

KEY INFORMATION MEMORANDUM

Navi Nifty Next 50 Index Fund

An open ended equity scheme replicating / tracking Nifty Next 50 Index
Offer for face value of Rs. 10/- per unit during the New Fund Offer Period and at Continuous offer for units at NAV based prices

New Fund Offer Opens on: January 01, 2022

New Fund Offer Closes on: January 15, 2022

Scheme re-opens on / or before: January 21, 2022

Name of Mutual Fund	Name of Asset Management Company
Navi Mutual Fund (Formerly known as Essel Mutual Fund)	Navi AMC Limited (Formerly known as Essel Finance AMC Limited)

Navi Nifty Next 50 Index Fund

(An open ended equity scheme replicating / tracking Nifty Next 50 Index)

This product is suitable for investors who are seeking*

- Capital appreciation over the long term.
- Equity and equity related securities covered by Nifty Next 50 Index.
- Return that corresponds to the performance of Nifty Next 50 Index subject to tracking error



Investors understand that their principal will be at Very High Risk

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

(The product labelling assigned during the New Fund Offer is based on internal assessment of the scheme characteristics or model portfolio and the same may vary post New Fund Offer when the actual investments are made)

This Key Information Memorandum (KIM) sets forth the information which a prospective investor ought to know before investing.

For further details of the Scheme/Mutual Fund, due diligence certificate by the AMC, Key personnel, Investors' rights & services, risk factors, penalties & pending litigations etc, investors should, before investment, refer to the Scheme Information Document (SID) and Statement of Additional Information (SAI) available free of cost at any of the Investor Service Centre's or distributors or from the website www.navimutualfund.com

The Scheme particulars have been prepared in accordance with Securities and Exchange Board of

India (Mutual Funds) Regulations, 1996, as amended till date, and filed with Securities and Exchange Board of India (SEBI). The units being offered for public subscription have not been approved or disapproved by SEBI, nor has SEBI certified the adequacy of this KIM.

This KIM is dated December 20, 2021.

Investment Objective	The investment objective of the scheme is to achieve return equivalent to Nifty Next 50 Index by investing in stocks of companies comprising Nifty Next 50 Index. However, there is no assurance or guarantee that the investment objective of the Scheme will be achieved. The Scheme does not assure or guarantee any returns.			
Asset Allocation Pattern	Types of Instruments	Normal Allocation (% of Net Assets)		
		Minimum	Maximum	Risk Profile (Low/ Medium/ High)
	Equities and equity related securities covered by Nifty Next 50	95 %	100%	Medium to High
Debt & Money Market Instruments	0%	5 %	Low to Medium	
<p>Subject to the SEBI (MF) Regulations and in accordance with Securities Lending Scheme, 1997, SEBI Circular no. MFD/CIR/01/047/99 dated February 10, 1999, SEBI Circular no. SEBI/IMD/CIR No 14/187175/2009 dated December 15, 2009 and framework for short selling and borrowing and lending of securities notified by SEBI vide circular No MRD/DoP/SE/Dep/Cir-14/2007 dated December 20, 2007, as may be amended from time to time, the Scheme may engage in short selling and borrowing and lending of securities.</p>				
<p>The AMC shall adhere to the following limits should it engage in Stock Lending:</p>				
<ol style="list-style-type: none"> 1. Not more than 20% of the net assets of a Scheme can generally be deployed in Stock Lending. 2. Not more than 5% of the net assets of a Scheme can generally be deployed in Stock Lending to any single approved intermediary / counterparty. 				
<p>The scheme shall participate in the corporate bond repo transactions and in accordance with extant SEBI / RBI guidelines and any subsequent amendments thereto specified by SEBI and / or RBI from time to time. The gross exposure of the scheme to repo transactions in corporate debt securities shall not be more than 5% of the net assets of the concerned scheme.</p>				
<p>Exposure to equity derivatives of the index itself or its constituent stocks may be required in certain situations wherein equity shares are unavailable, insufficient or for rebalancing in case of corporate actions for a temporary period etc. The gross position to such derivatives will be restricted to 10% of net assets of the scheme. This will also include various derivative and hedging products to reduce the risk of the portfolio, in the manner permitted by SEBI from time to time.</p>				
<p>The Fund shall not take any leveraged position. The cumulative gross exposure through equity, debt, derivative positions, repo transactions in corporate debt securities and other permitted securities/assets and such other securities/assets as may be permitted by the Board from time to time should not exceed 100% of the net assets of the scheme.</p>				

	<p>Investment & Disclosure in the derivatives will be in line with SEBI Circular no SEBI/HO/IMD/DF2/CIR/P/2021/024 dated March 04, 2021..</p> <p>The Scheme will not invest in securitized debt. The Scheme will not invest in Credit Default Swaps. The Scheme will not invest in Real Estate Investment Trusts (REITs), Infrastructure Investment Trusts (InvITs)</p> <p>The Scheme will not invest in Foreign Securities.</p> <p>The Scheme will not invest in Structured obligation and Credit enhancement. The Scheme will not invest in debt instruments with special features as as stated in the SEBI circular dated March 10,2021</p> <p>Pending deployment of the funds in securities in terms of investment objective of the Scheme, the AMC may park the funds of the Scheme in short term deposits of the Scheduled Commercial Banks, subject to the guidelines issued by SEBI vide its circular dated April 16, 2007, August 16, 2019 and September 20, 2019as may be amended from time to time.</p> <p>Changes in Investment Pattern:</p> <p>Subject to the SEBI regulations, the asset allocation pattern indicated above may change from time to time, keeping in view the market conditions, market opportunities, applicable regulations and political and macroeconomic factors. Such changes in the investment pattern will be for short term and defensive considerations only and the intention being at all times to seek to protect the interests of the Unit holders.</p> <p>In case of any deviation, the asset allocation would be restored in line with the above mentioned asset allocation pattern within 7 days from the date of deviation. In case the same is not aligned to the above asset allocation pattern within 7 days, justification shall be provided to the Investment Committee and reasons for the same shall be recorded in writing. The Investment committee shall then decide on the course of action. However, at all times the portfolio will adhere to the overall investment objectives of the scheme.</p> <p>Provided further and subject to the above, any change in the asset allocation affecting the investment profile of the Scheme shall be effected only in accordance with the provisions of sub regulation (15A) of Regulation 18 of the Regulations.</p>
<p>Investment Strategy</p>	<p>The investment objective of the scheme is to achieve return equivalent to Nifty Next 50 Index by investing in stocks of companies comprising Nifty Next 50 Index, subject to tracking error.</p> <p>The Scheme endeavors to invest in stocks in proportion to the weightages of these stocks in the Nifty Next 50. The fund will, in general invest a significant part of its corpus in equities; the surplus amount of the fund not exceeding 5% shall be invested in Cash/Tri-Party Repo, Repo in corporate debt securities & Money Market instruments.</p>

	<p>The performance of the Scheme may not be commensurate with the performance of the respective benchmark of the Schemes on any given day or over any given period. Such variations are commonly referred to as the tracking error. The Scheme intends to maintain a low tracking error by actively managing the portfolio in line with the index.</p> <p>However there is no assurance that all such buying and selling activities would necessarily result in benefit for the Fund</p> <p>A small portion of the net assets will be held as cash or will be invested in debt and money market instruments permitted by SEBI/RBI including TREPS or in alternative investment for the TREPS as may be provided by the RBI, to meet the liquidity requirements under the Scheme.</p>
<p>Risk Profile of the Scheme</p>	<p>Mutual Fund Units involve investment risks including the possible loss of principal. Please read the SID carefully for details on risk factors before investment.</p> <p>Scheme specific Risk Factors are summarized below:</p> <p>Investments in equity and equity related instruments involve a degree of risk, both company specific and market risks and thus investors should not invest in the Scheme unless they can afford to take the risk of losing their investment.</p> <p>Equity and Equity Related Instruments by nature are volatile and prone to price fluctuations on a daily basis due to macro and micro economic factors. The value of Equity and Equity Related Instruments may fluctuate due to factors affecting the securities markets such as price volatility, volumes traded, interest rates, currency exchange rates, changes in law/policies of the Government, taxation laws, political, economic or other developments, which may have an adverse impact on individual securities, a specific sector or all sectors. Consequently, the NAV of the Units issued under the Scheme may be adversely affected.</p> <p>The scheme also carries risks associated with investing in debt and money market securities, derivatives. Investments in debt and money market instruments are subject to interest rate risk, re-investment risk, basis risk, credit risk, spread risk, prepayment risk, Segregated Portfolio etc.</p> <p>Please refer Scheme Information Document for details.</p>
<p>Risk Control</p>	<p>The risk control process involves reducing risks through portfolio diversification. This diversification would help achieve the desired level of consistency in returns. The AMC aims to identify securities, which offer superior levels of yield at lower levels of risks. There would be regular rebalancing of the portfolio, taking into account the change in weights of stocks in the Index.</p> <p>Nifty Next 50 Index fund being a passive investment carries lesser risk as compared to active fund management. The portfolio follows the index and therefore the level of stock concentration in the portfolio and its volatility would be the same as that of the index, subject to tracking error. Thus there is no additional element of volatility or stock concentration on account of fund manager decisions.</p>

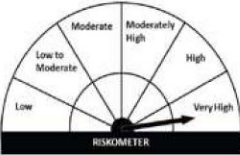
Plans/Options	<p>The Scheme has the following Plans:</p> <p>a) Regular Plan b) Direct Plan</p> <p>Each of the Plans as above offers Growth Option.</p> <p>Investors should indicate the Plan/Option for which the subscription is made by indicating the choice in the appropriate box provided for the purpose in the application form.</p> <p>The following criteria will be considered for uniform disclosure on treatment of applications under Direct/Regular plans:</p> <table border="1" data-bbox="293 448 971 697"> <thead> <tr> <th>Scenario</th> <th>Broker Code mentioned by the investor</th> <th>Plan mentioned by the investor</th> <th>Default Plan to be captured</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>Not mentioned</td> <td>Not mentioned</td> <td>Direct Plan</td> </tr> <tr> <td>2</td> <td>Not mentioned</td> <td>Direct</td> <td>Direct Plan</td> </tr> <tr> <td>3</td> <td>Not mentioned</td> <td>Regular</td> <td>Direct Plan</td> </tr> <tr> <td>4</td> <td>Mentioned</td> <td>Direct</td> <td>Direct Plan</td> </tr> <tr> <td>5</td> <td>Direct</td> <td>Not Mentioned</td> <td>Direct Plan</td> </tr> <tr> <td>6</td> <td>Direct</td> <td>Regular</td> <td>Direct Plan</td> </tr> <tr> <td>7</td> <td>Mentioned</td> <td>Regular</td> <td>Regular Plan</td> </tr> <tr> <td>8</td> <td>Mentioned</td> <td>Not Mentioned</td> <td>Regular Plan</td> </tr> </tbody> </table> <p>In cases of wrong/ invalid/ incomplete ARN codes mentioned on the application form, the application shall be processed under Regular Plan. The AMC shall contact and obtain the correct ARN code within 30 calendar days of the receipt of the application form from the investor/ distributor. In case, the correct code is not received within 30 calendar days, the AMC shall reprocess the transaction under Direct Plan from the date of application without any exit load.</p> <p><u>The Plans and Options stated above will have a common portfolio but separate NAVs, as applicable, shall be applied among Plans and Options.</u></p>	Scenario	Broker Code mentioned by the investor	Plan mentioned by the investor	Default Plan to be captured	1	Not mentioned	Not mentioned	Direct Plan	2	Not mentioned	Direct	Direct Plan	3	Not mentioned	Regular	Direct Plan	4	Mentioned	Direct	Direct Plan	5	Direct	Not Mentioned	Direct Plan	6	Direct	Regular	Direct Plan	7	Mentioned	Regular	Regular Plan	8	Mentioned	Not Mentioned	Regular Plan
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Applicable NAV	<p>For Purchases including switch-ins:</p> <ul style="list-style-type: none"> • In respect of valid applications received upto 3.00 p.m. and where the funds for the entire amount are available for utilization before the cut-off time i.e. credited to the bank account of the Scheme before the cut-off time - the closing NAV of the day shall be applicable. • In respect of valid applications received after 3.00 p.m. 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. • In respect of valid applications, with outstation cheques / demand drafts not payable at par at the Official Point(s) of Acceptance where the application is received, closing 																																				

	<p>NAV of the day on which the cheque / demand draft is credited to the Bank account of scheme shall be applicable.</p> <p>Redemptions including Switch - outs:</p> <ul style="list-style-type: none"> In respect of valid applications received up to 3.00 p.m. – same day's closing NAV shall be applicable. In respect of valid applications received after 3.00 p.m. - the closing NAV of the next Business Day shall be applicable. With respect to investors who transact through the stock exchange, a confirmation slip given by the stock exchange mechanism shall be considered for the purpose of determining Applicable NAV for the Scheme and cut off timing for the transactions. 			
Minimum Application Amount / Number of Units	Purchase	Additional Purchase (Subsequent purchase)	Repurchase	
	Rs.500/- and in multiples of Re.1/- thereafter	Rs. 100 and in multiples of Re 1/- thereafter	Rs.500/- or 100 units or account balance whichever is lower in respect of each option.	
Systematic Investment Plan	Frequency	Fortnightly Option (Rs. 500/- and in multiples of Rs. 100/- thereafter), Monthly Option (Rs. 500 /- and in multiples of Rs. 100/- thereafter), Quarterly Option (Rs. 1,000 /- and in multiples of Rs. 100/- thereafter) and Half yearly Option (Rs. 2000/- in multiples of Rs. 100/- thereafter.)		
	Minimum Installments	Fortnightly SIP 24 installments (including 1 st cheque), Monthly SIP 12 Installments (including 1st cheque), Quarterly SIP 4 Installments (including 1st cheque), Half yearly SIP -2 installments (including 1st cheque).		
	Default Option	Default Frequency - Monthly Option, Default Date – 7 th of each month/quarter/half year.		
	SIP Dates	Fortnightly	Every alternate Wednesday	
		Monthly	Any Day of the month except 29 th , 30 th , 31 st	
Quarterly		Any Day of the month except for each Quarter (i.e. January, April, July, October) except 29 th , 30 th , 31 st		
Half Yearly		Any Day of the month except for each Half Yearly (i.e. September, March) except 29 th , 30 th , 31 st		
	<p>Notice of discontinuance/termination should be received at AMC Customer Service Cell or to the Registrar (official point of acceptance) at least 30 days prior to the due date of the next debit. If the Fund fails to get the proceeds from three Installments out of a continuous series of Installments submitted at the time of initiating a SIP (subject to a minimum under SIP i.e. 12 months), the SIP is deemed as discontinued. Units will be allotted at the Applicable NAV of the respective dates on which the investments are sought to be made. In case the date falls on a Holiday or falls during a Book Closure period, the immediate next Business Day will be considered for this purpose.</p>			
Systematic Transfer Plan	Frequency	Daily Option (all business days), Weekly Option (every Wednesday), Fortnightly Option (every alternative Wednesday) and Monthly Option (on specified dates i.e. 1 st ,		

		7 th , 10 th , 15 th , 20 th , 25 th of every month or all 5 dates.).	
	Minimum Amount	Minimum of 12 transfers of Rs. 500/- , Rs. 50/- for daily frequency	
	Default Option	Default Frequency - Monthly, Default Date – 7 th of each month.	
Systematic Withdrawal Plan	<p>Unit holders have the benefit of availing the choice of Systematic Withdrawal Plan. The amount thus withdrawn by redemption will be converted into Units at Applicable NAV based prices and the number of Units so arrived at will be subtracted from the Units balance to the credit of that Unit holder. The Unit holder may avail of this Option by writing to any of the Investor Service Centers, after the close of the New Fund Offer Period.</p> <p>Unit holders may change the amount of withdrawals or the period of withdrawals by giving a 15 days written notice. The SWP may be terminated on a written notice by a Unit holder and it will terminate automatically if all the Units are liquidated or withdrawn from the account or the holdings fall below Rs.1000 under the monthly option or Rs 3,000 under the quarterly option (subject to the Unit holder failing to invest sufficient funds to bring the value of their holdings to the minimum amount of Rs. 5000 after the completion of SWP, within 30 days after the balance shall have fallen below the minimum holdings) or upon the Mutual Fund's receipt of notification of death or incapacity of the first Unit holder.</p> <p>There are two options available under SWP viz - Monthly option and Quarterly option, the details of which are given below:</p>		
		Monthly Option	Quarterly Option
	Minimum Value of SWP	Rs. 500/- or 50 units	Rs. 1,500/- or 150 units
	Additional amount in multiples of	Rs. 100/- or 10 units	Rs. 100/- or 10 units
	Dates of SWP Request	5 th of the month	5 th of April, July, October, January
	Default Option: Monthly Option		
Automatic Encashment Plan (AEP)	<p>The AEP shall be available to investors who have opted for Growth Option under the scheme. Unitholders under this Plan can avail of this option by providing standing instructions to the AMC.</p> <p>The unit holders under this plan will have an option to en-cash the appreciation available on investment on the designated date on monthly/quarterly/half yearly basis. The applicable NAV for this purpose is the NAV of the designated date. Computation of the available appreciation under the scheme will be the NAV appreciation (being the difference between the NAV as on the Designated Date minus the purchase price of the respective units) on outstanding units and the same will be redeemed on a First in First out (FIFO) basis from the folio of the investor.</p> <p>Upon such automatic encashment, the unit holders will be sent the redemption cheques or the redemption proceeds may be directly credited to the bank account of the unit holder.</p> <p>There is no assurance or guarantee to unit holders as to the extent of appreciation that the scheme may generate.</p>		

	<ol style="list-style-type: none"> AEP will be on pre-defined dates (i.e. 1st business day of every month/quarter/half year) Payment under the AEP shall be subject to such appreciation being available for the respective investor on Designated Date. Minimum amount of AEP will be Rs.500/-. If amount is less than Rs.500/-, the AEP facility will automatically be carried forward to the next eligible date. If there be a depreciation between the two NAV then such transaction will not be considered in computing the sum of minimum amount of Rs 500/- on the Designated Date. 								
Any Day Systematic Investment Plan (SIP)	<p>Investors can also choose any day or date, as applicable, of his / her preference as provided below:</p> <table border="1" data-bbox="311 409 954 557"> <thead> <tr> <th>SIP Frequency</th> <th>Choice of Day/Date*</th> </tr> </thead> <tbody> <tr> <td>Monthly</td> <td>Any Day of the month except 29th, 30th, 31st</td> </tr> <tr> <td>Quarterly</td> <td>Any Day of the month except for each Quarter (i.e. January, April, July, October) except 29th, 30th, 31st</td> </tr> <tr> <td>Half Yearly</td> <td>Any Day of the month except for each Half Yearly (i.e. September, March) except 29th, 30th, 31st</td> </tr> </tbody> </table> <p>*In case the chosen date falls on a Non-Business Day, then the SIP will be processed on the immediate next Business Day.</p> <p>* In case the SIP date is not specified or in case of ambiguity, the SIP transaction will be processed on 7th of the subsequent month in which application for SIP registration was received. In case the end date is not specified, SIP will continue till it receives termination notice from the investor.</p> <p>All other terms and conditions pertaining to SIP shall remain the same. The Trustee/AMC reserves the right to change/modify the terms and conditions of the SIP.</p>	SIP Frequency	Choice of Day/Date*	Monthly	Any Day of the month except 29 th , 30 th , 31 st	Quarterly	Any Day of the month except for each Quarter (i.e. January, April, July, October) except 29 th , 30 th , 31 st	Half Yearly	Any Day of the month except for each Half Yearly (i.e. September, March) except 29 th , 30 th , 31 st
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SIP Pause Facility:	<p>SIP Pause facility gives option to pause the SIP for a period ranging from 1month up to 6 months in a respective scheme. Basic Terms and conditions are as follows:</p> <ul style="list-style-type: none"> The applicant will have the right to pause SIP which is directly registered with Navi Mutual Fund. An investor who wishes to request for SIP Pause facility shall duly fill the SIP Pause Form and submit the same at the office of Navi Mutual Fund or KFin Service Centre or online /app of Navi Mutual Fund. A valid form for SIP Pause facility will be processed within 15 days from the date of receipt of the same. SIP Pause facility would allow existing investor to 'Pause' their SIP for a specified period of time i.e. Minimum 1 month and Maximum 6months. There would be no restriction on the number of times a SIP can be paused. SIP Pause facility shall be available where 'SIP Facility' is available in the Schemes of Navi Mutual Fund. SIP Pause Facility is applicable only for AMC initiated debit instructions i.e. ECS/NACH/Direct Debit, etc. SIP Pause Facility is not possible for investors having Standing Instructions with banks. The SIP shall continue from the subsequent instalment after the completion of pause period automatically. 								

	<ul style="list-style-type: none"> • If the SIP pause period is coinciding with the SIP Top Up facility, the SIP instalment amount post completion of pause period would be inclusive of SIP Top Up amount. For e.g. SIP instalment amount prior to pause period is Rs. 5,000/- and SIP Top Up amount is Rs.1,000/- . If the pause period is completed after date of SIP Top Up, then the SIP instalment amount post completion of pause period shall be Rs.6,000/-. • Incomplete SIP Pause Form in any respect would be liable to be rejected. • The investor hereby agrees to indemnify and not hold responsible, the AMC and its employees, the R&T agent and the service providers in case his/her bank is not able to effect any of the payment instructions for whatsoever reason.
Switching Options	<p>Inter-Scheme Switching Option:</p> <p>Unit holders under the Scheme have the option to Switch part or all of their Unit holdings in the Scheme to any other Scheme offered by the Mutual Fund from time to time.</p> <p>The Mutual Fund also provides the Investors the flexibility to Switch their investments from any other scheme(s) / plan (s) offered by the Mutual Fund to this Scheme. This option will be useful to Unit holders who wish to alter the allocation of their investment among the scheme(s) / plan(s) of the Mutual Fund in order to meet their changed investment needs. The Switch will be effected by way of a Redemption of Units from the Scheme at Applicable NAV, subject to Exit Load, if any and reinvestment of the Redemption proceeds into another Scheme offered by the Mutual Fund at Applicable NAV and accordingly the Switch must comply with the Redemption rules of the Switch out Scheme and the Subscription rules of the Switch in Scheme.</p>
Despatch of Repurchase (Redemption) Request	Within 10 working days of the receipt of the redemption request at the authorized centre of Navi Mutual Fund.
Benchmark Index	Nifty Next 50 Index TRI
Name of the Fund Managers	The Scheme will be managed by Mr. Pranav Vasa.
Name of the Trustee Company	Navi Trustee Limited (Formerly known as Essel MF Trustee Limited)
Performance of the Scheme	<p>This Scheme is a new scheme and does not have any performance track record.</p> <p>Benchmark- Nifty Next 50 Index TRI</p> <p>Risk-o-meter-Degree of Risk-Very High.</p>

	 <p>Investors understand that their principal will be at Very High Risk</p> <p>The AMC/MF shall send, via email the details of the scheme portfolio while communicating the fortnightly, monthly and half-yearly statement of scheme portfolio, to the investors whose email addresses are registered with Navi MF.</p> <p>Further, pursuant to SEBI/HO/IMD/IMD-II DOF3/P/CIR/2021/621 dated August 31, 2021:</p> <p>A) AMCs shall disclose the following in all disclosures, including promotional material or that stipulated by SEBI:</p> <ol style="list-style-type: none"> risk-o-meter of the scheme wherever the performance of the scheme is disclosed risk-o-meter of the scheme and benchmark wherever the performance of the scheme vis-à-vis that of the benchmark is disclosed. <p>B) The portfolio disclosure in terms of para 3 of SEBI circular SEBI / HO / IMD / DF2 / CIR / P / 2018 / 92 dated June 5, 2018 on 'Go Green Initiative in Mutual Funds' shall also include the scheme risk-o-meter, name of benchmark and risk-o-meter of benchmark.</p>
Additional Disclosures	<p>a. Scheme's Portfolio Holding (top 10 holdings by issuer and fund allocation towards various sectors):</p> <p>This Scheme is a new scheme and does not have any portfolio holdings</p> <p>Latest monthly portfolio holding can be obtained on website of Navi Mutual Fund. (www.navimutualfund.com)</p> <p>b. Absolute Returns: This Scheme is a new scheme.</p> <p>c. Aggregate Investments in the scheme by Board of Directors / Fund Managers / Other Key Personnel: This Scheme is a new scheme.</p> <p>d. Scheme's Portfolio Turnover Ratio: This Scheme is a new Scheme.</p>
Expenses of the Scheme	<p><u>Load Structure:</u></p> <p>i. Load Structure & Transaction Charges</p> <p>Entry load: NA. Exit load: NIL</p>

	<p>Redemption of units would be done on First in First out Basis (FIFO).</p> <p>SEBI vide its circular no SEBI/IMD/CIR No.4/168230/09 June 30, 2009 has decided that there shall be no entry Load for all Mutual Fund Schemes.</p> <p>The Trustee/AMC reserves the right to change/modify the Exit Load structure from a prospective date.</p> <p>Transaction Charges:</p> <p>Pursuant to SEBI circular vide no. Cir / IMD/ DF / 13 / 2011 dated 22 August 2011, a transaction charge per subscription of Rs.10,000/- and above will be charged from the investors and paid to distributors/ agents (who have opted to receive the transaction charges) w.e.f. 1 November 2011, as follows:</p> <ol style="list-style-type: none"> 1. Rs. 100/- per subscription of Rs.10,000/- and above for existing investors in Mutual Funds. 2. Rs.150/- per subscription of Rs.10,000/- and above for a first time investor in Mutual Funds. 3. The transaction charge, if any, shall be deducted by the AMC from the subscription amount and paid to the distributor and the balance shall be invested. 4. There shall be no transaction charge on subscription below Rs.10,000/-. 5. Transaction charges shall be applicable on purchases/ subscriptions relating to new inflows. 6. In case of SIPs, the transaction charge shall be applicable only if the total commitment through SIPs amounts to Rs.10,000/- and above and shall be recovered in a maximum of 4 installments. 7. There shall be no transaction charges on direct investments. 8. The Account Statement shall state that the net investment as gross subscription less transaction charges, if any and specify the no. of units allotted against the net investment <p>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.</p> <p>The distributors shall have also the option to either opt in or opt out of levying transaction charge based on type of the product.</p>						
<p>Recurring Expenses</p> <p>(% of the Average Daily Net Assets)</p>	<p>The annual total of all charges and expenses of the Scheme shall be subject to the following limits, defined under Regulation 52 of SEBI MF regulations:</p> <p>Limit as prescribed under regulation 52 of SEBI MF regulations for index fund:</p> <table border="1" data-bbox="291 1039 979 1103"> <thead> <tr> <th>Particulars</th> <th>As a % of daily net assets as per Regulation 52 (6) (b)</th> <th>Additional TER as per 52 (6A) (b)</th> </tr> </thead> <tbody> <tr> <td>On total assets</td> <td>1.00%</td> <td>0.30%</td> </tr> </tbody> </table> <p>Direct Plan shall have a lower expense ratio. Commission/ Distribution expenses will not be charged in case of Direct Plan. At least 5% of the TER will be charged towards distribution expenses/commission in the Regular Plan. The TER of the Direct Plan under the Scheme will be lower to the extent of the above mentioned distribution expenses/commission (at least 5% of TER) which is charged in the Regular Plan. For example, in the event that the TER of the Regular Plan is 1% p.a., the TER of the Direct Plan would not exceed 0.95% p.a.</p>	Particulars	As a % of daily net assets as per Regulation 52 (6) (b)	Additional TER as per 52 (6A) (b)	On total assets	1.00%	0.30%
Particulars	As a % of daily net assets as per Regulation 52 (6) (b)	Additional TER as per 52 (6A) (b)					
On total assets	1.00%	0.30%					

	<p>Any expenditure in excess of the SEBI regulatory limits shall be borne by the AMC or by the Trustee or the Sponsor.</p> <p>In addition to the recurring expenses specified for the scheme, the following expenses/Goods & Service Tax (GST) may be charged to the scheme:</p> <ol style="list-style-type: none"> 1) Additional expenses, incurred towards different heads mentioned under sub-regulations (2) and (4) of Regulation 52 of the Regulations, not exceeding 0.05 percent of daily net assets of the scheme. Provided that such additional expenses shall not be charged to the schemes where the exit load is not levied or applicable. 2) Expenses in respect of inflows from beyond top 30 cities-a maximum charge of 0.30% on the daily net assets computed as per the guidelines issued by AMFI for meeting distribution expenses incurred for bringing inflows from such cities. 3) Brokerage and transaction costs not exceeding 0.12% of the value of the trades in the case of cash market transactions and 0.05% of the value of trades in case of derivatives transactions; and 4) Goods & Service Tax (GST) on Investment Management and Advisory fees. <p><u>Actual expenses as on(% Weightage) (Excluding GST):</u></p> <p>Regular Plan –It's a new scheme. Direct Plan- It's a new scheme.</p> <p>For further details please refer to the SID.</p>
Waiver of Load for Direct Applications	Not Applicable
Tax Treatment for the Investors (Unitholders)	Investors are advised to refer to the paragraph on Taxation in the 'Statement of Additional Information' and to consult their own tax advisors with respect to the specific amount of tax and other implications arising out of their participation in the scheme.
Daily Net Asset Value (NAV) Publication	The NAV will be declared for all business days and disclosed in the manner specified by SEBI. NAV can also be viewed on (www.navimutualfund.com) and (www.amfindia.com). You can also call us at Non Toll Free: 080-45113444/8147544555 . Toll Free : 1800 103 8999
For Investor Grievances Please Contact	<p><u>Name and Address of Registrar:</u> KFIN Technologies Private Limited (formerly known as Karvy Fintech Private Limited), (Unit: Navi Mutual Fund), SELENIUM Tower B, Plot numbers 31 & 32, Financial District, Nanakramguda, Serlingampally Mandal, Gachibowli, Hyderabad – 500 032, Telangana Tel: 91 40 79615121 / 5122 / 5123 Webs: https:// www.kfintech.com.</p> <p><u>Customer Service Cell of AMC:</u> Mr. Tushar Chandel Investor Relations Officer, 7thFloor, Wing B, Prestige RMZ Startech, No. 139, 2, Hosur Rd, Koramangala Industrial Layout, S.G. Palya, Bengaluru- 560095 Toll Free: 1800 103 8999 Non Toll Free. 080 45113444, 8147544555 Email: mf@navi.com</p>
Unitholders'	<u>Account Statements:</u>

Information

For normal transactions during ongoing sale and repurchase:

- The AMC shall send an allotment confirmation specifying the units allotted by way of email and / or SMS within 5 Business Days of receipt of valid application / transaction to the Unit holders registered e-mail address and /or mobile number.
- A consolidated account statement for each calendar month to the Unit holder(s) in whose folio(s) transaction(s) has/ has taken place during the month on or before 15th day of the succeeding month shall be sent by mail or e-mail.
- In the event the account has more than one registered holder, the first named Unit holder shall receive the CAS/ account statement.
- The transactions viz. purchase, redemption, switch, , etc., carried out by the Unit holders shall be reflected in the CAS on the basis of Permanent Account Number (PAN).
- The CAS shall not be received by the Unit holders for the folio(s) not updated with PAN details. The Unit holders are therefore requested to ensure that the folio(s) are updated with their PAN.
- For folios not included in the CAS (due to non-availability of PAN), the AMC shall issue monthly account statement to such Unit holder(s), for any financial transaction undertaken during the month on or before 10th of succeeding month by mail or email.
- In case of a specific request received from the Unit holders, the AMC will provide an account statement (reflecting transactions of the Fund) to the investors within 5 Business Days from the receipt of such request, by mail/email.
- The Unit holder without any charges may request for a physical account statement by writing to/calling the AMC/ISC/RTA. The Mutual AMC shall dispatch an account statement within 5 Business Days from the date of the receipt of request from the Unit holder.

Half Yearly Consolidated Account Statement (CAS)

The CAS detailing holding across all schemes of all mutual funds at the end of every six months (i.e. September/ March), shall be sent by mail/e-mail on or before 21st day of succeeding month, to all such Unit holders in whose folios no transaction has taken place during that period. The half yearly consolidated account statement will be sent by e-mail to the Unit holders whose e-mail address is available, unless a specific request is made to receive in physical.

The statement of holding of the beneficiary account holder for units held in demat will be sent by the respective DPs periodically.

The Account Statement shall state that the net investment as gross subscription less transaction charges, if any and specify the no. of units allotted against the net investment.

Allotment Advice (for demat holders) / Consolidated Account Statement (CAS)

An allotment advice will be sent upon allotment of Units stating the number of Units allotted to each of the Unit holder(s) who have opted for allotment in dematerialized mode within 5 business days from the date of closure of NFO Period.

The Units allotted will be credited to the DP account of the Unit holder as per the details

provided in the application form.

A Consolidated Account Statement (CAS) shall also be sent to the Unit holder(s) in whose folio transactions have taken place during that month, on or before 10th of the succeeding month.

CAS for investors having Demat account:

- Investors having MF investments and holding securities in Demat account shall receive a single Consolidated Account Statement (CAS) from the Depository.
- Consolidation of account statement shall be done on the basis of Permanent Account Number (PAN). In case of multiple holding, it shall be PAN of the first holder and pattern of holding. For PANs which are common between depository and the AMC, the depository shall send the CAS. In other cases (i.e. PANs with no demat account and only MF units holding), the AMC/RTA shall continue to send the CAS to its unit holders as is being done presently in compliance with the Regulation 36(4) of the SEBI (Mutual Funds) Regulations.
- The CAS shall be generated on a monthly basis.
- If there is any transaction in any of the Demat accounts of the investor or in any of his mutual fund folios, depositories shall send the CAS within ten days from the month end. In case, there is no transaction in any of the mutual fund folios and demat accounts then CAS with holding details shall be sent to the investor on half yearly basis.
- In case an investor has multiple accounts across two depositories, the depository with whom the account has been opened earlier will be the default depository. However, option shall be given to the demat account holder by the default depository to choose the depository through which the investor wishes to receive the CAS.
- Where statements are presently being dispatched by email either by the Mutual Funds or by the Depositories, CAS shall be sent through email. However, where an investor does not wish to receive CAS through email, option shall be given to the investor to receive the CAS in physical form at the address registered in the Depository system.
- If an investor does not wish to receive CAS, an option shall be given to the investor to indicate negative consent.

The dispatch of CAS by the depository would constitute compliance by the AMC/ the Fund with the requirement under Regulation 36(4) of SEBI (Mutual Funds) Regulations. The AMC reserves the right to furnish the account statement in addition to the CAS, if deemed fit in the interest of investor(s).

Annual Account Statement:

The Mutual Fund shall provide the Account Statement to the Unit holders who have not transacted during the last six months prior to the date of generation of account statements. The account statements in such cases may be generated and issued along with the Portfolio Statement or Annual Report of the Scheme.

Annual Report:

The Scheme wise annual report or an abridged summary thereof shall be provided to all Unit holders not later than four months (or such other period as may be specified by SEBI

from time to time) from the date of closure of the relevant accounting year (i.e. 31st March each year) in the manner specified by SEBI. The mutual fund shall provide physical copy of the abridged summary of the Annual Report without any cost, if a request through any mode is received from a unitholder. The full annual report shall be available for inspection at the Head Office of the Mutual Fund and a copy shall be made available to the Unit holders on request on payment of nominal fees, if any.

Scheme wise annual report shall also be displayed on the website of the AMC (www.navimutualfund.com) and Association of Mutual Funds in India (www.amfindia.com).

A link of the scheme annual report or abridged summary shall be displayed prominently on the website of the Fund and shall also be displayed on the website of Association of Mutual Funds in India (AMFI).

Half yearly disclosures:

The Mutual Fund shall provide a complete statement of the Scheme portfolio within ten days from the close of each half year (i.e. 31st March and 30th September), in the manner specified by SEBI. The Portfolio Statement will also be displayed on the website of the AMC and AMFI.

In terms of Regulations 59 and SEBI circular no. CIR/IMD/DF/21/2012 dated September 13, 2012, the AMC shall within one month from the close of each half year, that is on 31st March and on 30th September, host a soft copy of its unaudited financial results on its website: www.navimutualfund.com and publish a notice regarding availability of the same in at least one English daily news paper having nationwide circulation and in a newspaper having wide circulation published in the language of the region where the Head Office of the mutual fund is situated.

Monthly Portfolio disclosure:

The Fund/AMC will disclose the Portfolio (along with ISIN) of all the Schemes on the last day of the month on its website www.navimutualfund.com or before the tenth day of the succeeding month in the prescribed format.

The Annual Report, portfolio statement and the unaudited financial results will also be displayed on the website of the Mutual Fund www.navimutualfund.com and Association of Mutual Funds in India (www.amfindia.com).

15 HOW DO YOU WISH TO RECEIVE THE DOCUMENT(S) (Please)

I/We wish to "Opt In" for receiving the following in Physical Copy
 Annual Reports / Abridged Summary Account Statement

I/We wish to receive the Account Statement in (any one)
 English (Default option) Bengali Malayalam

16 DOCUMENTS ENCLOSED (Please)

Resolution/Authorisation to Invest List of Authorized Signatories with Specimen Signatures Memorandum & Articles of Association
 Trust Deed Bye-laws Partnership Deed Overseas Auditor Certificate Notarised POA Copy of cancelled cheque
 Copy of PAN Card KYC PIO Card Foreign Inward Remittance Certificate Special Product Form (SIP / STP / SWP / AEP)

17 *DECLARATION AND SIGNATURES

I/We have read and understood the contents of the Statement of Additional Information and Scheme Information Document of the Scheme (s). I/We hereby apply for units of the scheme as indicated above and agree to abide by the terms and conditions, rules and regulations of the Scheme and to other statutory requirements of SEBI/AMFI, Prevention of Money Laundering Act, 2002 and such other regulations as may be applicable from time to time. I/We confirm to have understood the investment objective, investment pattern and risk factors applicable to Plan/Option under the Scheme (s). I/We agree that in case of my/our investment in the scheme is equal to or more than 25% of the corpus of the scheme, then NAVI AMC Limited (Formerly: Essel Finance AMC Limited) has full right to refund the excess to me/us to bring my/our investment below 25%. I/We have not received nor been induced by any rebate or gifts, directly or indirectly in making this investment. I/We undertake that these investments are on my/our own account and in event Know Your Customer process is not completed by me/us to the satisfaction of the Mutual Fund, I/We hereby authorise the Mutual Fund to redeem the funds invested in the scheme, in favour of the applicant at the applicable NAV prevailing on the date of such redemption and undertake such other action with such funds that may be required by the law. I/We declare that the amount invested in the Scheme is through legitimate sources only and is not designed for the purpose of contravention or evasion of any Act, Regulations or any other applicable law enacted by the Government of India or any Statutory Authority. I/We hereby declare that the particulars above are correct. I/We hereby further agree that the Fund can directly credit all the redemption amount to my bank details given above. The ARN holder has disclosed to me/us all the commission (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. For NRIs: 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 my/our Non-resident External/Ordinary Account/FCNR/NRNR Account. I/We hereby provide my/our consent in accordance with Aadhaar Act, 2016 and regulations made thereunder, for (i) collecting, storing and usage (ii) validating/authenticating and (iii) updating my/our Aadhaar number(s) in accordance with Aadhaar Act, 2016 (and regulations made thereunder) and PMLA. I/We hereby provide my/our consent of my Aadhaar number(s) including demographic information with the asset management companies of SEBI registered mutual fund and their Registrar and Transfer Agent (RTA) for the purpose of updating the same in my/our folio.

Sole/1st applicant/Guardian/Authorised Signatory/POA Holder 2nd Applicant/Authorised Signatory/POA Holder 3rd Applicant/Authorised Signatory/POA Holder

All fields marked with * are mandatory

17 DOCUMENTS ENCLOSED (Please)

Resolution/Authorisation to Invest List of Authorized Signatories with Specimen Signatures Memorandum & Articles of Association
 Trust Deed Bye-laws Partnership Deed Overseas Auditor Certificate Notarised POA Copy of cancelled cheque
 Copy of PAN Card KYC PIO Card Foreign Inward Remittance Certificate Special Product Form (SIP)

18 CHECKLIST (Please submit the following documents with application wherever applicable). All documents should be original/true copies certified by a Director/Trustee/Company Secretary/Authorised Signatory/Notary Public.

Documents	Individual	Companies	Societies	Partnership Firm	Investment through POA	Trust	NRI	FII
Resolution/Authorisation to Invest		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>
List of Authorized Signatories with Specimen Signatures		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>
Memorandum & Articles of Association		<input checked="" type="checkbox"/>						
Trust Deed						<input checked="" type="checkbox"/>		
Bye-laws			<input checked="" type="checkbox"/>					
Partnership Deed				<input checked="" type="checkbox"/>				
Notarised POA					<input checked="" type="checkbox"/>			
PAN/PERN Proof	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
KYC in case of Investment of any Amount	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Foreign Inward Remittance Certificate							<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Copy of Cancelled Cheque	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
FATCA & CRS Declaration		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>

1. GENERAL INFORMATION

- Please read the Statement of Additional Information, Scheme Information Document (SID) and Key Information Memorandum (KIM) carefully before investing. All applicants are deemed to have accepted and agreed to which this offer is being made and bind themselves to the terms upon signing the Application Form and landing payment.
- Application Form should be filled legibly in English in BLOCK LETTERS so as to avoid errors in your application processing.
- Cancellation/Cancelation of any of the mandatory information should be counter signed by the investor. Please strike out any section which is not applicable. Refer to the checklist to ensure that the requisite details and documents are provided in order to avoid unnecessary delays and/or rejection of your application.
- The Application No./Folio No., the Scheme Name and the name of the applicant should be mentioned on the reverse side of the instrument that accompanies the application.
- Application Form incomplete in any respect or not accompanied by a Cheque/Demand Draft amount liable to be rejected and the money paid will be refunded to the applicant.
- All communications and payments shall be made to the First Applicant only irrespective of the holding base.
- The right to accept or reject any application in the whole or in part lies with the New AMC Limited (Formerly F&F Mutual Fund) or AMCF New Trustees Limited (Formerly F&F Mutual Fund Trustee) or New Mutual Fund.
- The Investor who wish to avail Systematic Investment Plan (SIP) facility must use separate Common Transaction Slips available in any of the New Mutual Fund / Customer Service Centres.
- The application complete in all respects along with the cheque/draft transfer instructions must be submitted to the nearest designated Investor Service Centre/Collection centre.
- Transaction Charges: In accordance with SEBI circular No. GIM/MD/DF/3/2011 dated August 22, 2011, New AMC Limited (AMCF) New Mutual Fund will deduct Transaction Charges from the purchase subscription amount received from the investor investing through a valid AMFI Registered Distributor (provided the Distributor has opted to receive the Transaction Charges). Transaction Charge of Rs. 150/- (for a first time investor across mutual funds) or Rs. 100/- (for existing investor across mutual funds), per purchase/subscription of Rs. 10,000/- and above are deductible from the purchase/subscription amount payable to the Distributor. The balance amount shall be invested. Transaction Charges in case of investments through SIP are deductible only if the total commitment of investment (i.e. amount per SIP installment multiplied by No. of installments amount to be Rs. 1,00,000/- or more, in such cases Transaction Charges shall be deducted in 3-4 installments. Transaction Charges shall not be deducted a) where the distributor of the investor has not opted to receive any Transaction Charges, b) for purchase/subscription (not combined amount) on a one off SIP of an amount less than Rs. 10,000/-, c) for transactions other than purchase/subscription relating to non inflows i.e. through Switch/Reverse/Switched Transfer/ Redemption etc. and d) for purchase/subscription made directly with the Fund and not through a Distributor (i) for purchase/subscription routed through Stock Exchanges; For/Forfe Application/Amount should indicate whether it is a first time investor across Mutual Funds or an existing investor in the appropriate pre-filled for the purpose. AMCF Mutual Fund will endeavour to identify the investor as first time or existing based on Permanent Account No.(PAN) at the First/Sole Applicant/Guardian level, if the PAN details are available than First/Sole Applicant/Guardian will be treated as existing investor else first time. However if an investor has not ticked any option, he will be considered as an existing investor.

- Investors are required to clearly indicate the plan(s) in the application form of the same. Investor may note that following shall be applicable for default plan:

Sl. No.	Investor code mentioned by the investor	Plan mentioned by the investor	Default Plan to be captured
1	Not mentioned	Not mentioned	Direct Plan
2	Not mentioned	Direct Plan	Direct Plan
3	Not mentioned	Regular Plan	Direct Plan
4	Mentioned	Direct Plan	Direct Plan
5	Direct	Not mentioned	Direct Plan
6	Direct	Regular Plan	Direct Plan
7	Mentioned	Regular Plan	Regular Plan
8	Mentioned	Not mentioned	Regular Plan

- In cases of wrong / invalid / incomplete ARN codes mentioned on the application form, the application shall be processed as Regular Plan. The AMC shall contact and obtain the correct ARN codes within 30 Calendar days of the receipt of the application from the investor / distributor. In case, the correct code is not received within 30 calendar days, the AMC shall process the transaction under Direct Plan from the date of application without any split.
 - If the Name given in the application does not match the name as appearing on the PAN Card / Assam card, authentication application may be liable to get rejected or further transactions may be liable to get rejected.
- 12. APPLICANT INFORMATION**
- Name should be given in full without any abbreviations. Profamily write exactly as it appears in your Bank Account or as appears in the incorporation document as the case may be.
 - Guardian name and date of birth of the Minor is mandatory for investment on behalf of Minor applicant. Age of proof of minor is mandatory. Upon attaining majority a minor has to write to the fund giving his assent/signature duly substantiated by his banker as well as his new bank mandate, PAN details, KYC or order to utilize the Fund to update its records and permit the erstwhile minor to operate the account in his own right.
 - Name of the Contact Person, Email and Telephone no. should be mentioned in case of investments by Company, Body Corporate, Trust, Society, FII and other non-individual applicants.
 - Applicant should specify the mode of holding. In case it is not mentioned, the default will be "anyone or survivor".
 - In case of NRI investment, complete postal address should be stated. P.O. Box address alone is not sufficient. NRI/FII should necessarily state their overseas address falling which application may be rejected. In addition, Indian address should be stated for correspondence.

- To help us serve you better please provide email id and mobile number.
- In case of Minor investor proper third party declaration should be submitted by donor.

13. BANK DETAILS

- Applicants are requested to mention the bank account, since the same is mandatory as per the circulars issued by SEBI. Application without this information will be deemed to be incomplete and are liable for rejection. Investor should submit a copy of a cancelled cheque to verify details.

14. INVESTMENT DETAILS

- Investors should indicate the Plan/Option for which the application is made. In case Investor wish to choose both the Option, separate Application form will have to be filed. In case applications are received where Plan/Option/ Sub-option frequency is not selected the default option will be considered.

15. PAYMENTS

- The Fund Name is **NEW MUTUAL FUND**.
- Resident investors may make payment by cheque payable locally in the city where the application form is submitted at AMCF/Karys ISCs.
- The cheque should be drawn on any bank which is situated at and is a member/ sub member of the bankers clearing house. Cheque drawn on the bank not participating in the clearing house will not be accepted.
- The following modes of payments are not valid and applications accompanied by such payments are liable to be rejected: i) Money Order/Draft Order, ii) Postdated Cheques iii) Third Party Cheque without third party declaration.
- Returned cheques will not be presented again for collection and the accompanying application will be rejected.
- In case of payment through electronic mode (RTGS/NET or Transfer Letter), contact the nearest AMCF/Karys ISCs for the Bank Account Number to which the purchase/additional purchase amount is to be credited and submit submission of a purchase form please provide the bank acknowledgement copy along with purchase application.
- NRI/FII's Repatriation base: Payments by NRI/FII's may be made by way of cheque drawn on non-resident external accounts payable in per and payable at the office where the Investor Service Centres are located. Non-Repatriation base: NRIs investing on a non repatriation basis may do so by issuing cheques drawn on Non-Resident Ordinary (NRO) account payable at the cities where the Investor Service Centres are located.

16. NOMINATION DETAILS

- Nomination shall be mandatory for non folio/accounts opened by individuals especially with sole holding and no non folio/accounts for individuals in single holding will be opened without nomination. Applicants applying for Units singly/jointly can make a nomination at the time of initial investment or during subsequent investments.
- The nomination can be made only by individuals applying for holding units on their own singly or jointly. Non-individuals including society, trust (other than a religious or charitable trust), body corporate, partnership firm, Karta of Hindu Undivided Family, holder of Power of Attorney cannot nominate. If the units are held jointly, all joint holders will have to sign the nomination form.
- A minor can be nominated and in that event, the name and address of the guardian of the minor nominee shall be provided by the Unit Holder. Nomination can also be made in favour of the Central Government, State Government, a local authority, any person designated by him to be his officer or a religious or charitable trust.
- A Non-Resident Indian can be a Nominee subject to the exchange control regulations in force, from time to time.
- Nomination in respect of the units stands rescinded upon the redemption/transfer/transmission of units.
- Transmission of units in favour of a Nominee shall be a valid discharge by the Asset Management Company (AMC) against the legal heir.
- Investor can nominate maximum three nominees.
- The cancellation of nomination can be made only by those individuals who hold units on their own benefit singly or jointly and who made the original nomination. On cancellation of the nomination, the nomination shall stand rescinded and the AMC/Fund/Trustees shall not be under any obligation to transmit the units in favour of the Nominee.
- If you do not furnish any nomination details, it is deemed to be assumed that you do not wish to nominate anyone.
- Nomination will not be allowed in a folio held on behalf of a minor.

17. DECLARATION AND SIGNATURES

- Signature can be in English or in any Indian language. Thumb impressions must be attested by a Magistrate/Notary Public under Indian official seal. In case of HUF, the Karta will sign on behalf of the HUF. Similarly, for the Association of Persons (AOP) the application must be signed by the Authorized Signatory. Applications on behalf of minors should be signed by their Guardian.
- If the application form is signed by a Power of Attorney (POA) holder, the form should be accompanied by a notarial photocopy of the POA. Alternatively, the original POA can be submitted, which will be returned after verification. The signature of the investor and the POA holder has to be clearly captured in the POA document to be accepted as a valid document.
- In case of corporate or any non-individual investor, a list of authorized signatories should be submitted along with the application form.

VI. EMAIL COMMUNICATION

Account Statements / Newsletters / Annual Reports / Other statutory information (as may be permitted under SEBI Mutual Fund (Mutual Funds) Regulations, 1996) can be sent to each unit holder by e-mail/soft-copy. Unit holders who have opted to receive these documents by e-mail will be sent all documents by email only and no physical documents will be sent. Should the Unit holder experience any difficulty in accessing the electronically delivered documents, the Unit holder may request the Fund for delivery of the same through alternate means. It is deemed that the Unit holder is aware of the security risks including possible third party interception of the documents.

D. E-SALEGERS

This facility enables the Unit holder to receive SMS confirmation for purchase, redemption, coupon, interest, declaration.

X. DIRECT PLAN

In compliance with SEBI circular No.GR/MRD/CFI/21/2012 the "Direct Plan" have been introduced in all the eligible schemes of New Mutual Fund along with the "Regular Plan" effective January 01, 2013. The Direct Plan is not for investors who purchase Subordinate Units in a Scheme directly with the Fund and is not available for investors who route their investments through a Distributor. As Per Scheme / Options / Sub-Options offered under the Scheme of Existing Plan will also be available for subscription under the "Direct Plan". For details please refer to the factsheet on Scheme options. Accordingly, investors subscribing under Direct Plan of NAVMUT NEXT 51 INDEX FUND will have to follow the Scheme / Plan name in the application form as "NAVMUT NEXT 51 INDEX FUND - Direct Plan". Investors should also indicate "Direct" in the AFN column. In case Distributor code is mentioned on the application form, the Distributor code will be ignored and no commission will be paid to the distributor. Direct Plan shall have a lower expense ratio excluding distribution expenses, commission, etc. and no commission for distribution of Units will be paid / charged under Direct Plan.

XI. ANTI MONEY LAUNDERING (AML) REGULATIONS

Details for compliance with Anti Money Laundering (AML) regulations Prevention of Money Laundering Act, the SEBI Circular on Anti Money Laundering and the Client Identification implementation procedures prescribed by AMFI inter alia require the AMC to verify the records of identity and addresses of investors. To ensure adherence to these requirements, investors are required to appoint a "Not a Service" (POS) list of POS available on www.amfiindia.com appointed by any of the KYC Registration Agency and submit documents for completion of appropriate KYC (including the Mutual Fund KYC) and also prescribe the list of documents that can be accepted by investors to the POS to get their KYC checks completed. It is mandatory for all investors (including joint holders, NRIs, POA holders and guardians in the case of minors) to furnish such documents and information as may be required to comply with the Know Your Customers (KYC) policies under the AMI, Laws. Applications without such documents and information may be rejected. In terms of SEBI circular dated April 27, 2007, April 25, 2008 and June 20, 2008 read with SEBI letter dated June 28, 2007, Permanent Account Number (PAN) would be the sole identification number for all participants transacting in the securities market, irrespective of the amount of transaction, except (a) investors residing in the state of Jammu & Kashmir, Government of Sikkim, and the officials appointed by the courts & C. Office Registrar, Court recorder etc. (under the category of Government) and (c) investors participating only in micro-pension. SEBI, in its subsequent letters dated June 19, 2009 and July 26, 2012 has conveyed that Systematic Investment Plans (SIP) and Lumpsum investments (both put together) per mutual fund up to Rs.50,000/- per year or investor shall be exempted from the requirement of PAN. Accordingly, investments in New Mutual Fund (including SIP investments where the aggregate of SIP installments in a rolling 12 month period of a financial year is up to Rs.50,000/- per year or investor per year shall be exempt from the requirement of PAN. However, eligible investors (including joint holders) who are required to furnish the KYC documents as per the KYC requirements prescribed by the KYC Registration Agency (KRA) by submitting photo identification documents as proof of identification and the Proof of Address (authenticated by the investor / attested by the ASR Holder/AMFI distributor). These exempted investors will have to quote the "YES" (PAN exempt KYC list) flag in the application form. The exemption of PAN will be applicable only to investments by individuals (including NRIs but not POAs), joint holders, Minors and Sole proprietary firms, POAs, HUFs and other categories of investors will not be eligible for this exemption. Thus, submission of PAN is mandatory for all other investors existing as well as prospective investors (except the case mentioned above) (including all joint applicants/holders, guardians in case of minors, POA holders and NRIs but not POAs) for all the categories mentioned above) for investing with mutual funds from this date. Investors are required to register their PAN with the Mutual Fund by providing the PAN card copy along with the original for verification which will be returned across the counter). The process initiated by the AMC for PAN verification is subject to the KYC in this regard shall be deemed final. After completion of KYC compliance, investors need to approach KRA for Change of Address and not Registrar (KARVY). In respect of KYC compliant Folio, Address Change of investors with such pan card will not be processed by Registrar (KARVY). The AMC reserves the right to reject subscription requests in the absence of appropriate compliance with the AML Laws. In line with SEBI circular No. MIRD/DO/2012/10 dated 12/01/2012, investors are required to provide their PAN to SEBI on the procedural matter for KYC Compliances. The following additional provisions are applicable effective December 1, 2012:

- All investors who have opened accounts with the intermediaries on or after 1 January 2012 have been complying with the relevant KYC norms with one of the KYC Registration Agencies (KRA). MF investors who have already complied with the KYC-KRA requirements post 1 January 2012, need not undergo any changes.
- MF investors who had completed KYC requirements with CVDL prior to 1 January 2012, and wanting to make fresh investments/SIPs with a different MF, will have to submit the revised KRA form with all the relevant documents.
- MF investors who had complied with KYC requirements with CVDL, prior to 1 January 2012, and wanting to make additional investments in the same (with the same MF investors), with no further requirement for KYA compliance.

- Individual KYC who has registered under Central KYC Records Registry (CKYCR) has to fill the 14 digit KYC Identification No. (KIN) in application form as per AMFI Circular 335/09/08/2010.
- The above will be applicable for both Individuals and Non-Individuals.

XIII. EUN NO.

Investments through distributors

As per directions of Securities and Exchange Board of India (SEBI), the distributors, agents or any persons employed or engaged or to be employed or engaged in the sale and/or distribution of mutual fund products are required to have a valid certification from the National Institute of Securities Markets (NISM) by passing the certification examination. Further, as agents/distributors are entitled to sell units of mutual funds, it is the intermediary's responsibility with Association of Mutual Funds in India (AMFI).

Employee Unique Identification Number (EUN) is mandated by SEBI as it is compulsory for every employee/relationship manager/sales person of the distributor of mutual fund products to quote the EUN to obtain valid certification from AMFI. In Application Form, EUN, 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. However, if your distributor has not given you any advice pertaining to the investment, the EUN 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. Overseas Distributors/Overseas Distributors are exempt from obtaining NISM certification.

AMFI registration. However, such Overseas Distributors are required to comply with the guidelines/requirements as may be issued by AMFI/SEBI from time to time and also comply with the laws, rules and regulations of jurisdictions where they carry out their operations in the capacity of distributors.

Direct Investments: Investors applying under Direct Plan must mention "Direct" in AFN 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 the Direct Plan. In case of valid application received without indicating "Direct Plan" against the Scheme Plan name and without any Distributor Code mentioned on the form, the application will be processed under "Direct Plan".

XIV. UNLIT/DISBURSEMENT INFORMATION**1. Account Statement:**

- An affidavit confirmation specifying the units allotted shall be sent by way of email and/or SMS within 5 Business Days of receipt of valid application to the Unit holders registered email address and/or mobile number. Thereafter, a Consolidated Account Statement (CAS) containing details relating to all the transactions carried out by the investor across all schemes of all mutual funds during the month and holding at the end of the month shall be sent to the Unit holder in whose folio transactions have taken place during that month, on or before 10th of the succeeding month.
- In case of a specific request received from the Unit holders, the AMC/Fund will provide an account statement (relating transactions of the Fund) to the investors within 5 Business Days from the receipt of such request.
- Further, the CAS detailing holding across all schemes of all mutual funds at the end of every six months (i.e. September/ March), shall be sent by mail/e-mail on or before 10th day of succeeding month, to all such Unit holders in whose folio no transaction has taken place during that period. The half yearly consolidated account statement will be sent by e-mail to the Unit holders whose e-mail address is available, unless a specific request is made to receive in physical form.
- The holding(s) of the beneficiary account holder for units held in demat mode will be shown in the statement issued by respective Depository Participants (DPs) periodically. For more details, please refer the Scheme Information Document (SID) and Statement of Additional Information (SAI).

2. Annual Financial Results:

- The Scheme who annual report or an abridged summary thereof shall be sent:
- (i) by e-mail only to the Unit holders whose e-mail address is available with the Fund, (ii) in physical form by the Unit holders whose email address is not registered with the Fund and/or those Unit holders who have opted / requested for the same. The scheme-wise annual report or an abridged summary thereof shall be sent by mail/e-mail not later than four months from the date closure of the relevant accounting year (i.e. 31st March each year). The physical copy of the scheme-wise annual report or abridged summary thereof shall be made available to the investors at the registered office of the AMC. A link of the scheme annual report or abridged summary thereof shall be displayed prominently on the website of the Fund and shall also be displayed on the website of Association of Mutual Funds in India (AMFI).

3. Half Yearly Disclosures:

- Portfolio / Unrealized Financial Results (This is a list of securities where the corpus of the scheme is invested). The market value of these investments is also stated in portfolio disclosures.
- The Mutual Fund shall within one month from the close of each half year, that is on or before 31st October and 30th September, but not on or after 31st March each year, the physical copy of their website and shall publish an advertisement disclosing the holding of such financial results on their website in atleast one English daily newspaper having nationwide circulation and in a newspaper having wide circulation publishing wide circulation publishing the registered office of the mutual fund is situated. The mutual fund may opt to send the complete statement of its scheme portfolio to all unit holders in lieu of the advertisement.

SYSTEMATIC INVESTMENT PLAN (SIP) – NAVI NIFTY NEXT 50 INDEX FUND



(Applicable for Lumpsum Additional Purchase as well as SIP Registration)

LUMP SUM / SIP AUTO DEBIT / NACH / ECS FORM (for Lumpsum Investment please fill B)

How Investor are required to fill in the Common Application form. First SIP Cheque and subsequent via Auto Debit is selected only.

1. DISTRIBUTOR / ARN CODE / IRA SUB-BROKER ARN CODE EWIN* SUB-BROKER CODE / AGENT CODE RM CODE DATE & TIME OF RECEIPT

*We hereby confirm that the EWIN has been intentionally left blank by me/as this is an "accidentally" transaction without any transaction or advice by the employee/relationship manager/relationship manager/relationship manager/person of the above distributor or relationship manager/relationship manager. Every pointer by the employee/relationship manager/relationship manager/person of the distributor and the distributor has not changed my advisory level on the transaction.

Sole Applicant/Investor/Authorized Signatory/POA Holder 2nd Applicant/Authorized Signatory/POA Holder 3rd Applicant/Authorized Signatory/POA Holder

2. REGISTRATION CUM MANDATE FORM FOR SIP THROUGH NACH, AUTO DEBIT OR ECS (Bank Clearing/ Auto Debit)

(Please tick) New Registration*
*If you are a new investor kindly fill the common application form

3. TRANSACTION CHARGES FOR APPLICATIONS THROUGH DISTRIBUTORS/AGENTS ONLY (Please tick any one of the below)

I confirm that I am a First Time Investor in Mutual Funds OR I confirm that I am an Existing Investor in Mutual Funds
(Rs. 1000 will be deducted as transaction charges for transaction of Rs. 10,000 or more) (Rs. 1000 will be deducted as transaction charges for transaction of Rs. 10,000 or more)
If the total commitment of investment through SIP/CA, initially/initially amounts to Rs. 10,000 or more and your A/NP registered Distributor has chosen 'not to' option of charging transaction charge, the same are deductible as applicable (per transaction related to SIP) from the investment amount and paid to the distributor. Transaction charges will be recoverable in 3 to 4 installments. Units will be issued against the balance amount invested.

UNITHOLDING OPTION = Direct Mode Physical Mode (Not transaction No.13 Direct Account mode is compulsory if direct mode is opted)

NSDL Depository Participant Name Elsewhere
 CDOL DP ID Number Client Master List Delivery Instruction Slip
Beneficiary Account Number Transaction Cum Holding Statement

4. INVESTOR AND INVESTMENT DETAILS

Sole/First Investor Name Mr. Ms. M/s.
PAN/PERN KYC Proof
KYC is KYC No. By sharing the Aadhaar number I provide my consent for sharing / disclosure of my Aadhaar number(s) including demographic information with the asset management companies of SEBI registered mutual fund and their Registrar and Transfer Agent (RTA) for the purpose of updating the same in my / our folios.
Aadhaar No.
Folio/Application No. Existing investors please mention Folio No.
Scheme NAVI NIFTY NEXT 50 INDEX FUND
Plan Direct Regular Option: Growth

In case of any ambiguity / incomplete information, the default plan / option / sub-option will be applicable as per the scheme's Key Information Memorandum, Scheme Information Document & Statement of Additional Information. Applicant must tick individual and verify certification under Folios. All Non Individual Investors have to mandatorily fill UBO Declaration Form.

5. SIP DETAILS (Please tick on any 1 SIP Frequency only. In case the SIP frequency opt for either Monthly, Quarterly or Half Yearly, please mention the date of SIP)

Each SIP Amount (Rs)
First SIP Cheque No. Cheque Amount (Rs) Cheque Date
Frequency Fortnightly Monthly Quarterly Half Yearly SIP Start Date End Date
 Every Alternate Preferred Debit Date (Any date except 29, 30 and 31) Period Perpetual
(Note: Cheque should be drawn on bank details provided below. Please allow minimum one month for Auto Debit to regular and start). Each of the SIP instalment excluding initial cheque should be of the same amount & there should be a gap of 30 days between 1st & 2nd SIP instalment. Please refer NACH instruction page for further clarification.)

We hereby authorize Navi Mutual Fund and their authorized service providers, to debit my/our following bank account NACH/ECS (Debit Clearing/Auto Debit) in accordance for collection of SIP Payment.
We hereby declare that the performance given above are correct and accurate information to make payment related above through participation in Corporate NACH/ECS/DIRT. If the transaction is delayed or not executed at all for any reason of my/ourself or incorrect information, I/We accept and will be user irrevocable responsible. I/We will inform Mutual Fund about any changes in my bank account. I/We have read and agreed to the terms and conditions mentioned herein. I/We have read and understood the contents of SEBI/AMFI. I/We hereby apply to the respective unit of Navi Mutual Fund Scheme at NAVI based on the price and ratio to be stable by terms, conditions, rules and regulation of the scheme(s).

Signature(s) 1st Applicant / Investor / Authorized Signatory 2nd Applicant / Authorized Signatory 3rd Applicant / Authorized Signatory
To be signed by ALL UNIT HOLDERS if mode of holding is Joint

6. LUMP SUM / NACH / ECS / DIRTY DEBIT / MANDATE INSTRUCTIONS FORM (applicable for LUMP SUM additional purchase as well as SIP registration)

Amount UMRN Date
Sponsor Bank Code Utility Code

Tax (v) We hereby authorize NAVI MUTUAL FUND to debit (Tax 2) SB CA DC ES-NRE ES-NRO Other
 CREATE MODIFY CANCEL Bank a/c number

With Bank Name of customer's bank IFSC or MICR
Amount of Rupees

Frequency Monthly Quarterly Half Yearly Yearly As & when presented Debt Type Fixed Amount Maximum Amount

Reference 1 Folio No. Hold No.
Reference 2 Scheme / Plan Email ID

I agree for the debit of mandate processing charges by the bank when I am authorizing to debit my accounts as per listed schedule of charges of the bank.
Period From To
Or Until Cancelled 1. 2. 3.

Declaration: This is to confirm that the declaration has been carefully read, understood & made by me/as. I am authorizing the user/employee to debit my account, based on the instruction as signed and signed by me. I have understood that I am authorized to amend/delete this mandate by appropriately communicating the cancellation / amendment request to the user/ employee or the bank when I have authorized the debit.

Acknowledgment Slip To be filled by the Investor SIP through Lumpsum / ECS / Auto Debit Form
Received from Mr./Ms./M/s. Collection Centre's Stamp & Receipt Date and Time
As application for Scheme: NAVI NIFTY NEXT 50 INDEX FUND Plan: Option:
Amount: Frequency: Date of Commencement:

Details of FATCA and CRS Information (For Non-Individuals / Legal Entity)

APPLICANT DETAILS

NAME OF THE ENTITY _____

TYPE OF ADDRESS GIVEN AT KRA Residential or Business Residential Business Registered Office

CUSTOMER ID / FOLIO NO _____

PAN _____ DATE OF INCORPORATION DD / MM / YYYY

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. Person, mention Entity's exemption code here

Please refer to para 3 (vi) Exemption code for U.S. persons under Part 3 of FATCA Instructions & Definitions

FATCA & CRS Declaration

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

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

1. We are a, Financial Institution ³ or Direct reporting NFE ⁴ (please tick as appropriate)

GIIN _____

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

Name of the sponsoring entity _____

GIIN not available (please tick as applicable) Applied for

If the entity is a financial institution, Not required to apply for - please specify 2 digits sub - category ¹⁵
 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 No
 (If yes, please specify any one stock exchange on which the stock is regularly traded)
 Name of stock exchange _____

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 No
 (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded)
 Name of listed company _____
 Nature of relation: Subsidiary of the Listed Company or Controlled by a Listed Company _____
 Name of stock exchange _____

3. Is the Entity an active¹⁶ non-financial Entity (NFE) Yes No
 Name of business _____
 Please specify the sub-category of Active NFE (Mention code - refer 2c of Part D)

4. Is the Entity a passive¹⁶ NFE Yes No
 (If yes, please fill US0 declaration in the next section)
 Nature of business _____

¹Refer 2 of Part D | ²Refer 3(i) of Part D | ³Refer 1 of Part D | ⁴Refer 3(v) of Part D

Website: navimutualfund.com



Toll free : 1800 103 8999
 Non Toll Free : +91 81475 44555

emf@navi.com

Details of FATCA and CRS information (For Non-Individuals / Legal Entity)



If passive NFE, please provide below additional details for each of Controlling person. (Please attach additional sheets if necessary)

Name & PAN / Any other Identification Number <small>(PAN, Mother, Passport, Director's ID, Govt. ID, Driving License, NREGA Job Card, Others)</small> City of Birth = Country of Birth	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 _____ City of Birth _____ Country of Birth _____	Occupation Type _____ Nationality _____ Father's Name _____	DOB _____ DDMMYY Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Other
1. Name & PAN _____ City of Birth _____ Country of Birth _____	Occupation Type _____ Nationality _____ Father's Name _____	DOB _____ DDMMYY Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Other
1. Name & PAN _____ City of Birth _____ Country of Birth _____	Occupation Type _____ Nationality _____ Father's Name _____	DOB _____ DDMMYY Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Other

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

* To include U.S. where controlling person is a U.S. citizen or green card holder.

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

The Central Board of Direct Taxes has notified from 15th to 15th, as part of the Income tax Return, 2012, which clause require Indian financial institutions such as the banks to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In certain cases, information will have to be provided to tax authorities upon request. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of issuing appropriate withholding from the account or any proceeds in relation thereto.

Should there be any change in any information provided by you, please advise us promptly, in writing 30 days.

If any controlling person of the entity is a U.S. citizen or green card holder, please indicate United States in the foreign country information field along with the U.S. Tax Identification Number.

It is mandatory to apply a TIN or functional equivalent if the country in which you are resident/ reside leave such identifiers. If no TIN is 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 the 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: D D M M Y Y Y Y

Name: _____

Designation: _____

Signature & Seal

Website: navimutualfund.com



Toll free : 1800 103 8999
Non Toll Free: +91 81475 44555



mf@navi.com

PART D FATCA INSTRUCTIONS & DEFINITIONS FOR NON-INDIVIDUAL APPLICANTS

(Note: The Guidance Note/Notification issued by the CBDT shall prevail in respect of interpretation of the terms specified in the form)

1 Financial Institution (FI) - The term FI means any financial institution that is a Depository Institution, Custodial Institution, Investment Entity or Specified Insurance company, as defined.

- Depository institution: is an entity that accepts deposits in the ordinary course of banking or similar business.
- Custodial Institution is an entity that holds 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.

- Investment entity is any entity;

• That primarily conducts a business or operates for or on behalf of a customer for any of the following activities or operations for or on behalf of a customer

(I) Trading in money market instruments, (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange, exchange, interest rate, and index instruments; transferable securities; or commodity futures trading; or

(II) Individual or collective portfolio management; or

(III) Investing, administering or managing funds, money or financial asset or money on behalf of other persons;

or

- The gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets, if the entity is managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity described above. An entity is treated as primarily conducting as a business one or more of the 3 activities described above, or an entity's gross income is primarily attributable to investing, reinvesting, or trading in financial assets of the entity's gross income attributable to the relevant activities equals or exceeds 50 percent of the entity's gross income during the shorter of:

(I) The three-year period ending on 31 March of the year preceding the year in which the determination is made; or

(II) The period during which the entity has been in existence.

The term "Investment Entity" does not include an entity that is an active non-financial entity as per codes 03, 04, 05 and 06 - refer point 2c.)

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

FI not required to apply for GFIN: (Refer Rule 114(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 GFIN:

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 employee's 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 & Escorting 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) : (any of the following): Refer Explanation (A) to 114F(8) 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;



PART D FATCA INSTRUCTIONS & DEFINITIONS FOR NON-INDIVIDUAL APPLICANTS

(Note: The Guidance Note/notification issued by the CBDT shall prevail in respect to interpretation of the terms specified in the form)

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 or territory of residence or the NFE's formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and

The applicable laws of the NFE's country or territory of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of the NFE's country or territory of residence or any political subdivision thereof.

Explanation - For the purpose of this sub-clause, the following shall be treated as fulfilling the criteria provided in the said sub-clause, namely:-

- (i) an Investor Protection Fund referred to in clause (23EA);
- (ii) a Credit Guarantee Fund Trust for Small Industries referred to in clause 23EB; and
- (iii) an investor Protection Fund referred to in clause (23EC),

of section 10 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 including a publicly traded corporation or related entity of a publicly traded company; or
- (ii) an investment entity defined in clause (b) of these instructions
- (iii) a withholding foreign partnership or withholding foreign trust;

(iii) Passive income

The term passive income includes income by way of :

- (1) Interest
- (2) Income equivalent to interest,
- (3) 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
- (4) Annuities
- (5) The excess of gains over losses from the sale or exchange of financial assets that gives rise to passive income
- (6) The excess of gains over losses from transactions (including futures, forwards, options and similar transactions) in any financial assets,
- (7) The excess of foreign currency gains over foreign currency losses
- (8) Net income from swaps
- (9) 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 19th January, 2013 by the Reserve Bank of India; or
- II. CIR/MRSD/202013, issued on the 24th January, 2013 by the Securities and Exchange Board of India; or
- III. IRDA/SD/GDL/CIR/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 trustee, 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 Person Type:

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



PART D FATCA INSTRUCTIONS & DEFINITIONS FOR NON-INDIVIDUAL APPLICANTS

(Note: The Guidance Note/notification issued by the CBDT shall prevail in respect to interpretation of the terms specified in the form)

(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 any one or more of the foregoing;
- (v) any organization exempt from taxation under section 501(a) of the U.S. Internal Revenue Code or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code;
- (vi) any bank as defined in section 581 of the U.S. Internal Revenue Code;
- (vii) any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code;
- (viii) any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64);
- (ix) any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code;
- (x) any trust that is exempt from tax under section 664(c) of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code;
- (xi) a dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State;
- (xii) a broker as defined in section 6045(c) of the U.S. Internal Revenue Code; or
- (xiii) any tax-exempt trust under a plan that is described in section 403(b) or section 457(g) of the U.S. Internal Revenue Code.

(vi) Direct reporting NFE

A direct reporting NFE means a NFE 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 114(9) of Income Tax Rules, 1962 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



APPLICATION SUBMITTED BY BLOCKED AMOUNT (ASBA) FORM

Application Form - NAVI NIFTY NEXT 50 INDEX FUND

An open ended equity scheme replicator / tracking Nifty Next 50 Index Offer for face value of RS.10/- per unit during the New Fund Offer Period and at Continuous offer for units at NAV based prices.

This product is suitable for investors who are seeking*

NAVI NIFTY NEXT 50 INDEX FUND

An open ended equity scheme replicator / tracking Nifty Next 50 Index
This product is suitable for investors who are seeking*

- Capital appreciation over the long term
- Equity and equity related Securities covered by Nifty Next 50 Index.
- Return that corresponds to the performance of Nifty Next 50 Index subject to tracking error.



*Investors understand that principal will be at Very High Risk. Investors should consult their financial advisors if in doubt about whether the product is suitable for them.

Investors must read the Key Information Memorandum, Instructions and Product Labelling before completing this Form. Tick (✓) whichever is applicable, strike out whichever is not required.

1. DISTRIBUTOR INFORMATION

DISTRIBUTOR / AN CODE / RA	SUB-BROKER ARN CODE	EJUN*	SUB-BROKER CODE / AGENT CODE	RM CODE	DATE & TIME OF RECEIPT
					FOR OFFICE USE ONLY

Please ✓ if the EJUN space is left blank. I/we hereby confirm that the EJUN box has been intentionally left blank by me/ us as this is an 'execution-only' transaction without any interaction or advice by the employee/relationship manager/s person of the distributor or notwithstanding the advice of the employee/relationship manager/s person of the distributor and the distributor has not charged any advisory fees on this transaction. Upfront commission shall be paid directly by the investor to the AMFI registered Distributors based on the investor's assessment of various factors including services rendered by the distributor.

2. TRANSACTION CHARGES (please ✓ any one of the below)

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

3. APPLICANTS INFORMATION (Name should be as available in Demat Account in case of Demat Account holder)

Name of Sole / 1 st Applicant	Mr. / Ms. / M/s.																		
Name of 2 nd Applicant	Mr. / Ms. / M/s.																		
Name of 3 rd Applicant	Mr. / Ms. / M/s.																		
Name of Guardian / Contact Person	Mr. / Ms. / M/s.																		

Category (Please ✓) Retail Individual Investor(s) Non-Institutional Investor(s)

PAN No. Sole / 1st Applicant 2nd Applicant 3rd Applicant

Mode of Operation in Demat Account (When there is more than one applicant): Single OR Anyone or Survivor OR Joint

4. DEPOSITORY ACCOUNT DETAILS

Depository Name (Please ✓) National Securities Depository Ltd. Central Depository Service (India) Limited

Depository Participant Name DP-ID

Beneficiary Account Number

5. INVESTMENT DETAILS (Please ✓ where applicable)

Scheme : NAVI NIFTY NEXT 50 INDEX FUND Plan Regular Direct

Option Growth

In case of any ambiguity / incomplete information, the default plan / option / sub-option will be applicable as per the scheme's Key Information Memorandum, Scheme Information Document & Statement of Additional Information.

6. DETAILS OF BANK ACCOUNT FOR BLOCKING OF FUNDS

Bank Account Number Bank Name

Branch Name where account is held

Total Amount to be blocked* (in figures) (in words)

Attn : NRI Investors : Payment should be made through their NRE/FCNR accounts.

7. UNDERTAKING BY ASBA INVESTOR

I/We hereby undertake that I/we are/as an ASBA investor as per the applicable provisions of the SEBI (Issue of Capital and Disclosure Requirements), Regulations 2009 (SEBI Regulations) as amended (from time to time) in accordance with ASBA process provided in the SEBI Regulations and as disclosed in the application, I/we authorize (a) the SCDS to do all necessary acts including blocking of application money towards the Sub-plan of Units of the Scheme, in the event mentioned above in the SCDS ASBA Account details / crediting of funds in the bank account maintained with the SCDS specified in the application form, the date of the blocking of funds to the Bank account of the Scheme, on receipt of transactions from the Registrar and Transfer Agent after the allotment of the Units created making to receive units on such number of banks, etc. (b) Registrar and Transfer Agent to issue instructions to the SCDS to remove the block on the funds in the bank account specified in the application, upon allotment of units and to transfer the requisite money to the Scheme's account / bank account of NAVI NIFTY NEXT 50 INDEX FUND. (c) In case the impact on the bank account specified in the application is not sufficient to block the amount equivalent to the application money towards the Subscription of units, the SCDS shall request the applicant to fill in the DP ID, Secondary Account No. or PAN number by mistake in the application in respect of incomplete or not matching with the depository records, the applicant shall be requested to fill in the DP ID, Secondary Account No. or SCDS shall not be liable for fees. If any All Mutual communication in connection with IPO should be addressed to the SCDS.

RIT/AMC quoting the full name of the Sole/First Applicant, NFO Application Number, ASBA Application Number, Depository Account details (if it has been provided), Amount applied for and the account number from where NFO amount was blocked.

Signature of the Applicant(s) Date

Sole / Submitter 2nd Applicant 3rd Applicant

Signature of Bank Account Holder(s) (to be signed as per holding pattern in the bank account)

as Sole / 1st Account Holder as in Bank Records as 2nd Account Holder as in Bank Records as 3rd Account Holder as in Bank Records



Acknowledgment Slip (To be filled by the Investor)

Scheme Name : NAVI NIFTY NEXT 50 INDEX FUND Plan REGULAR DIRECT Option: Growth

Application No.

Address

Date

SCDS Account Details :

Ac No. Bank Name Branch Name

Total Amount to be Blocked : (in figures) (in words)

Acknowledgment Stamp & Date

IMPORTANT INFORMATION & INSTRUCTIONS FOR ASBA MUTUAL FUND INVESTORS

Background : In its continuing endeavor 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, 2009, as amended have been amended for ASBA process. The salient features of circular no. SEBI/CFD/DIL/ASBA/12009/30/12 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. Meaning of ASBA:** ASBA is an application for subscribing to a New Fund Offer Application Form (NFO), containing an authorization to block the application money in a bank account.
- 2. Self Certified Syndicate Bank (SCSB):** SCSB is a banker to an issue registered with the SEBI which offers the facility of applying through the ASBA process. The list of SCSBs will be displayed by SEBI on its website at www.sebi.gov.in from time to time. ASBAs can be accepted only by SCSBs, whose names appear in the list of SCSBs displayed on SEBI's website. As on April 16, 2010, 27 Banks have been recognised as SCSBs. Investors maintaining their accounts in any of these Banks may approach one of the designated branches of these SCSBs for availing this facility. Further it may be noted that from time to time new banks register themselves as SCSBs who become eligible to provide these services and also the existing SCSBs designate additional branches that also provide this facility. An updated list of all the registered SCSBs, their controlling branches, contact details and details of their contact persons, a list of their designated branches which are providing such services is available on the website of SEBI at the address <http://www.sebi.gov.in>. Further these details are also available on the websites of the Stock Exchanges at <http://www.bseindia.com> and <http://www.nseindia.com>. Alternatively, investors may also contact the AMC, R&TA for information about the SCSBs or the ASBA process. These SCSBs are deemed to have entered into an agreement with the issuer and shall be required to offer the ASBA facility to all its account holders for all issues to which ASBA process is applicable. A SCSB shall identify its Designated Branches (DBs) at which an ASBA bidder shall submit ASBA and shall also identify the Controlling Branch (CB), which shall act as a coordinating branch for the Registrar to the Issue, Stock Exchanges and Merchant Bankers. The SCSB, its DBs and CB shall continue to act as such, for all issues to which ASBA process is applicable. The SCSB may identify new DBs for the purpose of ASBA process and intimate details of the same to SEBI, after which SEBI will add the DB to the list of SCSBs maintained by it. The SCSB shall communicate the following details to Stock Exchanges for making it available on their respective websites. These details shall also be made available by the SCSB on its website: (i) Name and address of the SCSB (ii) Address(es) of DBs and CB and other details such as telephone number, fax number and email ids, (iii) Name and contact details of a nodal officer at a senior level from the CB.
- 3. Eligibility of Investors:** An Investor shall be eligible to apply through ASBA process, if he/she: (i) is a Resident Retail Individual Investor, Non Institutional Investor, OIB, Eligible NRI applying on non-resident basis, Eligible NRI applying on resident 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".
- 4. 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 the 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.

- 5. Obligations of the AMC:** AMC shall ensure that adequate arrangements are made by the R&TA for the NFO to obtain information about all ASBAs and to treat these applications similar to non-ASBA applications while allotment of Units, as per the procedure specified in the Securities and Exchange Board of India (Issue of Capital and Disclosure Requirements) Regulations, 2009. Investors are requested to check with their respective banks about the availability of the ASBA facility.

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 satisfied/rectified.
- 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 names of joint holders) (b) DP ID (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.



building ,Near Udma Dewaja Ring Road,Post: 595002, Butanpur: KFin Technologies Pvt. Ltd,1st Floor, Ramasabhar Market,GHil Liney,Buttanpur 595001, Shingur: KFin Technologies Pvt. Ltd,A. B. Road,In Front of Sewatar Park,Near Nihal Hospital,Shingur 473561, T Nagar/Anaganababekere: KFin Technologies Pvt. Ltd,M-23 | Cathedral Garden Road,Cathedral Garden Road,Kanagalambekere,Chennai-600 044, Tadipatri: KFin Technologies Pvt. Ltd,A-8 A31-A37,Mangalrao Meeri Nagar,Opp. Rajni Park Palayankottal Road,Talcoorm 632003, Tiruvannur: KFin Technologies Pvt. Ltd,MARVEL TOWER, 1ST FLOOR,URA-42 STATUE,UPPALAM ROAD RESERENCE ASSOCIATION | Tiruvannam 626116, Tiruvatic KFin Technologies Pvt. Ltd,2ND Floor,Energy Centre,Rameswaram,Opp Apsa Band, Thiruvatik 696159, Tiruchir: KFin Technologies Pvt. Ltd,A,New10-13-54-56, Near TRAI Road, Opp. Sridhar Complex | Tiruchir 617029, Tirunel: KFin Technologies Pvt. Ltd,In-2021 B V B Road, Near Vaidyanathan Vidya Mandalam,Postoffice-Tirunel 627017, Tirunel/Tirunel: KFin Technologies Pvt. Ltd,4TH FLOOR, CROWN TOWER,SHAKTHI NAGAR,OPP. HEAD POST OFFICE,Tirunel 627019, Tirunavre KFin Technologies Pvt. Ltd,2019 Jersey Building, B N Road,Near Anand Eye Hospital,Tirunavre 627016, Udupi: KFin Technologies Pvt. Ltd,Shop No.262, 2nd Floor,Swadesh Centre,C Madhura,Opp D P O Chikar Circle,UDUPI 575011, Udupi: KFin Technologies Pvt. Ltd,Indigo Blue, No. 277 87 Valsaroddyoppo, Mangalore Road, Near KDC Bank Above Vishal Signa Mall,Udupi 575001, Varanasi: KFin Technologies Pvt. Ltd,3-5A/55 RA, 2nd Floor , Anant Complex, Alga,Varanasi 221010, Valsad: KFin Technologies Pvt. Ltd,4th Dreamland Arcade,Opp. Jade Blue,Trilal Road,Valsad 396006, Vijayawada: KFin Technologies Pvt. Ltd,JINOS-423, 1st Floor,Sundarammangal,Cashinagar, Krishna,Vijayawada 520016, Vidara: KFin Technologies Pvt. Ltd,NO 2019-16 Road,Valara city centre,Varana 520011, Vapi: KFin Technologies Pvt. Ltd,4th FROST FLOOR SOLITAIRE BUSINESS CENTRE,OPP DCB BANK | GRC CHAR RASTA,SILVASSA ROAD,Vapi 396181, Visakhapatnam: KFin Technologies Pvt. Ltd,NO - 4B-4B-4D, GROUND FLOOR, SURYA RATHA ARCADE,STRINGAR, OPP ROAD TO LALITHA JEWELLERY SHOWROOM,BESIDE TAJ HOTEL,LADDE,Vishakhapatnam 530016, Warangal: KFin Technologies Pvt. Ltd,Shop Road , Ground Floor,Warangal City Center,16-A-27,Managa Road Junction,Warangal 506002, Yerrana Nagar: KFin Technologies Pvt. Ltd,1st, 195A, 2nd Floor, Jagadil Road,Near GAVI GHS college, (FCCI Bank Building) Purna Chowk, Yerrana 150025.

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MUTUAL FUND INVESTMENTS ARE SUBJECT TO MARKET RISKS, READ ALL SCHEME RELATED DOCUMENTS CAREFULLY



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