centre, Nirala Bazar, New Samarth Nagar, Opp. HDFC Bank, Aurangabad - 431001| Rustomji Infotech Services 70, Navipeth, Opp. Old Bus Stand, Jalgaon, Maharashtra - 425001| 2 B, 3rd Floor, Ayodhya Towers, Station Road, Kolhapur, Maharashtra - 416001| First Floor, "Shraddha Niketan", Tilak Wadi, Opp Hotel City Pride, Sharanpur Road, Nasik - 422002| Flat No 109, First Floor, A Wing, Kalyani Tower 126 Siddheshwar Peth, Near Pangal High School, Solapur, Maharashtra - 413001| 117 / A / 3 / 22, Shukrawar Peth, Sargam Apartment, Satara, Maharashtra - 415002| Opp. RLT Science College Civil Lines, Akola, Maharashtra - 444001| Dev Corpora, A Wing, 3rd floor, Office no.301, Cadbury Junction, Eastern Express way, Thane (West) - 400 601| No. 351, Icon, 501, Fifth Floor, Western Express Highway, Andheri East, Mumbai - 400069| Jiveshwar Krupa Bldg. Shop. No. 2, Ground Floor, Tilak Chowk Harbhat Road, Sangli, Maharashtra - 416416| Shop No. 6, Ground Floor, Anand Plaza Complex, Bharat Nagar, Shivaji Putla Road, Jalna, Maharashtra - 431203| Platinum Mall, Office No. 307, Third Floor, Jawahar Road, Ghatkopar East, Mumbai - 400077| 501 – TIARA, CTS 617, 617 / 1 - 4, Off Chandavarkar Lane, Maharashtra Nagar, Borivali – West, Mumbai – 400092| BSEL Tech Park, B - 505, Plot No. 39 / 5 & 39 / 5 A, Sector 30A, Opp. Vashi Railway Stationm Vashi, Navi Mumbai - 400705| Office No. 413, 414, 415, Fourth Floor, Seasons Business Centre, Opp. KDMC (Kalyan Dombivli Municipal Corporation), Shivaji Chowk, Kalyan (W) – 421301| No. 3. First Floor, Shree Parvati, Plot No. 1 / 175, Opp. Mauli Sabhagruh, Zopadi Canteen, Savedi, Ahmednagar - 414003| 1793/ A , J B Road, Near Tower Garden, Dhule - 424001| Orchid Tower, Ground Floor, Gala No. 06, S. V. No. 301 / Paiki, 1 / 2, Nachane Municipality Aat, Arogya Mandir, Nachane Link Road, At, Post, Tal. Ratnagiri Dist. Ratnagiri - 415612| Pushpam, Tilakwadi, Opp. Dr. Shrotri Hospital, Yavatmal, Maharashtra, 445001| 3, Adelaide Apartment, Christain Mohala, Behind Gulshan - E - Iran Hotel, Amardeep Talkies Road, Bhusawal, Maharashtra - 425201

New Delhi:

CAMS Service Center, 401 to 404, 4th Floor, Kanchan Junga Building, Barakhamba Road, New Delhi - 110001| Number G - 8, Ground Floor, Plot No. C - 9, Pearls Best Height - II, Netaji Subhash Place, Pitampura, New Delhi – 110034| Office Number 112, First Floor, Mahatta Tower, B Block Community Centre, Janakpuri, New Delhi -110058

Orissa:

Plot No. 501 / 1741 / 1846, Office No. 203 (2nd Floor), Centre Point, Sriya Talkies Road, Kharvel Nagar, Unit-3, Bhubaneswar, Odisha - 751001| Kalika temple Street, Ground Floor, Beside SBI BAZAR Branch, Berhampur - 760002| Near Indian Overseas Bank, Cantonment Road, Mata Math, Cuttack, Orissa - 753001| Second Floor, J B S Market Complex, Udit Nagar, Rourkela - 769012| C/o. Raj Tibrewal & Associates, Opp. Town High School, Sansarak Sambalpur, Orissa - 768001| B. C. Sen Road, Balasore, Orissa - 756001

Pondicherry:

S - 8, 100, Jawaharlal Nehru Street (New Complex, Opp. Indian Coffee House), Pondicherry - 605001

Punjab:

U/ GF, Prince Market, Green Field, Near Traffic Lights, Sarabha Nagar Pulli, Pakhowal Road, Ludhiana, Punjab - 141002| 3rd Floor, Bearing Unit No. 313, Mukut House, Amritsar - 143001| 144, Vijay Nagar, Near Capital Small Finance Bank, Football Chowk, Jalandhar City, Punjab -144001| No. 35 New Lal Bagh, Opp. Polo Ground, Patiala - 147001| 2907 GH, GT Road, Near Zila Parishad, Bhatinda, Punjab - 151001| Near Archies Gallery, Shimla Pahari Chowk, Hoshiarpur, Punjab - 146001| Street No 8-9 Center, Aarya Samaj Road, Near Ice Factory, Moga -142 001

Punjab (Union Territory):

Deepak Tower, SCO 154 - 155, 1st Floor - Sector 17 - Chandigarh, Punjab - 160017

Rajasthan:

R-7, Yudhisthir Marg C - Scheme, Behind Ashok Nagar Police Station, Jaipur, Rajasthan - 302001| AMC No. 423 / 30, Near Church Opp T B Hospital, Jaipur Road, Ajmer, Rajasthan - 305001| 256A, Scheme No. 1, Arya Nagar, Alwar, Rajasthan - 301001| C/o. Kodwani Associates, Shope No. 211 - 213 2nd floor, Indra Prasth Tower syam Ki Sabji Mandi, Near Mukerjee Garden, Bhilwara, Rajasthan - 311001| 1/5, Nirmal Tower, 1st Chopasani Road, Jodhpur, Rajasthan - 342003| B-33, Kalyan Bhawan, Near Triangle Park, Vallabh Nagar, Kota, Rajasthan - 324007| No.32, Ahinsapuri, Fatehpura Circle, Udaipur - 313001| 18 L Block, Sri Ganganagar, Rajasthan - 335001| Behind Rajasthan Patrika In front of vijaya bank, 1404, amar singh pura Bikaner - 334001| 3, Ashok Nagar, Near Heera Vatika, Chittorgarh, Rajasthan - 312001

Tamilnadu:

New No. 10 (Old No. 178) M.G.R. Salai, Nungambakkam, Chennai – 600 034.| No. 1334, Thadagam Road, Thirumurthy Layout, R.S. Puram, Behind Venketeswara Bakery, Coimbatore - 641002| Shop No. 3, 2nd Floor Surya Towers, No. 272/273, Goodshed Street, Madurai - 625001| 197, Seshaiyer Complex, Aghraharam Street, Erode, Tamilnadu - 638001| No. 2, First Floor, Vivekananda Street, New Fairlands, Salem, Tamilnadu - 636016| 1 (1), Binny Compound, Second Street, Kumaran Road, Tirupur, Tamilnadu - 641601| No. F4, Magnam Suraksaa Apartments, Tiruvananthapuram Road, Tirunelveli - 627002| No 8, First Floor, 8th Cross West Extn, Thillainagar, Trichy, Tamilnadu - 620018| Door No. 86, BA Complex, 1st Floor Shop No 3, Anna Salai (Officer Line), Tollgate, Vellore - 632 001| No. 28 / 8, First Floor, Balakrishna Colony, Pachaiappa Street, Near VPV Lodge, Kumbakonam – 612001| No. A5 75/1 Vaiyapuri Nagar 2nd Cross, Karur - 639 002| Third Floor, B R Complex, No. 66, Door No. 11 A, Ramakrishna Iyer Street, Opp. National Cinema Theatre, West Tambaram, Chennai - 600045| 16 A / 63 A, Pidamaneri Road, Near Indoor Stadium, Dharmapuri, Tamilnadu - 636701| Survey No. 25 / 204, Attibele Road, HCF Post, Mathigiri, Above Time Kids School, Oppsite To Kuttys Frozen Foods, Hosur - 635110| 156A / 1, First Floor, Lakshmi Vilas Building, Opp. To District Registrar Office, Trichy Road, Namakkal, Tamilnadu - 637001| No. 59 A / 1, Railway Feeder Road, (Near Railway Station), Rajapalayam, Tamilnadu - 626117| 4 B / A 16, Mangal Mall Complex, Ground Floor, Mani Nagar, Tuticorin, Tamilnadu - 628003| No. 158, Rayala Tower - 1, Anna Salai, Chennai - 600002

Telangana:

208, II Floor Jade Arcade Paradise Circle, Hyderabad, Telangana 500 003.| H. No. 2 - 4 - 641, F - 7, First Floor, A. B. K Mall, Old Bus Depot Road, Ramnagar, Hanamkonda, Warangal, Telangana - 506001| H. No. 7 - 1 - 257, Upstairs S B H mangammathota, Karimnagar, Telangana - 505001| Shop No. 11 - 2 - 31 / 3, First Floor, Philips Complex, Balajinagar, Wyra Road, Near Baburao Petrol Bunk, Khammam, Telangana - 507001| No. 15 - 31 - 2 M - 1 / 4, First Floor, 14 - A, MIG, KPHB Colony, Kukatpally, Hyderabad - 500072

Tirupura:

Nibedita First Floor, J B Road, Palace Compound, Agartala, Near Babuana Tea and Snacks, Tripura West, Pin - 799001

Uttarkhand:

204 / 121, Nari Shilp Mandir Marg, First Floor, Old Connaught Place, Chakrata Road, Dehradun, Uttarakhand, 248001| 22, Civil Lines, Ground Floor, Hotel Krish Residency, Roorkee, Uttara khand - 247667

Uttarpradesh:

First Floor 106 - 108 City Centre, Phase II, 63/ 2, The Mall, Kanpur, Uttarpradesh - 208001| Office No. 107, First Floor, Vaisali Arcade Building, Plot No 11, 6 Park Road, Lucknow - 226001| No. 8, II Floor Maruti Tower Sanjay Place, Agra, Uttarpradesh - 282002| 18/18A, FF-3, Gayatri Dham Milan Tower, MG Marg, Civil Lines, Prayagraj (Allahabad) - 211001| 1st Floor, C - 10, RDC Rajnagar, Opp Kacheri, Gate No. 2, Ghaziabad - 201002| Shop No. 5 & 6, Third Floor, Cross Road, The mall, A D Tiraha, Bank Road, Gorakhpur -273001| 108, First Floor, Shivam Plaza, Opp. Eves Cinema, Hapur Road, Meerut, Uttarpradesh - 250002| H 21 - 22, First Floor, Ram Ganga Vihar Shopping Complex, Opposite Sale Tax Office, Moradabad - 244001| Office No. 1, Second Floor, Bhawani Market, Building No. D - 58 / 2 - A1, Rathyatra Beside Kuber Complex, Varanasi, Uttarpradesh - 221010| No. 372 / 18D, First Floor, Above IDBI Bank, Beside V - Mart, Near RAKSHAN, Gwalior Road, Jhansi - 284001| City Enclave, Opp. Kumar Nursing Home, Ramghat Road, Aligarh, Uttarpradesh - 202001| F - 62 - 63, Second Floor, Butler Plaza, Commercial Complex, Civil Lines, Bareilly, Uttarpradesh - 243001| First Floor, Krishna Complex, Opp. Hath Gate Court Road, Saharanpur, Uttarpradesh - 247001| Commercial Shop No. GF 10 & GF 38, Ground Floor, Ansal Fortune Arcade, Plot No. K - 82, Sector - 18, Noida – 201301| C/O. Rajesh Mahadev & Co., Shop No. 3, First Floor, Jamia Complex Station Road, Basti - 272002| 9/1/51, Rishi Tola Fatehganj, Ayodhya, Faizabad, Uttar Pradesh-224001| Durga City Centre, Nainital Road, Haldwani, Uttarakhand - 263139| 248, Fort Road Near Amber Hotel, Jaunpur Uttarpradesh - 222001| 159 / 160 Vikas Bazar Mathura Uttarpradesh - 281001| 17, Anand Nagar Complex, Opposite Moti Lal Nehru Stadium, Sai Hostel Jail Road, Rae Bareilly, Uttar pradesh - 229001| Bijlipur, Near Old Distt Hospital, Jail Road ,Shahjahanpur Uttarpradesh - 242001| Arya Nagar, Near Arya Kanya School, Sitapur, Uttarpradesh - 261001| 967, Civil Lines, Near Pant Stadium, Sultanpur, Uttarpradesh - 228001

West Bengal:

Plot No.3601, Nazrul Sarani, City Centre, Durgapur - 713216| 2/1, Russell Street, 2nd Floor, Kankaria Centre, Kolkata - 700071| Block - G, First Floor, P C Chatterjee Market Complex, Rambandhu Talab PO, Ushagram Asansol, West Bengal - 713303| 399, G T Road, Basement, Building Name - Talk of the Town, Burdwan, West Bengal - 713101| No.78, Haren Mukherjee Road, First Floor, Beside SBI Hakimpara, Siliguri - 734001| A – 1 / 50, Block A, Kalyani - Nadia Dt, PIN - 741235| "Silver Palace" OT Road, Inda - Kharagpur, G - P - Barakola, P.S. Kharagpur Local, Dist West Midnapore - 721305| Mouza - Basudevpur, J. L. No. 126, Haldia Municipality, Ward No. 10, Durgachak, Haldia - 721602| Daxhinapan Abasan, Opp Lane of Hotel Kalinga, SM Pally, Malda, West bengal - 732101| 3 / 1, R. N. Mukherjee Road, Third Floor, Office space - 3 C, "Shreeram Chambers", Kolkata - 700001

AMFI CERTIFIED STOCK EXCHANGE BROKERS/ CLEARING MEMBERS /DEPOSITORY PARTICIPANTS# AS OFFICIAL POINTS OF ACCEPTANCE FOR TRANSACTIONS (PURCHASE/ REDEMPTION) OF UNITS OF SHRIRAM MUTUAL FUND SCHEMES THROUGH THE STOCK EXCHANGE(S) INFRASTRUCTURE

For Processing only Redemption Request of Units Held in Demat Form.

The eligible AMFI certified stock exchange Brokers/ Clearing Members/ Depository Participants who have complied with the conditions stipulated in Para 17.2.2 (a) of SEBI Mutual Funds Master Circular No. HO/24/13/11(1)2026-IMD-POD-1/1/7602/2026 dated March 20, 2026 for stock brokers viz. AMFI/ NISM certification, code of conduct prescribed by SEBI for Intermediaries of Mutual Fund will be considered as Official Points of Acceptance (OPA) of the Mutual Fund.

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