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

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KEY INFORMATION MEMORANDUM

of

Mirae Asset ESG Sector Leaders Fund of Fund

An open ended fund of fund scheme predominantly investing in Mirae Asset ESG Sector Leaders ETF.

Product Labelling_

Mirae Asset ESG Sector Leaders Fund Of Fund is suitable for investors who are seeking*

- To generate long term capital appreciation/income.
- Investments predominantly in units of Mirae Asset ESG Sector Leaders ETF



Riskometer

Investors understand that their principal will be at Very High Risk

Continuous offer for units at NAV based prices.

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 Centres 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.

 $^{^*} Investors should consult their financial advisers if they are not clear about the suitability of the product$

Investment Objective

The investment objective of the scheme is to provide long-term capital appreciation from a portfolio investing predominantly in units of Mirae Asset ESG Sector Leaders ETF.

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

Asset Allocation Pattern of the scheme

Under normal circumstances, the asset allocation will be as follows:

| Types of Instruments | Indica alloca (% of tota | tion | Risk Profile |
|--|--------------------------------|---------|--------------|
| | Minimum | Maximum | |
| Units of Mirae Asset ESG Sector Leaders ETF | 95% | 100% | High |
| Money market instruments / debt securities, | 0 | 5% | Low to |
| Instruments and/or units of debt/liquid schemes of | | | Medium |
| domestic Mutual Funds | | | |

- The Scheme shall not invest in securitised debt.
- The Scheme shall not invest in Structured Obligations / Credit Enhancements.
- The Scheme shall not invest in derivatives.
- The scheme shall not participate in repo in corporate debt securities.
- The Scheme shall not engage in securities lending or short selling
- The Scheme shall not participate in Credit Default Swaps
- The Scheme shall not invest in foreign securities

The Scheme will invest in the units of Mirae Asset ESG Sector Leaders ETF managed by Mirae Asset Mutual Fund as per the above stated asset allocation. The cumulative gross exposure through Units of Mirae Asset ESG Sector Leaders ETF, Money market instruments / debt securities, Instruments and/or units of debt/liquid schemes of domestic Mutual Funds shall not exceed 100% of the net assets of the Scheme.

The cumulative gross exposure to money market instruments, debt instruments will generally not exceed 5% of the Net Assets of the Scheme. However, cash or cash equivalents with residual maturity of less than 91 days shall be treated in gross exposure as per SEBI Circular no. Cir/ IMD/ DF/ 11/2010 dated August 18,2010.

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

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

Pending deployment of funds of a scheme in securities in terms of investment objectives of the scheme a mutual fund can invest the funds of the scheme in short term deposits of scheduled commercial banks. The investment in these deposits shall be in accordance with SEBI Circular dated April 16, 2007, June 23, 2008, August 16, 2019 and September 20, 2019.

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. As per investment objective, the scheme will predominantly invest in units of Mirae Asset

Investment Strategy

ESG Sector Leaders ETF.

Investments made from the net assets of the Scheme would be in accordance with the investment objective of the Scheme and the provisions of the SEBI (MF) Regulations. The AMC will strive to achieve the investment objective by way of a judicious portfolio mix comprising of Debt and Money Market Instruments and equity/ equity related instruments.

Risk Profile of the Scheme

Mutual Fund Units involve investment risks including the possible loss of principal. Please read the Scheme Information Document (SID) carefully for details on risk factors before investment.

The Scheme is subjected to risk factors associated with risks associated with Debt & Money Market Instruments, Risks associated with segregated portfolio, Risks associated with investing in Tri-Party Repo through CCIL (TREPS), Risks associated with investing in underlying schemes.

Risk Control measures

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

Concentration Risk

The Scheme will try and mitigate this risk by investing in large number of companies so as to maintain optimum diversification and keep stock-specific concentration risk relatively low.

Liquidity Risk

As such the liquidity of stocks that the fund invests into could be relatively low. The fund will try to maintain a proper asset-liability match to ensure redemption / Maturity payments are made on time and not affected by illiquidity of the underlying stocks.

Risks Associated with Equity Investments:

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.

Risks Associated with Debt & Money Market Instruments

Credit Risk - The fund has a rigorous credit research process. There is a regulatory and internal cap on exposure to each issuer. This ensures a diversified portfolio and reduced credit risk in the portfolio.

While these measures are expected to mitigate the above risks to a large extent, there can be no assurance that these risks would be completely eliminated.

Risk Mitigation measures

- The FoF will invest in ETFs, which in cumulation will endeavor to have a diversified equity portfolio comprising stocks across various sectors of the economy to reduce sector specific risks. All the underlying ETF scheme related risk factors will apply to the Fund of Fund.
- Any investments in debt securities would be undertaken after assessing the associated credit risk, interest rate risk and liquidity risk.

The Scheme will also invest in debt securities and money market instruments.

- The credit quality of the portfolio will be maintained and monitored using in-house research capabilities as well as inputs from external sources such as independent credit rating agencies.
- The investment team will primarily use a top down approach for taking interest rate view, sector allocation along with a bottom up approach for security/instrument selection.
- The bottom up approach will assess the quality of security/instrument (including the financial health of the issuer) as well as the liquidity of the security.
- Investments in debt instruments carry various risks such as interest rate risk, reinvestment risk, credit risk and liquidity risk etc. Whilst such risks cannot be eliminated, they may be minimized through diversification.

Risk is an inherent part of the investment function. Effective risk management is critical to fund management for achieving financial soundness. Investments by the Scheme shall be made as per the investment objective of the Scheme and provisions of SEBI (MF) Regulations. AMC has incorporated adequate safeguards to manage risk in the portfolio construction process. Risk control would involve managing risk in order to keep it in line with the investment objective of the Scheme. The risk control process involves identifying & measuring the risk through various Risk Measurement Tools like but not limited to calculating risk ratios, tracking error etc. The AMC has implemented MFund as the Front Office and Settlement System (FOS). The system has incorporated all the investment restrictions as per SEBI guidelines and "soft" warning alerts at appropriate levels for preemptive monitoring. The system enables identifying & measuring the risk through various risk measurement tools like various risk ratios, average duration and analyzes the same so as to act in a preventive manner.

The risk control measures for managing the debt portion of the scheme are:

- 1. Monitoring risk adjusted returns performance of the fund with respect to its peers and its benchmark.
- 2. Tracking analysis of the fund on various risk parameters undertaken by independent fund research / rating agencies or analysts and take corrective measures if needed.
- 3. Credit analysis plays an important role at the time of purchase of bond and then at the time of regular performance analysis. Our internal research anchors the credit analysis. Sources for credit analysis include Capital Line, CRISIL, ICRA updates etc. Debt ratios, financials, cash flows are analysed at regular intervals to take a call on the credit risk.
- 4. We define individual limits for G-Sec, money market instruments, MIBOR linked debentures and corporate bonds exposure, for diversification reasons.

The Scheme does not propose to underwrite issuances of securities of other issuers. There will be no exposure to securitized debt securities in the portfolio.

Plans and Mirae Asset ESG Sector Leaders Fund of Fund shall have Regular Plan and Direct Plan and

Options

offers two options viz., Growth and (2) Income Distribution cum capital withdrawal option (IDCW) under both the Plans.

The shall have 2 sub options: (a) Payout of Income Distribution cum capital withdrawal option ("Payout of IDCW") (b) Reinvestment of Income Distribution cum capital withdrawal option ("Reinvestment of IDCW")

Growth Option: The returns from investments are generated through capital appreciation of units' price and no dividend will be declared.

Income Distribution cum capital withdrawal option (IDCW): 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).

Payout of Income Distribution cum capital withdrawal option ("Payout of IDCW"): 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.

Reinvestment of Income Distribution cum capital withdrawal option ("Reinvestment of IDCW"): 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 Payout of IDCW will fall to the extent of the 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 Income Distribution cum capital withdrawal option but does not specify the sub-option then the default sub-option shall be Reinvestment of Income Distribution cum capital withdrawal option ("Reinvestment of IDCW").

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 ESG Sector Leaders Fund of Fund". 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 opens for repurchase)

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.

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:

- i. In respect of valid applications received 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.
- ii. In respect of valid applications received 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.
- iii. Irrespective of the time of receipt of applications 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.

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 Amount for Application

Investors can invest under the Scheme during the New Fund Offer period and ongoing offer period with a minimum investment of Rs.5,000/- and in multiples of Re. 1/- thereafter.

During ongoing offer period, for subsequent additional purchases, the investor can invest with

| Dispatch of Repurchase (Redemption) | the minimum amount of Rs. The redemption or repurch working days from the date | ase proceeds | s shall be disp | atched to th | | hin 10 | | | |
|---|---|--|--|--|--|--------|--|--|--|
| Request Benchmark Index | NIFTY100 ESG Sector Lead | ders Index (T | RI index) | | | | | | |
| Dividend Policy | 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). Such dividends if declared will be paid under normal circumstances, only to those Unit holders who have opted for Payout of IDCW. 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 15 days from the date of declaration of the dividend. In case the delay is beyond 15 days, then the AMC shall pay interest @15% p.a. from the expiry of 15 days till the date of dispatch of the warrant. The Scheme will be managed by Ms. Ekta Gala. | | | | | | | | |
| Name of the Fund Manager | The Scheme will be manage | d by Ms. Ekt | a Gala. | | | | | | |
| Name of the Trustee Company | Mirae Asset Trustee Compa | ny Private Li | mited | | | | | | |
| Scheme | | | | | | | | | |
| Scheme performance | Particulars | | an – Growth | | n – Growth | | | | |
| | Particulars Compounded Annualised Growth Returns (CAGR) | Regular Pl option Scheme returns (%) | an – Growth Benchmark Returns (%) | Direct Pla option Scheme returns (%) | Benchmark Returns (%) | | | | |
| | Compounded Annualised Growth Returns (CAGR) | option Scheme returns (%) | Benchmark Returns (%) | option Scheme returns (%) | Benchmark Returns (%) | | | | |
| | Compounded Annualised Growth Returns (CAGR) Since Inception | option Scheme returns | Benchmark Returns | option Scheme returns | Benchmark Returns | | | | |
| | Compounded Annualised Growth Returns (CAGR) | option Scheme returns (%) 11.78 | Benchmark Returns (%) | option Scheme returns (%) 12.01 | Benchmark Returns (%) | | | | |
| | Compounded Annualised Growth Returns (CAGR) Since Inception Last 1 year | option Scheme returns (%) 11.78 NA | Benchmark Returns (%) 12.4148 NA | Scheme returns (%) 12.01 NA | Benchmark Returns (%) 12.4148 NA | | | | |
| | Compounded Annualised Growth Returns (CAGR) Since Inception Last 1 year Last 3 years | option Scheme returns (%) 11.78 NA NA | Benchmark Returns (%) 12.4148 NA NA | option Scheme returns (%) 12.01 NA NA | Benchmark Returns (%) 12.4148 NA NA | | | | |
| | Compounded Annualised Growth Returns (CAGR) Since Inception Last 1 year Last 3 years Last 5 years | option Scheme returns (%) 11.78 NA NA NA 11.178 | Benchmark Returns (%) 12.4148 NA NA | option Scheme returns (%) 12.01 NA NA NA | Benchmark Returns (%) 12.4148 NA NA | | | | |



Past performance may or may not be sustained in future and should not be used as a basis for comparison with other investments.

For this purpose the inception date is deemed to be the date of allotment. The calculations of returns shall assume reinvestment of all payouts at the then prevailing NAV. The absolute graph of is computed from the Date of Allotment/1st Jan, as the case maybe, to 31st Dec of the respective financial year.

Expenses of the Scheme 1.Load Structure

During New Fund Offer and Ongoing Offer Periods

Entry Load: Not Applicable: 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.

Exit Load: Nil

As per SEBI/IMD/CIR No. 14/120784/08 dated March 18, 2008, no load would be charged on Bonus units.

The investor is requested to check the prevailing load structure of the scheme before investing. No exit load is chargeable in case of switches made between different options of schemes, subject to regulations, the Trustee retains the right to change / impose an Exit Load. A Switch-Out/Withdrawal under SWP will also attract an exit load like any redemption. Exit load is applicable for all the Plans (i.e. the Regular Plan & the Direct Plan) under the Scheme by applying First in First Out basis. No Exit Load is chargeable in case of switches made between different Sub-options of the same plan. To elaborate, units for redemption/SWP transactions are extinguished based on the first-in first-out methodology. The holding period for particular units is calculated from the date of its allotment. If the unit balance, so wish to be redeemed does not fulfill the minimum number of days (as per the exit load structure), appropriate number of balance such units will be charged an exit load. All such units which have completed the minimum number of days as per exit load structure will not be charged any exit load.

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

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

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

the following steps:

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

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

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

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 the following expenses will be charged to the scheme as expenses as permitted under Regulation 52 of SEBI (MF) Regulations. For the actual current expenses being charged, the investor should refer to the website of the Fund.

2. Recurring Expenses

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 1.00% |
| Trustee fee | |
| Audit fees | |
| Custodian fees | |
| RTA Fees | |
| Marketing & Selling expense incl. agent commission** | |
| Cost related to investor communications | |
| Cost of fund transfer from location to location | |
| Cost of providing account statements and 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 @@ | |
| GST on expenses other than investment and advisory fees | |
| GST on brokerage and transaction cost | |

| | Other Expenses* | 1 |
|-------------------|--|---------------------|
| | * | |
| | Maximum total expense ratio (TER) permissible under Regulation 52 (6) (c) (i) and (6) (a) | |
| | ^ 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% |
| | Additional expenses for gross new inflows from specified entes | Opto 0.3070 |
| | Provided that the total expense ratio to be charged over and above the vof the total expense ratio of the underlying scheme shall not excee weighted average of the total expense ratio levied by the underlying sche the overall ceilings as stated in the above table. | d two times the |
| | *Other expenses: Any other expenses which are directly attributable to the charged with approval of the Trustee within the overall limits as specified i except those expenses which are specifically prohibited. | |
| | ^ Such expenses will not be charged if exit load is not levied/not applicable t | to the scheme. |
| | For the actual current expenses being charged, the investor should refer to Mutual Fund. | the website of the |
| | **Direct Plan shall have a lower expense ratio excluding distribution experence. and no commission for distribution of Units will be paid / charged unde TER of the Direct Plan will be lower to the extent of the abovementi expenses/ commission which is charged in the Regular Plan. | r Direct Plan. The |
| | @@ Brokerage and transaction costs which are incurred for the purpose of and is included in the cost of investment shall not exceed 0.12 per cent in catransactions. | |
| | Actual expenses for the financial year 2020-21, inclusive of Service Tax | : |
| | Regular Plan: 0.68% | |
| | Direct Plan: 0.17% | |
| | Direct Fight 0.17/0 | |
| Waiver of | Not Applicable. | |
| Load for | Tiot ripplication. | |
| Direct | | |
| Applications | | |
| Tax | Investors are advised to refer to the paragraph on Taxation in the "Statem | ent of Additional |
| treatment for | Information" or "Scheme Information Document" and to consult their own | |
| the Investors | advisors with respect to the specific amount of tax and other implications a | rising out of their |
| (Unitholders) | participation in the scheme. | |
| Daily Net | The NAV will be declared on all business days. NAV can also | |
| Asset Value (NAV) | www.miraeassetmf.co.in and www.amfiindia.com. Investors can also call v 777" (toll-free from a MTNL / BSNL landline) to know the latest NAV. | us on "1800 2090 |
| Publication | | |
| For Investor | Mr. Somak Banerjee | |
| Grievances | Mirae Asset Investment Managers (India) Private Limited | |
| please | 606, 6th Floor, Windsor Bldg., Off CST Road, Kalina, Santacruz (E), Mumb | ai - 400 098. |
| contact | Telephone Nos.: 6780 0300 e-mail: customercare@miraeasset.com | |
| | Investors are advised to contact any of the ISCs or the AMC by calling of the AMC at "1800 2090 777" (toll-free from a MTNL / BSNL Is | |
| | queries. Investors can also visit the website at www.miraeassetmf.co. details. | |

Unitholders' Information

Account Statement:

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:

- 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.
- 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 be sent to the Unit holder in whose folio transactions have taken place during that month, on or before 15th of the succeeding month by mail/email.
- In case of non-availability of PAN, AMC will send monthly account statement for any financial transactions undertaken during the month on or before 15th day of the succeeding month by mail/email.
- 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 within 5 Business Days from the receipt of such request by mail/email.
- The Unit holder may request for a physical account statement by writing/calling the AMC/ISC/R&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.
- 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 21st day of succeeding month, to all such Unit holders in whose folios no transaction has taken place during that period. The half yearly consolidated account statement will be sent by e-mail to the Unit holders whose email address is available, unless a specific request is made to receive in physical form.
- The holding(s) of the beneficiary account holder for units held in demat mode will be shown in the statement issued by respective Depository Participants (DPs) periodically.

For more details, please refer the Scheme Information Document (SID) and Statement of Additional Information (SAI).

Monthly/Half Yearly Portfolio Disclosures: 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.

Annual Financial Results: Pursuant to Regulation 56 of SEBI (Mutual Funds) Regulations, 1996 read with SEBI Circular No. Cir/IMD/DF/16/2011 dated September 8, 2011, read with SEBI Mutual Fund (Second Amendment) Regulation 2018, the scheme wise annual report or abridged summary thereof will be hosted on the website of the Mirae Asset Mutual Fund viz. https://miraeassetmf.co.in and on the website of AMFI, not later than four months after the close of each financial year (31st March). The AMCs shall display the link prominently on the website of the Mirae Asset Mutual Fund viz. https://miraeassetmf.co.in and make the physical copies available to the unitholders, at their registered offices at all times. Unit holders whose e-mail addresses are not registered will have to specifically 'opt in' to receive physical copy of scheme wise annual report or abridged summary thereof. The unit holders may request for a physical copy of scheme annual reports at a price and the text of the relevant scheme by writing to the Mirae Asset Investment Managers (India) Pvt Ltd. / Investor Service Centre / Registrar & Transfer Agents. The Mutual Fund / AMC shall provide a physical copy of abridged report of the annual report, without charging any cost, on specific request received from a unit holder. An advertisement shall be published every year disclosing the hosting of the scheme wise annual report on website of Mirae Asset Mutual Fund and on the website of AMFI and the modes such as SMS, telephone, email or written request (letter) through which a unitholder can submit a request for a physical or electronic copy of the scheme wise annual report or abridged summary thereof.

Disclosures in terms of SEBI circular no. SEBI/HO/IMD/DF2/CIR/P/2016/42 dated March 18, 2016:

Fund Managers details

Ms. Ekta Gala manages the scheme

| Sr. No. | Particulars | Details |
|---------|---------------------------|---|
| i. | Name | Ms. Ekta Gala |
| ii. | Age | 27 years |
| iii. | Qualification | B.Com & Inter CA (IPCC) |
| iv. | Last 10 years' experience | Ms. Ekta Gala has over 3 years of experience as a dealer. Prior to this assignment, Ms. Ekta Gala was associated with ICICI Prudential Asset Management Company Ltd. |
| | | The other schemes being managed by Ms. Ekta Gala are: • Mirae Asset ESG Sector Leaders ETF • Mirae Asset Nifty Next 50 ETF • Mirae Asset ESG Sector Leaders Fund of Fund |

| v. | Tenure for | Since December 28, 2020 |
|-----|----------------|-------------------------|
| | which the | |
| | fund manager | |
| | has been | |
| | managing the | |
| | scheme | |
| vi. | Scheme's | N.A |
| | portfolio | |
| | turnover ratio | |
| l | | |

Portfolio of the Scheme as on March 31, 2021:

Top 10 Holdings as on March 31, 2021:

| Name of the Instrument | Quantity | Market/Fair Value(Rs. in Lacs) | % to Net Assets |
|------------------------|-------------|--------------------------------------|-----------------|
| Exchange Traded Funds | | | |
| Mirae Asset ESG Sector | 4,26,30,918 | 10674.78 | 100.22% |
| Leaders ETF | | | |
| Triparty Repo | | 53.21 | 0.50% |

| Asset allocation | % of total |
|--------------------------|------------|
| Exchange Traded Funds | 100.2180% |
| Cash & Other Receivables | -0.2180% |
| Total | 100.0000% |

For complete details of the portfolio refer: https://www.miraeassetmf.co.in/downloads/portfolios

Comparison with similar existing schemes of Mirae Asset Mutual Fund:

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

| Scheme | Investment | Asset Allocation | Investment Strategy | No of | AUM as |
|--------|------------|------------------|---------------------|-----------|----------|
| Name | Objective | Pattern | | Folios | on March |
| | | | | as on | 31, 2021 |
| | | | | March 31, | (in Rs. |
| | | | | 2021 | crores) |
| | | | | | |

| Mirae | The investment | Units of domestic | As per investment objective, | 5778 | 96.60 |
|---|---|--|---|------|--------|
| Asset Equity Allocator Fund of Fund | objective of the scheme is to provide long-term capital appreciation from a portfolio investing predominantly in units of domestic equity ETFs. There is no assurance that the investment objective of the Scheme will be realized. | Equity Exchange Traded Funds (ETFs): 95% to 100% Money market instruments / debt securities, Instruments and/or units of debt/liquid schemes of domestic Mutual Funds: 0% to 5% | the scheme will predominantly invest in the units of domestic equity ETFs, the portfolio of which shall mostly be based on stocks from large cap and/or midcap equity segment. The selection of stocks for the portfolio of underlying ETFs may be based on market cap range, sector, theme, strategy etc. or a combination of one or more of these styles. Investments made from the net assets of the Scheme would be in accordance with the investment objective of the Scheme and the provisions of the SEBI (MF) Regulations. The AMC will strive to achieve the investment objective by way of a judicious portfolio mix comprising of Debt and Money Market Instruments and equity/ equity related instruments. | | |
| Mirae Asset ESG Sector Leaders Fund of Fund | The investment objective of the scheme is to provide long-term capital appreciation from a portfolio investing predominantly in units of Mirae Asset ESG Sector Leaders ETF. | Units of Mirae Asset ESG Sector Leaders ETF: 95% to 100% Money market instruments / debt securities, Units of debt/liquid schemes of domestic Mutual Funds: 0% to 5% | As per investment objective, the scheme will predominantly invest in units of Mirae Asset ESG Sector Leaders ETF. Investments made from the net assets of the Scheme would be in accordance with the investment objective of the Scheme and the provisions of the SEBI (MF) Regulations. The AMC will strive to achieve the investment objective by way of a judicious portfolio mix comprising of Debt and Money Market Instruments and equity/ equity related instruments. | 6311 | 106.63 |

Date: May 31, 2021

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 - Office 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 - Ofice 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 - Ofice no. 308, 3rd Floor, Saran Chamber-II, 5, Park Road, Lucknow-226001. 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-011-44227777. • Pune - 75/76, 4th Floor, C-Wing, Shreenath Plaza, Dnyaneshwar Paduka Chowk, Shivaji Nagar, Pune-411 005. Tel-020-44227777. • Rajkot - Office No. 406, 4th Floor, The Imperia, Near Limbda Chowk, Opposite Shastri Maidaan, Rajkot - 360 002 • Secunderabad - No. 208, Legend Crystal Building, 2nd Floor, PG Road, Secunderabad-500003. Tel-040-66666723. • Vadodara - Ofce 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-0261-4888844.

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, 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, Panchil, Bardhaman West Bengal, Asansol - 713303 • Aurangabad - Shop no B - 38, Motiwala Trade Centre, Nirala Bazar ,Aurangabad 431001 • Balasore - 1-B, 1st Floor, Kalinga Hotel Lane, Baleshwar, Baleshwar Sadar Balasore - 756001, Orissa • Bangalore - No 35, Skanda Puttanna Road, Basavanagudi, Bangalore 560004• 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 Bhavnagar - 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 490020, Chhattisgarh • Bhopal - Gurukripa Plaza, Plot No. 48A, Opposite City Hospital, Zone-2, M P Nagar, Bhopal, Madhya Pradesh - 462 011. • Bhubaneswar - A/181, Saheed Nagar, Janardan House, Room No: 07, 3rd Floor, 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, Chennai-600002 • Cochin - Ali Arcade, 1st Floor, Kizhavana Road, Panampilly Nagar, Near Atlantis Junction, Emakualm-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, Ameeroet, Telangana - 500 016, • Indore - 101, Diamond Trade Centre, Indore, Madhya Pradesh - 452 001 • Jalandhar - Office No 7, 3rd Floor, City Square building. E-H197 Civil Lines, Jalandhar 144001 Jabalpur - 3rd Floor, R.R. Tower. 5, Lajpatkunj, Near Tayabali Petrol Pump, Jabalpur - 482 001. Jamnagar - 131, Madhav Plazza, Opp Sbi Bank, Nr Lal Bunglow, Jamnagar 361008• Jamshedpur - Madhukunj, 3rd Floor ,Q Road, Sakchi, Bistupur, East Singhbhum, Jamshedpur 831001 Jharkhand • Jodhpur - Shop No. 6, Ground Floor, Gang Tower, Opposite Arora Moter Service Center, Near Bombay Moter Circle, Jodhpur, Rajasthan - 342 003. • Kanpur - 15/46, Ground Floor, Opp. Muir Mills, Civil Lines, Kanpur-208001 • Kolhapur - 605/1/4 'E' Ward, Near Sultane Chambers, Shahupuri, 2nd Lane, Kolhapur-416001 • Kolkata - 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 - SCO 122, 2nd Floor, Above HDFC Mutual fund, Feroze Gandhi Market, Ludhiana 141001 Madurai - G-16/17, AR Plaza, 1st floor, North Veli Street, Madurai 625001 Mangalore - 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) Ofice 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 Kalyani Chowk, Muzaffarpur, Bihar - 842001 • Mysore - L-350, Silver Tower, Clock Tower, Ashoka Road, Mysore-570001 • Nadiad - 104/105 Gf City Point, Near Paras Cinema, Nadiad-387001 • Nagpur -Plot No. 2, Survey No. 1032 and 1033 of Gagda Khare Town, Dharampeth, Nagpur – 440010 · Nasik - F-1, Suyojit Sankul, Sharanpur Road, Near Rajiv Gandhi Bhavan, Nasik- 422002 · Navsari - 103, 1st Floor Landmark Mall, Near Sayaji Library, Navsari, Gujarat-396 445 · New Delhi - 305, 3rd Floor, New Delhi House, Bara Khamba Road, Connaught Place, New Delhi-110001 • Panipat - 1st Floor, Krishna Tower, Near HDFC Bank, Opp. Railway Road, G. T. Road, Panipat-132103 • Panjim - City Business Centre, Coelho Pereira Building, Room Nos.18, 19 & 20, Dada Vaidya Road, Panjim-403001 • Patiala - Sco. 27 D, Chhoti Baradari, Patiala-147001 • Patna - 3A, 3rd Floor, Anand Tower, Beside Chankya Cinema Hall, Exhibition Road, Patna-800001 • Pondicherry - No.122(10b), Muthumariamman koil street, Pondicherry - 605001 • Pune -Mozaic Bldg., CTS No. 1216/1, Final Plot No.576/1 TP, Scheme No. 1, F C Road, Bhamburda, Shivaji Nagar, Pune-411004 • Raipur - 2 & 3 Lower Level, Millenium Plaza, Room No. Ll 2& 3, Behind Indian Coffee House, Raipur-492001 • Rajkot - 104, Siddhi Vinayak Complex, Dr. YagnikRoad, Opp. Ramkrishna Ashram, Rajkot-360001 • Ranchi - Room No. 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, Gujarat • Vapi - A-8, First Floor, Solitaire Business Centre, Opp DCB Bank, GIDC Char Rasta, Silvassa Road, Vapi - 396 191 • Varanasi - D-64/132, 2nd Floor, KA, Mauza, Shivpurwa, Settlement, Plot No 478, Pargana: Dehat Amanat, ohalla Sigra, Varanashi - 221010, Uttar Pradesh • Vijayawada - 1st Floor, H No. 26-23, Sundaramma Street, Gandhi Nagar, Vijayawada, Andhra Pradesh - 520 011. • Visakhapatnam - Ground Floor, 48-10-40, SriNagar Colony, Visakhapatnam, 530016 • Vellore - No.1, M N R Arcade, Officers 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 - Jaya 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 171001• Jammu - Gupta's Tower, 2nd Floor, CB-12, Rail Head Complex, Jammu - 180012 • Bokaro - City Centre, Plot No. HE-07; Sector-IV; Bokaro Steel City - 827004 • Belgaum - CTS No. 3939 / A2 A1, Above Raymonds Show Room, Beside Harsha Appliances, Club Road, Belgaum - 590001 • Kottayam - 11-4-3/3 Shop No. S-9, 1st Floor, Srivenkata Sairam Arcade, Old CPI Office, Near Priyadarshini College, Nehru Nagar, Khammam - 507002, Telangana • Trichur - 2nd Floor, Brothers Complex, Naikkanal Junction, Shornur Road, Near Dhanalakshmi Bank H O, Thrissur - 680001 • Gwalior - City Centre, Near Axis Bank, Gwalior, Madhya Pradesh - 474 011 • Amaravathi - Shop No. 21, 2nd Floor, Gulshan Tower, Near Panchsheel Talkies, Jaistambh Square, Amaravathi - 444601 • Shillong - Annex Mani Bhawan, Lower Thana Road, Near R K M LP School, Shillong - 793001 • Berhampur (Or) - Opp. Divya Nandan Kalyan Mandap, 3rd Lane Dharam Nagar, Near Lohiya Motor, Berhampur (Or) - 760001 • Bhatinda - Second floor, MCB -2-3-01043 Goniana Road Opposite Nippon India MF GT Road, Near Hanuman Chowk Bhatinda - 161001 • Bhilwara - Shop No. 27-28, 1st Floor, Heera Panna Market, Pur Road, Bhilwara - 311001 • Bikaner - 70-71, 2nd Floor, Dr. Chahar Building, Panchsati Circle, Sadul Gani, 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 A, Above Selvakumar Dept Stores, Palladam Road, Opp. to Cotton Market Complex, Tirupur - 641604 • Agartala - Bidurkarta Chowmuhani, J N Bari Road, Tripura (West) - 799001 • Aligarh - Sebti Complex Centre Point, in the city of Aligarh - 202001, Uttar Pradesh • 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 Shopping Complex, Haldwani 263139 Uttarakhand • Haridwar - 8, Govind Puri, Opp. LIC - 2, Above Vijay Bank, Main Road, Ranipur More, Haridwar - 249401 • Kharagpur - 180, Malancha Road, Beside Axis Bank Ltd, Kharagpur - 721304 • Nungambakkam - No. 23, Cathedral Garden Road, Nungambakkam, Chennai, Tamil Nadu - 600 034 • Jhansi - 371/01, Narayan Plaza Gwalior Road, Near Jeevan Shah Chauraha, Jhansi -284001 • Chinsura - KFin Technologies 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 ESG SECTOR LEADERS FUND OF FUND

An open ended fund of fund scheme predominantly investing in Mirae Asset ESG Sector Leaders ETF



MIRAE ASSET ESG SECTOR LEADERS FUND OF FUND

An open ended fund of fund scheme predominantly investing in Mirae Asset ESG Sector Leaders ETF

Application No.:

This product is suitable for investors who are seeking*

To generate long term capital appreciation/income

• Investments predominantly in units of Mirae Asset ESG Sector Leaders ETF

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



Investors understand that their principal will be Very High Risk

| | | | | | | | | | | | | | _ |
|--|---|---|------------------------------|-------------------------|------------------------------|----------------------|---|-----------------------------------|---|-------------------------------|--|----------------|---------------------|
| Name & Broker Code/ ARN/RIA Code** | | Sub Broker / Agent ARN Code Sub Agent Code | | | | EUIN* | lı | nternal Code f | e for AMC ISC Date Time Stan Reference No. | | | | |
| | | | | | | | | | | | | | |
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| EUIN box has been inter ce of in-appropriatenes | entionally left blank by me/ ss, if any, provided by the | y" Transaction (where Em/ /us as this transaction is e: e employee/relationship n investments under Direct | xecuted with nanager/sale | out any inf s person | teraction or of the distr | advice by ibutor/sul | the employee/rela b broker. ** RIA/De | ationship mana claration: "I/V | ager/sales person Ne hereby give yo | of the above of u my/our cons | istributor/su | ub broker or | notwithstan |
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| Code for entities | s per PAN Card) | | | | | | | | | | | | |
| YC ID No. (KIN) | | | | | | | | Pls indicate | if US Person o | | for tax pur lo ^s (\$Defa | | |
| ARDIAN (In case / Ms. / M/s. | e 1 st Applicant is a M | linor) | | | | | | | F Moth | Relationsh er | ip with N | linor (Pl | ease ✓) Legal Gu |
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| ntact Person for (| Corporate Investo | r: | | | | | | | Designati | on: | | | |
| FIRST APPLICA | ANT AND KYC DETA | AILS AII fi | elds mark | ed as ' | *' are Ma | ndator | y | | | | | | |
| SOLE APPLICAN | | | | | | | Ownership (U | | | | | | |
| lividual) [/] (Non-ii | rporation D D M individual) f birth as per Aadhaar C | | Proo | | te of Birt minor app | | ise√) | | ertificate rt of the Minor | | School Lea Others | ving Certi | cate / Mark |
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| HUF LLP List | ted Company Priv | vate Company 🗌 Pu | blic Ltd. Co | mpany | Artific | ial Jurio | dicial Person | Partnershi | p Firm 🗌 FOF | - MF Scher | nes 🗌 Ot | hers | |
| Occupation Details | s [Please tick (✓)] | ☐ Priva ☐ Busir | te Sector iess | | Public Se Retired | ector | Governme | nt Service | Studen | | Profe | ssional | Hou |
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| Gross Annual Inco | ome (₹) [Please tick (| (√)] | / 1 Lakh | _ 1 | -5 Lakhs | | 5-10 Lakhs | | ☐ 10-25 L | akhs | >25 La | akhs | <u> </u> |
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| Mode of Holding: Anyone of | r Survivor | Single |) | Joint | | (Please note that | at the Default option | on is Anyone or Survivor) |
| 2 nd APPLICANT Mr. / Ms. / M/s. (Please write the name as per PAN Card) | (Not Applicable in c | ase of Minor Applicant) |) | | | G | ender Male | Female Other |
| PAN Details | | PI | ls indicate if US Per | son or a resid | ent for tax purpose | / Resident of Cana | da Yes | No* (*Default if not ✓) |
| CKYC ID No. (KIN) | | | | KYC Pls 🕢 | Proof Attach | ed Date of Bi (As per PAN | rth (Mandatory) Card) | D M M Y Y Y Y |
| Place of Birth | | Country of Birth | | | | Nationality: | | |
| a*. Occupation Details [Please tic | k (<mark>√</mark>)] | Private Sector | Public Sector | | ernment Service | Student | Profess | ional Housewife |
| b*. Politically Exposed Person (PEP) | Status | Business I am PEP | Retired I am Related to PE | _ 0 | culture Applicable | Proprietorsh | ip Others_ | (1 loade specify) |
| c*. Gross Annual Income (₹) [Plea | | Below 1 Lakh | 1-5 Lakhs | 5-10 | | 10-25 Lakhs | ☐ >25 Lak | ths |
| d*. Net-worth ₹ | | | as on DDD | M M Y | Y Y Y | (Not older than 1 | year) | |
| Mode of Holding: Anyone | or Survivor | Single | Э | ☐ Joint | (P | lease note that the | e Default option | is Anyone or Survivor) |
| 3 rd APPLICANT Mr. / Ms. / M/s. (Please write the name as per PAN Card) | (Not Applicable in c | ase of Minor Applicant) | | | | G | ender 🗌 Male | Female Other |
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| 6. MAILING ADDRESS [Please | provide your E- | mail ID and Mobile | | | | (************************************** | ,, | |
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| 1 | Is the Entity a publicly (that is, a company wh traded on an establish | ose shares | are regular | ly | | es (If yes, please speed of stock exchange: | ecify any one stock e | xchange on | which the | stock is regula | arly trad | led) | | | |
| 2 | Is the Entity a related e traded company (a con regularly traded on an | npany who | se shares ar | | | | ecify name of the liste | | | | | | | larly tra | ided) |
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Application No.:

Cheque/DD should be Drawn in favour of the scheme "Mirae Asset ESG Sector Leaders Fund of Fund"

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

FOR NON-INDIVIDUALS: Is the "Entity" a tax resident of any country other than India?

| (If Yes, | please | provide coun | ry/ies in which | ch the entity i | is a reside | nt for tax | purpose and the | associated | Tax Identification I | No. below) |
|----------|--------|--------------|-----------------|-----------------|-------------|------------|-----------------|------------|----------------------|------------|

| 1 st Applicant | (Sole / G | uardian / Non-Individual) | | 2 nd Ap | pplicant | | 3 rd App | olicant |
|--|--------------|---|---------------------------------|--------------------|---|------------------------------------|---------------------|-------------------------------------|
| Do you have any non-Indian Country(ies) of Birth / Citizenship / Nationality and Tax Residency Per No | | Do you have any non-Indian Country(ies) of Birth / Citizenship / Nationality and Tax Residency | | Yes No | Do you have any non-Indian Country(ies) of Birth / Citizenship / Nationality and Tax Residency | | Yes No | |
| Country of Birth / Incorporation | | | Country of Birth | | | Country of Birth | | |
| Country Citizenship Nationality | I | | Country Citizenship Nationality | I | | Country Citizenship Nationality | 1 | |
| Are you a US specifi person? | ed | Yes No Please provide Tax Payer Id. | Are you a US specified person? | | Yes No Please provide Tax Payer Id. | Are you a US specifi person? | ed | Yes No Please provide Tax Payer Id. |
| For non-Individual inve | estor, in ca | ase your country of incorporation / Tax | residence is US, but yo | u are not a | a specified US person then please me | ention exemption code | | Refer instruction 15(e) |
| Individual or Non-Indi if ticked Yes above. | dividual in | vestors fill this section | Individual investor | have to fi | Il in below details in case of joint a | pplicants | | |
| | Countr | y: | | Country | y: | | Country: | |
| Tax Residency Status: 1 | No.: | | Tax Residency Status: 1 | No.: | Tax Residenc Status: 1 | | No.: | |
| | Type: | | | Type: | | | Туре: | |
| | Country | y: | | Country | y: | | Country | : |
| Tax Residency Status: 2 | No.: | | Tax Residency Status: 2 | | Tax Residency Status: 2 | | No.: | |
| | Type: | | Туре: | | | | Type: | |
| | Country | y: | | Country: | | | Country: | |
| Tax Residency Status: 3 No.: | | | Tax Residency Status: 3 | No.: | | Tax Residency Status: 3 | No.: | |
| | | | | Type: | | Туро | | |
| Address Type | | | Address Type | | | Address Type | | |
| (Address Type: Residential or Business (default) / Residential / | | | Business / Registered C | Office) (Fo | r address mentioned in form / exis | ting address appearing | in folio) | |
| n case of applications w | vith POA 1 | the POA holder should fill separate for | orm to provide the above | details m | andatorily | | | |

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 Investinct of the Scheme as per the said EFMA regulations and other applicable laws and regulations. (J) I //We confirm that I am //We are not United States person(s) under the laws of United States or resident(s) of Canada. In case of change to this status, I //We shall notify the AMC, in which event the AMC reserves the right to redeem my /our investments in the Scheme(s), (K) FATCA/CRS Certification: I //We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me / us on this Form is true, correct, and complete. I // We also confirm that I // We have understood the FATCA & CRS Terms and Conditions and hereby accept the same. In case the above information is not provided, will be presumed that applicant is the ultimate beneficial owner, with no declaration to submit. In such case, the concerned SEBI registered intermediary reserves the right to reject the serverse the allowent of the policiation or reverse the allowent of the policiation or reverse the allowent of the policiation or reverse the allowent of the policiation or the provided any other additional information as may be required at your end. (L) Aadhaar: I/We hereby voluntarily submit Aadhar card to the Fund/AMC for updating the same in my folio.

| Received Application from Mr. / Ms. / M/s. | For Lumpsum 'OR' SI as per details below: | |
|--|--|---|
| Scheme Name and Plan | Payment Details | Date & Stamp of Collection Centre / ISC |
| MIRAE ASSET ESG SECTOR LEADERS FUND OF FUND | Amount (Rs) | |
| | DatedBank & Branch | |

MIRAE ASSET ESG SECTOR LEADERS FUND OF FUND

SYSTEMATIC INVESTMENT PLAN (SIP)

Registration Cum Mandate Form with Goal SIP & Top-Up Facility

An open ended fund of fund scheme predominantly investing in Mirae Asset

(Refer

NACH MANDATE INSTRUCTION FORM

Phone No.

Application No.: ESG Sector Leaders ETF Mutual Fund Sub Broker / Name & Broker Code/ **ISC Date Time Stamp EUIN* Sub Agent Code** Internal Code for AMC ARN/RIA Code Agent ARN Code Reference No. EUIN Declaration: Declaration for "Execution Only" Transaction (where Employee Unique Identification Number-EUIN* box is left blank). Please refer instruction 12 of KIM for complete details on EUIN. I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this transaction is executed without any interaction or advice by the employee/relationship manager/sales person of the above distributor/sub broker or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor/sub broker. RIA/Declaration: "I/We hereby give you my/our consent to share/provide the transactions data feed/portfolio holdings/NAV etc. in respect of my/our investments under Direct Plan of all Schemes managed by you, to the above mentioned SEBI-Registered Investment Adviser/ RIA". Signature of 1st Applicant / Guardian / Authorised Signatory / PoA / Karta Signature of 2nd Applicant / Guardian / Authorised Signatory / PoA Signature of 3rd Applicant / Guardian / Authorised Signatory / PoA ☐ Enrollment for New Registration (Please fill all sections) SIP Top-up Facility OR Goal SIP EXISTING UNIT HOLDER INFORMATION (The details in our records under the folio number mentioned will apply for this application.) Name of 1st Unit Holder Folio No. SIP ENROLMENT DETAILS (Please check the Minimum Amount Criteria for the scheme applied for. [Refer Instruction 17 Overleaf] Frequency Please Monthly (Default) Quarterly Payout of Income Distribution Reinvestment of Income Regular Plan Growth (Default) Distribution cum capital cum capital withdrawal option Direct Plan Scheme: MIRAE ASSET ESG SECTOR LEADERS FUND OF FUND withdrawal option (Please ✓) (Please choose Any Date from 1st till 28th of the month, SIP Date If left blank 5th will be considered as the default date) SIP End Month (MM/YY) OR Perpetual Dec 2099 (Till you instruct Mirae Asset Mutual Fund to discontinue your SIP) SIP Start Month (MM/YY) Goal SIP - Do you want to assign a goal for your SIP select (√) your goal [Refer Instruction 24 Overleaf ☐ Kids Marriage (**) Retirement Planning (Default) Please specify your goal amount* ₹ ☐ Dream Car (๑煸) Tax Savings 🔎 □ Dream House □ Dream Vacation _ Others-SIP TOP-UP FACILITY (You can start SIP Top-up facility after minimum 6 months from 1st SIP) Refer Instruction No. 23 on the reverse on SIP Top-up All Applicants have to submit NACH mandate and will need to fill the maximum amount in line with Top Up amount, SIP amount & tenure. (Not available for micro SIPs) (minimum ₹ 500/- & in multiples of ₹ 1/- only) Top-up Start Month (MM/YY) Top-up End Month (MM/YY) Top-up Amount (₹) Existing Investors Availing Top-Up: Please provide current SIP IH Number as per SOA Frequency Please (Half Yearly Yearly (Default) SIP PAYMENT DETAILS (New Investors - Please provide copy of cancelled cheque and mention relevant SIP details in the form and NACH mandate.) Cancelled cheque Leaf First SIP Cheque No. Drawn on Bank Cheque Date ☐ NRO A/c. Type □ NRE ☐ CURRENT ☐ SAVINGS **BANK ACCOUNT DETAILS (Mandatory)** Name of 1st A/c. Holder as in Bank Records Bank Name Core Banking A/c. No **Branch Name & Address** City ☐ CURRENT SAVINGS ■ NRO Bank Account Type ☐ NRF 9 Digit MICR Code DECLARATION & SIGNATURE: To The Trustees, Mirae Asset Mutual Fund - Having read and understood the contents 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 & conditions of SIP enrolment and registration through NACH/ECS or Direct Debit (Auto Debit). I/We also agree that if the transaction is delayed or not effected for reasons of incomplete or incorrect or any other operational reasons, I/We would not hold Mirae Asset Investment Managers (India) Private Limited*, their appointed service providers or representatives personsible. If we also undertake to keep sufficient funds in what account on the date of execution of the said standing instructions. "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". "I/We have not made any other Micro application [including Lumpsum + SIPs] which together with the current application would result in aggregate investments exceeding \$50,000 in a rolling 12 month period or in a financial year." Adahaar: I/We hereby voluntially submit Aadhaar card to the Fund/AMC for updating my address; in my folio. [Pelases tick, if enclosed).

Securities and Exchange Board of India ("SEBI") vide its letter dated November 20, 2019 bearing reference no. SEBI/HO/IMD/DF5/OW/P/2019/30719/1 ("SEBI INOC") had granted their non-objection to transfer the AMC Business from "Mirae Asset Global Investments". "Securities and Exchange Board of India ("SEBI") vide its letter dated November/20, 2019 bearing reference no. SEBI/HO/IMD/DF5/OW/P/2019/30719/1 ("SEBI INOC") 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 addendum no. AD/28/2019 dated November 25, 2019 for further details. **UMRN** Date MIRAE ASSET Sponsor Bank Code ✓ CREATE X MODIFY X CANCEL I/We hereby **Utility Code** Mirae Asset Investment Managers (India) Pvt. Ltd authorize To Debit (tick ✓) SB CA SB-NRE SB-NRO Other Bank A/c IFSC / MICR With Bank ₹ An Amount Of Rupees X Qtly X H-Yrly X Yrly ✓ As & when presented **DEBIT TYPE** X Fixed Amount ✓ Maximum Amount **FREQUENCY** X Mthly Reference 1 Reference 2 1. I agree for 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 authorizing the user entity/Corporate to debit my account, based on the instructions as agreed and signed by me. 3.1 have understood that I am authorized to cancel/amend this mandate by appropriately communicating the cancellation / amendment request to the user entity/ corporate or the bank where I have authorized the debit. **PERIOD** From То X Until Cancelled

GENERAL GUIDELINES

This mandate registration form will be submitted through National Automated Clearing House (NACH)

- Inis mandate registration form will be submitted through National Automated Clearing House (NACH).

 1. This facility is offered to investors having Bank account is neslect 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 Plan Application form, the Applicant(s) hereby authorises Mirae Asset Investment Managers (India) Private Limited, Investment Plan Application form, the Applicant(s) hereby authorises Mirae Asset Investment Managers (India) Private Limited, Investment Plan Application form, the Applicant(s) hereby authorises Mirae Asset Investment Managers (India) Private Description of Applicant Plan Applicant (India) Private Description of Applicant Plan Applicant (India) Private Description (India) Private Desc
- 2. Please 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.
- 3. 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 Investor selects or mentions the SIP dates as 29th, 30th or 31st, the default SIP date would be considered as 05th of every month
- 4. 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 on the mandate may be updated in the folio. All future communication whatsoever would be, thereafter, may be sent to the updated mobile number and email id.
- 5. 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.

 6. 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.
- Fund (MAMF) through its service provider will endeavor to debit the investor bank account on or after the said date.

 7. 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 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 Debit/Auto Debit/I neal Holidays. Debit/Local Holidays
- 3. Mirae Asset Mutual Fund reserves the right to reverse allotments in case the debit is not paid by the bank for any reason whatsoever. Further, Mirae Asset Mutual Fund shall not be responsible and liable for any damages/compensation for any loss, 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.
- and takes full responsionily for the saine.

 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 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 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
- 12. 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.
- 13. In case any payment instruction for SIP installment is dishonored by the Bankers for three consecutive times for the reason Account Closed or In sufficient balance or any technical reasons as provided by NPCI/Aggregator.
- 14. 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
- 16. Third 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 employer on behalf of employee under Systematic Investment Plan (SIP) facility through payroll deductions;
- ii) Custodian on behalf of an Ell or a Client
- (iii) Payment by the AMC to an empanelled Distributor on account of commission/incentive etc. in the form of the Mutual Fund units of the schemes managed by the AMC through SIP or lump sum I one-time subscription.
- (iv) Payment by a Corporate to its Agent/ Distributor/ Dealer (similar arrangement with Principal agent relationship), on account of commission or incentive payable for sale of its goods/services, in the form of the Mutual Fund Units through SIP or lump sum / onetime subscription.

For complete details, please 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 |
|---|---|
| Mirae Asset Esg Sector Leaders Fund Of Fund | ₹ 1000 - 5 Installments - Multiples of ₹ 1 thereafter |
| Mirae Asset NYSE FANG+ ETF Fund of Fund | ₹5000 - 5 Installments - Multiples of ₹ 1 thereafter |
| All Other Schemes | ₹ 1000 - 5 Installments - Multiples of ₹ 1 thereafter |

*Please refer notice cum addendum dated November 4, 2020 for details on Minimum Application criteria for Mirae Asset Emerging Bluechip Fund

- Please note Default Option is Growth. In case of Income Distribution cum capital withdrawal option, default option is Reinvestment of Income Distribution cum capital withdrawal option. In case of ambiguity at Plan level, it will always be under Direct Plan.

 18. The transactions are liable to rejection incase Investor has Multiple Auto Debit Mandate at folio level. Separate forms will be required to be submitted to avail of SIP in separate schemes / plans / date. A single form cannot be used for different schemes
- 19. 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 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. 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.

20. Mirae Asset Mutual Fund/Sponsor Bank/NPCI are not liable for the bank charges, if any debited from investor's bank account

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, on account 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.miraeassetfin.co.in

22. Additional for MICRO Systematic Investment Plans (MICRO SIPs)

22. Additional for MICRO Systematic Investment Plans (MICRO SIPs)
As per SEBI guidelines, Lumpsum and SIP investments in mutual funds up to Rs.50,000 per year, per investor, per mutual funds 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 vestments 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 Transaction Silp. 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 address (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 by a Rh holder (AMF 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 can be ava

- 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.
- 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. If 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 will 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 (PDC) and where SIP is registered and installments are sent through Mutual Endu Utility (MFU), NSE MF II system of NSE or BSE Star MF platform of BSE or any other platforms of these stock exchanges or Channel partners, Mirae Asset Online SIP (SIP). As & When relevant systems are put In place, this facility will 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 Top Up facility can be 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:

| Details of SIP registered | Details of Top-up opted for |
|---|--|
| Fixed SIP Installment amount: ₹ 5,000/- SIP Period: 01-April-2019 till 31-March-2022 (3 years) SIP Date: 1st of every month (36 installments) | Example: • Top-Up Amount: Rs. 1,000/- • Top-Up Frequency: Every 6 months |

Based on above details, SIP Installments shall be as follows:

| No(s). | (in ₹) (A) | (in ₹) (B) | after Top-up (in ₹) (A+B) | | | |
|----------|------------|------------|---|--|--|--|
| 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 SIP

be considered as yearly frequency.

- 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, the same will be taken as default amount of 1 Crore. Further, AMC reserves The right to register any such deficient application as a regular 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 MTSS system if NSE or ISBE Star MF platform of ISBE 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.
- 25. Pursuant to recent SEBI guideline, w.e.f.01st Feb, 2021, Allotment of units will be based on Realization basis. Here the date and time of receipt of funds into the collection account of the scheme will be considered and it will not be basis the debit date from investor's bank account. It may be please noted that different payment modes may have different clearing cycles, and accordingly, there will difference in the transaction date versus the NAV applied date for across transactions like Lumpsum, SIP or Switches including STP's. In case of Switches or STP's the Allotment will be as per the settlement cycle of the OUT scheme in to the IN scheme

Instructions to fill Mandate:

- 1 LIMRN To be left blank
- 2. 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.
- 6. 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

- 12. Amount in words
- 13. Amount in figures
- 14. Frequency at which the debit should happen.15. 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.

(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.

- Applicant 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, Fil and other eligible non-individual applicants. Any change in the status of any Authorized Signatory should be promptly intimated to the AMC. Incomplete application forms are liable to be rejected.

(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:

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

Individual Investors:

(j) New Individual investors who have never done KYC under KRA (KYC Registration Agency) regime and whose KYC is not registered or verified in the KRA system will be required to fill the new CKYC form while investing with the Fund. (ii) If any new individual investor uses the old KRAKYC form, then such investor will be required to either 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 from (14 digits for normal accounts and 15 digits for simplified and small accounts). Further, in case the investor's PAN is not updated in CKYC system, a self-certified copy of PAN Card shall be mandatory. Further, the AMC/ Mutual Fund shall use the KIN of the investors to download the KYC information from CKYC and update its records as and when required. The CKYC form and Supplementary 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, DOTEX, 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 intimation 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.
- customercare@mineaesset.com.

 (i) All the applicants must sign in original on the application form. Signatures should be in English or in any Indian language. Thumb impressions should be from the left hand for males and the right hand for females and in all cases be attested by a Magistrate, Notary Public or Special Executive Magistrate. In case of an HUF, the Karta will sign on behalf of the HUF.

 (ii) In case the application is under a power of Attorney (POA), a duly certified copy thereof duly notarized should be submitted with the application. The POA document should contain the signature of both the applicant and the constituted Attorney. (iii) Applications made by a Limited Company or a Body Corporate or a registered Society or Trust, should be accompanied by a copy of the relevant resolution or authority to make the application, as the case may be, along with a certified copy of the MOA and AOAor 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/Payout of Income Distribution cum capital withdrawal option payment request (with or without necessary supporting documents) such bank account may not be considered for payment or redemption/Payout of Income Distribution cum capital withdrawal option proceeds, or the Fund may withheld the payment for upto 10 calendar days to ensure validation of newbank 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

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/Payout of Income Distribution cum capital withdrawal option 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 any one of the following documents of the new bank account:

On Consolidate grigated because of the assu below exacted unith first unit higher parts and 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. If photocopies of the above stated documents are submitted, investor must produce the original for verification at the official point of acceptance of transaction. The original shall be returned to the investor over the counter upon verification. If the originals are not produced for verification, then the photocopies submitted should be attested in original by the Branch Manager or Authorised personnel of the Bank.

5. Direct Credit of Redemption/Payout of Income Distribution cum capital withdrawal option Proceeds: Investors can opt for direct credit of the redemption proceeds to their bank accounts (Direct Credit / RTGS / NEFT). The AMC / MF reserve the right to use any other mode of payment as deemed appropriate, however the preferred mode will always be NET UTCH.

6. Investment Details:

- 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).
- Named Asset Mittude in Third (MANNE) ANNE Office or Authorised Collection Centrely). Please mention the application serial number on the reverse of the cheque/demand draft tendered with the CAF. The cheque should be drawn in favor of respective scheme name. Non MICR/ Outstation Cheques/Money Orders/Post Dated Cheques or Cash is not permitted. Investors residing in Centres, where the Investors Service Centres (ISCs)/Authorised Collection Centre(s) of MAMF are not located, are requested to make payment by demand drafts payable at the Centre where the application is to be lodged. D.D. charges would be borne by the AMC only for the investors residing at places which are not covered by our offices/authorised centres. The maximum charges so borne by the AMC would be restricted to limits as prescribed by State Bank of India. Please refer SAI for complete details on D.D. charges. 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 chaques, the CAF must be accompanied with a photocopy of the chaque or Account debit Letter/certificate from the bankers. FIRC certificate is required to be submitted evidencing source of funds through Non Domestic Account. The AMC and the Registrar may ascertain the repatriation status purely based on the details provided under Investment and Payment details and will not be liable for any incorrect information provided by the applicant(s). In case the source of funds through Non Domestic Account is not validated/provided, AMC will not be in a position to repatriate redemption proceeds.

Applicants should indicate the Option (Payout of Income Distribution cum capital withdrawal option/Growth) for which the application is made. In absence of information the request would be processed under the default option as mentioned in the SID/SAI of the relevant scheme.

- For Direct Investments, please mention "Direct" in the column "Broker / Agent Code".

 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:

 Payment by the AMC to an empanelled Distributor on account of commission/ incentive etc. in the form of the Mutual Fund units of the schemes managed by the AMC through SIP or lump sum I one-time subscription.

 Payment by a Corporate to its Agent/ Distributor/ Dealer (similar arrangement with Principal agent relationship), on account of commission or incentive payable for sale of its goods/services, in the form of the Mutual Fund Units through SIP or lump sum / onetime subscription.
 - Payment by employer on behalf of employee under Systematic Investment Plan (SIP) facility through payroll deductions.

 Custodian on behalf of an FII or a Client.

 Options Available: The scheme offers Growth option. Default option: Growth

Investors may please note, that Payout of Income Distribution cum capital withdrawal option may be declared by the Trustee, subject to the availability of distributable surplus as per the Regulations. Reinvestment of Income Distribution cum capital withdrawal option can be availed at Daily, Weekly (Record date: Wednesday) & Monthly basis (Record date: 24th of every month). Kindly read the SID for frequency availability in respective scheme applied for. Amounts can be distributed out of investors capital (Equalization Reserve), which is part of sale price that represents realized gains.

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

- Consolidation of account statement shall be done on the basis of PAN. In case of multiple holding, it shall be PAN of the first holder and pattern of holding.
- 2. The CAS shall be generated on a monthly basis and shall be issued on or before 10th of the immediately succeeding
- Ine CAS snall be generated on a monthly basis and shall be issued on or before 10th of the immediately succeeding
 month to the unlit holder(s) in whose folio(s) transaction(s) has/have taken place during the month.
 In case there is no transaction in any of the mutual fund folios then CAS detailing holding of investments across all
 schemes of all Mutual Funds will be issued on half yearly basis [at the end of every six months (i.e. September/March)].
 Investors having MF investments and holding securities in Demat account shall receive a Consolidated Account
 Statement containing details of transactions across all Mutual Fund schemes and securities from the Depository by email/ physical mode.
- Investors having MF investments and not having Demat account shall receive a CAS from the MF Industry containing Investors having Mr. investments and not having Demat account shall receive a CAS from the Mr. Industry containing details of transactions across all Mutual Fund schemes by email / physical mode. The word 'transaction' shall include purchase, redemption, switch, Payout of Income Distribution cum capital withdrawal option, Payout of Income Distribution cum capital withdrawal option, SIP, systematic withdrawal plan, and systematic transfer plan and bonus transactions. CAS shall not be received by the Unit holders for the folio(s) wherein the PAN details are not updated. The Unit holders are therefore requested to ensure that the folio(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 0th of the immediately succeeding month. In case of a specific require 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 sent to unit holder has communicated his/her email address and mail communication from us in lieu of printed documents, when a unit holder has communicated his/her email address and has provided consent for sending communication only via e-mail. Investor(s) who have provided their email address in the application form or any subsequent communication in any of the folio belonging to the investor, Electronic Mail (email) shall be treated as a default mode for sending various statutory communications including Abridged Annual Report to the investor. However, the unit holder always has the right to request a physical copy of any statutory communication and the AMC will arrange for the same to be sent to the unit holder. The AMC/Mutual Fund/Registrars & Transfer agents are not responsible for the email not reaching the investor and for all consequences thereof. The investor needs to 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.miraeassetmf.co.in/investor. This facility can be availed by all KYY 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 proportionate basis and investor may specify the percentage for each nominee in the event of his/her demise. If the percentage is not specified, it will be equal percentage for the nominees by default. Provision for mentioning the details of the nominees are made in the KIM/application form and / or separate nomination request forms is made available to the investors. The details of the nominee(s) will be captured by the Registrar and will be available in the data base maintained. Upon receipt of intimation 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 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 details of nominee along with his signature duly attested in original by the banker, furnishing proof of guardianship if the nominee is a minor, 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 treated 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 nomination shall be treated as rescinded and the AMC/Fund shall not be under any obligation to transfer the Units in favour of 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 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 indemnified from the deceased Unit Holder's estate against any liabilities whatsoever that any of them may sufer 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 (i.e. amount per SIP installment x number or installments) amounts to ris. 10,000- or more. The LC shall be deducted in 4 installments, e.e. from the Znd 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 CAF. 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

13. Units in Demat mode:

Units of MMR 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 number of the applicant with the DP. Applicants must ensure that the sequence of names and other details like Client ID, Address and PAN details as mentioned in the application form matches that of the account held with the DP. Only those applications where the details are matched with the DP data will be treated as valid applications. If the details mentioned in the applications where the details are inactive 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

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 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 FALCA details in the CAF for the disclosure and reporting of any tax related information obtained or held by the fund to any local or foreign regulatory or tax authority ("TaxAuthority"). Upon request by the fund, investor hereby agrees to provide necessary information and permits the fund to disclose and report tax and account peculiar financial information to any local or foreign Tax authority. The potential consequences for failure to comply with requests for tax information disclosure include, but are not limited to: (a) Fund has the right to carry out actions which are necessary to comply with the local or foreign tax reporting obligations; (b) Fund has the ability to withhold taxes that may be due from certain payments made to the investor's account; (c) Fund has the right to represent the total control of the perportiate tax authority; (d) Fund has the right to refuse to provide certain services; and (e) Fund has the discretion to close investor accounts. The investor process to information provisely. The investor agrees to inform, or respond to any request from, the fund, if there are any changes to tax information previously

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 existing investments in case the same is mandated by the regulatory authorities.

The identification of US person will be based on one or more of the following US indicia:- Identification of the investor as US citizen or resident (1) US is the place of birth or country of incorporation (2) Having US telephone number (3) Having any residence / mailing address / 'C/o address' / hold mail address / PO Box address in the US (4) Having Standing instruction to transfer funds to an account maintained in USA(5) Being POA holder based out of US or having US residence / citizenship (6) Paying tax in the US (7) Having Identification Number or any identification that indicates US residence / citizenship (6) Having US beneficiary owners /shareholders (9) The Director / Promotor / Authorised signatory / POA holder of nonindividual investor is because if US probled US provided us (1) Exceptions (6) (Histopship). is based out of US or holds US residence / citizenship.

15. Details under FATCA & CRS

Details under PATCA 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 lines of may receive more and role requests to linitimisation if you have intrinsiple relationships with the whole 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 FATCAguidelines.

- 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 courtifies market.
- established securities market
- c. Active NFE: (is any one of the following):

Code Sub-category

| 1000 | le oub-category |
|------|--|
| 01 | Less than 50 percent of the NFE's gross income for the preceding financial year is passive income and less than 50 percent of the assets held by the NFE during the preceding financial year are assets that produce or are held for the production of passive income; |
| 02 | The NFE is a Governmental Entity, an International Organization, a Central Bank, or an entity wholly owned by one or more of the foregoing; |
| 03 | Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an entity shall not qualify for this status if the entity inctions as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes; |
| 04 | The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the linent to operate a business other than that of a Financial Institution, provided that the NFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFE; |
| 05 | The NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution; |
| 06 | The NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution; |
| 07 | Any NFE that fulfills all of the following requirements: (1) It is established and operated in India exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in India and it is a professional organization, business league, chamber of commerce, labor organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare; (2) It is exempt from income tax in India; (3) It has no shareholders or members who have a proprietary or beneficial interest in its income or assests; The applicable laws of the NFE's country or territory of residence or the NFE's formation documents do not permit any income or assests of the NFE to destinable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and The applicable laws of the NFE's country or territory of residence or the NFE's formation documents require that, upon the NFE's liquidation of solution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of the NFE's country or territory of residence or any political subdivision thereof. Explanation: For the purpose of this sub-clause, the following shall be treated as fulfilling the criteria provided in the said sub-clause, namely: (1) an Investor Protection Fund referred to in clause (23EC), of section 10 of the Act; |

- 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

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.

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

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

Passive NFE means: any non-financial entity which is not an active non-financial entity including a publicly traded corporation or related entity of a publicly traded company; or an investment entity defined in clause (b) of these instructions a withholding foreign partnership or withholding foreign trust; (Note: Foreign persons having controlling interest in a passive NFE are liable to be reported for tax information compliance purposes).

Direct reporting NFE means: a 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 entity; The FFI is not owned by or related to any FFI that is a depository institution, custodial institution, or specified insurance company; The FFI does not maintain a financial account for any non participating FFI; The FFI provides the designated withholding agent with all of the documentation and agrees to notify the withholding agent if there is a change in circumstances; and The designated withholding agent agrees to report to the IRS (or, in the case of a reporting Model 1 IGA, to the relevant foreign government or agency thereof) all of the information described in or (as appropriate) with respect to any better leteval indexing overniment agency interesting and interminitation described in the 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 exempt beneficial owner, or an

- 16. With effect from January 1, 2014, as per the US Securities Act of 1933, United States Person (U.S. Person), corporations and
 - . With effect from January 1, 2014, as per the US Securities Act of 1933, United States Person (U.S. Person), corporations and other entities organized under the applicable laws of the United States (U.S.) and Residents of Canada as defined under the applicable laws of Canada should not invest in units of any of the Schemes of the Fund and should note the following:

 No fresh purchases (including SIP and Systematic Transfer Plans)) additional purchases/switches in any Schemes of the Fund would be allowed. However, existing Unit Holder(s) will be allowed to redeem their units from the Schemes of the Fund. If an existing Unit Holder(s) subsequently becomes a U.S. Person or Resident of Canada, then such Unit Holder(s) will not be able to purchase any additional Units in any of the Scheme of the Fund.

 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)

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

- ii. 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), their sub-accounts and Multilateral Funding Agencies / Bodies Corporate incorporated outside India with the permission of Government of India / Reserve Bank of India may be guided by the clarifications issued vide SEBI circular CIR/MIRSD/11/2012 dated September 5, 2012.
- 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 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).

19. LEI (Legal Entity Identifier) Code: The Legal Entity Identifier (LEI) is a global reference number that uniquely identifies every legal entity or structure that is party to a financial transaction, in any jurisdiction. The Reserve Bank of India has mandated the LEI Number for all payment transactions of value ₹50 crore and above undertaken by entities (non-individuals) for Real Time Gross Settlement (RTGS) and National Electronic Funds Transfer (NEFT).

APPLICATION FORM FOR AUTO SWITCH OUT TO NEW FUND OFFER SCHEME MIRAE ASSET ESG SECTOR LEADERS FUND OF FUND



| | | | | Mutua | al Fund |
|--|---|--|--|--|---|
| 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. |
| | | | | | |
| | | | | | |
| JIN Declaration: Declaration for "Execution On E EUIN box has been intentionally left blank by m vice of in-appropriateness, if any, provided by ed/portfolio holdings/NAV etc. in respect of my/o | e/us as this transaction is execut the employee/relationship mana | ed without any interaction or advice by ger/sales person of the distributor/su | the employee/relationship rb broker. RIA/Declaration: | manager/sales person of the above of "I/We hereby give you my/our cons | listributor/sub broker or notwithstanding |
| ea/portiono notaings/NAV etc. in respect of my/o | ur investments under Direct Plan | orali Schemes managed by you, to the | e above memioned SEDI-Re | gistered investment Adviser/ KiA. | |
| | | | | | |
| | atory / PoA / Karta | | | Sign of 3° Applicant / | |
| 1. EXISTING UNIT HOLDER INFOR | MATION (The details in o | our records under the folio n | umber mentioned wi | ll apply for this application. | .) |
| olio No.: | | Name of 1 st Unit Holder: | | | |
| 2. ADDITIONAL PURCHASE IN EXI | STING SCHEME FROM V | | O NFO SCHEME IS IN Applicant | TENDED 3 rd Applicant | |
| YC compliance status: Please (✓) | Regular Plan | Growth Payout of | • | einvestment of | Income Distribution cum |
| cneme | Direct Plan | | on cum capital In | come Distribution cum apital withdrawal option Default) | capital withdrawal option frequency* |
| ncome Distribution cum capital withdra | wal option frequency is ap | plicable only for Mirae Asset C | Cash Management Fur | id & Mirae Asset Savings Fur | nd. |
| ayment Type: Please (✓) | Non-Third Party Pa | yment | | ach 'Third Party Payment De | |
| ore Banking A/c No.: | | | | | CURRENT SAVINGS 1 |
| Cheque / DD / UTR No. & Date | Amount of Cheque / D RTGS / NEFT in figures | | Drawn on B Branch | · · · · · · · · · · · · · · · · · · · | y-In Bank A/c No. or Cheque Only) |
| | | | | | • |
| RANSACTION CHARGES (Refer Inst | | | | | |
| ansaction charges, ₹100/- will be d | | | | | • |
| a. DEMAT ACCOUNT DETAILS – Mand ational Securities Depository I | | | | oned as given in folio, matches Services (India) Limited | |
| P Name: | Limited (NODE) | | Name: | Jervices (maia) Emilica | (ODOL) |
| | Benef. A/C No. | | Digit A/C No. | | |
| | Client Masters List (CML) | | cum Holding Stateme | nt Deli | very Instruction Slip (DIS) |
| 3. SWITCH REQUEST - I WISH TO | ` ' | | | | (2.2) |
| rom Scheme | Regular Plan Direct Plan | Growth Payout of Distribution withdrawa | on cum capital In | einvestment of come Distribution cum apital withdrawal option Default) | Income Distribution cum capital withdrawal option frequency* |
| mount (in figures) (₹): | | Or Units (i | n figures): | | Or All Unit |
| mount (in words) (₹): | | , | <u> </u> | | |
| o Scheme: MIRAE ASSET ESG SEG | CTOR LEADERS FUND O | DF FUND | F | Regular Plan Direct F | Plan Growth (Default) |
| ncome Distribution cum capital withdra | | | Cash Management Fun | nd & Mirae Asset Savings Fur | nd. |
| 4. DECLARATION AND SIGNATURE | ES / THUMB IMPRESSIO | N OF APPLICANT(s) [Refer I | nstructions 2(f) of KI | M] | |
| o The Trustees, Mirae Asset Mutual Fund (The Fund) – (gree to abide by the terms, conditions, rules and regulation rovisions of the Income Tax Act, Anti Money Laundering sset Mutual Fund. (D) The information given in / with the formation/details with the AMC / Fund/Registrars and Tr. We will indemnify the Fund, AMC, Trustee, RTA and othe orm of trail commission or any other mode), payable to his didicative portfolio and/ or any indicative yield by the Fund We have read, understood and shall be bound by the ter RIA) through the registrar or otherwise. (I) Applicable to Funds the Scheme as per the said FEMA regulations offity the AMC, in which event the AMC reserves the right onfirm that the information provided by me / us on this Fo ill be presumed that applicant is the ultimate beneficial or acconcealed the facts of beneficial ownership. I/We also adnaar: I/We hereby voluntarily submit Aadhar card to the | ins governing the scheme. (B) I/We heil aws or any other applicable laws ena- isia application form is true and correct ansfer Agent (RTA) from time to time. I/ in the timediaries in case of any dispute for the different competing Schemes AMC/its distributor for this investment. ms & conditions of the PIN agreement preign Resident's Residing in India I/ and other applicable laws and regulation to redeem my / our investments in the rm is true, correct, and complete. I / We wer, with no declaration to submit. In is o undertake to keep you informed in w | reby declare that the amount invested in the cted by the Government of India from time to and further agrees to furnish additional in We hereby confirm that the AMC/Fund shall regarding the eligibility, validity and authoriz a sof various Mutual Funds from amongst whis LIWe have not received nor have been indu available on the AMC website for transactin We confirm that I/We satisfy the Residency tons. (J) I/We confirm that I am / We are not Scheme(s). (K) FATCA/CRS Certification: I also confirm that I I/We have read and unde such case, the concerned SEBI registered in ritting about any changes/modification to the | scheme is through legitimate sou time. (C) Signature of the nomin formation sought by Mirae Asse I have the right to share my infornation sought to the Scheme is being recomm ced by any rebate or gifts, directly go niline. (H) RIA: IWWe hereby at test as prescribed under FEMA, p United States person(s) under th /We have understood the inform erstood the FATCA& CRS Terms termediary reserves the right to response to the state of the state termediary reserves the right to response to the state of the state the state of the state of of the state of of the state of of the state of of the state of of of of of of of of of of | irces only and does not involve and is not does acknowledging receipts of mylour cree to three acknowledging receipts of mylour cree to the three thre | esignéd for the purpose of the contravention of the unstable full discharge of liabilities of mitted (AMC) / Fund and undertake to updat and government authorities as and when ne has disclosed to me/us all the commissions (and I/We have not been offered/communicate) Applicable to Investors availing the online facaction details to the registered investment a drare "Person Resident in India" and are allow anada. In case of change to this status, I / We gwith the FATCA & CRS Instructions) and he. In case the above information is not provient of units, if subsequently it is found that app |
| Signature of 1" Applicant/Guardian/Authorised (AS IN BANK RECORDS | | Signature of 2 [™] Applicant/Guardian /A (AS IN BANK RECC | | | Guardian/Authorised Signatory/PoA 3ANK RECORDS) |
| Received Application from M Scheme Name Mirae Asset ESG Sector L (AUTO SWITCH OUT AF | | | | | as per details below: |
| Scheme Name | | - | ent Details | Date & Stamp | o of Collection Centre / ISC |
| Mirae Asset ESG Sector L (AUTO SWITCH OUT AF | | Amount (Rs) Cheque / DD No.: | | | |

Dated_____ Bank & Branch_ 25 Mar

Cheque / DD is subject to realisation

INSTRUCTIONS

- Auto Switch facility is a Special facility available to the existing investors having investments in Specified Schemes of Mirae Asset Mutual Fund (MAMF) only
 during the New Fund Offering (NFO) period whereby investors can switch their units from such Specified Schemes at the specified date during the NFO Period.
- 2. Unit holders are advised to read the Statement of Additional Information (SAI), Scheme Information Document (SID) and Key Information Memorandum (KIM) of the Scheme which is available at all the Designated Investor Service Centers (ISCs), Brokers / Distributors and on our website www.miraeassetmf.co.in 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 Transferor Scheme. Units will be allotted under the same folio number
- 10. The Unit holders are given an Option to hold the units by way of an Account Statement or in Dematerialized ('Demat') form. Unit holders opting to hold the units in Demat form must provide their Demat Account details in the specified section of the application form. The Unit holder intending to hold the units in Demat form are required to have a beneficiary account with the DP (registered with NSDL / CDSL as may be indicated by the Fund at the time of launch of the Plan) and will be required to indicate in the application the DP's name, DP ID Number and the Beneficiary account number of the applicant with the DP. In case Unit holders do not provide their Demat Account details, an Account Statement shall be sent to them. Such investors will not be able to trade on the stock exchange till the holdings are converted in to Demat form.
- 11. 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), by default, the units will be allotted under the Growth Option of the Plan.
- 16.Investors subscribing under Direct Plan of the Mirae Asset ESG Sector Leaders Fund of Fund will have to indicate the Scheme / Plan name in the application form as "Mirae Asset ESG Sector Leaders Fund of 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.