# FORM 1 - FOR LUMP SUM / SIP INVESTMENTS



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(PLEASE READ THE INST	RUCTIONS BEFORE FILLING	G UP THE FORM. All se	ctions to be cor	mpleted in ENGLISH	I in BLACK / BLU	JE COLOU	RED INK and in B	LOCK LETTE	RS.)		
Distributor ARN	Sub-Distributor ARN	Internal Sub-B	roker / Sol ID	Employee Code	e EU	IN	RIA CODE^	Serial No	., Date &	Time S	tamp
ARN 5214	ARN				€ 033	086					
^I/We, have invested in the scher	directly by the investor to the AMI ne(s) of Axis Mutual Fund under C the above mentioned SEBI Registe	Direct Plan. I/We hereby give n						t of my/our inve	stments und	er Direct !	Plan of all
transaction is executed witho manager/sales person of the abo	the EUIN box has been intentiona ut any interaction or advice l ove distributor/sub broker or not ed by the employee/relationship	by the employee/relationshi withstanding the advice of in	p First / Solo	e Applicant / ardian	Second Applica	int	Third Applica	ant	Power of A	ttorney F	Holder
TRANSACTION CHAI	RGES FOR APPLICATION	ONS ROUTED THRO	UGH DISTRI	BUTORS/AGENT	S ONLY (Refer	Instruction No.	. 20)				
In case the subscription (lump	st time investor across Mutu osum) amount is ₹ 10,000/- o Il be deducted from the subsci	r more and your Distributo	r has opted to re		arges, ₹ 150/- (fo	r first time		or) or ₹ 100/-	(for investo	or other	than first
	OR'S FOLIO NUMBER		INVESTMEN	T TYPE (Please tick a	any one)		MOD	E OF HOLD	ING		
(If you have an existing please mention here	g folio with KYC validated, and skip to section 6/7.)	LUMP SUM		JMP SUM WITH SIP INGLE CHEQUE MULT	TIPLE SCHEMES	(in case o	of Demat Purchase Mode gle 🔲 Join	of Holding should t (Default)	_	n Demat Ad ne or Sur	
1 APPLICANT INFO	DRMATION (MANDATO	ORY) (In case of investment "C	On behalf of Minor", P	lease Refer Instruction no. 1	11.)	,					
FIRST / SOLE APPLICAN	T Mr. Ms. M/s.										
PAN (Mandatory)		Date of Birth	D D M	M Y Y Y	Y CKYC No.		14 digi	t CKYC Numb	er		
Aadhaar No.			Mobile No.								
Address											
State			City				F	Pin Code			
Email ID											
SECOND APPLICANT	Mr. Ms. M/s.										
PAN (Mandatory)		Date of Birth	D D M	M Y Y Y	Y CKYC No.		14 digi	t CKYC Numb	er		
Aadhaar No.											
THIRD APPLICANT	Mr. Ms. M/s.										
PAN (Mandatory) Aadhaar No.		Date of Birth	D D M	M Y Y Y	Y CKYC No.		14 digi	t CKYC Numb	er		
	case First / Sole Applicant is	minor) / CONTACT PERSO	DN - DESIGNATI	ON / PoA HOLDER (In	n case of Non-indi	ividual Inve	stors)				
Mr. Ms. M/s.	add i not i dolo i ippilodiit io		220.0	011 / 1 011 110 22 211 (111							
PAN (Mandatory)		Date of Birth	D D M	M Y Y Y	Y CKYC No.		14 didi	t CKYC Numb	gr		
Aadhaar No.			Mobile No.	101 1 1 1	OKIG NO.		1 1 1 3 3	t on To Hamb	<u>T</u>		
Relationship Of Guardian (Re	fer Instruction No. 11)		imail ID								
Proof of the Relationship	with Minor Birth Cert	tificate 🗌 School Certifi	cate 🗌 Passpo	rt Other			Specify				
		HUF Club / Societ	ty PIO	☐ Body Corporate	☐ Minor	Govern	ment Body 🗆	Trust $\square$	NRI - NRE	Ва	ank & FI
	(For Axis Bank A/c only.) To be proces			TO BE DETACHED BY KAR	AVY & PRESENTED TO AXI		Application No.				
I/ We		f the account holder(s)		10 22 32 1101123 31 11111	_		ny/our account no.	Date	D D N	/ M	у у
			Account type	e Savings NRO				Specify	to pay fo	r the pu	rchase of
Axis Income Saver Ax	is Midcap Fund Axis Triple.	Advantage Fund Axis E						Arbitrage Fund	1	-	
Axis MF Multiple Schemes	Amount (fi	gures)				(words)					
Signature	of First Account Holder		Signature of	Second Account Holder			Signature	of Third Accou	nt Holder		
ACKNOWLEDGME	NT SLIP Received subject to rea	alisation, verification and condit	tions, an application	for purchase of Units as r	mentioned in the appl	lication form.	Application No.				
From											
Cheque no.	Date	Amount		Sch	eme						

FIRST APPLICANT	☐ Private Sector Serv☐ Student ☐ Fore		_	nment Service [	Business	Profess	sional 🗌 Agr	iculturist	Ret	ired 🗌	House
SECOND APPLICANT	☐ Private Sector Serv☐ Student ☐ Fore		Sector Service	nment Service [	Business	Profess	sional 🗌 Agr	iculturist	Ret	ired 🗌	House
THIRD APPLICANT	☐ Private Sector Serv☐ Student ☐ Fore		Sector Service	nment Service [	Business	Profess	sional 🗌 Agr	iculturist	Ret	ired 🗌	House
GROSS ANNUAL INCOME [Plea	se tick (√)]										
FIRST ADDITIONAL	Below 1 Lac	1-5 Lacs !	5-10 Lacs 🔲 10-25 Lacs	> 25 Lac	cs - 1 Crore	> 1 Cro	re				
FIRST APPLICANT	Net worth (Mandatory	for Non - Individu	als Rs.		as on	D D	M M Y	YY	Y [No	ot older t	han 1 ye
SECOND APPLICANT	☐ Below 1 Lac ☐ 1-5 Lacs ☐ 5-10 Lacs ☐ 10-25 Lacs ☐ > 25 Lacs · 1 Crore ☐ > 1 Crore OR Net Worth										
THIRD APPLICANT	Below 1 Lac	1-5 Lacs 🔲 🧏	5-10 Lacs 🔲 10-25 Lacs	☐ > 25 Lac	cs - 1 Crore	> 1 Cro	re <b>OR</b> Net Wo	rth			
For Individuals		For Non-Indivi	dual Investors (Companie	es, Trust, Partno	ership etc.)						
☐ I am Politically Exposed Perso	on		a Listed Company or Subsid tach mandatory UBO Decla		mpany or Con	ntrolled by a L	isted Company:			Yes	N
☐ I am Related to Politically Exp	posed Person	Foreign Exchang	e / Money Charger Services	3						Yes	N
		Gaming / Gambli	Gaming / Gambling / Lottery / Casino Services								N
		Money Lending	Money Lending / Pawning							Yes	
3 FATCA AND CRS DET	AILS FOR INDIVIDU	JALS (Including Sol	e Proprietor. Refer Instruction No. 23	3)							
The below information is required f	for all applicants/guardian	1									
	Place/City o	of Birth	Country of	Birth		Co	untry of Citize	enship / Na	tionalit	у	
First Applicant / Guardian					Indiar	n 🗌 U.S.	Others				
Second applicant					☐ Indiar	ı 🗌 U.S.	Others				
Third applicant					☐ Indian	n 🗌 U.S.	Others				
Are you a tax resident (i.e., are you				No [Please t	ick]						
		ich you are a Resi	dent for tax purpose i.e. wh	nere you are a Cit	ick] tizen/Resident	/ Green Card					
Are you a tax resident (i.e., are you		ich you are a Resi		nere you are a Cit	ick]	/ Green Card		sident in th		tive cou	
Are you a tax resident (i.e., are you	s (other than India) in whi	ich you are a Resi	dent for tax purpose i.e. wh	nere you are a Cit	ick] tizen/Resident	/ Green Card		sident in th	ne respec	etive coul	ntries.
Are you a tax resident (i.e., are you f 'YES' please fill for ALL countries	s (other than India) in whi	ich you are a Resi	dent for tax purpose i.e. wh	nere you are a Cit	ick] tizen/Resident	/ Green Card	Holder / Tax Re	sident in th  Addr  al  Reg	e respec	ctive coul e Office	ntries.
Are you a tax resident (i.e., are you f 'YES' please fill for ALL countries First Applicant / Guardian	s (other than India) in whi	ich you are a Resi	dent for tax purpose i.e. wh	nere you are a Cit	ick] tizen/Resident	/ Green Card	Holder / Tax Re	sident in th  Addr  al Reç  al Reç	ne respec ess Typ gistered	etive cour	ntries.  Busin
Are you a tax resident (i.e., are you f 'YES' please fill for ALL countries First Applicant / Guardian Second applicant	s (other than India) in whi	ich you are a Resi lency Tax I Fi	dent for tax purpose i.e. wh dentification Number or unctional Equivalent	Idee (TIN or	ick] izen/Resident ntification T other please	/ Green Card ype specify)	Holder / Tax Re	sident in th  Addr  al Reç  al Reç	ess Typgistered	etive cour	ntries.  Busin
Are you a tax resident (i.e., are you f 'YES' please fill for ALL countries  First Applicant / Guardian  Second applicant  Third applicant	s (other than India) in whi  Country of Tax Resid  iilable on the website of A	ich you are a Resi ency Tax I Fi	dent for tax purpose i.e. wh dentification Number or unctional Equivalent	lde (TIN or	ick] izen/Resident ntification T other please	/ Green Card (ype specify)  Mutual Fund	Holder / Tax Re	sident in th  Addr  al Reç  al Reç  al Reç	ne respectes Types	etive cour e Office   Office	ntries.  Busin
Are you a tax resident (i.e., are you f 'YES' please fill for ALL countries  First Applicant / Guardian  Second applicant  Third applicant	Country of Tax Resid	ich you are a Resi ency Tax I Fi	dent for tax purpose i.e. wh dentification Number or unctional Equivalent	lde (TIN or	ick] izen/Resident ntification T other please	/ Green Card Type Specify)  Mutual Fund at of the A/c. held	Holder / Tax Re	sident in th  Addr  al Reç  al Reç  al Reç	ne respectes Types	etive cour e Office   Office	ntries.  Busin
Are you a tax resident (i.e., are you feel yo	country of Tax Resid	ich you are a Resi ency Tax I Fi	dent for tax purpose i.e. when the dentification Number or unctional Equivalent  Smf.com or at the Investor he sequence of names as mentioned	Service Centres	ick] izen/Resident ntification T other please	/ Green Card Type specify)  Mutual Fund at of the A/c. held	Holder / Tax Re Residenti	sident in th  Addr  al Reç  al Reç  al Reç	ne respectes Types	etive cour e Office   Office	ntries.  Busin
Are you a tax resident (i.e., are you feel YES' please fill for ALL countries  First Applicant / Guardian  Second applicant  Third applicant  Annexure I and Annexure II are ava  4 DEMAT ACCOUNT DE  ISDL: Depository Participant Name	country of Tax Resid	ency Tax I Fi	dent for tax purpose i.e. when the dentification Number or unctional Equivalent  Smf.com or at the Investor he sequence of names as mentioned	Service Centres in the application form	ick] izen/Resident ntification T other please	/ Green Card Type specify)  Mutual Fund at of the A/c. held	Holder / Tax Re Residenti Residenti Residenti	sident in th  Addr  al Reç  al Reç  al Reç	ne respectes Types	etive cour e Office   Office	ntries.  Busin
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Are you a tax resident (i.e., are you feel 'YES' please fill for ALL countries  First Applicant   Guardian  Second applicant  Third applicant  Annexure I and Annexure II are ava  4 DEMAT ACCOUNT DE  ISDL: Depository Participant Name  CDSL: Depository Participant Name  CDSL: Depository Participant Name	country of Tax Resid	ency Tax I Fi	dent for tax purpose i.e. whether the sequence of names as mentioned DPID No.	Service Centres in the application form	ick] izen/Resident ntification T other please	/ Green Card Type specify)  Mutual Fund at of the A/c. held	Holder / Tax Re Residenti Residenti Residenti	sident in th  Addr  al Reç  al Reç  al Reç	ne respectes Types	etive cour e Office   Office	ntries.  Busin
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Are you a tax resident (i.e., are you a fax resident (i.e., are you fax yes please fill for ALL countries.  First Applicant   Guardian  Second applicant  Third applicant  Annexure I and Annexure II are ava  4 DEMAT ACCOUNT DE  ISDL: Depository Participant Name  CDSL: Depository Participant Name	country of Tax Resid	AMC i.e. www.ax  (Please ensure that t	dent for tax purpose i.e. whether the sequence of names as mentioned  DPID No. I  SIP Registration Manda  Multiple Bank Account:	Service Centres in the application form  N  Py  Py  Pate - NACH for SIF is Registration for forms	ick] ntification T other please  (ISCs) of Axis matches with the	/ Green Card (ype specify)  Mutual Fund at of the A/c. held Bend Bend	Holder / Tax Re Residenti Residenti Residenti Residenti	sident in th  Addr  al Req  al Req  al Req  barticipant.) Re	e respectives Types of the respective of the res	office Office Office	ntries.  Busin Busin
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5 NOMINATION DETAILS (Mandatory) (Refer Ins	truction No. 18)						
Sr. Nominee Name	PAN	ı	Allocation (%)	Relationship w	rith Guardian (in case of		Guardian Signature
1							
2							
3							
I/We DO NOT wish to nominate and sign here							
First / Sole Applicant		Second Applica	ant			Third Applica	nt
7 INVESTMENT & PAYMENT DETAILS				nstruction No. 7.)			
Payment type Non-Third Party Payment Scheme	Third Party Payment (Please attach 'Third P		Option Option		Sub Ontion# Divide	nd Franciancy (f	Quarterly/ Half Yearly/ Annual)
	1 Idii			tment is not available for Axi			e. Please refer SID of the respective scher
7A Multiple Investments (Refer Instruction No. 22)					0.4		
	heme		P	Plan	Option		Amount
1.							
3.							
Total	In v	words					In figures
7B LUMP SUM						'	
 Mode ☐ Cheque ☐ DD ☐ Axis Bank Debit M	andate (Please fill section 6.)	Cheque / DD	) no.			Dated	D M M Y Y
Amount (figures)	(words)						
Pay-in A/c no.			Drawn	on bank /			
Account type Savings NRO NRE	Current  FCNR  Others	Specify	branch address	name &			
IFSC Code (11 Digit)	MICR Code	(9 Digit)	$\top$				
7C SIP (SIP Registration details (Form 2) with Form 1							
Monthly SIP Amount (figure)	(word					If no dobit data	is mentioned default date wou
SIP frequency (tick $\checkmark$ any one) $\square$ Monthly $\square$ Y	early (Default Frequency Monthly) Prefer	red Debit Date	/Any data avant	nt 20" 30" and 31"\			
	OD -						s 7th of every month.
SIP period Start Date M M Y Y End I	Date M M Y Y OR E	nd date (ref 13(		If end d	ate is not mentioned then considered for perpetuity (	the SIP	
	Date M M Y Y OR Eneque / DD Axis Bank Debit Manda	nd date (ref 13(	(i)) 1 2	9 9 If end d	ate is not mentioned then	the SIP	
		nd date (ref 13(	(i)) 1 2	9 9 If end d	ate is not mentioned then considered for perpetuity (	the SIP	
First SIP Installment details Mode CI	neque / DD	ind date (ref 13(	(i)) 1 2 lion 6.) Date	9 9 If end d will be ded D D M	ate is not mentioned then considered for perpetuity (	the SIP Dec 2099).	
First SIP Installment details Mode Chawn on bank / branch name  B BANK ACCOUNT DETAILS FOR PAYO	neque / DD Axis Bank Debit Manda	ind date (ref 13(	(i)) 1 2 lion 6.) Date	9 9 If end d will be ded D D M	ate is not mentioned then considered for perpetuity (	the SIP Dec 2099).	
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First SIP Installment details Mode CI Drawn on bank / branch name   B BANK ACCOUNT DETAILS FOR PAYO  Same as investment details (Don't fill the Name of the Bank Branch Address  City  Account No.	neque / DD Axis Bank Debit Manda  OUT (Please note that as per SEBI Regulations it i e section below)	ate (Please fill sect	(i)) 1 2 lion 6.) Date	9 9 If end d will be ded D M	ate is not mentioned then considered for perpetuity (	the SIP Dec 2099). e / DD no.	
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## INSTRUCTIONS FOR COMPLETING THE APPLICATION FORM

Please read the SID carefully before signing the application form and tendering payment.

#### 1. GENERAL INSTRUCTIONS

- a. The application form should be completed in ENGLISH and in BLOCK LETTERS.
- b. All cheques, demand drafts and pay orders should be crossed "Account Payee only" and made in favour of "Scheme Name A/c First Investor Name" or "Scheme Name A/c Permanent Account No.".
- c. If the Scheme name on the application form and on the payment instrument are different, the application may be processed and units allotted at applicable NAV of the scheme mentioned in the application / transaction slip duly signed by investor(s).
- d. Any over-writing / changes made while filling the form must be authenticated by canceling the original entry, re-entering correct details and ensuring that all applicants counter-sign against each correction.
- e. Application forms along with supporting documents can be submitted to ISCs / OPAs, contact details of which are available on www.axismf.com.
- f. Investors must write the application form number / folio number on the reverse of the cheque / demand draft.
- g. Investors are requested to check contents of the account statement on receipt. Any discrepancy should be reported to the AMC / Registrar within 7 calendar days of the receipt of the statement; else contents of the statement would be presumed to be correct and binding. The AMC may modify any discrepancy at its discretion.
- h. Units will be allotted subject to realization of payment proceeds.
- Unitholder / Guardian name should be same as per PAN / KYC records. Please note that AMC at discretion may replace the name as per KRA.
- j. FATCA Declaration: Individual investors, please fill in FATCA / CRS annexure and attach along with Application form. Non-Individual investors, please fill in UBO form along with FATCA / CRS annexure and attach along with Application form available on our website www.axismf.com

### 2. DIRECT INVESTMENTS

Investors subscribing under Direct Plan of the scheme will have to indicate "Direct Plan" against the scheme name in the application form e.g. "Axis Equity Fund - Direct Plan". Investors should also indicate "Direct" in the ARN column of the application form. However, in case Distributor code is mentioned in the application form, but "Direct Plan" is indicated against the scheme name, the application will be processed under Direct Plan. Further, where application is received for Existing Plan without Distributor code or "Direct" mentioned in the ARN Column, the application will be processed under Direct Plan.

## 3. EMPLOYEE UNIQUE IDENTIFICATION NUMBER (EUIN)

Investor investing through distributor shall mention EUIN on the application form, if he/she has been advised by Sales Person/ Employee/ Relationship Manager of the distributor this would assist in addressing any instance of mis-selling. If left blank, applicant(s) need to tick and sign the following declaration "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." on the form. SEBI has made it mandatory to obtain EUIN no. for every employee/ relationship manager/ sales person of the distributor for selling mutual fund products.

## 4. DECLARATION AND SIGNATURES

- a. Thumb impressions must be attested by a Magistrate / Notary Public under his / her official seal.
- b. In case of HUF, the Karta needs to sign on behalf of the HUF.
- c. Applications by minors should be signed by their guardian.
- d. For Corporates, signature of the Authorised Signatory (from the Authorised Signatory List (ASL)) is required.

## 5. PAYMENTS

- a. The AMC intends using electronic payment services (NEFT, RTGS, ECS (Credit), Direct Credit, etc.) to the extent possible for dividends / redemptions for faster realization of proceeds to investors. In case an investor wishes to receive payments vide cheques / demand drafts to be sent using a postal / courier service, please provide appropriate written instructions to the AMC / Registrar for the same.
- b. Please enclose a cancelled cheque leaf (or copy thereof) in case your investment instrument (pay-in) is not from the same bank account as mentioned under bank account details.
- c. Any communication, dispatch of redemption / dividend proceeds / account statements etc. would be made by the Registrar / AMC as per reasonable standards of servicing.
- d. The Debit Mandate is an additional facility available to Axis Bank account holders only.

## 6. BANK DETAILS

It is mandatory for investors to mention bank account details on the form as per directives issued by SEBI. Applications without this information are liable to be

rejected. The Mutual Fund / AMC reserve the right to hold redemption proceeds in case requisite bank details are not submitted.

Option to register multiple bank accounts

The AMC / Mutual Fund has also provided a facility to investors to register multiple bank accounts. By registering multiple bank accounts, investors can use any of their registered bank accounts to receive redemption / dividend proceeds. Any request for a change in bank mandate requires 10 days for validation and verification. Further, these account details will be used by the AMC / Mutual Fund / R&T for verification of instruments (like cheques/DDs/POs) received at the time of subscription / purchase applications to ensure that subscription payments are received only from one of the registered bank accounts. Payments from non-registered bank accounts (called third party payments) will not be accepted (except where permitted as per SEBI regulations). Investors are requested to avail of this facility by filling in the application form for registration of multiple bank accounts available at any of our ISCs / OPAs or on our website www.axismf.com.

Cheques submitted at the time of purchase should be from the beneficiary investors account or from an account mentioned in your Multiple Bank Accounts Registration form (except for minors for amounts less than ₹ 50,000 and Corporates / non-individuals).

Demand drafts submitted at the time of subscription should be accompanied by a banker's certificate clearly stating the investor's name and PAN as well as mentioning that the demand draft has been issued by debiting the investor's own bank account. Pre-funded instruments issued by the bank against cash shall not be accepted for investments of ₹ 50,000 or more. This pre-funded instrument should also be accompanied by a certificate from the banker giving the investor's name, address and PAN.

Payments made through RTGS/NEFT/NECS should be accompanied by a banker's certificate stating that the RTGS/NEFT/NECS payment has been made by debiting the investor's own bank account along with mention of the investor's name and PAN.

#### 7. THIRD PARTY PAYMENTS

When payment is made through instruments issued from a bank account other than that of the investor, the same is referred to as a Third Party payment. Where an investor has opted to register multiple bank accounts (using the 'Multiple Bank Accounts Registration Form'), and purchase payment is made from an account different from what is registered, any one of the following documents need to be provided as proof along with the payment instrument.

- Banker's certificate stating that the investment is from the investor's own bank account along with mention of his name and PAN
- Bank account passbook or statement mentioning the investor's name / PAN

Restriction on acceptance of Third Party payments for subscriptions, and exceptions thereto

- a. In case of payments from a joint bank account, one of the joint holders of the bank account must be the first account holder under the investment application.
- b. The Asset Management Company shall not accept subscriptions with Third Party payments except in the following situations:
  - Where payment is made 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 ₹ 50,000

(each regular purchase or per SIP installment). However this restriction will not be applicable for payment made by a guardian whose name is registered in the records of Mutual Fund in that folio.

- Where payment is made by an employer on behalf of an employee under Systematic Investment Plans through payroll deductions.
- 3. Custodian on behalf of an FII or a client.

Documents to be submitted for exceptional cases

- KYC is mandatory for all investors (guardian in case of minor) and the person making the payment i.e. the third party. Investors and the person making the payment should attach their valid KYC acknowledgement letter to the application form.
- 2. Submission of a separate, 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. The said Declaration Form shall, inter-alia, contain the details of the bank account from which the payment is made and the relationship with the investor(s). Please contact the nearest OPA/ISC of Axis Mutual Fund or visit our website www.axismf.com for the declaration form.

# 8. KYC

All Applicants (including POAs and Guardians) are required to be KYC compliant irrespective of the amount of investment. In case you are not KYC certified, please fill in the KYC form (individual or Non-Individual). A KYC acknowledgement letter should be submitted along with application for opening a folio or making an investment. Each holder in the folio must be KYC compliant.

Investors may kindly note that new SEBI Circular issued regarding uniformity in the KYC process was effective from January 1, 2012.