# Mirae Asset Mutual Fund

Trustee: Mirae Asset Trustee Company Private Limited CIN: U65191MH2007FTC170231

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

## **Registered & Corporate Office:**

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

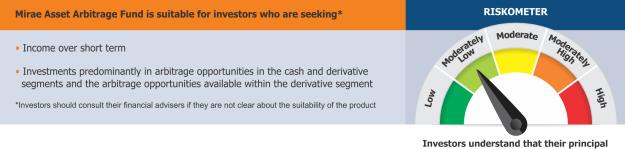
## **KEY INFORMATION MEMORANDUM**

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MIRAE ASSET ARBITRAGE FUND (MAAF)

An open ended scheme investing in arbitrage opportunities

# **Product Labelling**



Investors understand that their principal will be at Moderately Low Risk

# Offer for units of Rs. 10/- each during the New Fund Offer and continuous offer for units at NAV based prices.

: 03/06/2020
: 12/06/2020

Scheme re-opens for continuous Sale and Repurchase from 22/06/2020

The Units of the Scheme will be available for Subscription / Switch-in not later than five business days from the date of allotment. The Trustee may close the NFO before the above mentioned date by giving at least one day notice in one daily Newspaper.

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

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

Key Information Memorandum - Mirae Asset Arbitrage Fund

Scheme	Mirae Asset Arbitrage Fund (MAAF)			
Type of the scheme	An open ended scheme investing in arbitrage opp	ortunities		
Investment Objective	The investment objective of the scheme is to generate capital appreciation and income predominantly investing in arbitrage opportunities in the cash and derivative segments the equity markets and the arbitrage opportunities available within the derivative segment and by investing the balance in debt and money market instruments. There is no assurance or guarantee that the investment objective of the scheme will realized.			tive segments operivative segments
Asset Under normal circumstances, the asset allocation will be as follows:			lows:	
Allocation Pattern of the scheme			ndicative allocation % of total assets)	
	Types of Instruments	Minimu m	Maximu m	
	Equities and Equity Linked instruments*	65%	90%	Medium to High
	Derivatives including Index Futures, Stock Futures, Index Options and Stock Options	65%	90%	Medium to High
	Debt securities and Money Market Instruments (including the margin money deployed in derivative transactions)	10%	35%	Low to Medium
	Units issued by REITs & InvITs	0%	10%	Medium to High
	Under defensive circumstances, the asset allocation	on will be as	follows:	
		Indicativ allocatio	ve n	Risk Profile
	Under defensive circumstances, the asset allocation Types of Instruments	Indicativ allocatio	ze n tal assets) Maximu	Risk Profile
		Indicativ allocatio (% of to Minimu	ve n tal assets)	Medium to
	Types of Instruments         Equities and Equity Linked instruments*         Derivatives including Index Futures, Stoc         Futures, Index Options and Stock Options	Indicativ allocatio (% of to Minimu m 0%	ze n tal assets) Maximu m	
	Types of Instruments         Equities and Equity Linked instruments*         Derivatives including Index Futures, Stoce	Indicativ allocatio (% of tot Minimu m 0% k 0%	re n tal assets) Maximu m 35%	Medium to High Medium to
	Types of Instruments         Equities and Equity Linked instruments*         Derivatives including Index Futures, Stoc         Futures, Index Options and Stock Options         Debt securities and Money Market Instrumen         (including the margin money deployed in	Indicativ allocatio (% of tot Minimu m 0% k 0%	re n tal assets) Maximu m 35% 35%	Medium to High Medium to High Low to
	Types of Instruments         Equities and Equity Linked instruments*         Derivatives including Index Futures, Stoc         Futures, Index Options and Stock Options         Debt securities and Money Market Instrumen (including the margin money deployed in derivative transactions)	Indicative allocatio (% of too Minimu m 0% ck 0% ts in 65% 0% copportunities c than alternation	re n tal assets) Maximu m 35% 35% 100% 10% in the mark tive investm	Medium to High Medium to High Low to Medium Medium to High eet are negligible

	<ul> <li>instruments shall not exceed 5% of the debt portfolio of the scheme.</li> <li>The scheme may participate in repo in corporate debt securities.</li> <li>The Scheme may engage in securities lending in accordance with the guidelines issued by SEBI. A maximum of 20% of net assets will be deployed in securities lending and the maximum single counterparty exposure will be restricted to 5% of net assets outstanding at any point of time.</li> <li>If permitted by SEBI Regulations, the Scheme may engage in short selling of securities in accordance with the guidelines issued by SEBI.</li> <li>The cumulative gross exposure of the Scheme through Equities and Equity Linked instruments, Derivatives, Debt securities and Money Market Instruments and Units issued by REITs &amp; InvITs shall not exceed 100% of the net assets of the Scheme.</li> <li>The Scheme may invest in the schemes of Mutual Funds in accordance with the applicable extant SEBI (Mutual Funds) Regulations as amended from time to time.</li> <li>*Equity allocation is measured as the Gross exposure to equities, equity related instruments and derivatives. The Equity allocation so built, at any point in time, would be completely hedged out, using derivative instruments that provides an equal but opposite exposure, thereby making the Net exposure market-neutral.</li> </ul>
	Subject to SEBI (MF) Regulations, the asset allocation pattern indicated above may change from time to time, keeping in view market conditions, market opportunities, applicable regulations and political and economic factors. It must be clearly understood that the percentages can vary substantially depending upon the perception of the Investment Manager; the intention being at all times to seek to protect the interests of the Unit holders. Such changes in the investment pattern will be for short term and for defensive consideration only. In the event of deviations, portfolio rebalancing will be carried out within 30 calendar days. Where the portfolio is not rebalanced within 30 calendar days, justification for the same shall be placed before the Investment Committee and reasons for the same shall be recorded in writing. The Investment Committee shall then decide on the course of action. However, at all times the portfolio will adhere to the overall investment objectives of the Scheme.
Investment Strategy	The scheme will seek to achieve its investment objective primarily by employing various strategies which seek to exploit available arbitrage opportunities in markets. If suitable arbitrage opportunities are not available in the opinion of the Fund Manager, the scheme may predominantly invest in debt and money market securities. The market provides opportunities to the investor to derive returns from the implied cost of carry between the underlying cash market and the derivatives market. This provides for opportunities to generate returns that are possibly higher than short term interest rates with minimal active price risk on equities. Implied cost of carry and spreads across the spot, futures and options markets can potentially lead to profitable arbitrage opportunities. The Scheme would carry out arbitrage strategies, which would entail taking offsetting positions in the various markets simultaneously. The arbitrage strategy can also be on account of buy-back of shares announced by a company and/or differences in prices between two exchanges/markets. In this case the arbitrage strategy will not include an offsetting derivatives transaction. The Investment Manager will use a disciplined quantitative analysis while accessing arbitrage opportunities. The Investment Manager will have an effective risk monitoring and control process to ensure adherence to regulatory guidelines and limits.

markets.
(a) Index/ Stock spot – Index/ Stock Futures:
This strategy is employed when the price of the future is trading at premium to the price of its underlying in spot market. The Scheme shall buy the stock in spot market and endeavour to simultaneously sell the future at a premium on a quantity neutral basis.
Buying the stock in spot market and selling the futures results into a hedge where the Scheme has locked in a spread and is not affected by the price movement of cash market and futures market. The arbitrage position can be continued till expiry of the future contracts. The future contracts are settled based on the last half an hour's weighted average trade of the spot market. Thus there is a convergence between the spot price and the futures market on expiry. This convergence helps the Scheme to generate the arbitrage return locked in earlier.
On or before the date of expiry, if the price differential between the spot and futures position of the subsequent month maturity still remains attractive, the scheme may rollover the futures position and hold onto the position in the spot market. In case such an opportunity is not available, the scheme would liquidate the spot position and settle the futures position simultaneously.
Rolling over of the futures transaction means unwinding the short position in the futures of the current month and simultaneously shorting futures of the subsequent month maturity, and holding onto the spot position.
(b) Index Arbitrage:
The Nifty 50 derives its value from fifty constituent stocks; the constituent stocks (in their respective weights) can be used to create a synthetic index matching the Nifty Index. Also, theoretically, the fair value of a future is equal to the spot price plus the cost of carry.
Theoretically, therefore, the pricing of Nifty Index futures should be equal to the pricing of the synthetic index created by futures on the underlying stocks. Due to market imperfections, the index futures may not exactly correspond to the synthetic index futures. The Nifty Index futures normally trades at a discount to the synthetic Index due to large volumes of stock hedging being done using the Nifty Index futures giving rise to arbitrage opportunities.
One instance in which an index arbitrage opportunity exists is when Index future is trading at a discount to the index (spot) and the futures of the constituent stocks are trading at a cumulative premium.
The investment manager shall endeavour to capture such arbitrage opportunities by taking long positions in the Nifty Index futures and short positions in the synthetic index (constituent stock futures).
Based on the opportunity, the reverse position can also be initiated.
(c) Corporate Action / Event Driven Strategies:
I. Dividend Arbitrage
At the time of declaration of dividend, the stock futures / options market can provide a profitable opportunity. Generally, the stock prices decline by the dividend amount when the stock becomes ex-dividend.
<b>II. Buy-Back/ Open Offer Arbitrage</b> When the Company announces the buy-back or open offer of its own shares, there could be opportunities due to price differential in buyback price and traded price.

III. Merger         When the Company annouces any merger, amalgamation, hive off, de-merger, etc, there could be opportunities due to price differential in the cash and the derivative market.         (d) Portfolio Hedging:         This strategy will be adopted:         (i) If in an already invested portfolio of a Scheme, the Investment manager is expecting a market correction, the Investment manager may sell Index Futures to insulate the portfolio from the market related risks.         (ii) If there are significant inflows to the Scheme and the market expectations are bullish, the Investment manager may buy Index Futures to continue participation in the equity markets. This strategy is used to reduce the time to achieve the desired invested levels. Though every endeavor will be made to achieve the objective of the Scheme, the AMC / Sponsors / Trustee do not guarantee that the investment objective of the Scheme will be achieved. No guaranteed returns are being offered under the Scheme.         Risk Profile of the Scheme information Document (SID) carefully for details on risk factors before investment.         The Scheme is subjected to risk factors associated with risks associated with Equity Investments in REITs and InvITS, Securities Lending , short selling, Repo in Corporate Debt etc.         Risk Control measures       Concentration Risk         The AMC will mitigate this risk by investing in sufficiently large number of issuers spread across the sectors so as to maintain optimum diversification and keep issuer/sector specific concentration risk relatively low.         Liquidity Risk       The Scheme swill invest in debt instruments and money market instruments. While the liquidity risk for government se
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bonds. Liquidity risk is today characteristic of the Indian fixed income market. The Schemes will however, endeavor to minimize liquidity risk by investing in securities having a liquid market.
<b>Risks Associated with Equity Investments:</b> The scheme has a diversified portfolio to counter the volatility in the prices of individual stocks. Diversification in the portfolio reduces the impact of high fluctuations in daily individual stock prices on the portfolio.
<b>Credit Risk</b> - The fund has a rigorous credit research process. There is a regulatory and internal cap on exposure to each issuer. This ensures a diversified portfolio and reduced credit risk in the portfolio.
PlansandMirae Asset Arbitrage Fund shall have Regular Plan and Direct Plan and offers two optionsOptionsviz., Growth and Dividend under both the Plans.
The Dividend Option shall have 2 sub options: (a) Dividend Payout (b) Dividend
Reinvestment.

of units' price and no dividend will be declared.

**Dividend Option:** Under this option, a dividend may be declared by the Trustee, at its discretion, from time to time (subject to the availability of distributable surplus as calculated in accordance with the Regulations).

**Dividend Payout sub-option:** The dividend declared by the Fund shall be paid to the investors who appears in the Unitholders /Beneficial Owners whose names appear in the Register of Unit holders maintained by the Mutual Fund/statement of beneficial ownership maintained by the Depositories, as applicable, under the Dividend Payout Option of the plan, as on the record date.

**Dividend Re-Investment sub-option:** The Dividend declared by the fund shall be reinvested in the Plan and accordingly the units shall be issued to the investor at the NAV prevailing at the date of declaration of dividend. There shall, however, be no Entry Load and Exit Load on the dividend so reinvested.

On payment of dividend, the NAV of the units under Dividend option will fall to the extent of the dividend payout and applicable statutory levies, if any. It must be distinctly understood that the actual declaration of dividend and frequency thereof is at the sole discretion of Board of Directors of the Trustee Company.

The default option for the unitholders will be Regular Plan - Growth Option if he is routing his investments through a distributor and Direct Plan - Growth option if he is a direct investor.

If the unit holders selects Dividend option but does not specify the sub-option then the default sub-option shall be Dividend Reinvestment.

Investors subscribing under Direct Plan of the Scheme will have to indicate "Direct Plan" against the Scheme name in the application form i.e. "MIRAE ASSET ARBITRAGE FUND - Direct Plan". Treatment for investors based on the applications received is given in the table below:

Scenario		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

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.

The AMC reserves the right to introduce a new option / investment Plan at a later date, subject to the SEBI (MF) Regulations. The AMC also reserves the right to discontinue /

	withdraw any option / investment plan, if deemed fit, after taking approval of the Board of Directors of AMC and Trustee.
Applicable NAV (after the scheme	Cut-off time is the time before which the Investor's Application Form(s) (complete in all respects) should reach the Official Points of Acceptance to be entitled to the Applicable NAV of that Business Day.
opens for repurchase)	An application will be considered accepted on a Business Day, subject to it being complete in all respects and received and time stamped upto the relevant Cut-off time mentioned below, at any of the Official Points of Acceptance of transactions. Where an application is received and the time stamping is done after the relevant Cut-off time the request will be deemed to have been received on the next Business Day.
	Cut off timing for subscriptions/purchases/switch- ins for an amount less than Rs. 2,00,000/- (Rs. Two lakhs only).
	For Durchasses including switch inc.
	<ul> <li>For Purchases including switch-ins:</li> <li>i. In respect of valid applications received by 3.00 p.m. by the Fund along with a local cheque or a demand draft payable at par at the Official Point(s) of Acceptance where the application is received, the closing NAV of the day on which application is received shall be applicable.</li> </ul>
	<ul><li>ii. In respect of valid applications received after 3.00 p.m. by the Fund along with a local cheque or a demand draft payable at par at the Official Point(s) of Acceptance where the application is received, the closing NAV of the following Business Day shall be applicable.</li></ul>
	<ul><li>iii. In respect of valid applications with an outstation cheques or demand drafts not payable at par at the Official Points of Acceptance where the application is received, the closing NAV of day on which the cheque or demand draft is credited shall be applicable.</li></ul>
	Cut off timing for subscriptions/purchases/switch- ins amount equal to or greater than Rs. 2,00,000 (Rs. Two lakhs only):
	i. In respect of valid applications received for an amount equal to or more than Rs. 2 lakhs upto 3.00 p.m. at the Official Point(s) of Acceptance and where the funds for the entire amount of subscription / purchase/switch-ins as per the application are credited to the bank account of the Scheme before the cut-off time i.e. available for utilization before the cut-off time- the closing NAV of the day shall be applicable.
	<ul> <li>ii. In respect of valid applications received for an amount equal to or more than Rs. 2 lakh after 3.00 p.m. at the Official Point(s) of Acceptance and where the funds for the entire amount of subscription / purchase as per the application are credited to the bank account of the Scheme 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.</li> </ul>
	<ul> <li>iii. Irrespective of the time of receipt of applications for an amount equal to or more than Rs. 2 lakh at the Official Point(s) of Acceptance, where the funds for the entire amount of subscription/purchase/ switch-ins as per the application are credited to the bank account of the Scheme before the cut-off time on any subsequent Business Day i.e. available for utilization before the cut-off time on any subsequent Business Day - the closing NAV of such subsequent Business Day shall be applicable.</li> </ul>
	It is clarified that all multiple applications for investment at the Unit holders' PAN and holding pattern level in a Scheme (irrespective of amount or the plan/option/sub-option) received on the same Business Day, will be aggregated to ascertain whether the total amount equals to Rs. 2 lakh or more and to determine the applicable Net Asset Value. Transactions in the name of minor received through guardian will not be aggregated with the transaction in the name of same guardian. The criteria for aggregation of multiple

	transforment all the sector is the thread of AMC at its sector formation formation to the
	transactions shall be as decided by the AMC at its sole discretion from time to time.
	For Redemption/ Repurchases/Switch out
	i. In respect of valid application accepted at an Official Points of Acceptance up to 3 p.m.
	on a Business Day by the Fund, the closing NAV of that day will be applicable.
	In respect of valid application accepted at an Official Point of Acceptance as listed in the SAI, after 3 p.m. on a Business Day by the Fund, the closing NAV of the next Business Day will be applicable.
Minimum	Purchase : Rs. 5000/- and in multiples of Re. 1/- thereafter
Amount for	Additional Purchase: Rs.1000/- and in multiples of Re.1/- thereafter.
Application	<b>Redemption:</b> The minimum redemption amount shall be 'any amount' or 'any number of units' as requested by the investor at the time of redemption request.
Dispatch of	The redemption or repurchase proceeds shall be dispatched to the unitholders within 10
Repurchase	working days from the date of redemption or repurchase.
(Redemption)	
Request	
Benchmark	NIFTY 50 Arbitrage Index
Index	
Dividend Boliou	A dividend may be declared by the Trustee, at its discretion, from time to time (subject to the availability of distributable surplus as calculated in accordance with the Regulations).
Policy	Such dividends if declared will be paid under normal circumstances, only to those Unit
	holders who have opted for Dividend Option - Payout. There is no assurance or guarantee
	to unit holders as to the rate of dividend distribution nor will that dividend be regularly
	paid. If the Fund declares a dividend under the Scheme, AMC shall dispatch the dividend
	warrants within 30 days from the date of declaration of the dividend.
Name of the	The Scheme will be managed by Mr. Jignesh Rao and Mr. Jigar Shethia (Equity portion)
Fund	and Mr. Mahendra Kumar Jajoo (Debt portion)
Manager	
Name of the	Mirae Asset Trustee Company Private Limited
Trustee	
Company	
Expenses of the Scheme	During New Fund Offer and Ongoing Offer Periods
1.Load Structure	<b>Entry Load: Not Applicable:</b> In accordance with SEBI circular no. SEBI/IMD/CIR No. 4/168230/09 dated June 30, 2009, no entry load will be charged by the Scheme to the investor. Similarly, no entry load will be charged with respect to applications for registrations under Systematic Investment Plan (SIP) / Systematic Transfer Plan (STP) accepted by the Mutual Fund with effect from August, 1, 2009. The upfront commission shall be paid by the investor directly to the distributor, based on his assessment of various factors including the service rendered by the distributor.
	<b>Exit Load:</b> 0.25%: If units Redeemed or Switched Out within 30 days from the date of allotment. Nil after 30 Days.
	For any change in load structure AMC will issue an addendum and display it on the website/Investor Service Centres. As per SEBI/IMD/CIR No. 14/120784/08 dated March 18, 2008, no load would be charged on Bonus units.
2. Recurring expenses	These are the fees and expenses for operating the Scheme. These expenses include Investment Management and Advisory Fee charged by the AMC, Registrar and Transfer Agents' fee, marketing and selling costs etc. as given in the table below:

The AMC has estimated that upto 2.25% of the daily net assets of the Scheme will be charged to the scheme as expenses. As per the Regulations, the maximum recurring expenses including investment management and advisory fee that can be charged to the Scheme shall be subject to a percentage limit of daily net assets as in the table below:

First Rs. 500 crores	2.25%
Next Rs. 250 crores	2.00%
Next Rs. 1250crores	1.75%
Next Rs. 3000 crores	1.60%
Next Rs. 5000 crores	1.50%
on the next Rs. 40,000 crores of the daily	Total expense ratio reduction of 0.05%
net assets	for every increase of Rs 5,000 crores of
	daily net assets or part thereof,
Balance of assets	1.05%

The recurring expenses of operating the Scheme on an annual basis, which shall be charged to the Scheme, are estimated to be as follows (each as a percentage per annum of the daily net assets)

Particulars	% p.a. of daily net assets
Investment Management & Advisory Fee	Upto 2.25%
Trustee fee	-
Audit fees	
Custodian fees	
RTA Fees	
Marketing & Selling expense incl. agent commission	
Cost related to investor communications	
Cost of fund transfer from location to location	
Cost of providing account statements and dividend redemption	
cheques and warrants	
Costs of statutory Advertisements	
Cost towards investor education & awareness (at least 2 bps)	
Brokerage & transaction cost over and above 12 bps for cash	
market transactions and 5 bps for derivative trades @@	
GST on expenses other than investment and advisory fees	
GST on brokerage and transaction cost	
Other Expenses*	
Maximum total expense ratio (TER) permissible under	
Regulation 52 (6) (c) (i) and (6) (a)	Upto 2.25%
^ Additional expenses under regulation 52 (6A) (c) Upto 0.20%	Upto 0.05%
Additional expenses for gross new inflows from specified cities	Upto 0.30%

\*Other expenses: Any other expenses which are directly attributable to the Scheme, may be charged with approval of the Trustee within the overall limits as specified in the Regulations except those expenses which are specifically prohibited.

^ In terms of SEBI Circular No SEBI/HO/IMD/DF2/CIR/P/2018/15 dated February 02, 2018, in case exit load is not levied / not applicable, the AMC shall not charge the said additional expenses.

(a) Brokerage and transaction costs which are incurred for the purpose of execution of trade and is included in the cost of investment shall not exceed 0.12 per cent in case of cash market transactions and 0.05 per cent in case of derivatives transactions.

For the actual current expenses being charged, the investor should refer to the website of the Mutual Fund.

The purpose of the above table is to assist the investor in understanding the various costs & expenses that the investor in the Scheme will bear directly or indirectly. These estimates have been made in good faith as per the information available to the AMC and the above expenses (including investment management and advisory fees) are subject to inter-se change and may increase/decrease as per actual and/or any change in the Regulations, as amended from time to time.
All scheme related expenses including commission paid to distributors, by whatever name it may be called and in whatever manner it may be paid, shall necessarily be paid from the scheme only within the regulatory limits and not from the books of the Asset Management Companies (AMC), its associate, sponsor, trustee or any other entity through any route.
In addition to the limits as specified in Regulation 52(6) of SEBI (Mutual Funds) Regulations 1996 ['SEBI Regulations'] or the Total Recurring Expenses (Total Expense Limit) as specified above, the following costs or expenses may be charged to the scheme namely:-
Additional expenses for gross new inflows from specified cities:
<ul> <li>(a) expenses not exceeding of 0.30 per cent of daily net assets, if the new inflows from such cities as specified by SEBI from time to time are at least -</li> <li>(i) 30 per cent of gross new inflows in the scheme, or;</li> <li>(ii) 15 per cent of the average assets under management (year to date) of the scheme, whichever is higher:</li> </ul>
Provided that if inflows from such cities is less than the higher of sub-clause (i) or sub- clause (ii), such expenses on daily net assets of the Scheme shall be charged on proportionate basis.
Provided further that, expenses charged under this clause shall be utilised for distribution expenses incurred for bringing inflows from such cities.
Provided further that amount incurred as expense on account of inflows from such cities shall be credited back to the Scheme in case the said inflows are redeemed within a period of one year from the date of investment.
Currently, SEBI has specified that the above additional expenses may be charged for inflows from beyond 'Top 30 cities.' The top 30 cities shall mean top 30 cities based on Association of Mutual Funds in India (AMFI) data on 'AUM by Geography – Consolidated Data for Mutual Fund Industry' as at the end of the previous financial year.
Provided further that, additional TER can be charged based on inflows only from retail investors from B30 cities in terms of SEBI circular no. SEBI/HO/IMD/DF2/CIR/P/2018/137 dated October 22, 2018 read with SEBI/HO/IMD/DF2/CIR/P/2019/42 dated March 25, 2019.
'Retail investors' are defined as individual investors with an inflow of an amount upto Rs 2,00,000/- per transaction.
This sub clause (a) shall be applicable for inflows received during the NFO period. (b) GST payable on investment and advisory service fees ('AMC fees') charged by Mirae Asset Investment Managers (India) Private Limited ('Mirae Asset AMC)';
Within the Total Expense Limit chargeable to the Scheme, following will be charged to the

Scheme:			
(a) GST on other than investment and advisory fees, if any, (including on brokerage and			
transaction costs on execution of trades) shall be borne by the Scheme;			
(b) Investor education and awareness initiative fees of at least 2 basis points on daily net			
assets of respective Scheme.			
Any expenditure in excess of the SEBI regulatory limits shall be borne by the AMC or th Sponsor.			
The current expense ratios will be updated on the AMC website <u>https://miraeassetmf.co.in/downloads/regulatory</u> at least 3 working days prior to the effective date of the change.			
Further, the notice of change in base TER (i.e. TER excluding additional expenses provided in Regulation $52(6A)$ (b) and $52(6A)(c)$ of SEBI (Mutual Funds) Regulations, 1996) in comparison to previous base TER charged to the scheme will be communicated to investors of the scheme through notice via email or SMS at least three working days prior to effecting such change.			
However, any decrease in TER due to decrease in applicable limits as prescribed in Regulation 52 (6) (i.e. due to increase in daily net assets of the scheme) would not require issuance of any prior notice to the investors. Further, such decrease in TER will be immediately communicated to investors of the scheme through email or SMS and uploaded on the AMC website.			
The above change in the base TER in comparison to previous base TER charged to the scheme shall be intimated to the Board of Directors of AMC along with the rationale recorded in writing.			
The changes in TER shall also be placed before the Trustees on quarterly basis along with rationale for such changes.			
Illustration of impact of expense ratio on sche	me's returns		
Particulars		NAV	
Opening NAV per unit	A	10.000	
Gross Scheme Returns @ 8.75%	B	0.875	
Expense Ratio @ 1.50 % p.a. (including	$C = (A \times 1.50\%)$	0.150	
distribution expenses) charged during the		0.120	
year			
Closing NAV per unit	$\mathbf{D} = \mathbf{A} + \mathbf{B} - \mathbf{C}$	10.725	
Net 1 Year Return	D/A - 1	7.25%	
The above calculation is provided to illustrate the impact of expenses on the scheme returns and should not be construed as indicative Expense Ratio, yield or return.			
TER for the Segregated Portfolio			
a) AMC shall not charge investment and ac However, TER (excluding the investment an rata basis only upon recovery of the investment	d advisory fees) can	be charged, on a pro-	
b) The TER so levied shall not exceed the simp investment and advisory fees) charged on			

	terms) during the period for which the segregated portfolio was in existence.
	c) The legal charges related to recovery of the investments of the segregated portfolio may be charged to the segregated portfolio in proportion to the amount of recovery. However, the same shall be within the maximum TER limit as applicable to the main portfolio. The legal charges in excess of the TER limits, if any, shall be borne by the AMC.
	d) The costs related to segregated portfolio shall in no case be charged to the main portfolio.
Waiver of	Not Applicable.
Load for	
Direct Applications	
Tax treatment	Investors are advised to refer to the paragraph on Taxation in the "Statement of Additional
for the	Information" or "Scheme Information Document" and to consult their own unit holder's tax
Investors	advisors with respect to the specific amount of tax and other implications arising out of
(Unitholders)	their participation in the scheme.
Daily Net	The NAV will be declared on all business days. NAV can also be viewed on
Asset Value	www.miraeassetmf.co.in and www.amfiindia.com. Investors can also call us on "1800
(NAV) Publication	2090 777" (toll-free from a MTNL / BSNL landline) to know the latest NAV.
For Investor	Mr. Girish Dhanani
Grievances	Mirae Asset Investment Managers (India) Pvt. Ltd.
please contact	606, 6 <sup>th</sup> Floor, Windsor Bldg., Off CST Road, Kalina, Santacruz (E), Mumbai - 400 098.
	Telephone Nos.: 6780 0300 / 25 e-mail: dhanani.girish@miraeasset.com
	Investors are advised to contact any of the ISCs or the AMC by calling the investor
	line of the AMC at "1800 2090 777" (toll-free from a MTNL / BSNL landline) for any queries. Investors can also visit the website at <u>www.miraeassetmf.co.in</u> , for complete details.
Unitholders'	Account Statement:
Information	The AMC shall issue to the investor whose application has been accepted, an account statement specifying the number of units allotted will be sent by ordinary post / courier / secured encrypted electronic mail to each Unit Holder, stating the number of Units purchased, within 5 Business Days, from the closure of NFO.
	In case of specific request received from investors, Mutual Fund shall provide the account statement to the investors within 5 working days from the receipt of such request without any charges.
	Account Statement for ongoing transactions:
	<ul> <li>An allotment confirmation specifying the units allotted shall be sent 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.</li> <li>Thereafter, a Consolidated Account Statement (CAS), generated based on PAN, 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</li> </ul>
	<ul> <li>be sent to the Unit holder in whose folio transactions have taken place during that month, on or before 10<sup>th</sup> of the succeeding month by mail/email.</li> <li>In case of non-availability of PAN, AMC will send monthly account statement for any financial transactions undertaken during the month on or before 10th day of the succeeding month by mail/email.</li> </ul>
	• In case of a specific request received from the Unit holders, the AMC/Fund will provide an account statement (reflecting transactions of the Fund) to the investors

Key Information Memorandum - Mirae Asset Arbitrage Fund

<ul> <li>within 5 Business Days from the receipt of such request by mail/email.</li> <li>The Unit holder may request for a physical account statement by writing/calling the AMC/ISC/R&amp;T. The Mutual Fund/ AMC shall dispatch an account statement within 5 Business Days from the date of the receipt of request from the Unit holder.</li> <li>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 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 email address is available, unless a specific request is made to receive in physical form.</li> <li>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.</li> </ul>
For more details, please refer the Scheme Information Document (SID) and Statement of Additional Information (SAI).
<b>Monthly/Half Yearly Portfolio Disclosures:</b> The Mutual Fund/ AMC will disclose portfolio (along with ISIN) of the Scheme in the prescribed format, as on the last day of the month / half-year i.e. March 31 and September 30, on its website viz. https://www.miraeassetmf.co.in/ and on the website of Association of Mutual Funds in India (AMFI) viz. www.amfiindia.com within 10 days from the close of each month/ half year respectively. In case of unitholders whose e-mail addresses are registered, the Mutual Fund/ AMC will send via email both the monthly and half yearly statement of scheme portfolio within 10 days from the close of each month/ half year respectively. Mutual Fund / AMC will publish an advertisement every half year in the all India edition of at least two daily newspapers, one each in English and Hindi, disclosing the hosting of the half-yearly statement of the Scheme portfolio on its website and on the website of Association of Mutual Funds in India (AMFI). Mutual Fund / AMC will provide a physical copy of the statement of its Scheme portfolio, without charging any cost, on specific request received from a unitholder.
Half Yearly Unaudited Financial Results: Half yearly Unaudited Financial Results shall be hosted in the prescribed format on the website of the Mutual Fund on www.miraeassetmf.co.in within one month from the close of each half year i.e. on March 31 and on September 30 and an advertisement in this regard shall be published in at least one English daily newspaper having nationwide circulation and in a newspaper having wide circulation published in the language of the region where the Head Office of the Mutual Fund is situated. A link for the half yearly Unaudited Financial Results shall also be provided on website of Association of Mutual Funds in India (AMFI) on www.amfiindia.com.
<b>Annual Financial Results:</b> An annual report of the Scheme or an abridged format thereof will be prepared as at the end of each financial year (March 31) and copies of the same will be sent (i) by e-mail to the Unit holders whose e-mail address is available with the Fund, (ii) in physical form to the Unit holders whose email address is not registered with the Fund and/or those Unit holders who have opted/requested for the same as soon as possible but not later than 4 months from the closure of the relevant financial year. The physical copy of the Scheme wise annual report or abridged summary thereof shall be made available to the investors at the registered office of the AMC. A link of the Scheme wise annual report or abridged summary thereof shall be displayed prominently on the website of the Fund and shall also be displayed on the website of Association of Mutual Funds in India (AMFI).

# **MIRAE ASSET MUTUAL FUND BRANCH OFFICES**

• Ahmedabad - Unit No:-104, 1st Floor, SPG Empressa, Mithakhali - 380 009. • Bangalore - Unit No. 204, 2nd Floor Prestige Meridian II, No. 30, M.G Road, Bangalore - 560 001. Tel-080-44227777. • Bhubaneswar - Oflice No. 202, 2nd Floor, Janpath Tower, Ashok Nagar, Bhubaneswar-751009. Tel-7381029019. • Chandigarh - SCO 2473-2474, First Floor, Sector 22 C, Chandigarh - 160022. Tel-0172-5030688. • Chennai - New No.3, Old.No.2, Burkit Road, T. Nagar - 600017. Tel-044-44227777. • Jaipur - Unit 804, 8th Floor, Okay Plus Tower, Ajmer Road, Jaipur-302001. Tel-0141-2377222. • Kanpur - Oflice no 303 & 304, 3rd Floor, 14/113 KAN Chambers, Civil Lines, Kanpur-208 001. Tel-81770 00201. • Kolkata - Krishna Building, 5th Floor, Room No 510, 224, A.J.C. Bose Road, Kolkata-700017. Tel-033-44227777. • Lucknow - Oflice no. 308, 3rd Floor, Saran Chamber-II, 5, Park Road, Lucknow-26001. Tel-0522 - 4241511. • Mumbai (Corporate Office) - Unit No. 606, 6th Floor, Windsor Bldg., Off. CST Road, Kalina, Santacruz (E), Mumbai-400 098.Tel-022-67800300. • Mumbai (Branch Office) - Ground Floor, 3, 4, 9, Rahimtoola House, 7, Homji Street, Fort, Mumbai - 400001. Tel-022-49763740. • New Delhi - 1110 Ansal Bhavan, 16 K. G. Marg, New Delhi-110001. Tel-0144227777. • Tel-03.44227777. • Rajkot - 360 002 • Secunderabad - No. 208, Legend Crystal Building, 2nd Floor, PG Road, Secunderabad-500003. Tel-040-66666723. • Vadodara - Oflice no FF - 7, Concorde Building, R C Dutt Road, Alkapuri, Vadodara-390007. Tel-9375504443. • Surat - C-225, ITC Building, Majura Gate, Ring Road, Surat - 395002. Tel-026-4488844.

# KFIN TECHNOLOGIES PRIVATE LIMITED (REGISTRAR)

• Agra - House No. 17/2/4, 2nd Floor, Deepak Wasan Plaza, Behind Hotel Holiday Inn, Sanjay Place, Agra, Uttar Pradesh - 282 002.• Ahmedabad - Office No. 401, on 4th Floor, ABC-I, Off. C.G. Road, Ahmedabad -380009 • Ajmer - 1-2, 2nd Floor Ajmer Tower, Kutchary Road, Ajmer-305001 • Allahabad - Meena Bazar, 2nd Floor, 10, S. P. Marg, Civil Lines, Subhash Chauraha, Allahabad, Uttar Pradesh - 211 001. • Amritsar 72-A, Taylor's Road, Aga Heritage Gandhi Ground, Amritsar-143001 • Anand - B-42, Vaibhav Commercial Center, Nr. TVS Down Town Shrow Room, Grid Char Rasta, Anand - 380001 • Asansol - 112/N, G. T. ROAD, BHANGA PACHIL, G.T Road, Asansol, Pin: 713 303; Paschim Bardhaman, West Bengal • Aurangabad - Shop no B - 38, Motiwala Trade Centre, Nirala Bazar , Aurangabad 431001• Balasore - 1-B, 1st Floor, Kalinga Hotel Lane, Baleshwar, Baleshwar Sadar Balasore - 756001, Orissa • Bangalore - 35, New No. 59, 1st Floor Kamala Nivas Puttanna Road, Basavangudi, Bangalore - 560004 • Baroda - SB-5, Mangaldeep Complex, Opp. Mesonic Hall, Productivity Road, Alkapuri, Baroda-390007 • Bharuch – 123 Nexus business Hub Near Gangotri Hotel .B/s Rajeshwari Petroleum .Makampur Road .Bharuch -392001 • Bharuach -Ofice No 306-307, Krushna Darshan Complex, 3rd Floor, Parimal Chowk, Above Jed Blue Show Room Bhavnagar - 364002 • Bhilai - Office No. 2, 1st Floor, Plot No. 9/6, Nehru Nagar (East), Bhilai, Durg, Pin - 490 020, Chhattisgarh • Bhopal - Gurukripa Plaza, Plot No. 48A, Opposite City Hospital, Zone-2, M P Nagar, Bhopal, Madhya Pradesh - 462 011. • Bhubaneswar - A/181, Saheed Nagar, Janardan House, Room No: 07, 3rd Floor, Bhubaneshwar, Orissa - 751007. • Burdwan - 63 G. T. Road, Birhata, Halder Complex, 1st Floor, Burdwan-713101 • Calicut - Sowbhagya Shoping Complex, Areyadathupalam, Mavoor Road, Calicut-673004 • Chandigarh - SCO 2423-2424, Sector 22-C, Chandigarh-160022 • Chennai - Flat No.F11, 1st Floor, Akshya Plaza, (Erstwhile Harris Road), Opp Chief City Metropolitan Court, # 108, Adhithanar Salai, Egmore, Chennal-600002 • Cochin - Ali Arcade, 1st Floor, Kizhavana Road, Panampilly Nagar, Near Atlantis Junction, Ernakualm-682036 • Coimbatore - 1057, 3rd Floor, Jaya Enclave, Avanashi Road, Coimbatore 641018 • Cuttack - Dargha Bazar, Opp. Dargha Bazar Police Station, Buxibazar, Cuttack-753001 • Dehradun - Kaulagarh Road, Near Sirmour Marg, Above Reliance Webworld, Dehradun-248001 • Dhanbad - 208, New Market, 2nd Floor, Katras Road, Bank More, Dhanbad-826001 • Durgapur - MWAV-16 Bengal Ambuja, 2nd Floor, City Centre, Durgapur-713216 • Faridabad - A-2B, 2nd Floor, Neelam Bata Road, Peerki Mazar, Nehru Ground, Nit, Faridabad, Haryana -121 001 • Gandhinagar - Plot No.945/2, Sector-7/C, Gandhinagar-382007 • Ghaziabad - 1st Floor, C-7, Lohia Nagar, Ghaziabad-201001 • Gorakhpur - Above V.I.P. House, Ajdacent A. D. Girls College, Bank Road, Gorakhpur-273001 • Gurgaon - 2nd Floor, Vipul Agora, M. G. Road, Gurgaon - 122001, Haryana • Guwahati - 54, Sagarika Bhawan, R. G. Baruah Road, (AIDC Bus Stop), Guwahati-781024 • Hubli - 22 & 23, 3rd Floor, Eurecka Junction, T. B. Road, Hubli-580029 • Hyderabad -303, Vamsee Estates, Opp. Bigbazaar, Ameerpet, Telangana - 500 016. • Indore - 101, Diamond Trade Centre, Indore, Madhya Pradesh - 452 001 • Jalandhar - Lower Ground Floor, Oflice No.3, Arora Prime Tower, Plot No.28, G. T. Road, Jalandhar-144001 • Jabalpur - 3rd Floor, R.R. Tower. 5, Lajpatkunj, Near Tayabali Petrol Pump, Jabalpur - 482 001. • Jamnagar - 1st Floor, Madhav Plazza, Opp. SBI Bank, Nr. Lal Bunglow, Jamnagar, Gujrat • Jamshedpur - Madhukunj, 3rd Floor, No. 1 Q Road, Sakchi, Bistupur, East Singhbhum; Jamshedpur - 831001, Jharkhand • Jodhpur - Shop No. 6, Ground Floor, Gang Tower, Opposite Arora Moter Service Center, Near Bombay Moter Circle, Jodhpur, Rajasthan - 342 003. • Kanpur - 15/46, Ground Floor, Opp. Muir Mills, Civil Lines, Kanpur-208001 • Kolhapur - 605/1/4 'E' Ward, Near Sultane Chambers, Shahupuri, 2nd Lane, Kolhapur-416001 • Kolkata - 166A, Rashbehari Avenue, 2nd Floor, Near Adi Dhakerhwari Bastralaya, Opp. Fortis Hospital, Kolkata-700029 • Kolkata - Dalhousie - (Only for Equity transactions) Martin Burn Building, 1, R. N. Mukherjee Road, 2nd Floor, Room No. 226, (Opp. Lalbazar Police HQ.), Kolkata-700001 • Lucknow - 1st Floor, A.A. Complex, Thaper House, 5 Park Road, Hazratganj, Lucknow-226001 • Ludhiana - Second Floor, SCO 122, Above HDFC Mutual Fund, Feroz Gandhi Market, Ludhiana - 141001 • Madurai - Rakesh Towers, 30-C, Bye Pass Road, 1st Floor, Opp. Nagappa Motors, Madurai-625010 • Mangalore - Ground Floor, Mahendra Arcade, Kodial Bail, Mangalore-575 003 • Mehsana -FF-21, Someshwar Shopping Mall, Modhera Char Rasta, Mehsana - 384 002 • Moradabad - Chadha Complex, G. M. D. Road, Near Tadi Khana Chowk, Moradabad - 244 001, Uttar Pradesh • Mumbai - Borivali -(Only for non-liquid transactions) Gomati Smuti, Ground Floor, Jambli Gully, Near Railway Station, Borivali West, Mumbai-400091 • Mumbai - Chembur - (Only for Equity transactions) Shop No.4, Ground Floor, Shram Safalya Building, N G Acharya Marg, Chembur, Mumbai-400071 • Mumbai - Fort - (Only for Equity transactions) Of ce No.01/04, 24/B, Raja Bahadur Compound, Ambalal Doshi Marg, Behind Bombay Stock Exchange, Fort, Mumbai-400001 • Mumbai - Thane - (Only for non-liquid transactions) Room No. 302, 3rd Floor, Ganga Prasad, Near RBL Bank Ltd., Ram Maruti Cross Road, Naupada, Thane West - 400 602 • Mumbai - Vashi - (Only for Equity transactions) A-Wing, Shop No. 205, 1st Floor, Vashi Plaza, Sector 17, Navi Mumbai - 400 073. • Mumbai - Vile Parle - (Only for Equity transactions) 104, Sangam Arcade, V P Road, Opp. Railway Station, Above Axis Bank, Vile Parle West, Mumbai-400056 • Muzaffarpur - First Floor, Saroj Complex, Diwam Road, Near Kalvani Chowk, Muzaffarpur, Bihar - 842001 • Mysore - L-350, Silver Tower, Clock Tower, Ashoka Road, Mysore-570001 • Nadiad - 104/105 Gf City Point, Near Paras Cinema, Nadiad-387001 • Nagpur -Plot No. 2, Survey No. 1032 and 1033 of Gagda Khare Town, Dharampeth, Nagpur – 440010 • Nasik - F-1, Suyojit Sankul, Sharanpur Road, Near Rajiv Gandhi Bhavan, Nasik - 422002 • Navsari - 103, 1st Floor Landmark Mall, Near Sayaji Library, Navsari, Gujarat-396 445 • New Delhi -305, 3rd Floor, New Delhi House, Bara Khamba Road, Connaught Place, New Delhi-110001 • Panipat - 1st Floor, Krishna Tower, Near HDFC Bank, Opp. Railway Road, G. T. Road, Panipat-132103 • Panijm - City Business Centre, Coelho Pereira Building, Room Nos 18, 19 & 20, Dada Vaidva Road, Paniim-403001 • Patiala - Sco. 27 D, Chhoti Baradari, Patiala-147001 • Patna - 3A, 3rd Floor, Anand Tower, Beside Chankya Cinema Hall, Exhibition Road, Patna-800001 • Pondicherry - 1st Floor, No.7, Thiayagaraja Street, Pondicherry-605001 • Pune - Mozaic Bldg., CTS No. 1216/1, Final Plot No.576/1 TP, Scheme No. 1, F C Road, Bhamburda, Shivaji Nagar, Pune-411004 • Raipur - 2 & 3 Lower Level, Millenium Plaza, Room No. Ll 2& 3, Behind Indian Coffee House, Raipur-492001 • Rajkot - 104, Siddhi Vinayak Complex, Dr. YagnikRoad, Opp. Ramkrishna Ashram, Rajkot-360001 • Ranchi - Room No. 307, 3rd Floor, Commerce Towers, Beside Mahabir Towers, Main Road, Ranchi-834001 • Rourkela - (Only for Equity transactions) 2nd Floor, Main Road, Udit Nagar, Rourkela, Sundargarh, Orissa – 769012 • Salem - No 40, 2nd Floor, Brindavan Road, Near Perumal Koil, Fairlands, Salem-636016 • Sambalpur - Sahej Plaza, First Floor, Shop No. 219, Golebazar, Sambalpur, Odisha - 768 001 • Shillong - Mani Bhawan, Thana Road, Lower Police Bazar, Shillong-793 001 • Siliguri - 2nd Floor, Nanak Complex, Sevoke Road, Siliguri - 734001 • Surat - G-5 Empire State Building, Near Parag House, Udhna Darwaja, Ring Road, Surat-395002 • Trichy - No 23C/1 E VR Road, Near Vekkaliamman Kalyana Mandapam, Putthur, Trichy - 6200017, Tamilnadu • Trivandrum - 2nd Floor, Akshaya Towers, Above Jetairways, Sasthamangalam, Trivandrum-695010 • Udaipur - Shop No. 202, 2nd Floor, Business Centre, 1C Madhuvan, Opp G.P.O., Chetak Circle, Udaipur, Rajasthan - 313 001 • Valsad - 406 Dreamland Arcade. Opp Jade Blue. Tithal Road. Valsad - 396001. Guiarat • Vapi - A-8. First Floor. Solitaire Business Centre. Opp DCB Bank. GIDC Char Rasta. Silvassa Road. Vapi - 396 191 • Varanasi - D-64/132, 2nd Floor, KA, Mauza, Shivpurwa, Settlement, Plot No 478, Pargana: Dehat Amanat, ohalla Sigra, Varanashi - 221010, Uttar Pradesh • Vijayawada - 1st Floor, H No. 26-23, Sundaramma Street, Gandhi Nagar, Vijayawada, Andhra Pradesh - 520 011. • Visakhapatnam - Ground Floor, 48-10-40, SriNagar Colony, Visakhapatnam, 530016 • Vellore - No.1, M N R Arcade, Oficers Line, Krishna Nagar, Vellore-632001 • Warrangal - 5-6-95, 1st Floor, Opp. B Ed College, Lashkar Bazar, Chandra Complex, Hanmakonda, Warrangal-506001 • Guntur - D No. 6-10-27, Srinilayam, Arundelpet, 10/1, Guntur - 522002 • Kurnool - Shop No. 47, 2nd Floor, S Komda Shoping Mall, Kurnool - 518001 • Bhagalpur - 2nd Floor, Chandralok Complex, Near Ghanta Ghar, Bhagalpur - 812001, Bihar • Darbhanga - Java Complex, 2nd Floor, Above Furniture Planet, Donar Chowk, Darbhanga - 846003 • Bilaspur - KFin Technologies Pvt. Ltd, Anandam Plaza; Shop.No. 306; 3rd Floor, Vyapar Vihar Main Road, Bilaspur - 495001, Chattisgarh • Gandhidham - Shop # 12, Shree Ambica Arcade, Plot # 300, Ward 12, Opp. CG High School, Near HDFC Bank, Gandhidham - 370201 • Junagadh - 124-125 Punit Shopping Center, M.G. Road, Ranavav Chowk, Junagadh - 362001 • Ambala - 6349, 2nd Floor, Nicholson Road, Adjacent Kos Hospital Ambala Cant, Ambala - 133001, Haryana • Rohtak - 1st Floor, Ashoka Plaza, Delhi Road, Rohtak - 124001 • Yamuna Nagar - B-V, 185/A, 2nd Floor, Jagadri Road, Near DAV Girls College, (UCO Bank Building) Pyara Chowk, Yamuna Nagar - 135001, Haryana • Shimla - 1st Floor, Hills View Complex, Near Tara Hall, Shimla - 171 001, Himanchal Pradesh • Jammu - Gupta's Tower, 2nd Floor, CB-12, Rail Head Complex, Jammu - 180012 • Bokaro – City Centre, Plot No. HE-07; Sector-IV; Bokaro Steel City - 827004• Belgaum - CTS No. 3939 / A2 A1, Above Raymonds Show Room, Beside Harsha Appliances, Club Road, Belgaum - 590001 • Kottayam - 11-4-3/3 Shop No. S-9, 1st Floor, Srivenkata Sairam Arcade, Old CPI Office, Near Priyadarshini College, Nehru Nagar, Khammam - 507002, Telangana • Trichur - 2nd Floor, Brothers Complex, Naikkanal Junction, Shomur Road, Near Dhanalakshmi Bank H O, Thrissur - 680001 • Gwalior - City Centre, Near Axis Bank, Gwalior, Madhya Pradesh - 474 011 • Amaravathi - Shop No. 21, 2nd Floor, Gulshan Tower, Near Panchsheel Talkies, Jaistambh Square, Amaravathi - 444601 • Shillong - Annex Mani Bhawan, Lower Thana Road, Near R K M LP School, Shillong - 793001 • Berhampur (Or) - Opp. Divya Nandan Kalyan Mandap, 3rd Lane Dharam Nagar, Near Lohiya Motor, Berhampur (Or) - 760001 • Bhatinda - Second floor, MCB -2-3-01043 Goniana Road Opposite Nippon India MF GT Road, Near Hanuman Chowk Bhatinda - 161001 • Bhilwara - Shop No. 27-28, 1st Floor, Heera Panna Market, Pur Road, Bhilwara - 311001 • Bikaner - 70-71. 2nd Floor, Dr. Chahar Building, Panchsati Circle, Sadul Ganj, Bikaner - 334003 • Kota - D-8, Shri Ram Complex, Opposite Multi Purpose School, Gumanpura, Kota, Rajasthan - 324 007 • Sri Ganganagar - 35E Block, Opp. Sheetla Mata Vaateka Sri Ganganagar - 335001 • Erode - No. 4, Veerappan Traders Complex, KMY Salai, Sathy Road, Opp. Erode Bus Stand, Erode - 638003 • Tirupur - First Floor, 244 Å, Above Selvakumar Dept Stores, Palladam Road, Opp. to Cotton Market Complex, Tirupur - 641604 • Agartala - Bidurkarta Chowmuhani, J N Bari Road, Tripura (West) - 799001 • Aligarh - Sebti Complex Centre Point, in the city of Aligarh - 202001, UttarPradesh. • Bareilly - 54 - Civil Lines, Ayub Khan Chauraha, Bareilly - 243001, Uttar Pradesh • Meerut - H No 5, Purva Eran, Opp. Syndicate Bank, Hapur Road, Meerut - 250001, Uttar Pradesh • Saharanpur - 18, Mission Market, Court Road, Saharanpur - 247001 • Haldwani - Shop No. 5, KMVN Shoping Complex, Haldwani - 263139, Uttarakhand • Haridwar - 8, Govind Puri, Opp. LIC - 2, Above Vijay Bank, Main Road, Ranipur More, Haridwar - 249401 • Kharagpur - 180, Malancha Road, Beside Axis Bank Ltd, Kharagpur - 721304 • Karimnagar - 2nd Shetter, HNo. 7-2-607 Sri Matha Complex, Mankammathota, KarimNagar, Telangana - 505001 • Gonda - House No. 782, Shiv Sadan, ITI Road, Near Raghukul Vidya Peeth, Civil Lines, Gonda - 271001, Uttar Pradesh • Gaya - Hotel Skylark; Swaraipuri Road, Gaya - 823001, Bihar • Nungambakkam - No. 23, Cathedral Garden Road, Nungambakkam, Chennai, Tamil Nadu - 600 034 • Jhansi - 371/01, Narayan Plaza Gwalior Road, Near Jeevan Shah Chauraha, Jhansi - 284001 • Chinsura - KFin Technologies Pvt. Ltd, 96, Doctors Lane, Po: Chinsurah, Dt: Hooghly, Pin: 712101, West Bengal • Malda - KFin Technologies Pvt. Ltd, 96, Doctors Lane, Po: Chinsurah, Dt: Hooghly, Pin: 712101, West B • Noida - KFin Technologies Pvt. Ltd, F - 21, Sector - 18, Noida - 201301, Uttar Pradesh • Alwar - KFin Technologies Pvt. Ltd, Office Number 137, First Floor, Jai Complex Road No - 2, Alwar 301001, Rajasthan • Jaipur - KFin Technologies Pvt. Ltd, Office Number 137, First Floor, Jai Complex Road No - 2, Alwar 301001, Rajasthan

# APPLICATION FORM - MIRAE ASSET ARBITRAGE FUND (MAAF)

(An open ended scheme investing in arbitrage opportunities)

MICR Code

Offer for units of ₹ 10/- each during the New Fund Offer period and at NAV based prices upon re-opening. Scheme re-opens for continuous sale & re-purchase on and from 22/06/2020



MIRAE ASSET ARBITRAGE FUN	D (MAAF) This	product is suitabl	le for i <u>nvestors w</u>	ho are s <u>eeking*</u>	RISKOMETER
(An open ended scheme investing in arbitrage	opportunition)	e over short to medium term			
	Investr	ments predominantly in arbit tents and the arbitrage oppo	trage opportunities in the ca		Lev Moderate Moor
New Fund Offer open on : 03/06/2020 New Fund Offer closes on :12/06/2020		rs should consult their finan		Mon Contraction Contraction	High
Application No.:		re not clear about the suitab		low	НІСН
					s understand that their principal II be Moderately Low Risk
Name & Broker Code/	Sub Broker / Agent ARN Code	Sub Agent Code	EUIN*	Internal Code for AMC	ISC Date Time Stamp Reference No.
	<b>U</b>				
Name & Broker Code/ ARN/RIA Code         EUIN Declaration: Declaration for "Execution Only"         the EUIN box has been intentionally left blank by me/u advice of in-appropriateness, if any, provided by the feed/portfolio holdings/NAV etc. in respect of my/our in         Dependence         Please       Lumpsum Investment         TRANSACTION CHARGES (Please @ I AM A FIRST TIME INVESTOR IN ML Applicable transaction charges will be deduced	I Transaction (where Employee Uniqu	lue Identification Number-EUIN	I I* box is left blank). Please re	I fer instruction 12 of KIM for complete	details on EUIN. I/We hereby confirm that
the EUIN box has been intentionally left blank by me/u advice of in-appropriateness, if any, provided by the	is as this transaction is executed with employee/relationship manager/sa	nout any interaction or advice b les person of the distributor/s	by the employee/relationship r sub broker. <b>RIA/Declaration:</b>	manager/sales person of the above di "I/We hereby give you my/our conse	stributor/sub broker or notwithstanding the
e feed/portfolio holdings/NAV etc. in respect of my/our in	nvestments under Direct Plan of all S	chemes managed by you, to the	ne above mentioned SEBI-Re	gistered Investment Adviser/ RIA".	
Non c					
Sign of 1" Applicant / Guardian / Auth. Signato	ny / PoA / Karta Sign			Sign of 3" Applicant / 0	
Please V Lumpsum Investment		Micro Applicati		SIP A	pplication
TRANSACTION CHARGES (Please ⊘     I AM A FIRST TIME INVESTOR IN MU		efer Instruction No. 11 OR	-	NEXISTING INVESTOR IN M	IUTUAL FUNDS
Applicable transaction charges will be deduced by registered Distributor) based on the investor	ucted in case your distributor	has opted for such char	ges. Upfront commissio	on shall be paid directly by the	
EXISTING UNIT HOLDER INFORM		~			etails]
Folio No.		CKYC Identification	on No. (KIN)		
	RMATION [Refer Instruction	on 2] If the f <sup>t</sup> / <u>Sole Ap</u>	plicant is Minor, th <u>en</u>	please provide details of r	atural / legal guardian
2. APPLICANT(S) NAME AND INFO 1 <sup>st</sup> SOLE APPLICANT Mr. / Ms. / M/s.				PAN	
(Please write the name as per PAN Card)			Pls indi		or tax purpose / Resident of Canada
Σ CKYC ID No. (KIN)					o <sup>s</sup> (\$Default if not ✓)
<b>GUARDIAN</b> (In case 1 <sup>st</sup> Applicant is a Min Mr. / Ms. / M/s.	nor)			Relationshi Mother	p with Minor (Please ✓) Father ☐ Legal Guardian
GUARDIAN CKYC			KYC (Please ✓)	GUARDIAN	
ID No. (KIN)			Proof Attached	PAN	
POA / Custodian Name:				KY	C (Please ✓)
POA / Custodian CKYC ID No. (KIN)			PC	DA / Custodian PAN	
Contact Person for Corporate Investor	: Name			Designation:	
3. FIRST APPLICANT AND KYC I		arked as ' <mark>*'</mark> are Mar			
1 <sup>st</sup> SOLE APPLICANT Individual or *Date of Birth/ Incorporation D D M		se II Ultimate Bene cial of of Date of Birth (Ple			& 11b - Refer Instruction No. 17] School Leaving Certi cate / Mark Sheet
(Individual) (Non-individual) (Please write the Date of birth as per Aadhaar Ca		(For minor applicant)	· _		Others
Place of Birth / Incorporation:	Country of Birth / Incorporation:	1	Nationality:	Gender	Male Female Other
(Please write the Date of birth as per Aadhaar C	ard)	Trust 🗌 Bank / Fls	Fils PIO S	Society/AOP/BOI Minor t	hrough Guardian 🗌 NRI - NRO
				rship Firm FOF - MF Schem	
a*. Occupation Details [Please tick (✓)]	Private Sector	<ul><li>Public Sector</li><li>Retired</li></ul>	Government Servi		Professional Housewife
b*. Politically Exposed Person (PEP) Statu	Business (Also applicable for authorised			rectors) I am PEP I am I	Others Related to PEP     Not Applicable
c*. Gross Annual Income (₹) [Please tick (		1-5 Lakhs	5-10 Lakhs		>25 Lakhs > 1 Crore
d*. Net-worth (Mandatory for Non-Individua			as on		Y Y (Not older than 1 year)
e*. Non-Individual Investors involved/p	·	Exchange / Money Cha		Gaming/Gambling/Lottery/C	
any of the mentioned services		ending / Pawning		None of the above	
4. BANK ACCOUNT DETAILS - M Name of the Bank:	landatory [Refer Instruc	uon Nos. 3 & 4]			
Core Banking A/c No.			A/c Type P	Is. (✓) □ NRE □ CURRENT	SAVINGS NRO Othe
Branch Name:		Idress:	,		
Bank Branch City:		ate:		Pin Co	ode
Lan branon ony.	36			1 11 00	

Please attach a cancelled cheque OR a clear photo copy of a cheque

IFSC Code (Mandatory for Credit via NEFT/RTGS)

5. JOINT APPLIC	NTS, IF	ANY A	ND TH	IEIR KY	C DETAI	ls A	ll fields r	narked	as '*' are	a Mandatory					
Mode of Holding:	Anyo	ne or S	urvivor			Sir	igle		Joint			(Please note	that the Defaul	t option is A	nyone or Survivor)
2 <sup>nd</sup> APPLICANT Mr. / Mr													Gender	Male 🗌 I	Female 🗌 Other
PAN Details							Pls indicat	te if US Pe	erson or a re	esident for tax p	urpose	/ Resident of Ca	nada 🗌 Yes	No*	(*Default if not ✓)
CKYC ID No. (KIN)									KYC Pls	🔗 🗌 Proof	Attach	ned Date of (As per P	Birth (Mandato	ory) <mark>D D</mark>	ммүүүү
Place of Birth					Coun	ntry of Bir	th					Nationality	:		
a*. Occupation Detai	s [Please	e tick (	✓)]		Private Busines		Public Retired	Sector		Sovernment Se	ervice	Student Proprietor		fessional iers	Housewife Please specify)
b*. Politically Exposed	Person (P	PEP) Sta	atus		I am PE		I am Re			lot Applicable					
c*. Gross Annual Inc	ome (₹) [l	Please	tick ( Y	)]	Below ?	1 Lakh	🗌 1-5 La		<b>5</b>	-10 Lakhs		10-25 Lak	hs >25	5 Lakhs	> 1 Crore
d*. Net-worth ₹							as on	DD		TTT	T	(Not older than	1 year)		
Mode of Holding:	Anyc					Sir			Join	t	(P	lease note that			yone or Survivor)
3 <sup>rd</sup> APPLICANT Mr. / M (Please write the name as			t Applic	able in ca	ase of Min	or Applica	ant)						Gender	Male I	Female Other
PAN Details							Pls indicat	te if US Pe	erson or a re	esident for tax p	urpose				(*Default if not ✓)
CKYC ID No. (KIN)									KYC Pls	🕢 🗌 Proof	Attach	ned Date of (As per P	Birth (Mandato AN Card)	ry) <mark>D D</mark>	MMYYYY
Place of Birth					1	ntry of Bir						Nationality			
a*. Occupation Detai	s [Please	e tick (	✓ )]		Private Busines		<ul><li>Public</li><li>Retired</li></ul>	Sector d		Sovernment Se	ervice	Student Proprietor		fessional ers(F	Housewife Please specify)
b*. Politically Exposed					I am PE		I am Re			lot Applicable					_
c*. Gross Annual Inc d*. Net-worth ₹	ome (₹) [I	Please	tick (¥	)]	Below '	1 Lakh	1-5 La	khs D D	<u>ы</u> б м м	-10 Lakhs		<ul> <li>10-25 Lak</li> <li>(Not older than</li> </ul>		5 Lakhs	> 1 Crore
6a. MAILING ADDI			rovide	your E	mail ID -	and Moh				vou betterl			i youry		
Local Address of 1 <sup>st</sup> Ap		ease p	Tovide	your L				er to neij	p us serve	you better]					
Tel. Off.						City				State			Pin Code		
							R	lesi.				Mobile			
E - Mail^^															
^^Please Use Block Lett	ers. Invest	ors pro	vidina e	mail ID w	ould man	datorilv re	ceive all Co	ommunica	tions. State	ment of Account	ts and a	Abridged Annual	Report through	e-mail only	
6b. Mandatory for	NRI / FIL	Applic	ant [Pl	lease pr	ovide Fu	III Addre	ss. P. O. E	Box No. ı	may not b	e sufficient. F	or Ov	verseas Investo	ors, Indian Ad	dress is	preferred]
Overseas Corresponde	nce Addr	ess													
7. INVESTMENT A		MENT	DETAI	LS ( For	complet	te inforn	nation on					'Third Party Pa		ition Form	')
Scheme - Mira								🗆 R	Regular Plar				C	viidend	
Payment Type [Please				-	d Party Pa				Direct Plan			hird Party Payme			estment (Default)
Cheque / DD / UTR		te	Am	ount of	Cheque	/ DD /	D	D Charge		Net Purcha			on Bank /	Pay-In	Bank A/c No.
			RTGS	S / NEFT	in figure	es (Rs.)		if any		Amount	t	Br	anch	(For C	heque Only)
8. DEMAT ACCOUNT					its in Dem	at Mode -	Please ens	ure that th				ed under section s (India) Limite		er the Depo	sitory Details.
DP Name									DP Nam			. ,	. ,		
DP ID I N			Benef	f. A/C No					16 Digit A	C No.					
Enclosures - Please (		Clien	t Maste	ers List (	CML)		Trans	saction cu	um Holding	Statement		Deliver	/ Instruction SI	ip (DIS)	
9. NOMINATION I								not Non OR	ninate - Re	_		9] SH TO NOMIN	ATE		
No. Nominee				Dat	e of Birt	h	Nam	ne of the	Guardian	Relations		% of Share	Signature		<b>lee / Guardian</b> Mandatory)
1				(11.69			() 	n case of	- wintor )						
2							Y								

# FOR NON-INDIVIDUALS ONLY

10.	FATCA & CRS DETAI	LS (Pleas	e consult you						guiua	ance on	I FAI	CA&C	110 010							
PART	A To be filled by Fi	inancial Ir	nstitutions or	Direct	t Reportin	g No	n Finacial E	ntity	(NFEs	s)										
We a		GIIN																		
or	ncial institution	Note	e: If you do not have a	GIIN but y	you are sponsor	ed by ar	nother entity, pleas	e provide	e your spo	onsor's GIIN a	above a	and indicate	your spon	sor's name b	elow					
	ct reporting NFE se tick (✔ )]	Name o	of sponsoring	entity	<i>r</i> :															
GIIN	not available [Please	tick (🗸 )]	Applie	d for	Not re	quire	d to apply fo	r - plea	ease sp	pecify 2 c	digits	sub-cat	egory				]			
PART	B (please fill any c	one as app	propriate "to	be fille	d by NFE	s oth	er than Dir	ect Re	eporti	ng NFE	s")									
1 Is the Entity a publicly traded company (that is, a company whose shares are regularly traded on an established securities market)							(If yes, please f stock exchan			ne stock e	xchan	nge on wh	ich the s	stock is reç	gularly tr	aded)				
2 Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market)				rket) N	ame o	(If yes, please f listed compar	y:										is regul	arly trade	ed)	
							of relation		sidiary c	of the Liste	ed Cor	mpany or		Controllec	l by a Li	sted C	Company			
3	Is the Entity an acti	ve NFE				Yes	(If yes, please	fill UBC	O decla	ration in th	he nex	xt section.	)							
					N	ature o	of Business:													
					PI	ease s	specify the sub	-catego	ory of A	ctive NFE			Mention	code: Ref	er instru	uction	15(c)			
4	Is the Entity a pass	ive NFE				Yes	(If yes, please	fill UBC	O decla	ration in th	he nex	xt section.	)							
					N	ature o	of Business:													
							letails refer				i.									
	DECLARATION FOR									isted Com	pany c	or is Contr	olled by	such Liste	d Comp	anv Pl	ease list t	pelow the	e details	of con
his de erson(s ateme	claration is not needed for C s), confirming ALL countries ant and Auditor's Letter with re	Companies th of tax reside equired details	at are listed on ar ency / permanent s as mentioned in l	iy recogn residency Form W8	nized stock e: cy / citizenshi BEN E.	chang and	ge or is a Subsi ALL Tax Identif	liary of cation I	f such Li Number	rs for EAC	H con	ntrolling pe	erson(s).	Owner-do	cumente	ed FFI'	's should	provide		
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his de rson(s ateme Ib. D Addre ormati at appl ditions <i>f</i> pass PAN / .	claration is not needed for C s), confirming ALL countries int and Auditor's Letter with re <b>DETAILS OF ULTIMAT</b> Name of UBO & Addre: Name of UBO & Addre: Ses Type: Residential or Bu: ion is not provided, it will be p licant has concealed the fact al information as may be requ	Sompanies th of tax reside quired details EBENEF ss ss ss siness (defau resumed that s of beneficial iired at your e ow additiona Jumber (PAN,	at are listed on ar ency / permanent s as mentioned in I ICIAL OWNE Address Type Address Type Ideasidential/Bu tapplicant is the U ownership. I/We a end. I details. (Please a Aadhaar, Passport,	siness/Ra BO, with liso under	nized stock e: cy / citizenshi BEN E. andatory] AN/Tax Pay entification N uivalent ID N Registered Off no declaratio ertake to keep Iditional shee Occupation Nationality:	(If the result of the result o	e or is a Subsi ALL Tax Identif e given spa Document Ty Refer instruct No. 15(d) tached docume bmit. In such ca formed in writing	iary of cation 1 ce be pe ion nts shch se, MAN about a provide ness, C	f such Li Number Count Resis perm resic	rs for EAC s not ad ry of tax dency/ nanent dency* self certific C reserves inges/modi	ed by 1 the rig	the UBO and the UBO and the UBO and the UBO and the address of the address of the address of the address of the UBO and the address of the ad	rson(s) ase att of ip and cert the app ove info BO doe BO doe	Owner-do ach mul UBO C (Manda ified by the plication or rmation in f	e applica a papplica a PAN. (1	Int or A allo	vertherised	provide (orms) / NO) ttach C gement ] d signatc	FFI Own	er Re penefi terest
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%In case Tax Identification Number is not available, kindly provide functional equivalent

Application No.:

Cheque/DD should be Drawn in favour of the scheme "Mirae Asset Arbitrage Fund (MAAF)"

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

eived Application from Mr. / Ms. / M/s.		For Lumpsum 'OR' as per details below:
Scheme Name and Plan	Payment Details	Date & Stamp of Collection Centre / IS
MIRAE ASSET ARBITRAGE FUND (MAAF)	Amount (Rs)	
	Cheque / DD No.:	
	Dated	
	Bank & Branch	
	1	Cheque / DD is subject to realisation

12.	FAICA AND CRS DETAILS (Self Certification) (Refer instruction No. 15)	
	PINDIVIDUALS: Please indicate all countries in which you are resident for tax numeroes and the associated i	Tax Poforo

ed Tax Reference Numbers below e all countries in which you are res FOR NON-INDIVIDUALS: Is the "Entity" a tax resident of any country other than India? No (If Yes, please provide country/ies in which the entity is a resident for tax purpose and the associated Tax Identi cation No. below)

1 <sup>st</sup> Applicant (Sole / Guardian / Non-Individual)				2 <sup>nd</sup> A	pplicant	3 <sup>rd</sup> Applicant			
Do you have any non Country(ies) of Birth Citizenship / Nationa and Tax Residency	Do you have any non-Indian Country(ies) of Birth / Citizenship / Nationality and Tax Residency		Do you have any non-Indian Country(ies) of Birth / Citizenship / Nationality and Tax Residency		Yes No	Do you have any no Country(ies) of Birth Citizenship / Nationa and Tax Residency	n-Indian // Yes No		
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Are you a US specifi person?	ed	Yes No Please provide Tax Payer Id.			Are you a US specifi person?	ed Yes No Please provide Tax Payer Id.			
For non-Individual inv	estor in ca	se, if you country of incorporation / Ta	ax resistance in US, but	you are no	ot a specified US person then please r	mention exemption code	Refer instruction 15(e))		
Individual or Non-Ind if ticked Yes above.	dividual in	vestors fill this section	Individual investor	have to f	ill in below details in case of joint a	pplicants			
	Countr	y:	Co		y:		Country:		
Tax Residency Status: 1	No.:		Tax Residency Status: 1	No.:		Tax Residency Status: 1	No.:		
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			Tax Residency Status: 3	No.:		Tax Residency Status: 3	No.:		
	Type:			Туре:			Туре:		
Address Type			Address Type			Address Type			

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

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

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

To The Trustees, Mirae Asset Mutual Fund (The Fund) – (A) Having read and understood the contents of the SID of the Scheme applied for (Including the scheme(s) available during the New Fund Offer period); I/We hereby apply for units of the said such scheme and agree to abide by the terms, conditions, rules and regulations governing the scheme. (B) I/We hereby declare that the amount invested in the scheme is through legitimate sources only and does not involve and is not designed for the purpose of the contravention of any provisions of the Income Tax Act, Anti Money Laundering Laws or any other applicable laws enacted by the Government of India from time to time. (C) Signature of the nominee acknowledging receipts of my/our credit will constitute full discharge of liabilities of Mirae Asset Mutual Fund. (D) The information given in / with this application form is true and correct and further agrees to furnish additional information sought by Mirae Asset Investment Managers (India) Private Limited\* (AMC) / Fund and undertake to update the information/details with the AMC / Fund/Registrars and Transfer Agent (RTA) from time to time. I/We hereby confirm that the AMC/Fund shall have the right to share my information and other details with the regulatory and government authorities as and when needed. I/We will indemnify the Fund, AMC, Trustee, RTA and other intermediaries in case of any dispute regarding the eligibility, validity and authorization of my/our transactions. (E) I/We further declare that "The ARN holder has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us. (F) I/We hereby confirm that I/We have not been offered/communicated any indicative portfolio and/ or any indicative yield by the Fund/AMC/its distributor for this investment. I/We have not received nor have been induced by any rebate or gifts, directly or indirectly in making this investment. (G) Applicable to Investors availing the online facility: I/We have read, understood and shall be bound by the terms & conditions of the PIN agreement available on the AMC website for transacting online. (H) RIA: I/We hereby agree to consent the AMC to share my transaction details to the registered investment advisor (RIA) through the registrar or otherwise. (I) Applicable to Foreign Resident's Residing in India:- I/We confirm that I/We satisfy the Residency test as prescribed under FEMA provisions. I/We further declare that I/We am/are "Person Resident in India" and are allowed to (IVIA) Infough the registrar for other Wise, (I) Applicable to Foreign Residences residences) and are are are anowed to invest into the Scheme as per the said FERM regulations and other applicable laws and benefore applicable laws and benefore laws of the applicable and there applicable laws and other applicable laws and benefore laws of the appli Aadhaar: I/We hereby voluntarily submit Aadhar card to the Fund/AMC for updating the same in my folio.

Additional investments (India) PvtLtd' to 'Mirae Asset Investment Managers (India) Private Limited'. Kindly reference co. SEBI/HO/IMD/DF5/OW/P/2019/30719/1 ("SEBI NOC") had granted their non-objection to transfer the AMC Business from 'Mirae Asset Global Investments (India) PvtLtd' to 'Mirae Asset Investment Managers (India) Private Limited'. Kindly refer notice cum addendum no. AD/28/2019 dated November 25, 2019 for further details.

(FOR INDIVIDUALS & NON-INDIVIDUALS)

MIRAE ASSET ARBITRAGE	SYSTEMATIC INVESTMENT PLAN (S				
An open ended scheme investing in arbitrage of	pportunities	Registration Cum Mandate Form with Goal SIP & Top-Up Application No.:			
Name & Broker Code/	Sub Broker /				



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Instrument       Bank Account Type ()       NRE       CURRENT       SAVINGS       NRO         LARATION & SIGNATURE: To The Tradees, Mire Asset Mukal Fund, Having read and understood the contents of the SID the Scheme applied for (including the scheme() available during the MeV Fund Offer penind), We hereby apply for units of the scheme applied for (including the scheme() available during the MeV Fund Offer penind), We hereby apply for units of the scheme applied for (including the scheme() available during the MeV Fund Offer penind), We hereby apply for units of the scheme applied for (including the scheme() available during the MeV Fund Offer penind), We hereby apply for units of the scheme applied for management and registration financial metagement in the discussor metagement and registration financial metagement with the Scheme Hause applied for metagement and registration financial metagement metagement and registration financial metagement and registration financial metagement metagement and registration financial metagement and registratin financial metagement and registration financi	nk Name		Core Banking A/c. No.			
	nch Name & Address				City	
scheme adaptes tablies by the terms, conditions, rules and regulations gevering the scheme & conditions of SP percentent and registration through NACHECS or Direct Debit (Mare block). We also addee that if the transaction is delayed uncelleted is a condition of the said standing instructions. The ARK holder has disclosed to metis all the commissions (in the rom of trail commission or any other model, payable to him for the different competing Schemes of We also and trails to be specifications. The ARK holder has disclosed to metis all the commissions (in the rom of trail commission or any other model, payable to him for the different competing Schemes of We also and trails to be specifications. The ARK holder has disclosed to metis all the commissions (in the rom of trail commission or any other model, payable to him for the different competing Schemes of We also and the commissions (in the rom of trail commission or any other model, payable to him for the different competing Schemes of We also and the section of the said specific to the finance of the ARK holder has disclosed to metis all the commissions (in the rom of trail commission or any other model) and the commissions (in the rom of trail commission or any other model). The commission of the ARK holder has disclosed to metis all the commissions (in the Rom of trail commission or any other model) and the commission or any other model). The analysis is the transaction or any other model (Scheme Ark holder). The ARK holder has disclosed to metis all the commissions (in the Rom of trail commission). The ARK holder has disclosed to metis all the commissions (in the Rom of trail commission). The ARK holder has disclosed to metis all the commissions (in the Rom of trail commission). The ARK holder has disclosed to metis all the commissions (in the Rom of trail commission). The ARK holder has disclosed to metis all the commissions (in the Ark holder). The Ark holder has disclosed to metis all the commissions (in the Ark holder). The Ark holder has disclosed to	igit MICR Code	Bar	nk Account Type 🕢		CURRENT SAVINO	S NRO
kaccount on the date of execution of the said standing instructors. The ANN holder has disclosed to melus all the commission of trail commission or any other medol, payable to him for the different competing Schemes of value used in a Standar We hereby outnative submit Advact with the period or in a timanical year. "Advactant We hereby outnative submit Advactant We hereby advactan	CLARATION & SIGNATURE: To The Trustees, Mirae Ass in scheme and agree to abide by the terms, conditions, rule	et Mutual Fund - Having read and understoo es and regulations governing the scheme &	od the contents of the SID of the S conditions of SIP enrolment and	cheme applied for (Including the so registration through NACH/ECS or	cheme(s) available during the New Fund O Direct Debit (Auto Debit). I/We also agree	ffer period); I/We hereby apply for units of the that if the transaction is delayed or not effecte
eeding 50,000 ha rolling 12 month poride or in a financial year". Addhaar: IVVb hereby voluntarily submit Addhaar: Card to lise Fund Address is im yfold(Please tot, Hendessof, Hend	k account on the date of execution of the said standing in	structions. "The ARN holder has disclose	ed to me/us all the commission	s (in the form of trail commissio	n or any other mode), payable to him fo	or the different competing Schemes of var
ia) PVLLd to Mirea Asset Investment Managers (India) Private Limited: Kindly refer notice addendum no. AD282019 dated November 25, 2019 for further details.       Signature of 2" Applicant/Guardian/Authorised Signatory/PoA         Signature of 1 <sup>th</sup> Applicant/Guardian/Authorised Signatory/PoA/Karta       Signature of 2" Applicant/Guardian/Authorised Signatory/PoA         MIRN       Bank Kesc       Date       0       M       9       V         As in BANK RECORDS       Date       0       M       9       V         Signature of 1 <sup>th</sup> Applicant/Guardian/Authorised Signatory/PoA/Karta       Signature of 2" Applicant/Guardian/Authorised Signatory/PoA       Signature of 2" Applicant/Guardian/Authorised Signatory/PoA         Mirae Asset Investment Managers (India) Pvt. Ltd       Bank Kesc       ✓ CREATE       M MODIFY       CANCEE         Utility Code       Bank Kesc       ✓ CREATE       M MODIFY       CANCEE         Utility Code       Bank Less       ✓ (Mirae Asset Investment Managers (India) Pvt. Ltd         io Debit (tick v)       SB       CA       CC       SB-NRO       Other       Bank A/c       Insect / MICR       Insect / Mirae         Vith Bank       Name of Customers bank       IFSC / MICR       IfSC / MICR       Insect / Mirae       Sa & when presented         Veeference 1       Folio No.       Folio No.       Keference 2       This is to confirm that the	eeding ₹50,000 in a rolling 12 month period or in a fina	ncial year". Aadhaar: I/We hereby voluntar	rily submit Aadhaar card to the Fu	nd/AMC for updating my address in	my folio. (Please tick , if enclosed)	
(AS IN BANK RECORDS)     (AS IN					ranted their non-objection to transfer the AN	IC Business from 'Mirae Asset Global Investn
(AS IN BANK RECORDS)       (AS IN BANK RECORDS)       (AS IN BANK RECORDS)         (AS IN BANK RECORDS)       (AS IN BANK RECORDS)         (AS IN BANK RECORDS)       Date       D       M       Y       Y         (AS IN BANK RECORDS)       Date       D       M       Y       Y         (AS IN BANK RECORDS)       Date       D       M       Y       Y         (AS IN BANK RECORDS)       Date       D       M       Y       Y         (AS IN BANK RECORDS)       Date       D       M       Y       Y         (AS IN BANK RECORDS)       Date       D       M       Y       Y         (AS IN BANK RECORDS)       (AS IN BANK RECORDS)       Date       D       M       Y       Y         (AS IN BANK RECORDS)         (UNRN       Sponsor Bank Code       Bank Ase       (AS IN BANK RECORDS)       (AS IN BANK RECORDS)       (AS IN BANK RECORDS)         (VIII (Intro)       SB       CA       CC       SB-NRO       Other       Bank Asc       (AS IN BANK RECORDS)         (VIII Bank       Name of customers bank       IFSC / MICR       (IfSC / MICR)       (AS & When presented Contech C						
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Adual Fund Sponsor Bank Code   Utility Code   Utility Code   Utility Code   IVWe hereby   Mirae Asset Investment Managers (India) Pvt. Ltd   authorize   Mirae Asset Investment Managers (India) Pvt. Ltd   authorize   IFSC / MICR       (India) Pvt. Ltd <p< td=""><td></td><td></td><td>Bank use</td><td></td><td>Date</td><td>D D M M Y Y Y</td></p<>			Bank use		Date	D D M M Y Y Y
authorize     authorize <td></td> <td>e Bank use</td> <td></td> <td></td> <td>CREATE X MO</td> <td>DIFY X CANCEL</td>		e Bank use			CREATE X MO	DIFY X CANCEL
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Image: Section of the debit of mandate processing charges by the bank whom I am authorizing to debit my account as per latest schedule of charges of the bank. 2. This is to confirm that the declaration has been carefully read, understood & made by me/us. I am authorized to cancel/amend this mandate by appropriately communicating the cancellation / amendment request to the user of the bank where I have authorized the debit.         PERIOD       From       D       M       Y       Y       Y         To       D       M       Y       Y       Y       Name Of Primary Account Holder       Name Of Joint Account Holder       Name Of Joint Account Holder						
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PERIOD         From       D       D       M       Y       Y       Y         To       D       D       M       Y       Y       Y         Name Of Primary Account Holder       Name Of Joint Account Holder       Name Of Joint Account Holder       Name Of Joint Account Holder	iser entity/Corporate to debit my account, based on the in					
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# **GENERAL GUIDELINES**

- This mandate registration form will be submitted through National Automated Clearing House (NACH).
- s mandate registration form will be submitted through National Automated Clearing House (NACH). This facility is offered to investors having Bank accounts in select banks mentioned in the link http://www.npci.org.in/ The Banks in the list may be modified/updated/changed/removed at any time in future entirely at the discretion of National Payments Corporation of India (NPCI) without assigning any reasons or prior notice. Standing instructions for investors in such Banks will be discontinued. The investor consents to agree to abide by the terms and conditions of NACH facility of NPCI. By signing this Systematic Investment Plan Application form, the Applicant(s) hereby authorises Mirae Asset Investment Managers (India) Private Limited, Investment manager to Mirae Asset Mutual Fund acting through their authorised service providers to debit the mentioned Bank A/c provided by NACH / ECS (Auto Debit Clearing / Direct Debit) Facility or any other facility for collection of SIP payments SIP payments. 2
- Decay submit the NACH mandate registration form not less than 25 business days before the first installment date. The installment start date shall not be later than 100 calendar days from the date of application submission date. Applicant acknowledges that incomplete or ambiguous forms in any respect will not be processed & AMC reserves the right to reject such
- applications. Investor shall have the option of choosing any date of the month as the SIP date from 01st to 28th except the last three calendar dates 29th, 30th and 31st. If SIP debit date is not mentioned default date would be considered as 5th of every month. Even If the 3 Investor selects or mentions the SIP dates as 29th, 30th or 31st, the default SIP date would be considered as 05th of even
- north only. Investor/Unitholder(s) should preferably provide their mobile number and email id on the mandate form. Where the mobile number and email id mentioned on the mandate form differs from the ones as already existing in the folio, the details provided 4. updated mobile number and email id. In the folio. All future communication whatsoever would be, thereafter, may be sent to the updated mobile number and email id.
- updated mobile number and email d. Investor/Unitholder(s) should submit original Cancelled Cheque (or a copy) along with mandate form with name and account number pre-printed of the bank account to be registered or bank account verification letter for registration of the mandate failing which registration may not be accepted. The Unitholder(s) cheque/bank account details are subject to third party verification. Investors are required to ensure adequate funds in their bank account on the date designated SIP date. Mirae Asset Mutual Fund (MAMF) through its service provider will endeavor to debit the investor bank account on or after the said date. 5.
- Applicant acknowledges that Mirae Asset Mutual Fund will not be liable in any manner whatsoever, for any transaction failures due to rejection by the investor's bank/branch, which is due to technical reasons or due to delay in registration of the NACH mandate. Further, Applicant is aware that he/she has to sufficiently keep its bank account funded for such non-debited transactions; which upon confirmation may be presented anytime to its bank for stipulated SIP debits. Further, the Applicant 7 also confirms that it will not hold Mirae Asset Mutual Fund and/or its service providers responsible if the transaction is delayed or not effected by its Bank or if debited in advance on an Pre-Debit note or after the specific date due to various reasons or for any bank charges debited by its banker in its designated account towards NACH Registration / Cancellation/Rejections, NACH
- any bain cause of the second of the second s 8
- damage etc., incurred by the investor. The Applicant is aware and assumes the entire risk of using the Auto Debit facility of NACH and takes full responsibility for the same.
  9. Mirae Asset Mutual Fund / Mirae Asset Trustee Co. Pvt. Ltd. / Mirae Asset Investment Managers (India) Private Limited reserves the right to discontinue or modify this facility at any time in future on a prospective basis. This right also includes the right to discontinue or modify this facility at any time in future on a prospective basis. This right also includes the right to discontinue this facility in case Direct Debits through NACH routes are continuously rejected by the investor's bank for any reasons. Mirae Asset Mutual Fund reserves the right to reject any application without assigning any reason thereof.
  10. Kindly note that any change in original SIP enrolment details such as SIP Date, Frequency, Tenure will be considered as fresh application and will be subject to applicable load structure and other terms at the time of application. Any change in any change in a private the use to the structure and other terms at the time of application.
- credential of bank particulars or transaction modification, will be treated as fresh Instructions, and applicants will have to use separate form for such changes/modifications. 11. Requests for any changes/cancellation in the NACH Bank Mandate request should be submitted at least 15 Business days in
- advance
- Investments made through Auto Debit mode are subject to realization of funds from investor bank accounts and the NAV guidelines will be applicable for the transactions which are connected with realization of funds.
   In case any payment instruction for SIP installment is dishonored by the Bankers for three consecutive times for the reason
- Account (Dosed or In sufficient balance or any technical reasons a provided by NPCI (Aggregator.
   The facility will be automatically terminated upon receipt of intimation of death of the Unitholder. Further, fresh registrations will be required for all Minor Investors who have turned Major, along with fresh bank account credentials. MAMF reserves the right
- to reject all such transactions through old registrations. 15. Each SIP installment will be treated as a fresh transaction and shall be subject to applicable exit load structure prevailing on the date of each investment. 16. Third Party Cheque / Funds Transfer: The payment towards investment can happen only from the bank account of 1st holder
- I hird Party Cheque / Funds Transfer: The payment towards investment can happen only from the bank account of 1st holder and therefore the 1st holder needs to be one of the holder in the bank account. As per the recent guidelines, Mirae Asset Mutual Fund has decided to restrict the acceptance of Third Party payments. Accordingly Third Party payment instruments for subscriptions / investments shall not be accepted by the AMC except in the following cases: Payment by Parents / Grand-Parents / related persons on behalf of a minor in consideration of natural love and affection or as gift for a value not exceeding Rs. 50,000/- (each regular purchase or per SIP instalment); Payment by employer on behalf of am Filor a Client. Consolidation behalf of an Filor a Client.
- I)
- iii)
- Information and a refer the section on Third Party cheques given in the General Instructions.
  17. Please refer the "Minimum Application/Number of units" mentioned in the KIM under the section "Applicable to all schemes" for minimum subscription amount and frequency. Please take note of the Minimum Amount Criteria as under:

Schemes	Monthly / Quarterly Frequency	ין	-
Mirae Asset Arbitrage Fund	₹ 1000 - 5 Installments - Multiples of ₹ 1 thereafter	1	24
All Other Schemes	₹ 1000 - 5 Installments - Multiples of ₹ 1 thereafter		

Please note Default Option is Growth. In case of Dividend, default option is Dividend reinvestment. In case of ambiguity at Plan

- Here in the branch of priority of the priority of simultaneously.
- 9. Employee Unique Identification Number (EUIN): SEBI has made it compulsory for every employee / relationship manager / sales person of the distributor of mutual fund products to quote the EUIN obtained by him / her from AMFI in the ApplicationForm. EUIN, particularly in advisory transactions, would assist in addressing any instance of misspelling even if the ApplicationForm. EUIN, particularly in advisory transactions, would assist in addressing any instance of misspelling even if the employee / relationship manager/sales person later leaves the employment of the distributor. Individual ARN holders including senior citizens distributing mutual fund products are also required to obtain and quote EUIN in the Application Form. Hence, if your investments are routed through a distributor please ensure that the EUIN is correctly filled up in the Application Form. Hence, if However, if your distributor has not given you any advice pertaining to the investment, the EUIN box may be left blank. In this case, you are required to tick mark the box provided above the signature box. However, in case of any exceptional cases where there is no interaction by the employee/sales person / relationship manager of the distributor/sub broker with respect to the transaction,AMCs shall take the requisite declaration separately signed by the investor.

# Instructions to fill Mandate:

- UMRN To be left blank
- Date in DD/MM/YYYY format
- Sponsor Bank code to be left blank for office use only. Utility Code: Unique code of the entity to whom mandate is being given To be provided by the entity.
- 5. Name of the entity to whom the mandate is being given.
- Account type SB/CA/CC/SB-NRE/SB-NRO/OTHER
- 7. Tick Select your appropriate Action a. Create For New Mandate
- b. Modify For Changes / Amendment on existing Mandate
   c. Cancel For cancelling the existing registered Mandate
   8. Your Bank Account Number for debiting the amount.
- Name of your bank and branch.
   Your Bank branch IFSC code OR
- 11. Your Bank branch MICR code

Ва

- 20. Mirae Asset Mutual Fund/Sponsor Bank/NPCI are not liable for the bank charges, if any debited from investor's bank account
- by the destination bank no portion banker of payment through NACH. 21. For further details of the Scheme features like minimum amounts, risk factors etc, investors should, before investment, refer to the Scheme Information Document(s), Key Information Memorandum and Addenda issued available at any of the Investor Service Centers or distributors or from the website www.miraeassetmf.co.in
- Service Centers or distributors or from the website www.miraeassetmf.co.in 22. Additional for MICRO Systematic Investment Plans (MICRO SIPs) As per SEB guidelines, Lumpsum and SIP investments in mutual funds up to Rs.50,000 per year, per investor, per mutual fund shall be exempted from the requirement of PAN subject to other operational guidelines. Any investment, lumpsum or through Systematic Investment Plans (SIPs) by investors, where aggregate of investments/instalments in a rolling 12 months period, does not exceed Rs. 50,000/- per investor will be treated as Micro investments for the above purpose. Micro investments will be accepted subject to PAN 'exemption in KYC process. This exemption will be applicable ONLY to investments by individuals (not NRI & PIOs), Minors and Sole proprietary firms. HUFs and other categories will not be eligible for Micro Investments. The exemption is applicable to joint holders also. In case under MICRO SIP: the first SIP Instalment is processed (as the cheque may be banked), and the application is found to be defective, the Micro SIP registration will cease for future instalments. No refund to be made for the units already allotted. However redemptions will be allowed based on the submission of normal prescribed Redemption Transactions Sin. Investors may submit any one of the Photo Identification documents (blease refer prescribed Redemption Transaction Slip. Investors may submit any one of the Photo Identification documents (please refer paragraph titled PAN under the General instructions) along with KYC form and proof of addresss (self-attested). No separate address proof is required if Photo ID with address mentioned on it is submitted. The photo identification documents have to be current and valid and also to be either self-attested or attested by ARN holder (AMFI Registered Distributor). All the applicants
- including second and third applicant (if any) is mandated to submit any of the above documents. 23. Terms & Conditions SIP Top-up: SIP Top-Up' is a facility which will enable investors to increase the amount of SIP installments at pre-defined frequency by a fixed amount during the tenure of SIP.The features, terms and conditions for availing the 'Top-Up' facility shall be as follows: SIP Top-Up facility can be availed at half yearly and yearly intervals. In case the Top-Up frequency is not specified, Default will be considered as yearly frequency. Minimum Top-Up amount would be Rs. 500/- & in multiples of Re. 1/- thereafter for all the schemes of the Fund that offer SIP-
  - In case the investor does not specify Top-Up amount, Rs. 500/- will be considered as the Top-Up amount and the request will be processed accordingly. SIP Top-up facility can be started after minimum 6 months from the date of 1st SIP for both New and Existing SIP Investors.
  - the end-date of the Top-up facility is not mentioned the Top-up facility will be continued up till the tenure of the SIP. For example, if the SIP is registered up till 2099, and the end date of the Top-up facility is not mentioned; then the Top-up will continue till 2099. SIP top-up facility is currently available only for SIP registration and installment payments made directly with the fund and
  - through modes like NACH/Auto Debit mode. SIP Top up facility is currently not available for SIP registration and installment being made by submission of Post-dated cheques (PDCs) and where SIP is registered and installment sers ent through Mutual Fund Utility (MEU). NSE MFI is ystem of NSE or SISE Star MF platform of BSE or any other platforms of these stock exchanges or Channel partners, Mirae Asset Online SIP (I-SIP). As & When relevant systems are put in place, this facility will
- exchanges of Channel partners, Mirae Asset Online SIP (FSIP). As a When relevant systems are partner prace, una recency with be automatically offered. The Top-up details cannot be modified once enrolled. In order to make any changes, the investor must cancel the existing SIP and enroll for a fresh SIP with Top-up option. In case the SIP Top up is cancelled the SIP will continue to be processed with the last topped up amount till the SIP end date-SIP and provide availed by Existing Investors who have already registered any SIP with the fund, after a gap of 6 months from the date of submission of such Top Up application request and after the subsequent cycle date SIP has been processed.
- All other conditions generally applicable for SIP shall also be applicable for SIP top-up facility. or Example if for an Existing SIP, the First SIP date is 15th of each Month from Jan 2016; and the Top Up application request is submitted on 22nd Feb, 2018. The Next SIP date will be 15th of March, 2018; therefore the Top Up will start after 6 Months from 15th of September, 2018
- Top-Up facility would be available to all existing and new SIP enrolments. Existing investors who have enrolled for SIP are also eligible to avail Top-Up facility and will be required to submit 'Systematic Investment Plan (SIP) with Top-up Facility' at least 25-30 calendar days prior to the Top-Up start month. An Illustration: The Top-Up facility will work as follows:

i. The top op idenity will b		
Is of SIP registered		Details of Top-up opted for
Period: 01-April-2019 till	31-March-2022 (3 years)	Example: • Top-Up Amount: Rs. 1,000/- • Top-Up Frequency: Every 6 months
etails, SIP Installments	shall be as follows:	
SIP Installment (in ₹) (A)	Top-Up amount (in ₹) (B)	Monthly SIP Installment amount after Top-up (in ₹) (A+B)
5,000	NA	5,000
	Is of SIP registered d SIP Installment amoun Period: 01-April-2019 till Date: 1st of every month etails, SIP Installments SIP Installment (in ₹) (A)	d SIP Installment amount: ₹ 5,000/- Period: 01-April-2019 ill 31-March-2022 (3 years) Date: 1st of every month (36 installments) etails, SIP Installments shall be as follows: SIP Installment (in ₹) (A) (in ₹) (B)

10(3).	(	(11 () (D)	
1 to 6	5,000	NA	5,000
7 to 12	5,000	1,000	6,000
13 to 18	6,000	1,000	7,000
19 to 24	7,000	1,000	8,000
25 to 30	8,000	1,000	9,000
31 to 36	9,000	1,000	10,000*
			*(At-least amount to be filled on NACH Mandate)

24. Terms & Conditions - Goal Based SIF

- SIP application can have only one Goal assigned. Investors will be required to submit separate application forms for each Goal
- Units will not be automatically redeemed upon achievement of Goal and the SIP shall continue till the term of the SIP, even after the crossing of the Goal Amount. Further, Units will be redeemed as per First In First Out basis for any redemption applied for.
- Goal Amount & type of Goal is mandatory for each Goal SIP Application. Default option will be Retirement Planning where no Goal is ticked. If no Goal amount is mentioned on the SIP application in section 2a., then the SIP will be registered as a regular SIP & not as Goal SIP.
- SIP & not as Goal SIP. Goal SIP facility is currently not available for SIP registered/submitted through Post-dated cheques (PDCs), OR through Mutual und Utility (MFU), OR through MFSS system if NSE or BSE Star MF platform of BSE or any other platforms of these stock exchanges or Channel partners or Mirae Asset online SIP (I-SIP). As & when relevant systems are put in place, this facility will be automatically offered on respective platforms. Investors may kindly note that the status of Goal sip cannot be changed once registered. Investors will have a choice to discontinue the Goal SIP, with a prior notice if 15 days. All other conditions generally applicable for SIP shall also be applicable for Goal SIP.

- 12. Amount in words 13. Amount in figures
- Frequency at which the debit should happen.
   Whether the amount is fixed or variable.
- 16.Reference 1: Any details requested by the entity to whom the mandate is being given 17.Reference 2: Any details requested by the entity to whom the mandate is being given.
- 18. Your phone number
- 19. Your email-id
- 20. Period for which the debit mandate is valid
- a. Start date
- b. End date
- c. Or until cancelled 21. Signatures of the account holder as per holding pattern in bank records.
- 22. Name of the account holder.

# INSTRUCTIONS

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

#### 1. General Instructions

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

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

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

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

Individual Investors: (i) New individual investors: (ii) New individual investors who have never done KYC under KRA (KYC Registration Agency) regime and whose KYC is not registered or verified in the KRA system will be required to fill the new CKYC form while investing with the Fund. (iii) fany new individual investor uses the old KRA KYC form, then such investor will be required to differ fill the new CKYC form or provide the missing/additional information using the Supplementary CKYC form. (iii) Investors who have already completed CKYC and have a KYC Identification Number (KIN) from the CKYC platform can invest in schemes of the Fund quoting their designated KIN issued by CKYC on the application form (14 digits for normal accounts and 15 digits for simplified and small accounts). Further, in case the investor's PAN is not updated in CKYC system, a self-certified copy of PAN Card shall be mandatory. Further, the ANC/ Mutual Fund shall use the KIN of the investors to durated by the form of the form CKYC and the start of the investors to durated by the form of the form CKYC and the start of the investors to durated by the form of the form CKYC and start of the investors to durated by the form of the form CKYC and start of the investors to durated by the form of the form CKYC and start of the investors to durated by the form of the form CKYC and start of the investors to durated by the form of the form CKYC and start of the investors to durated by the form of the form CKYC and start of the investors to durated by the form of the form CKYC and start of the investors to durated by the form of the form CKYC and start of the investors to durated by the form of the form CKYC and start of the investors to durated by the form of the form CKYC and start of the investors to durated by the form of the form CKYC and start of the investors to durated by the form of the form CKYC and start of the investors to durated by the form of the form download the KYC information from CKYC and update its records as and when required. The CKYC form and Supplementary CKYC form for individual investors and common application form are available on our website. Currently there is no impact on the Existing Investors who have done the SEBI KYC (KYC thru 5 KRAs, CVL, NDML, DOTEX, KARVY & CAMS). They can

- the Existing Investors who have done the SEBI KYC (KYC thru 5 KRAs, CVL, NDML, DOI EX, KARVY & CAMS). They can continue to invest as it is in any schemes of any Mutual Fund; Existing Investors who wishes to onboard themselves on the CKYC platform will need to again do the entire KYC process just like New Investor and get the KIN which can be used across. (e) Rejection: In case of non-compliance of any C-KYC requirements, Applications shall liable to be rejected without any initimation to the applications. Any Change in Address for all KYC compliant Investors has to be routed through KRA and that direct application to AMC will be not processed/rejected. In case if the applications are rejected after detailed scrutiny and verification, either at the collection point itself or subsequently by the back office of the registrars for any reason, investors can contact the nearest Investor Service Centre or write to the Registrars, Ms. Karvy Fintech Pvt. Ltd. or send an email to customercare@miraeasset.com.
- Customerate and the application is under a power of Attorney (POA), a duly certified copy thereof duly notarized should be the application. The POA document should contain the signature of both the application. The POA document should contain the signature of both the application and the constituted Attorney. (iii) Applications made by a Limited Company or a Body Corporate or a registered Society or Trust, should be accompanied by a copy of the relevant resolution or authority to make the application, as the case may be, along with a certified copy of the MÓA and AOA or Trust deed/Bye laws/Partnership deed, whichever is applicable. Refer to document check list.

#### 3. Bank Account Details:

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

a. Cancelled original cheque of the new bank mandate with first unit holder name and bank account number printed on the face of the cheque. b. Self-attested copy of bank statement. c. Bank passbook with current entries not older than 3 months. d. Bank Letter duly signed by branch manager/authorized personnel. The AMC may also collect proof of Old Bank details while effecting the Change of Bank "Mandate. There shall be a cooling period of 10 calendar days for validation and registration of new bank account. In case of receipt of redemption request during this cooling period, the validation of new Bank mandate and dispatch of redemption proceeds shall be completed within 10 working days to the new bank account; however, the AMC reserves the right to process the redemption request in the old bank mandate, if the credentials of the new bank mandate cannot be authenticated. Any COB accompanied with any other transaction is liable to be rejected. If unit holder(s) provide a new and unregistered bank mandate or a change of bank mandate request with specific redemption/dividend payment request (with or without necessary supporting documents) such bank account may not be considered for payment or redemption/dividend proceeds, or the Fund may withheld the payment for upto 10 calendar days to ensure validation of new bank mandate mentioned.

b) Indian Financial System Code (IFSC) Investors are requested to mention the IFSC while submitting any bank details updation request to help facilitate the payouts seamlessly through the electronic route. IFSC is an 11 digit number given by the banks on the cheques

4. Multiple Bank Accounts Registration Facility: The unitholder may register more than one bank account through the 'Multiple Bank Accounts Registration Facility'', to receive redemption/dividend proceeds. The unitholder may choose to receive the proceeds in any of the bank accounts, the details of which will be registered under the folio. For the purpose of registration of bank account(s), the investors must submit in original through the future to ensure the folio. The purpose of registration of bank account(s), the investors must submit in original any one of the following documents of the new bank account: (a) Cancelled original cheque of the new bank mandate with first unit holder name and bank account number printed on the

(d) Can be cheque. (b) Self-attested copy of bank statement. (c) Bank passbook with current entries not older than 3 months. (d) Bank Letter duly signed by Branch Manager/Authorized personnel. If photocopies of the above stated documents are submitted, investor must produce the original for verification at the official point of acceptance of transaction. The original shall be returned to the investor over the counter upon verification. If the originals are not produced for verification, then the photocopies submitted should be attested in original by the Branch Manager or Authorised personnel of the Bank.

#### 5. Direct Credit of Redemption/Dividend Proceeds:

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

#### 6. Investment Details:

- a) Resident Investors may make payment by cheque payable locally in the city where the application form is submitted at the local Mirae Asset Mutual Fund (MAMF)/AMC office or Authorised Collection Centre(s).
   b) Please mention the application serial number on the reverse of the cheque/demand draft tendered with the CAF. The cheque
- b) Please mention the application serial number on the reverse of the cheque/demand draft tendered with the CAF. The cheque should be drawn in favor of respective scheme name. Non MICR/ Outstation Cheques/Money Orders/Post Dated Cheques or Cash is not permitted. Investors residing in Centres, where the Investors Service Centres (ISCs)/Authorised Collection Centre(s) of MAMF are not located, are requested to make payment by demand draft spayable at the Centre where the application is to be lodged. D.D. charges would be borne by the AMC only for the investors residing at places which are not covered by our offices/authorised centres. The maximum charges so borne by the AMC would be restricted to limits as prescribed by State Bank of India. Please refer SAI for complete details on D.D. charges. c) In case the payment is made through Indian Rupee draft purchased abroad from FCNR or NRE A/C, Account Debit certificate from the Bank issuing the draft, confirming the debit should be submitted.

For subscription made by NRE/FCNR Account cheques, the CAF must be accompanied with a photocopy of the cheque or Account debit Letter/certificate from the bankers. FIRC certificate is required to be submitted evidencing source of funds through Non Domestic Account. The AMC and the Registrar may ascertain the repatriation status purely based on the details provided under Investment and Payment details and will not be liable for any incorrect information provided by the applicant(s). In case the source of funds through Non Domestic Account is not validated/provided, AMC will not be in a position to repatriate redemption proceeds.

- d) Application should indicate the Option (Dividend/Growth) for which the application is made. In absence of information the request would be processed under the default option as mentioned in the SID/SAI of the relevant scheme. For Direct Investments, please mention "Direct" in the column "Broker / Agent Code".
- e) Third Party Cheque/Funds Transfer will not be allowed for Investment subscriptions (lumpsum/SIP) except in the following cases. Installments of SIPs registered before November 15, 2010 will not be affected (refer Addendum dated November 12, 2010):
  - Payment by Parents/Grand-Parents/related persons on behalf of a minor in consideration of natural love and
    affection or as gift for a value not exceeding Rs. 50,000/- (each regular purchase or per SIP installment). However this
    restriction will not be applicable for payment made by a guardian whose name is registered in the records of Mutual Fund in that folio:
- Payment by employer on behalf of employee under Systematic Investment Plan (SIP) facility through payroll deductions: Custodian on behalf of an FII or a Client.
   f) Options Available: Dividend and Growth Default Option: Growth; and under Dividend Option, Default option:

Dividend Reinvestment. Investors may please note, that Dividend may be declared by the Trustee, subject to the availability of distributable surplus as per the Regulations. Dividend Reinvestment can be availed at Daily, Weekly (Record date: Wednesday) & Monthly basis (Record date: 24th of every month). Kindly read the SID for frequency availability in respective scheme applied for.

#### Communication: 7.

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

- 1. Consolidation of account statement shall be done on the basis of PAN. In case of multiple holding, it shall be PAN of the first holder and pattern of holding.
- The CAS shall be generated on a monthly basis and shall be issued on or before 10th of the immediately succeeding month to the unit holder(s) in whose folio(s) transaction(s) has/have taken place during the month.
   In case there is no transaction in any of the mutual fund folios then CAS detailing holding of investments across all schemes of all Mutual Funds will be issued on half yearly basis [at the end of every six months (i.e. September/ March)]
   Investors having MF investments and holding securities in Demat account shall receive a Consolidated Account Statement containing details of transactions across all Mutual Fund schemes and securities from the Depository by email (ubwisced mode
- email / physical mode

5. Investors having MF investments and not having Demat account shall receive a CAS from the MF Industry containing details of transport and the first minimum being transfer plan and bonus transactions. CAS shall not be received by the Unit holders for the tolog(s) wherein the FAN. details are not updated. The Unit holders are therefore requested to ensure that the folic(s) are updated with their PAN. For Micro SIP and Sikkim based investors whose PAN details are not mandatorily required to be updated Account Statement will be dispatched by MAMF for each calendar month on or before 10th of the immediately succeeding month. In case of a specific request received from the Unit holders, MAMF will provide the account statement to the investors within 5 Business Days from the receipt of such request. Annual Reports or other information etc., may be Investors within 5 bisiness bays from the receipt of such request. Annual Reports of other information etc., may be sent to unit holders by email. Investors can choose to receive e-mail communication from us in lieu of printed documents, when a unit holder has communicated his/her email address and has provided consent for sending communication only via e-mail. Investor(s) who have provided their email address in the application form or any subsequent communication in any of the foliobelonging to the investor, Electronic Mail (email) shall be treated as a default mode for sending various statutory communications including Abridged Annual Report to the investor. However, the unit holder always has the right to request a physical copy of any statutory communication and the AMC will arrange for the same to be sent to the unit holder. The AMC/Mutual Fund/Registrars & Transfer agents are not responsible for the email not reaching the investor and for all consequences thereof. The investor needs to intimate the Fund/its transfer agents about any changes in the email address from time to time.

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

#### 9. Nomination Details:

A Unit Holder in the scheme maybe allowed to nominate upto a maximum of three nominees. The nomination will be on a A Offit holder in the solution integration of the provincial gives a meaning of the integration of the normalized for the normalized in the rest of the integration of the provincial gives and the KIM/application form and / or separate normalize and evaluate in the data as a minimum of the rest of the normale(s) will be captured by the Registrar and will be available in the data base maintained. Upon receipt of infimation in the rest of the normale(s) will be captured by the Registrar and will be available in the data base maintained. Upon receipt of infimation in the rest of the normal of the normal of the normal of the rest of the normal of the rest of the normal of the rest of th The nominee(s) will be captured by the Registrar and will be available in the data base maintained. Upon receipt of initimation from the nominee(s) regarding demise of the investor, duly accompanied with necessary documents e.g. providing proof of the death of the Unit Holder, letter from nominee, attested copy of the death deth certificate of the unit holder, KYC and complete bank details of nominee along with his signature duly attested in original by the banker, furnishing proof of guardianship if the nominee(s) arminor, and such other documents as may be required from the nominee in favor of and to the satisfaction of the AMC/Registrar, the units will be transmitted to the nominee(s) as per the percentage advised by the investor and a confirmation/fresh Statement of account will be sent to the new holder(s). Only the following categories of Indian residents can be nominated: (a)individuals; (b) minors through parent/legal guardian (whose name and address must be provided); (c) religious or charitable trusts; and (d) Central Government, State Government, a local authority or any person designated by virtue of his office However Non Individual, including society, trust, body corporate, partnership firm, Karta of HUF, persons applying on behalf of minor or on power of attorney cannot nominate. A nomination in respect of Units will be trated as rescinded upon the Redemption of all Units. Cancellation of a nomination can be made only by the Unit Holders who made the original nomination and must be notified in writing. On receipt of a valid cancellation, the nominee. The transfer of Units/payment to the nominee of the Redemption proceeds shall be valid and effectual against any demand made upon the Units/payment to the nominee of the Redemption proceeds shall be valid and effectual against any demand made upon the Fund/AMC/Trustee and shall discharge the Fund/AMC/Trustee of all liability towards the estate of the deceased Unit Holder and his/her legal personal representative or other successors. The Fund, the AMC and the Trustee are entitled to be and make tega poission representative of other successions into rund, including the form and the device are similar to the index of the mass of them may suffer or incur in connection with a nomination. The Investor may choose to provide or not provide the details of his nominee. Accordingly he shall choose to select the option provided under the application form of the scheme.

### 10. Waiver of Entry Load and Payment of commission and load structure:

No entry load will be charged by the Scheme to the investor. The upfront commission on investment made by the investor, if any, shall be paid to the ARN Holder directly by the investor, based on the investor's assessment of various factors including service rendered by the ARN Holder. Investors should note the following instructions for ensuring that the application is treated as a direct application:

 Broker code, if already printed on the forms must be struck off and countersigned by the investors.
 Ensure that the broker code block in the form is not left blank (i.e. it should be either struck of or indicated 'direct' or NA). However, if the investor does not specify the application as "Direct" or otherwise, then the AMC treats such applications as "Direct" in the interest of the investors.

11. Transaction charges (TC): In case of applications of Rs. 10,000 & more and routed through a distributor who has opted for such TC, are deducted from the subscription may be applicable from time to time: (I) Rs. 150/- from a first time mutual fund investors application (An investor who invests for the first time ever in any mutual fund either by way of subscription or SIP); (ii) Rs. 100/- from an existing mutual fund investors application. Units will be issued against the balance amount. Please tick the appropriate box as applicable to you. However, TC - in case of investments through SIP registered, shall be deducted only if the total commitment (i.e. amount per SIP installment x Number of installments) amounts to Rs. 10,000/- or more. The TC shall be deducted in 4 installments i.e. from the 2nd to the 5th installment, equally (In case there is a rejection for the reasons of non-availability of amount in the bank or bounce of cheque for any other reasons within 2 to 5th installments, TC will be deducted from the subsequent installments). If no option is ticked, the mutual fund reserves a right to check with investments in other mutual funds to ascertain new or existing investors. Transaction charges shall not be deducted for transactions carried out through the stock exchange platforms (i.e. BSE StAR MF Platform). In addition to above, upfront commission to distributors shall continue to be paid by the investor directly.

# INSTRUCTIONS

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

In order to assist in in addressing any instance of mis-selling at any point of time, it is regulatory for every employee/relationship manager/sales person of the distributor/broker (interacting with the investor for the sale of Mutual Fund products) of mutual fund products to quote the EUIN (for non-advisory transactions ('execution only') & advisory transactions) obtained from AMFI In the CAR. The EUIN is a 7 digit unique alpha numeric number (one alphabet and six numerals), individual ARN holders including senior citizens are also required to obtain and quote EUIN in the Application Form. Hence, if your investments are routed through a distributor please ensure that the EUIN is correctly filled up in the Application Form. It is further clarified that a mere quoting of EUIN will not give an "advisory" character to the transaction. However, in case of any exceptional cases where there is no interaction by the employee/sales person/relationship manager of the distributor/sub broker with respect to the transaction, AMCs shall take the declaration separately signed by the investor, as mentioned on the top of the application form(s).

### 13. Units in Demat mode:

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

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

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

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

### 15. Details under FATCA & CRS

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

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

#It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form. Financial Institution (FI): The term FI means any financial institution that is a Depository Institution, Custodial Institution,

Investment Entity or Specified Insurance company, as defined under FATCA guidelines.

- Non-Financial Entity (NFE): Types of NFEs that are regarded as excluded NFE are: a. Publicly traded company (listed company): A company is publicly traded if its stock are regularly traded on one or more established securities markets (Established securities market means an exchange that is officially recognized and supervised by a governmental authority in which the securities market is located and that has a meaningful annual value of shares traded on the exchange).
  b. Related entity of a publicly traded company: The NFE is a related entity of an entity of which is regularly traded on an established focurities market shows a provide the securities market is located and that has a meaningful annual value of shares traded on the exchange).
- established securities market

### c. Active NFE : (is any one of the following):

### Code Sub-category

- Less than 50 percent of the NFE's gross income for the preceding financial year is passive income and less than 50 percent of the assets held by the NFE during the preceding financial year are assets that produce or are held for the production of passive income; 01
- 02 The NFE is a Governmental Entity, an International Organization, a Central Bank, or an entity wholly owned by one or more of the foregoing;
- 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; 03
- 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; 04
- 05 The NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution;
- 06 The NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution;
- Institution; Any NFE that fulfills all of the following requirements: (1) It is established and operated in India exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in India and it is a professional organization, business league, chamber of commerce, labor organization, agricultural or horticultural organization, orici league or an organization organization, business league, chamber of commerce, labor organization, business league, chamber of commerce, labor organization, agricultural or horticultural organization, orici league or an organization operated exclusively for the promotion of social welfare; (2) It is exempt from income tax in India; (3) It has no shareholders or members who have a proprietary or beneficial interest in its income or assets. The applicable laws of the NFE's country or territory of residence or the NFE's formation documents do not permit any income or assets of the NFE's cound well have the fair market value of project which the NFE has purchased; and The applicable lews 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 critering provided in the said sub-clause, namely-c 1(2) a Credit Guarantee Fund Trust for Small Industries referred to in clause (23EC), or section 10 of the Act; The tote of the netter of the netter of the netter of the netter of the clause (23EC), or disclause the distributed to an investor Profection Fund referred to in clause (23EC), or disclause the term of the netter of the nett 07
- 08 The stock of the entity is regularly traded on an established securities market or the non financial entity is a related entity of the entity, the stock of which is regularly traded on an established securities market.
- d. Document Type: Please mention the Code or Document as: "A" Passport; "B" Election ID Card; "C" PAN CARD; "D" Driving License; "E" NREGA Job Card.
   e. Exemption code for U.S. person (Refer 114F(9) of Income Tax Rules, 1962 for details.

(i) An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37). (ii) The United States or any of its agencies or instrumentalities. (iii) A state, the District of Columbai, a possession of the United States or any of their political subdivision or instrumentalities. (iv) A corporation the stock of which is regularly traded on one or more established securities markets, as described in Reg. section 1.1472-1(c)(1)(i). (v) A

corporation that is a member of the same expanded affiliated group as a corporation described in Reg. section 1.1472-1(c)(1)(i), (vi) A dealer in securities, commodities, or derivative financial instruments (including national principal contracts, futures, forwards and options) that is registered as such under the laws of the United States or any state. (vii) A real estate investment trust. (viii) A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the investment company act of 1940. (ix) A common trust fund as defined in section 584(a). (ix) A bank as defined in section 581. (ix) A broker. (ixii) A trust exempt from tax under section 664 or described in section 4947(a)(1). (ixiii) A tax exempt trust under a section 403(b) plan or section 457(g) plan.

Passive Income includes: Dividends; Interest; Income equivalent to interest, Rents and royalties, other than rents and royalties derived in the active conduct of a business conducted, at least in part, by employees of the NFE; Annuities; excess of gains over losses from the sale or exchange of financial assets that gives rise to passive income; excess of gains over losses from transactions (including futures, forwards, options and similar transactions) in any financial assets, excess of foreign currency gains over foreign currency losses; Net income from swaps; Amounts received under cash value insurance contracts. (But passive income will not include, in case of a non-financial entity that regularly acts as a dealer in financial assets, any income from any transaction entered into in the ordinary course of such dealer's business as such a dealer.)

Passive NFE means: any non-financial entity which is not an active non-financial entity including a publicly traded corporation or related entity of a publicly traded company; or an investment entity defined in clause (b) of these instructions a withholding foreign partnership or withholding foreign trust; (Note: Foreign persons having controlling interest in a passive NFE are liable to be reported for tax information compliance purposes). Direct reporting NFE means: a NFFE that elects to report information about its direct or indirect substantial U.S. owners to

Owner documented FFI: An FFI meets the following requirements: The FFI is an FFI solely because it is an investment centry: The FFI is not owned by or related to any FFI that is a depository institution, custodial institution, or specified insurance company; The FFI does not maintain a financial account for any non participating FFI; The FFI provides the designated withholding agent with all of the documentation and agrees to notify the withholding agent if there is a change in circumstances; and The designated withholding agent agrees to report to the IRS (or, in the case of a reporting Model 1 IGA, to the relevant foreign government or agency thereof) all of the information described in or (as appropriate) with respect to any specified U.S. persons and (2). Notwithstanding the previous sentence, the designated withholding agent is not required to report information with respect to an indirect owner of the FFI that holds its interest through a participating FFI, a deemedcompliant FFI (other than an owner-documented FFI), an entity that is a U.S. person, an excepted NFE.

- 16. With effect from January 1, 2014, as per the US Securities Act of 1933, United States Person (U.S. Person), corporations and other entities organized under the applicable laws of the United States (U.S.) and Residents of Canada as defined under the
  - All existing registered SIP and Systematic Transfer Plans would be ceased.
     All existing registered SIP and Systematic Transfer Plans would be ceased.

  - For transaction from Stock Exchange platform, while transferring units from the broker account to investor account, if the investor has U.S./Canadian address then the transactions would be rejected. In case the AMC/MAMF subsequently identifies that the subscription amount is received from U.S. Person(s) or
  - Resident(s) of Canada, in that case the AMC/Fund at its discretion shall redeem all the units held by such person from the Scheme of the Fund at applicable Net Asset Value.

### 17. Ultimate Beneficial Owner (UBO)

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

For Investor other than Trust: A 'Natural Person', who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest. Controlling ownership interest means ownership of / entitlements to: (i) more than 25% of shares or capital or profits of the juridical person, where the juridical person is a company; (ii) more than 15% of the capital or profits of the juridical person, where the juridical person is a partnership; or (iii) more than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.

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

- For Trust: The settler of the trust, the trustees, the protector, the beneficiaries with 15% or more of interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership
- Applicability for foreign investors: The identification of beneficial ownership in case of Foreign Institutional Investors (FIIs), R Applicability for foreign investors. The left inclusion of beneficial ownership in date of redge in the sub-accounts and Multilaterial Funding Agencies / Bodies Corporate incorporate outside India with the permission of Government of India / Reserve Bank of India may be guided by the clarifications issued vide SEBI circular CIR/MIRSD/11/2012 dated September 5, 2012.
- UBO Code Description: UBO-1: Controlling ownership interest of more than 25% of shares or capital or profits of the juridical person [Investor], where the juridical person is a company. UBO-2: Controlling ownership interest of more than 15% of the capital or profits of the juridical person [Investor], where the juridical person is a partnership. UBO-3: Controlling ownership interest of more than 15% of the property or capital or profits of the juridical person [Investor], where the juridical person is an interest of more than 15% of the property or capital or profits of the juridical person [Investor], where the juridical person is an interest of more than 15% of the property or capital or profits of the juridical person [Investor]. Where the juridical person is an interest of more than 15% of the property or capital or profits of the juridical person [Investor]. Where the juridical person is an interest of more than 15% of the property or capital or profits of the juridical person [Investor]. Where the juridical person is an interest of more than 15% of the property or capital or profits of the juridical person [Investor]. Where the juridical person is an interest of more than 15% of the property or capital or profits of the juridical person [Investor]. Where the juridical person is an interest of more than 15% of the property or capital or profits of the juridical person [Investor]. Where the juridical person is an interest of more than 15% of the property or capital person [Investor]. Where the juridical person is an interest of more than 15% of the person person [Investor]. The person [Investor] where the juridical person [Investor]. The person [Investor] where the juridical person [Investor] wher С unincorporated association or body of individuals. UBO-4: Natural person exercising control over the juridical person through other means exercised through voting rights, agreement, arrangements or in any other manner [In cases where there exists doubt under UBO-1 to UBO-3 above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests]. UBO-5: Natural person who holds the position of senior managing official [In case no natural person cannot be identified as above]. UBO-6: The settlor(s) of the trust. UBO-7: Trustee(s) of the Trust. UBO-8: The Protector(s) of the Trust [if applicable]. UBO-9: The beneficiaries with 15% or more interest in the trust if they are natural person(s). UBO-10: Natural person(s) exercising ultimate effective control over the Trust through a chain of control or ownership.

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

# APPLICATION FORM FOR AUTO SWITCH OUT TO NEW FUND OFFER SCHEME MIRAE ASSET ARBITRAGE FUND (MAAF)

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



Name & Broker Code/ ARN/RIA Code		Sub Broker / Agent ARN Code	Sub Agent Code	EUIN*	Internal Code for AMC	ISC Date Time Stamp Reference No.
the EUIN box h advice of in-ap	nas been intentionally left blank by me opropriateness, if any, provided by th	/us as this transaction is executed with	nout any interaction or advice b les person of the distributor/s	by the employee/relationship ub broker. RIA/Declaration	manager/sales person of the above di "I/We hereby give you my/our conse	details on EUIN. I/We hereby confirm tha stributor/sub broker or notwithstanding the ent to share/provide the transactions data
1. EXIST	TING UNIT HOLDER INFORM	IATION (The details in our re	cords under the folio	number mentioned w	ill apply for this application.)	
Folio No.:		Nam	ne of 1 <sup>st</sup> Unit Holder:			
2. ADDI	TIONAL PURCHASE					
KYC compl	iance status: Please (✓)	1 <sup>st</sup> Applicant	2	<sup>nd</sup> Applicant	3 <sup>rd</sup> Applicant	
Scheme			Regular Plan     Direct Plan	Growth (Default)	Div. Payout Div. Reinvestment (Defa	ult)
*Dividend fr	equency is applicable only for	Mirae Asset Cash Manageme	ent Fund & Mirae Asset S	Savings Fund.		
Payment T	ype: Please (✔)	Non-Third Party Payme	nt D Third Party	Payment (Please at	ach 'Third Party Payment De	claration Form')
Core Bank	ing A/c No.:			A/c. Ty	pe Please 🖌 ) 🗌 NRE 🗌 C	
Cheque /	/ DD / UTR No. & Date	Amount of Cheque / DD / RTGS / NEFT in figures (₹)	Net Purchase Amount	Drawn on I Branc		-In Bank A/c No. or Cheque Only)
TRANSAC	TION CHARGES (Refer Instr	uction No. 11 of the KIM)In	case, the additional p	ourchase amount is	₹ 10,000 or above and dist	ributor has opted to receive
					nall be allotted for the balance	
			-		tioned as given in folio, matches	
	Securities Depository Li	imited (NSDL)			Services (India) Limited	(CDSL)
DP Name	: 		DF	P Name:		
DP ID I	N B	enef. A/C No.	16	Digit A/C No.		
Enclosures	s: Please (🗸 )	ient Masters List (CML)	Transaction	cum Holding Statem	ent Deliv	very Instruction Slip (DIS)
		WITCH UNITS / AMOUNT AS		ABOVE THE PURCI	1	
From Sch	ieme		<ul><li>Regular Plan</li><li>Direct Plan</li></ul>	Growth	Div. Payout Div. Reinvestment	Div frequency*
Amount (ir	n figures) (₹):	1	Or Units (	in figures):	1	Or All Units
Amount (ir	n words) (₹):			5,		
To Schem	ne: MIRAE ASSET ARBITE	RAGE FUND Regular	Plan Direct Pl	an Growth (D	efault) Div. Payout	Div. Reinvestment (Default)
*Dividend fr	equency is applicable only for	Mirae Asset Cash Manageme	ent Fund & Mirae Asset S	Savings Fund.	1	
4. DECL	ARATION AND SIGNATURE	S / THUMB IMPRESSION OF	APPLICANT(s) [Refer	Instructions 2(f) of K	IM]	
agree to abide by provisions of the Asset Mutual FL information/deta //We will indemn form of trail com indicative portfol //We have read, (RIA) through th invest into the SL notify the AMC, i, confirm that the i will be presumed has concealed ti Aadhaar: //We h Securities and	y the terms, conditions, rules and regulation: Income Tax Act, Anti Money Laundering La und. (D) The information given in I with this alis with the AMC / Fund/Registrars and Tran ify the Fund, AMC, Trustee, RTA and other i mission or any other mode), payable to him lio and/ or any indicative yield by the Fund/A understood and shall be bound by the term: e registrar or otherwise. (I) Applicable to For cheme as per the said FEMA regulations an in which event the AMC reserves the right to information provided by me / us on this Form that applicant is the ultimate beneficial owr he facts of beneficial ownership. I/We also to ereby voluntarily submitAadhar card to the FI Exchange Board of India ("SEBI") vide its to	s governing the scheme. (B) I/We hereby de www.or any other applicable laws enacted by application form is true and correct and fu- sifer Agent (RTA) from time to time. I/We here ntermediaries in case of any dispute regard for the different competing Schemes of vari MC/fts distributor for this investment. I/We he s & conditions of the PIN agreement availab eign Resident's Residing in India:- I/We con d other applicable laws and regulations. (J) or redeem my / our investments in the Schem nis true, correct, and complete. I / We also undertake to keep you informed in writing at "und/AMC for updating the same in my folio."	clare that the amount invested in the the Government of India from time there agrees to furnish additional i reby confirm that the AMC/Fund sha ng the eligibility, validity and author ous Mutual Funds from amongst wi ave not received nor have been ind le on the AMC website for transact firm that I/We satisfy the Residency I / We confirm that I am / We are no e(s). (K) FATCA/CRS Certification: onfirm that I/We have read and un se, the concerned SEBI registered joout any changes/modification to the reference no. SEBI/HO/IMD/DF5//	s scheme is through legitimate so to time. (C) Signature of the nor information sought by Mirae Ass all have the right to share my infoi ization of my/our transactions. (E nich the Scheme is being recomr uced by any rebate or gifts, direc rig online. (H) RIA: I/We hereby : test as prescribed under FEMA t United States person(s) under I // We have understood the infor Jerstood the FATCA& CRS Term intermediary reserves the right to e above information in future & a DW/P/2019/30719/1 ("SEBI NO	urces only and does not involve and is not de linee acknowledging receipts of my/our credi et Investment Managers (India) Private Lim mation and other details with the regulatory a ) IWe further declare that "The ARN holder I nended to me/us. (F) IWe hereby confirm th ty or indirectly in making this investment. (G) agree to consent the AMC to share my transs orovisions. IWe further declare that IWe am he laws of United States or resident(s) of Ca mation requirements of this Form (read alons a and Conditions and hereby accept the sam reject the application or reverse the allotmer also undertake to provide any other additions C°) had granted their non-objection to trans	ereby apply for units of the said such scheme an signed for the purpose of the contravention of an signed for the purpose of the contravention of an ited" (AMC) / Fund and undertake to update th and government authorities as and when needed as disclosed to me/us all the commissions (in th at UWe have not been offered/communicated am Applicable to Investors availing the online facility scion details to the registered investment adviso (are "Person Resident in India" and are allowed to nada. In case of change to this status, 1 //We shail with the FATCA& CRS Instructions) and hereby e. In case the above information is not provided, it of units, if subsequently it is found that applican al information as may be required at your end. (L fer the AMC Business from 'Mirae Asset Globa
	of 1 <sup>er</sup> Applicant/Guardian/Authorised 5 (AS IN BANK RECORDS)		ure of 2 <sup>™</sup> Applicant/Guardian / (AS IN BANK REC			Suardian/Authorised Signatory/PoA ANK RECORDS)
	ceived Application from Mr.	/ Ms. / M/s.				as per details below:
	Scheme Name		Pavm	ent Details	Date & Stamp	of Collection Centre / ISC
2						

Scheme Name and Plan	Payment Details	Date & Stamp of Collection Centre / ISC
MIRAE ASSET ARBITRAGE FUND (MAAF) (AUTO SWITCH OUT APPLICATION FORM)	Amount (Rs) Cheque / DD No.: Dated Bank & Branch	
		Cheque / DD is subject to realisation

# **INSTRUCTIONS**

- 1. Auto Switch facility is a Special facility available to the existing investors having investments in Specified Schemes of Mirae Asset Mutual Fund (MAMF) only during the New Fund Offering (NFO) period whereby investors can switch their units from such Specified Schemes at the specified date during the NFO Period.
- Unit holders are advised to read the Statement of Additional Information (SAI), Scheme Information Document (SID) and Key Information Memorandum (KIM) of the Scheme which is available at all the Designated Investor Service Centers (ISCs), Brokers / Distributors and on our website www.miraeassetmf.co.in carefully before investing.
- This Auto Switch Form can be used only by Existing Unit holders having investments in specified schemes of Mirae Asset Mutual Fund to switch their units. MAMF reserves the right to extend or limit the said facility on such terms and conditions as may be decided from time to time. For eligible/specified transferor scheme please refer to SID.
- 4. Existing unit holders having investments in schemes other than specified schemes and wish to switch their investments have to fill up Switch Section of the Application Form.
- 5. The application for Auto Switch will be processed on the closing day of the NFO .
- 6. All valid Auto Switch request would be treated as switch out / redemption for the Transferor Scheme.
- 7. The units from the Specified Transferor Scheme will be switched, subject to provisions mentioned in the Scheme Information Document of the Transferor Scheme. The units in the Transferee Scheme will be allotted at the NFO Price of the Scheme on the Specified Schemes Specified Schemes allotment date.
- 8. Unit holder are required to maintain clear balance in accordance with amount specified in the Auto Switch Application Form on the execution date. In case of insufficient balance in the account / folio, the application for Auto Switch will be rejected.
- 9. Unit holders should note that Unit holders' details and mode of holding (single, joint, anyone or survivor) in the Transferee Scheme will be as per the existing folio number of the Transferer Scheme. Units will be allotted under the same folio number
- 10. The Unit holders are given an Option to hold the units by way of an Account Statement or in Dematerialized ('Demat') form. Unit holders opting to hold the units in Demat form must provide their Demat Account details in the specified section of the application form. The Unit holder intending to hold the units in Demat form are required to have a beneficiary account with the DP (registered with NSDL / CDSL as may be indicated by the Fund at the time of launch of the Plan) and will be required to indicate in the application the DP's name, DP ID Number and the Beneficiary account number of the applicant with the DP. In case Unit holders do not provide their Demat Account Statement shall be sent to them. Such investors will not be able to trade on the stock exchange till the holdings are converted in to Demat form.
- 11.For Direct Investments, please mention "Direct" in the column "Name & Broker Code / ARN".
- 12. This facility will not be available for units which are under any Lien/Pledged or any lock-in period.
- 13. The application is subject to detailed scrutiny and verification. Applications which are not complete in all respect are liable for rejection either at the collection point itself or subsequently after detailed scrutiny / verification at the back office of the Registrar.
- 14.MAMF reserves the right to withdraw this amend or withdraw this facility or change the procedures from time to time.
- 15.Investors are requested to clearly mention the Plan and the Option in which investment is to be made. In case of any ambiguity, the application will be liable to be rejected. In the absence of clear indication as to the choice of Option (Growth or Dividend Payout), by default, the units will be allotted under the Growth Option of the Plan.
- 16.Investors subscribing under Direct Plan of the Mirae Asset Arbitrage Fund will have to indicate the Scheme / Plan name in the application form as "Mirae Asset Arbitrage Fund - Direct Plan". Investors should also indicate "Direct" in the ARN column. In case ARN code is mentioned in the application form, but "Direct Plan" is indicated against the Scheme name, ARN code will be ignored and the application will be processed under Direct Plan. If the investor does not mention Direct against the scheme name and the ARN code is also not provided the default allotment would be made in the Direct Plan.
- 17.Employee Unique Identification Number (EUIN) would assist in tackling the problem of mis-selling even if the employee / relationship manager / sales person leave the employment of the distributor.