Mirae Asset Mutual Fund

Trustee: Mirae Asset Trustee Company Private Limited CIN: U65191MH2007FTC170231

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

CIN: U65990MH2019PTC324625

Registered & Corporate Office:

Unit No.606, Windsor Building, Off. C.S.T Road, Kalina, Santacruz (East), Mumbai – 400098

Tel. No.: 022-678 00 300 Fax No.: 022-6725 3940 - 47

Website: www.miraeassetmf.co.in E-mail: miraeasset@miraeassetmf.co.in

KEY INFORMATION MEMORANDUM

of

MIRAE ASSET ESG SECTOR LEADERS ETF (MAESGSLETF)

An open ended scheme replicating/tracking Nifty100 ESG Sector Leaders Total Return Index

Product Labelling



Investors understand that their principal will be at Moderately High Risk

Offer for Sale of Units at 1/100th value of the Nifty100 ESG Sector Leaders closing Index as on the date of allotment for applications received during the New Fund Offer ("NFO") period and at approximately indicative NAV based prices (along with applicable charges and execution variations) during the Ongoing Offer for applications directly received at AMC. Face value is Rs.10 per unit.

New Fund Offer opens on : 27/10/2020
New Fund Offer closes on : 10/11/2020
Scheme re-opens for continuous Sale and Repurchase from 18/11/2020

The subscription list may be closed earlier by giving at least one day's notice in one daily newspaper. The Trustee reserves the right to extend the closing date of the New Fund Offer Period, subject to the condition that the subscription list of the New Fund Offer Period shall not be kept open for more than 15 days.

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.

DISCLAIMER OF NSE:

As required, a copy of this Scheme Information Document has been submitted to National Stock Exchange of India Limited (hereinafter referred to as NSE). NSE has given vide its letter NSE/LIST/5248 dated August 31, 2020 permission to the Mutual Fund to use the Exchange's name in this Scheme Information Document as one of the stock exchanges on which the Mutual Fund's Units are proposed to be listed subject to, the Mutual Fund fulfilling the various criteria for listing. The Exchange has scrutinized this Scheme Information Document for its limited internal purpose of deciding on the matter of granting the aforesaid permission to the Mutual Fund. It is to be distinctly understood that the aforesaid permission given by NSE should not in any way be deemed or construed that the Scheme Information Document has been cleared or approved by NSE; nor does it in any manner warrant, certify or endorse the correctness or completeness of any of the contents of this Scheme Information Document; nor does it warrant that the Mutual Fund's Units will be listed or will continue to be listed on the Exchange; nor does it take any responsibility for the financial or other soundness of the Mutual Fund, its Sponsors, its management or any scheme of the Mutual Fund.

Every person who desires to apply for or otherwise acquire any Units of the Mutual Fund may do so pursuant to independent inquiry, investigation and analysis and shall not have any claim against the Exchange whatsoever by reason of any loss which may be suffered by such person consequent to or in connection with such subscription /acquisition whether by reason of anything stated or omitted to be stated herein or any other reason whatsoever.

DISCLAIMER OF BSE:

"BSE Ltd. ("the Exchange") has given vide its letter no. LO/IPO/SK/MF/IP/28/2020-21 dated June 25, 2020 permission to use the Exchange's name in this SID as one of the Stock Exchanges on which this Mutual Fund's Units are proposed to be listed. The Exchange has scrutinized this SID for its limited internal purpose of deciding on the matter of granting the aforesaid permission to. The Exchange does not in any manner:-

- warrant, certify or endorse the correctness or completeness of any of the contents of this SID; or
- ii) warrant that this scheme's units will be listed or will continue to be listed on the Exchange; or
- iii) take any responsibility for the financial or other soundness of this Mutual Fund, its promoters, its management or any scheme or project of this Mutual Fund;

and it should not for any reason be deemed or construed that this SID has been cleared or approved by the Exchange.

Every person who desires to apply for or otherwise acquires any unit of this Fund may do so pursuant to independent inquiry, investigation and analysis and shall not have any claim against the Exchange whatsoever by reason of any loss which may be suffered by such person consequent to or in connection with such subscription/ acquisition whether by reason of anything stated or omitted to be stated herein or any other reason whatsoever.

DISCLAIMER NSE INDICES LIMITED

The Product(s) are not sponsored, endorsed, sold or promoted by NSE INDICES LIMITED (formerly known as India Index Services & Products Limited ("IISL")). NSE INDICES LIMITED does not make any representation or warranty, express or implied, to the owners of the Product(s) or any member of the public regarding the advisability of investing in securities generally or in the Product(s) particularly or the ability of the Nifty100 ESG Sector Leaders Index to track general stock market performance in India. The relationship of NSE INDICES LIMITED to the Issuer is only in respect of the licensing of the Indices and certain trademarks and trade names associated with such Indices which is determined, composed and calculated by NSE INDICES LIMITED without regard to the Issuer or the Product(s). NSE INDICES LIMITED does not have any obligation to take the needs

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NSE INDICES LIMITED do not guarantee the accuracy and/or the completeness of the Nifty100 ESG Sector Leaders Index or any data included therein and NSE INDICES LIMITED shall have not have any responsibility or liability for any errors, omissions, or interruptions therein. NSE INDICES LIMITED does not make any warranty, express or implied, as to results to be obtained by the Issuer, owners of the product(s), or any other person or entity from the use of the Nifty100 ESG Sector Leaders Index or any data included therein. NSE INDICES LIMITED makes no express or implied warranties, and expressly disclaims all warranties of merchantability or fitness for a particular purpose or use with respect to the index or any data included therein. Without limiting any of the foregoing, NSE INDICES LIMITED expressly disclaim any and all liability for any claims ,damages or losses arising out of or related to the Products, including any and all direct, special, punitive, indirect, or consequential damages (including lost profits), even if notified of the possibility of such damages.

An investor, by subscribing or purchasing an interest in the Product(s), will be regarded as having acknowledged, understood and accepted the disclaimer referred to in Clauses above and will be bound by it.

Investment Objective

The investment objective of the scheme is to generate returns, before expenses, that are commensurate with the performance of the Nifty100 ESG Sector Leaders Total Return Index, subject to tracking error.

The Scheme does not guarantee or assure any returns.

Asset Allocation Pattern of the scheme

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

Types of Instruments	Indic alloc (% of ass	total	Risk Profile	
Securities included in the Nifty100 ESG Sector	95%	100%	High	
Leaders Index				
Money market instruments / debt securities,	0	5%	Low to	
Instruments and/or units of debt/liquid schemes			Medium	
of domestic Mutual Funds.				

The Asset Allocation portion shall also include subscription and redemption cash flow, which will represent the cash component portion created by virtue of execution rounding leftovers on the residual, dividend from underlying securities, rebalancing or balances for running cost of the scheme etc, which may or may not get deployed.

The Scheme may make investments in Derivatives upto 20% of the net assets of the Scheme for the purpose for portfolio rebalancing and hedging purposes and to reduce the tracking error. The Scheme will not invest in ADR/ GDR / Foreign Securities / Securitized Debt/ structured obligation/ Repo in Corporate Debt Securities nor will it engage in short selling. The scheme does not intend to invest into any credit default swaps.

However, the aggregate gross exposure to equity, derivatives, debt instruments and money market instruments will not exceed 100% of the net assets of the scheme.

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 in terms of SEBI circular dated April 16, 2007, June 23, 2008 and August 16, 2019 and September 20, 2019.

In case of any deviation from the above asset allocation, the portfolio shall be rebalanced within 7 Business Days to ensure adherence to the above norms. In the event of involuntary corporate action, the Scheme shall dispose the security not forming part of the underlying index within 7 Business Days from the date of allotment/listing.

Investment Strategy

The Mirae Asset ESG Sector Leaders ETF will be managed passively with investments in stocks in a proportion that match as close as possible to the weights of these stocks in Nifty100 ESG Sector Leaders Index.

ESG stands for Environmental, Social and Governance. This is also called sustainability in many cases. In a business context, sustainability is about the company's business model, i.e. how its products and services contribute to sustainable development. It is also about a company's risk management, i.e. how it manages its own operations to minimize negative impact.

Generally, Environmental criteria consider how a company performs as a steward of nature. Social criteria examine how it manages relationships with employees, suppliers, customers, and the communities where it operates. Governance deals with a company's leadership, executive pay, audits, internal controls, and shareholder rights.

Quality companies with a competitive advantage, sustainable business model and visibility of earnings growth can be one of the best avenues for long term wealth generation. ESG factors can complement traditional tools of evaluating and identifying quality businesses and thus improve the overall understanding of the company. Typically, it is seen that the companies that have strong ESG metrics are companies that are well governed and treat their responsibilities to the environment and society seriously and as a result are likely to avoid negative external shocks that can impact their business models.

The investment strategy of the Scheme will be to invest in a basket of securities forming part of Nifty100 ESG Sector Leaders Index in similar weight proportion.

The investment strategy would revolve around reducing the tracking error to the least possible through regular rebalancing of the portfolio, taking into account the change in weights of stocks in the Index as well as the incremental collections/redemptions in the Scheme. A part of the funds may be invested in debt and money market instruments, to meet the liquidity requirements.

Subject to the Regulations and the applicable guidelines the Scheme may invest in the schemes of Mutual Funds. The investment strategy shall be in line with the asset allocation mentioned under "Section II (c): How will the Scheme allocate its assets".

Though every endeavor will be made to achieve the objective of the Scheme, the AMC/Sponsors/Trustee does not guarantee that the investment objective of the Scheme will be achieved. No guaranteed returns are being offered under the Scheme.

Risk Profile of the Scheme

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 Passive Fund Investment Risks, Risks Associated with Equity Investments, Risks Associated with Debt & Money Market Instruments, Risks Associated with Derivatives, Risk factors associated with processing of transaction through Stock Exchange Mechanism, Risks associated with segregated portfolio

Risk Control measures

<u>Market Risk:</u> Market risk is inherent to an equity scheme. Being a passively managed scheme, it will invest in the securities included in its Underlying Index.

Risks Associated with Debt & Money Market Instruments

<u>Credit Risk</u> - 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.

Plans and Options

The Scheme does not offer any Plans/Options for investment.

The AMC and the Trustees reserve the right to introduce such other Plans/Options as they deem necessary or desirable from time to time, in accordance with the SEBI Regulations.

Applicable NAV (after the scheme opens for repurchase)

In case of Purchase / Redemption directly with Mutual Fund (By Authorized Participants and Large Investors):

The Cut-off time for receipt of valid application for Subscriptions and Redemptions is 3.00 p.m. However, as the Scheme is an Exchange Traded Fund, the Subscriptions and Redemptions of Units would be based on the Portfolio Deposit and Cash Component as defined by the Fund for that respective Business Day. Thus, MAESGSLETF Units will be allotted / redeemed at a price determined on the basis of approximately indicative NAV based prices (along with applicable charges and execution variations) during the Ongoing Offer for applications directly received at AMC. Additionally, the difference in the value of portfolio and cost of purchase/sale of Portfolio Deposit on the Exchange for creation/redemption of MAESGSLETF Units including the Cash Component and transaction handling charges, if any, will have to be borne by the Authorized Participant/Large Investor.

In case of Redemption directly with Mutual Fund in exceptional circumstances by investors other than Authorized Participants:

The Cut-off time for receipt of valid application for Redemptions directly with the Fund in exceptional circumstances is 3.00 p.m. Valid applications received by the fund upto the cut-off time will be processed on the basis of approximately indicative NAV based prices (along with applicable charges and execution variations) during the Ongoing Offer for applications directly received at AMC of the day of receipt of request and for valid applications received after cut-off time, at approximately indicative NAV based prices of the next business day (along with applicable charges and execution variations) during the Ongoing Offer for applications directly received at AMC shall be applicable.

Settlement of Purchase/Sale of Units of the Scheme on NSE/BSE

Buying/Selling of Units of the Scheme on NSE/ BSE is just like buying/selling any other normal listed security. If an investor has bought Units, an investor has to pay the purchase amount to the broker/sub-broker such that the amount paid is realised before the funds payin day of the settlement cycle on the Stock Exchange(s). If an investor has sold Units, an investor has to deliver the Units to the broker/sub-broker before the securities pay- in day of the settlement cycle on the Stock Exchange(s). The Units (in the case of Units bought) and the funds (in the case of Units sold) are paid out to the broker on the pay-out day of the settlement cycle on the Stock Exchange(s). The Stock Exchange(s) regulations stipulate that the trading member should pay the money or Units to the investor within 24 hours of the pay-out.

If an investor has bought Units, he should give standing instructions for 'Delivery-In' to his /her/its DP for accepting Units in his/her/its beneficiary account. An investor should give the details of his/her beneficiary account and the DP-ID of his/her/its DP to his/ her/its trading member. The trading member will transfer the Units directly to his/her/ its beneficiary account on receipt of the same from NSE's/BSE's Clearing Corporation. An investor who has sold Units should instruct his/her/its Depository Participant (DP) to give 'Delivery Out' instructions to transfer the Units from his/her/its beneficiary account to the Pool Account of his/her/its trading member through whom he/she/it have sold the Units. The details of the Pool A/C (CM-BP-ID) of his/her trading member to which the Units are to be transferred, Unit quantity etc. should be mentioned in the Delivery Out instructions given by him/her to the DP. The instructions should be given well before the prescribed securities pay-in day. SEBI has advised that the Delivery Out instructions should be given at least 24 hours prior to the cut-off time for the prescribed securities payin to avoid any rejection of instructions due to data entry errors, network problems, etc. During NFO Period: Rs. 5,000 per application and in multiples of Re. 1 thereafter. Units Minimum will be allotted in whole figures and the balance amount will be refunded. Amount for Application On an on-going Basis: Authorized Participants /Large Investors: Application for subscription of the Units in Creation Unit Size can be made either: In exchange of Cash*[as determined by the AMC equivalent to the cost incurred towards the purchase of predefined basket of securities that represent the underlying index (i.e. Portfolio Deposit)], Cash component and other applicable transaction charges; or in exchange of Portfolio Deposit [i.e. by depositing basket of securities constituting Nifty100 ESG Sector Leaders Index] along with the cash component and applicable transaction charges. Each Creation Unit Size will consist of 2,50,000 Units and 1 Unit will be approximately equal to 1/100th of the value of Nifty100 ESG Sector Leaders Index. *Cash means payments shall be made only by means of payment instruction of Real Time Gross Settlement (RTGS) / National electronic Funds Transfer (NeFT) or Funds Transfer Letter / Transfer Cheque of a bank where the Scheme has a collection account. Redemption of Units of the ETF in Creation Unit Size will be allowed both by means of exchange of Portfolio Deposit and in cash. Other investors (including Authorised Participants and Large Investors): Units of the ETF can be subscribed (in multiples of 1 Unit) during the trading hours on all trading days on the NSE and/ or BSE on which the Units will be listed. The redemption or repurchase proceeds shall be dispatched to the unitholders within 10 Dispatch of working days from the date of redemption or repurchase. Repurchase (Redemption) Request **Benchmark** Nifty100 ESG Sector Leaders Index Index Dividend A dividend may be declared by the Trustee, at its discretion, from time to time (subject to the availability of distributable surplus as calculated in accordance with the Regulations). **Policy** There is no assurance or guarantee to unit holders as to the rate of dividend distribution nor will that dividend be regularly paid. If the Fund declares a dividend under the Scheme,

	AMC shall dispatch the dividend warrants within 30 days from the date of declaration of the dividend. In case the delay is beyond 30 days, then the AMC shall pay interest @15% p.a. from the expiry of 30 days till the date of dispatch of the warrant. In accordance with SEBI Circular no. SEBI/ IMD/ Cir No. 1/64057/06 dated April 4, 2006, the procedure for
	Dividend Distribution shall be followed.
Name of the	The Scheme will be managed by Ms. Bharti Sawant.
Fund	The Scheme will be managed by 1413. Bharti Sawant.
Manager	
Name of the Trustee	Mirae Asset Trustee Company Private Limited
Company	
Expenses of the Scheme	During New Fund Offer and Ongoing Offer Periods
1.Load Structure	Entry Load: Not Applicable Exit Load:
	For Creation Unit Size: • No Exit load will be levied on redemptions made by Authorized Participants / Large Investors directly with the Fund in Creation Unit Size. For other than Creation Unit Size:
	Not Applicable -The Units of MAESGSLETF in other than Creation Unit Size cannot ordinarily be directly redeemed with the Fund. These Units can be redeemed (sold) on a continuous basis on the Exchange(s) where it is listed during the trading hours on all trading days.
	Investors other than Authorised Participants can redeem units directly with the Fund for less than Creation Unit size at approximately indicative NAV based prices (along with applicable charges and execution variations) during the Ongoing Offer for units without any exit load if:
	1. The closing traded price of the units of the Scheme is at a discount of more than 3% to the day end NAV for 30 consecutive trading days; or 2. Discount of bid price to day end NAV over a period of 7 consecutive trading days is
	greater than 3%, or 3. There are no quotes or trades available on the Stock Exchange(s) for 3 consecutive
	trading days, or 4. Total bid size on the exchange is less than half of Creation Units size daily, averaged over a period of 7 consecutive trading days.
	Such instances shall be tracked by the AMC on an ongoing basis and in case if any of the above mentioned scenario arises, the same shall be disclosed on the website of the Mutual Fund.
	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 7% and without any discrimination to any specific group. The Repurchase Price however, will not be lower than 93% of the NAV, and the Sale Price will not be higher than 107% of the NAV, provided that the difference between the Repurchase price and Sale price at any point in time shall not exceed the permitted limit as prescribed by SEBI from time to time which is presently 7% calculated on the Sale Price.

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:

- A public notice shall be given in respect of such changes in one English daily newspaper having nationwide circulation as well as in a newspaper published in the language of region where the Head Office of the Mutual Fund is situated.
- 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.
- 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.

2. Recurring Expenses

These are the fees and expenses for operating the Scheme. These expenses include Investment Management and Advisory Fee charged by the AMC, Registrar and Transfer Agents' fee, marketing and selling costs etc. as given in the table below:

The AMC has estimated that upto 1.00% of the daily net assets of the Scheme will be charged to the scheme as expenses. As per the Regulations, the maximum recurring expenses including investment management and advisory fee that can be charged to the Scheme shall be subject to a percentage limit of daily net assets as in the table below:

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 and 5 bps for cash	
	market transactions and derivative transaction respectively @ @	
	GST on expenses other than investment and advisory fees	
	GST on brokerage and transaction cost	
	Other Expenses*	
	Maximum total expense ratio (TER) permissible under Regulation 52 (6) (b)	
	Additional expenses for gross new inflows from specified cities	Upto 0.30%
	*Other expenses: Any other expenses which are directly attributable to the scharged with approval of the Trustee within the overall limits as s Regulations except those expenses which are specifically prohibited.	
	For the actual current expenses being charged, the investor should refer to the Mutual Fund.	the website of
	@@ Brokerage and transaction costs which are incurred for the purpose trade and is included in the cost of investment shall not exceed 0.12 per cen market transactions and 0.05 per cent in case of derivatives transactions.	
	For further details, investors are requested to refer SID.	
Waiver of	Not Applicable.	
Load for	Tr	
Direct		
Applications		
Tax treatment	Investors are advised to refer to the paragraph on Taxation in the "Stateme	nt of Additional
for the	Information" or "Scheme Information Document" and to consult their own	
Investors	advisors with respect to the specific amount of tax and other implication	
(Unitholders)	their participation in the scheme.	s arising out or
Daily Net	The NAV will be declared on all business days. NAV can also	be viewed on
Asset Value (NAV) Publication	www.miraeassetmf.co.in and www.amfiindia.com. Investors can also ca 2090 777" (toll-free from a MTNL / BSNL landline) to know the latest NA	ll us on "1800
For Investor	Mr. Somak Banerjee	
Grievances	Mirae Asset Investment Managers (India) Private Limited	
please contact	606, 6th Floor, Windsor Bldg., Off CST Road, Kalina, Santacruz (E), Mum	bai - 400 098.
_	Telephone Nos.: 6780 0300 e-mail: customercare@miraeasset.com	
	Investors are advised to contact any of the ISCs or the AMC by calli	ng the investor
	line of the AMC at "1800 2090 777" (toll-free from a MTNL / BSNL la	
	queries. Investors can also visit the website at www.miraeassetmf.co.i	
	details.	
Unitholders'	Account Statement:	
Information		
	The AMC shall issue to the investor whose application has been accept statement specifying the number of units allotted will be sent by ordinary secured encrypted electronic mail to each Unit Holder, stating the nupurchased, within 5 Business Days, from the closure of NFO.	post / courier /
	In case of specific request received from investors, Mutual Fund shall prov	vide 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 10th 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 10th 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 10th day of succeeding month, to all such Unit holders in whose folios no transaction has taken place during that period. The half yearly consolidated account statement will be sent by e-mail to the Unit holders whose email address is available, unless a specific request is made to receive in physical form.
- 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: An annual report of the Scheme or an abridged format thereof will be prepared as at the end of each financial year (March 31) and copies of the same will be sent (i) by e-mail to the Unit holders whose e-mail address is available with the Fund, (ii) in physical form to the Unit holders whose email address is not registered with the Fund and/or those Unit holders who have opted/requested for the same as soon as possible but not later than 4 months from the closure of the relevant financial year. The physical copy of the Scheme wise annual report or abridged summary thereof shall be made available to the investors at the registered office of the AMC. A link of the Scheme wise annual report or abridged summary thereof shall be displayed prominently on the website of the Fund and shall also be displayed on the website of Association of Mutual Funds in India (AMFI).

Date: October 15, 2020

An open ended scheme replicating/tracking Nifty100 ESG Sector Leaders Total Return Index

Offer for Sale of Units at 1/100th value of the Nifty100 ESG Sector Leaders Index closing value as on the date of allotment for applications received during the New Fund Offer ("NFO") period and at approximately indicative NAV based prices (along with applicable charges and execution variations) during the Ongoing Offer for applications directly received at AMC. Scheme re-opens for continuous sale & re-purchase on and from 18/11/2020



MIRAE ASSET ESG SECTOR LEADERS ETF

An open ended scheme replicating/tracking Nifty100 ESG Sector Leaders Total Return Index

e*. Non-Individual Investors involved/providing

any of the mentioned services

New Fund Offer open on : 27/10/2020 New Fund Offer closes on : 10/11/2020

Application No.:

This product is suitable for investors who are seeking*

 Returns that are commensurate with the performance of NIFTY100 ESG Sector Leaders Total Return Index, subject to tracking error over long term

Investments in equity securities covered by NIFTY100 ESG Sector Leaders Total Return Index

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



Investors understand that their principal

None of the above

					will be at moderately riight Risk
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.
7 II					
EUIN Declaration: Declaration for "Execution Only" The EUIN box has been intentionally left blank by me/u:	Fransaction (where Employee Unique is as this transaction is executed with	e Identification Number-EUI	N* box is left blank). Please references	er instruction 12 of KIM for complet	e details on EUIN. I/We hereby confirm that
advice of in-appropriateness, if any, provided by the feed/portfolio holdings/NAV etc. in respect of my/our in	employee/relationship manager/sale	es person of the distributor/s	sub broker. RIA/Declaration: '	'I/We hereby give you my/our cons	
leed/portiono holdings/NAV etc. in respect of my/our in	IVESTITIENTS UNDER DIFFECT FIGHT OF All SC	inemes managed by you, to the	ne above mentioned SEBI-ixeg	Jistered IIIvestillerit Adviser/ N.A.	
Sign of 1st Applicant / Guardian / Auth. Signalo					
TRANSACTION CHARGES (Please ©	any one of the below Ref	for Instruction No. 11	1		
I AM A FIRST TIME INVESTOR IN MU		OR	·	EXISTING INVESTOR IN	MUTUAL FUNDS
Applicable transaction charges will be deduced registered Distributor) based on the investor					e investor to the ARN Holder (AMFI
			<u> </u>		
1. EXISTING UNIT HOLDER INFORM				•	
Folio No.					tion, provided the particulars should details given in the below Sections.
1a. MODE OF HOLDING AND UNITS H	HOLDING PATTERN - The N	Mode of Holding & Pa	attern will he as is Reg	istered with Depository P	articinant for this application
	IOLDING FATTLANT THE I		ittern wiii be de le reg	iotorea man Depocitory i	artiolpant for time approaction.
2. DEMAT ACCOUNT DETAILS - Man	datory for units in Demat M	lode - The first applied	cant details provided in	n the Application Form / F	olio No. should be same as per n the Depository Participant.
National Securities Depository Limited	(NSDL)	ı		vices (India) Limited (CDS	
DP Name	<u> </u>		DP Name		,
DP ID I N Be	enef. A/C No.		6 Digit A/C No.		
Enclosures - Please (✓) ☐ Client Ma	asters List (CML)	Transaction cum	Holding Statement	Delivery Instruc	ction Slip (DIS)
3. APPLICANT(S) NAME AND INFOR	RMATION [Refer Instruction	1 2] If the 1 st / Sole Ap	plicant is Minor, then p	olease provide details of r	natural / legal guardian
1 st SOLE APPLICANT Mr. / Ms. / M/s.				PAN	
(Please write the name as per PAN Card)			Dle indie	ete if LIC Derese er e resident	for tay number / Decident of Canada
CKYC ID No. (KIN)			PIS INDIC		for tax purpose / Resident of Canada No ^s (\$Default if not ✓)
GUARDIAN (In case 1st Applicant is a Mir	nor)			Relationsh	ip with Minor (Please ✓)
Mr. / Ms. / M/s.				Mother	Father Legal Guardian
GUARDIAN CKYC ID No. (KIN)			KYC (Please ✓)	GUARDIAN PAN	
ib No. (Killy)			Proof Attached	PAN	
POA / Custodian Name:				KY	'C (Please ✓) ☐ Proof Attached
POA / Custodian CKYC ID No. (KIN)			PO	A / Custodian PAN	
Contact Person for Corporate Investor:	Name			Designation:	
•		Li ara Mandatani		Designation.	
4. FIRST APPLICANT AND KYC DETA 1st SOLE APPLICANT Individual or		·	l Ownership (UBO) Dec	laration Form in section 11	a & 11b - Refer Instruction No. 17]
*Date of Birth/ Incorporation D D M	-	f of Date of Birth (Ple	- ' - '		School Leaving Certi cate / Mark Sheet
(Individual) / (Non-individual) (Please write the Date of birth as per Aadhaar Ca	ard)	(For minor applicant)	☐ Pass	port of the Minor	Others
Place of Birth / Incorporation:	Country of Birth / Incorporation:		Nationality:	Gender	Male Female Other
(Please write the Date of birth as per Aadhaar Ca	ard)			'	
Type: Resident Individual Sole		rust Bank / Fls		ociety/AOP/BOI Minor	through Guardian NRI - NRO
HUE IIP Listed Company Prive	te Company Dublic Ltd Co				mae ()fhare
	ate Company Public Ltd. Co Private Sector	Public Sector	Government Service	·	mes Others Housewife
HUF LLP Listed Company Priva a*. Occupation Details [Please tick (✓)]		· · · · ·		·	
	Private Sector Business	Public Sector Retired	Government Service Retired	Student Proprietorship	Professional Housewife Others
a*. Occupation Details [Please tick (✓)]	Private Sector Business (Also applicable for authorised	Public Sector Retired	Government Service Retired	Student Proprietorship	Professional Housewife Others
a*. Occupation Details [Please tick (✓)] b*. Politically Exposed Person (PEP) Status	☐ Private Sector ☐ Business s (Also applicable for authorised /)] ☐ Below 1 Lakh	☐ Public Sector ☐ Retired signatories/Promoters/Ka	Government Service Retired arta/Trustee/Whole time Directors 5-10 Lakhs	Student Proprietorship ectors) I am PEP I am	☐ Professional ☐ Housewife ☐ Others

Money Lending / Pawning

5. JOINT APPLICANTS, IF ANY AND THEIR	KTO DETAILO .	All fields marked as '*' are	•		
2 nd APPLICANT Mr. / Ms. / M/s. (Not Applicable (Please write the name as per PAN Card)	in case of Minor Applic	cant)		Gender	Male Female Other
PAN Details		Pls indicate if US Person or	a resident for tax purpose	Resident of Canada	s ☐ No* (*Default if not ✓)
CKYC ID No. (KIN)		KYC	Pls Proof Attache	Date of Birth (Mandat (As per PAN Card)	tory) D D M M Y Y Y Y
Place of Birth	Country of B	irth		Nationality:	
a*. Occupation Details [Please tick (✓)]	Private SectorBusiness		Government Service Agriculture		ofessional Housewife hers (Please specify)
b*. Politically Exposed Person (PEP) Status	☐ I am PEP	I am Related to PEP	Not Applicable		
c*. Gross Annual Income (₹) [Please tick (✓)]	Below 1 Lakh	as on D M	5-10 Lakhs		25 Lakhs
d*. Net-worth ₹		as on _ 		(Not older than 1 year)	
(Please write the name as per PAN Card)	n case of Minor Applic	,			Male Female Other
PAN Details		Pls indicate if US Person or	a resident for tax purpose	Resident of Canada Yes	s
CKYC ID No. (KIN)		KYCI	Pls 🕢 🗌 Proof Attache	Date of Birth (Mandat (As per PAN Card)	tory) D D M M Y Y Y Y
Place of Birth	Country of B	irth		Nationality:	
a*. Occupation Details [Please tick (✓)]	Private Sector Business	Public Sector Retired	Government Service Agriculture		ofessional Housewife hers (Please specify)
b*. Politically Exposed Person (PEP) Status	☐ I am PEP		Not Applicable		
c*. Gross Annual Income (₹) [Please tick (✔)]	Below 1 Lakh	as on D M	5-10 Lakhs		5 Lakhs
d*. Net-worth ₹		as on		(Not older than 1 year)	
6. MAILING ADDRESS [Please provide your	E-mail ID and Mol	oile Number to help us se	rve you better]		
Local Address of 1 st Applicant					
Tel. Off.	City		State	Pin Code	
Fel. Off.	City	Posi			
Tel. Off.	City	Resi.		Pin Code Mobile	
E - Mail^^	City	Resi.			
				Mobile	n e-mail only.
E - Mail^^				Mobile	n e-mail only.
E - Mail^^	D would mandatorily r	eceive all Communications, St	tatement of Accounts and A	Mobile bridged Annual Report through	ŕ
E - Mail^^ A^Please Use Block Letters. Investors providing email I 6a. Mandatory for NRI / FII Applicant [Please	D would mandatorily r	eceive all Communications, St	tatement of Accounts and A	Mobile bridged Annual Report through	ŕ
E - Mail^^ A^Please Use Block Letters. Investors providing email I	D would mandatorily r	eceive all Communications, St	tatement of Accounts and A	Mobile bridged Annual Report through	ŕ
E - Mail^^ A^Please Use Block Letters. Investors providing email I 6a. Mandatory for NRI / FII Applicant [Please	D would mandatorily r	eceive all Communications, St	tatement of Accounts and A	Mobile bridged Annual Report through	ŕ
E - Mail^^ A^Please Use Block Letters. Investors providing email I Ga. Mandatory for NRI / FII Applicant [Please Overseas Correspondence Address	D would mandatorily r	eceive all Communications, St	tatement of Accounts and A	Mobile bridged Annual Report through	ŕ
E - Mail^^ A^Please Use Block Letters. Investors providing email I 6a. Mandatory for NRI / FII Applicant [Please Overseas Correspondence Address 7. BANK ACCOUNT DETAILS - Mandatory [Reference of the content of th	D would mandatorily r	eceive all Communications, St	tatement of Accounts and A	Mobile bridged Annual Report through	ŕ
E - Mail^^ A^Please Use Block Letters. Investors providing email I 6a. Mandatory for NRI / FII Applicant [Please Overseas Correspondence Address 7. BANK ACCOUNT DETAILS - Mandatory [Revenue of the Bank:	D would mandatorily r	eceive all Communications, St	tatement of Accounts and A	Mobile bridged Annual Report through	ddress is preferred]
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E - Mail^^ ^Please Use Block Letters. Investors providing email I 6a. Mandatory for NRI / FII Applicant [Please Overseas Correspondence Address 7. BANK ACCOUNT DETAILS - Mandatory [Re Name of the Bank: Core Banking A/c No. Branch Name:	D would mandatorily r provide Full Addre	eceive all Communications, Stress. P. O. Box No. may no	tatement of Accounts and A	bridged Annual Report through	ddress is preferred]
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E - Mail^^ ^Please Use Block Letters. Investors providing email I 6a. Mandatory for NRI / FII Applicant [Please Overseas Correspondence Address 7. BANK ACCOUNT DETAILS - Mandatory [Re Name of the Bank: Core Banking A/c No. Branch Name:	D would mandatorily r provide Full Addre efer Instruction Nos Ac St:	eceive all Communications, Stress. P. O. Box No. may not seem to be a	tatement of Accounts and A	bridged Annual Report through reseas Investors, Indian Ad NRE CURRENT S Pin Code	ddress is preferred]
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PART A To b	be filled by Fir	nancial In	etitutione or Di	ract Pan		lon Finacial Enti	ity (NEEc)								
We are a,	be lilled by Fil	GIIN	Stitutions of Di	rect Kep	orting N	IOII FIIIACIAI EIIU	ity (NFLS)								
Financial inst	titution _		: If you do not have a GII	N but you are	snonsored by	/ another entity please pro	ovide your sponsor's GIIN a	shove and indicate	our sponsor's	name below					
or Direct reporti	ing NFE			-	sponsored by	another entity, piedde pro	vide your sponsor s chirt b	bove und indicate	your oponoor o	nume below					
[Please tick ((✓)]	Name of	f sponsoring e	ntity:											
GIIN not avail	lable [Please	tick (√)]	Applied for	or 🗌 I	Not requi	red to apply for - p	please specify 2 d	ligits sub-cat	egory		_ N	lot obtain	ed – N	on-parti	cipating
PART B (ple	ease fill any or	ne as app	ropriate "to be	filled by	NFEs of	ther than Direct	Reporting NFEs	s")							
(that is		whose sh	company ares are regulai urities market)	rly		es (If yes, please spe	ecify any one stock ex	change on wh	ch the stoc	k is regula	rly trade	d)			
2 Is the I	Entity a relate	al austitus as	f a mulalialu				ecify name of the liste	d company an	l one stock	ovohongo	on which	h the steel	io roqui	larly trade	۹/
traded	l company (a d	company v	whose shares a			() //	city flame of the liste			•			is regui	ially trade	u)
regula	irly traded on a	an establi	shed securities	market)											
							subsidiary of the Liste	d Company or	☐ Cor	ntrolled by	a Listed	Company			
						e of stock exchange:									
3 Is the I	Entity an activ	ve NFE			Ye	es (If yes, please fill L	JBO declaration in th	e next section.)						
					Nature	e of Business:									
					Pleas	e specify the sub-cat	tegory of Active NFE		Mention cod	le: Refer i	nstructio	n 15(c)			
4 Is the I	Entity a passiv	ve NFE			Ye	es (If yes, please fill U	JBO declaration in th	e next section.)						
					Nature	e of Business:									
					For	details refer ins	struction No. 15.								
10a. DECLAR	ATION FOR U	LTIMATE	BENEFICIAL O	WNERS	HIP [UBO	O] (Refer instruc	ction No. 17)*								
person(s), confirming	ing ALL countries of	of tax resider	ncy / permanent resi	idency / citi:			y of such Listed Comp on Numbers for EAC								
			as mentioned in Forr	m W8 BEN E	ī. '										
10b. DETAILS	OF ULTIMATI	E BENEFI	CIAL OWNERS	mW8BENE [Mandat	tory] (If t	· · · · · ·	below is not ad								eneficia
10b. DETAILS		E BENEFI		m W8 BEN E [Mandat PAN/Ta Identifica	ī. '	Document Type	Country of tax	equate, plea Country citizensh	of I	h multip UBO Code Mandator	e y)	laration (KYC (Yes [please at the KY cknowledg copy]	/ NO) tach C jement	% of b	eneficia erest
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Name o S\$ Address Type: R Information is not pr hat applicant has cr additional informatic	OF ULTIMATI of UBO & Addres Residential or Busi rovided, it will be pr oncealed the facts on as may be requi	iness (defaul resumed that of beneficial cired at your er	CIAL OWNERS Address Type ^{ss} tt)/Residential/Busing applicant is the UBO ownership. I/We also ad.	MW8 BEN E [Mandat PAN/Ta Identific: Equivale	tory] (If tax Payer ation No./. int ID No.**	Document Type Refer instruction No. 15(d) Attached documents submit. In such case, N informed in writing abo	Country of tax Residency/ permanent residency* should be self certifie MAMF/AMC reserves out any changes/modif	Country citizensh	of (I	by the aption or revetion in futur	plicant o	KYC (Yes [please at the KY cknowledge copy]	/ NO) ttach C gement I	% of b int	e the aboutly it is found
Name o S\$ Address Type: R nformation is not pr hat applicant has c additional informatic # If passive NFE, pl	Residential or Busi rovided, it will be proncealed the facts on as may be requi lease provide belo	siness (defaul resumed that of beneficial irred at your er www.additional	cial owners Address Type ^{ss} tt)/Residential/Busina applicant is the UBO ownership. I/We also ad. details. (Please attai	mW8BENE [Mandat PAN/Ta Identific: Equivale	tory] (If tax Payer ation No./ ent ID No.**	Document Type Refer instruction No. 15(d) Attached documents submit. In such case, N informed in writing abounceessary). Also provinces	Country of tax Residency/ permanent residency* should be self certific MAMF/AMC reserves out any changes/modifications vide below mandatory	Country citizensh	of (I	by the aption or revetion in futur	plicant o	KYC (Yes [please at the KY cknowledge copy]	/ NO) ttach C gement I	% of b int	e the aboutly it is found
S\$ Address Type: R nformation is not pr hat applicant has ca dditional informatic # If passive NFE, pl PAN / Any other Election ID, Govt. ID, Dr	Residential or Busi rovided, it will be proncealed the facts on as may be requir lease provide belo	siness (defaul resumed that of beneficial ired at your er ow additional	cial owners Address Type ^{ss} tt)/Residential/Busina applicant is the UBO ownership. I/We also ad. details. (Please attai	MW8 BEN E Mandat PAN/Ta Identific: Equivale with no dec undertake the ch additionate Occu Natio	red Office. claration to so o keep you all sheets if upation Typinality:	Attached documents submit. In such case, Ninformed in writing about necessary). Also province: Service, Business	country of tax Residency/ permanent residency* should be self certifie MAMF/AMC reserves out any changes/modif vide below mandatory s, Others	Country citizensh	of (I	by the aption or revetion in futur	plicant o presente and als	KYC (Yes [please at the KY cknowledge copy]	/ NO) ttach C gement I	% of b int	e the abitly it is for
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Application No.:

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

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 country/ies in which the entity is a resident for tax purpose and the associated Tax Identi cation No. below)

1 st Applicant	(Sole / Gu	uardian / Non-Individual)		2 nd Ap	pplicant		3 rd Ap	pplicant
Do you have any nor Country(ies) of Birth Citizenship / Nationa and Tax Residency	1	Yes No	Do you have any nor Country(ies) of Birth Citizenship / Nationa and Tax Residency	1	Yes No	Do you have any nor Country(ies) of Birth Citizenship / Nationa and Tax Residency	n-Indian / Ility	Yes No
Country of Birth / Incorporation			Country of Birth			Country of Birth		
Country Citizenship Nationality	I		Country Citizenship Nationality	I		Country Citizenship Nationality	I	
Are you a US specific person?	ed	Yes No Please provide Tax Payer Id.	Are you a US specific person?	ed	Yes No Please provide Tax Payer Id.	Are you a US specifi person?	ed	Yes No Please provide Tax Payer Id.
For non-Individual inve	estor in ca	se, if you country of incorporation / Ta	ax resistance in US, but y	ou are no	t a specified US person then please r	mention exemption code		Refer instruction 15(e))
Individual or Non-Indi if ticked Yes above.	lividual in	vestors fill this section	Individual investor	have to fi	II in below details in case of joint a	pplicants		
	Country	y:		Country	y:		Country	y:
Tax Residency Status: 1	No.:		Tax Residency Status: 1			Tax Residency Status: 1	No.:	
	Type:			Type:			Туре:	
	Country	y:	Tax Residency Status: 2 No.:		y:		Country:	
Tax Residency Status: 2	No.:					Tax Residency Status: 2	No.:	
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Tax Residency Status: 3	No.:		Tax Residency Status: 3	No.:		Tax Residency Status: 3	No.:	
	Type:			Type:			Туре:	
Address Type			Address Type			Address Type		
(Address Type: Resid	dential or	Business (default) / Residential / E	Business / Registered C	Office) (Fo	r address mentioned in form / exis	ting address appearing	j in folio)	
In case of applications w	ith POA, t	he POA holder should fill separate for	orm to provide the above	details m	andatorily.			

12. 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" (AMIC) Fund (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 regulates with the scheme and agree to always and the regulation 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 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/W

*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 NOC") had granted their non-objection to transfer the AMC Business from 'Mirae Asset Global Investments' (India) Pvt Ltd' to 'Mirae Asset Investment Managers' (India) Private Limited'. Kindly refer notice cum addendum no. AD/28/2019 dated November 25, 2019 for further details.

vestinents (india) i vieta to milae Assertiivestinent managers (india) i rivate Elinitea .	Trindiy Telef Hotice cum addendum no. AD/20/2013 dated November 25, 2013 for fulfiller o	iotalio.

Received Application from Mr. / Ms. / M/s.		as per details below:
Scheme Name and Plan	Payment Details	Date & Stamp of Collection Centre / ISC
MIRAE ASSET ESG SECTOR LEADERS ETF	Amount (Rs)	
	Cheque / DD No.:	
	Dated	
	Bank & Branch	

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 form (14 digits for normal accounts and 15 digits for simplified and small accounts). Further, in case the investor's PAN is not updated in CKYC system, a self-certified copy of PAN Card shall be mandatory. Further, the 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 win one done the SEBLATC (KYC thru o KRAS, CVL, NUML, DOTEA, KARYY & CAMIS). 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 infimation to the applications that of the 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@immaeasset.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/dividend payment request (with or without necessary supporting documents) such bank account may not be considered for payment or redemption/dividend proceeds, or the Fund may withheld the payment for upto 10 calendar days to ensure validation of new bank mandate mentioned.

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

4. Multiple Bank Accounts Registration Facility: The unitholder may register more than one bank account through the 'Multiple Bank Accounts Registration Facility'', to receive redemption/dividend proceeds. The unitholder may choose to receive the proceeds in any of the bank accounts, the details of which will be registered under the folio. For the purpose of registration of bank account(s), the investors must submit in original any one of the following documents of the new bank account:

(a) Cancelled original cheque of the new bank mandate with first unit holder name and bank account number printed on the

(d) Bank Letter duly signed by Branch Manager/Authorized personnel. If photocopies of the above stated documents are submitted, investor must produce the original for verification at the official point of acceptance of transaction. The original shall be returned to the investor over the counter upon verification. If the originals are not produced for verification, then the photocopies submitted should be attested in original by the Branch Manager or Authorised personnel of the Bank.

5. Direct Credit of Redemption/Dividend Proceeds:

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

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).
 Please mention the application serial number on the reverse of the cheque/demand draft tendered with the CAF. The cheque
- b) Please mention the application serial number on the reverse of the cheque/demand draft tendered with the CAF. The cheque should be drawn in favor of respective scheme name. Non MICR/ Outstation Cheques/Money Orders/Post Dated Cheques or Cash is not permitted. Investors residing in Centres, where the Investors Service Centres (ISCs)/Authorised Collection Centre(s) of MAMF are not located, are requested to make payment by demand 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.

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

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

- 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

Custodian on behalf of an FII or a Client. Options Available: Dividend and Growth Default Option: Growth; and under Dividend Option, Default option:

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

Communication:

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

- 1. Consolidation of account statement shall be done on the basis of PAN. In case of multiple holding, it shall be PAN of the first holder and pattern of holding.

- Instrologer 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 month to the unit holder(s) in whose folio(s) transaction(s) has/have taken place during the month.

 3. 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)]

 4. 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 ampil (holding) and many control of the control

5. Investors having MF investments and not having Demat account shall receive a CAS from the MF Industry containing details of transactions across all Mutual Fund schemes by email / physical mode. The word transaction shall include purchase, redemption, switch, dividend payout, dividend reinvestment, 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 transfer plan and bonus transactions. CAS shall not be received by the Unit noticers for the folio(s) wherein the PAN.

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

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

mination Details: The Nomination Details will be as is Registered with Depository Participant for this application

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:

1. Broker code, if already printed on the forms must be struck off and countersigned by the investors.

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

INSTRUCTIONS

12. Employee Unique Identification Number (EUIN):

In order to assist in in addressing any instance of mis-selling at any point of time, it is regulatory for every employee/relationship manager/sales person of the distributor/broker (interacting with the investor for the sale of Mutual Fund products) of mutual fund products to quote the EUIN (for non-advisory transactions ('execution only') & advisory transactions) obtained from AMFI in the 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 MAMF 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 units in derilat form miss provide intelled behavior of the penal form, unificated by the penal form, unificated 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). s 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 linitimization 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 FATCA guidelines.

- Non-Financial Entity (NFE): Types of NFEs that are regarded as excluded NFE are:
 a. Publicly traded company (listed company): A company is publicly traded if its stock are regularly traded on one or more established securities 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 securities market

01 Less than 50 percent of the NFE's gross income for the preceding financial year is passive income and less than 50

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

Code Sub-category

UI	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 of her than the business of a Financial Institution, except that an entity shall not qualify for this status if the entity furions 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 intent to operate a business other than that of a Financial Institution, provided that the NFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFE;
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 assets; The applicable laws of the NFE's country or territory or residence or the NFE's formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFE's country or territory of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of the NFE's country or territory of residence or any political subdivision thereof. Explanation: For the purpose of this sub-clause, the following shall be treated as fulfilling the criteria provided in the said sub-clause, namely:- (1) an Investor Protection Fund referred to in clause (23EC), of section 10 of the Act;
80	The stock of the entity is regularly traded on an established securities market or the non financial entity is a related entity of the entity, the stock of which is regularly traded on an established securities market.

- d. Document Type: Please mention the Code or Document as: "A" Passport; "B" Election ID Card; "C" PAN CARD; "D" Driving License; "E" NREGA Job Card.
 e. Exemption code for U.S. person (Refer 114F(9) of Income Tax Rules, 1962 for details.

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

corporation that is a member of the same expanded affiliated group as a corporation described in Reg. section 1.1472-1(c)(1)(i), (vi) A dealer in securities, commodities, or derivative financial instruments (including national principal contracts, futures, forwards and options) that is registered as such under the laws of the United States or any state. (vii) A real estate investment trust. (viii) A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the investment company act of 1940. (ix) A common trust fund as defined in section 584(a). (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: Dividends; Interest; Income equivalent to interest, Rents and royalties, other than rents and royalties derived in the active conduct of a business conducted, at least in part, by employees of the NFE; Annuities; excess of royalites derived in the active conduct of a dusiness conducted, at least in part, by employees or unit in PTC, willinumes, excess or gains over losses from the sale or exchange of financial assets that gives fise 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 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 excepted NFE.

- 16. With effect from January 1, 2014, as per the US Securities Act of 1933, United States Person (U.S. Person), corporations and other entities organized under the applicable laws of the United States (U.S.) and Residents of Canada as defined under the other entures organized under the applicable laws of the Online's states (0.5.) and residents of canada as defining under the applicable laws of Canada should not invest in units of any of the Schemes of the Fund and should not 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 NetAsset Value.

17. Ultimate Beneficial Owner (UBO)

Investors (other than Individuals) are required to provide details of UBO(s) and submit POI (viz. PAN with photograph or any other acceptable POI prescribed in common KYC form) of UBO(s). Non-individual applicants/investors are mandated to provide the details on UBO(s)' by filling up the declaration form for UBO. Providing information about beneficial ownership will be applicable to the subscriptions received from all categories of investors except Individuals and a Company listed on a stock exchange or is a majority owned subsidiary of such a Company. In case of any change in the beneficial ownership, the investor should immediately intinate 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). Applicating for integrit integrations. The identification for legislation development 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]. UBC-5: Natural person who holds the position of senior managing official [In case no natural person cannot be identified as above]. UBC-6: The settlor(s) of the trust. UBC-7: Trustee(s) of the Trust. UBC-8: The Protector(s) of the Trust [if applicable]. UBC-9: The beneficiaries with 15% or more interest in the trust if they are natural person(s). UBO-10: Natural person(s) exercising ultimate effective control over the Trust through a chain of control or ownership.
- 18. Investors may please note that the primary holders own email address and mobile number should be provided for speed and ease of communication in a convenient and cost effective manner, and to help prevent fraudulent transactions

In case of any change in the information such as address, telephone number, citizenship, etc., investors are requested to bring this to the notice of the fund and submit the FATCA declaration form (available on www.miraeassetmf.co.in).

APPLICATION FORM FOR AUTO SWITCH OUT TO NEW FUND OFFER SCHEME MIRAE ASSET ESG SECTOR LEADERS ETF (MAESGSLETF)



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DECLARATION AND SIGNATURES / THUMB IMPRESSION OF APPLICANT(s) [Refor Instructions 2(f) of KIM] The Trustees, Mire 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); IWW hereby apply for units of the said such as reveal to able by the terms, conditions, rules and regulations governing the scheme (s) IWW hereby declare that the amount invested in the scheme is through beginning sources only and does not involve and is not designed for the purpose of the contravers of the contravers of the AAC, And Money, Laundering Laws or any other application sear and understake to the scheme is through beginning sources only and does not involve and is not designed for the purpose of the contravers of the AAC, Price of the AAC, Pric			Regular Plan		Div. Payout	Div frequency*
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DECLARATION AND SIGNATURES / THUMB IMPRESSION OF APPLICANT(s) [Refer Instructions 2(f) of KIM] 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 see to abide by the terms, conditions, unles 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 contraver visions of the Income Tax At, Anti Money Laundering Laws or any other applicable laws enacted by the Contraver visions of the Income Tax At, Anti Money Laundering Laws or any other applicable laws enacted by the Government of India from time to lime. Whe hereby continue that have the major and the AIMC Fund Spalars and Transfer Agent (RTA) from time to time. Vision and the India from time to lime and the AIMC Fund Spalars and Transfer Agent (RTA) from time to time. Vision and the AIMC Fund Spalars and Transfer Agent (RTA) from time to time. Vision and the India from time to lime the AIMC Fund Spalars and Transfer Hall with the requisited laws with the requisited laws with the India from the India from the India from the India spalars and Transfer Agent (AIMC) Fund and undertake to maintain the AIMC Fund Spalars and Transfer the India shall have the right to share my information and other details with the regulated law with the Vision and the India shall have the right to share my information and other details with the regulated law with the Vision to India that the Vision and the India shall have the right to share my information and the right of the AIRC RNR holder has disclosed to meutical the Vision and the India shall have the right of the Vision and the India shall have the right to regulate in Spalars (India) Private India shall have the right to regulate on the Vision and the India shall have the right of the Vision a	nount (in words) (₹):					
The Trusbes, 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); IWe hereby decided the service wis to make the first of the contents of the SID of the Scheme applied for (Including the scheme) (SIWe hereby decided the scheme) and the scheme is the read of the provisions of the Income Tax Act, Anti Monty Laundering Laws or any other applicable laws enacted by the Government of India from time to time. (C) Signature of the noninee acknowledging receipts of mylour cerel divide contents of the scheme applied for the purpose of the contract of India for the India (The India for	Scheme: MIRAE ASSET ESG SEC	TOR LEADERS ETF				
tee to abide by the terms, conditions, alies and regulations governing the scheme. (B) IIWe 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 contraver wissions of the income Eax Act, And Money Laundering Laws or any other applicable laws earned by the Government of India from time to time. (C) Signature of the normines each convoleding necessity of myour credit will constitute fail (discharge of liability) and substitute of the contraver wission of the size of the purpose of the contraver wission of the laws the AMC I Funding Parts of Laws of the Contraver wission of the size of any dispute regarding the eligibility validity and authorization of myour transactions. (E) IIWe further declare that "The ARN holder has disclosed to melus all the commiss on or any other mode), payable to him for the different comparing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to media. (F) IIWe hereby confirm that IIWe have not been offered/communicative portfolio and/or any indicative yield by the Fund/AMC/flus distributor for this investment. (IIWe have not received nor have been induced by any rebate or gifts, directly or indirectly in making this investment. (G) Applicable to reside the New York of the PIN agreement available on the AMC website for transacting online. (F) IRM. (IIWe hereby agree to consent the AMC to share my transaction details to the register or otherwise. (I) Alpha (I) Applicable to Foreign Resident's Residing in India. "IVWe confirm that IIWe have not offered/communicative portfolio and or any indicative yield by the Fund (AMC from the AMC to share my transaction details to the registered investments and the scheme as per transaction of the IRM and the AMC from the AMC to share my transaction details to the registered investment. (IVWe have the payable to the IRM AMC from the	DECLARATION AND SIGNATURE	S / THUMB IMPRESSION OF	APPLICANT(s) [Refer	Instructions 2(f) of K	IM]	
tify 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 infirm that the information provided by me / us on this Form is true, correct, and complete. I / We also confirm that I / We have read and understood the FATCA & CRS Terms and Conditions and hereby accept the same. In case the above information is not; the presumed that applicant is the ultimate beneficial owners, with no declaration to submit. In such case, the concerned SEBI registered intermediary reserves the right to reject the application or reverse the allotment of units, if subsequently it is found the soncealed the facts of beneficial ownership. I/We also undertake to keep you informed in writing about any changes/modification to the above information in future & also undertake to provide any other additional information as may be required at yet dhatar. I/We hereby voluntarily submit/Audhrard to the Fund/AMC for updating the same in my folio. 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 NOC") had granted their non-objection to transfer the AMC Business from 'Mirae Assertments (India) Pvt Ltd' to 'Mirae Asset Investment Managers (India) Private Limited'. Kindly refer notice cum addendum no. AD/28/2019 dated November 25, 2019 for further details. Signature of 1" Applicant/Guardian/Authorised Signatory/PoA (AS IN BANK RECORDS) Received Application from Mr. / Ms. / M/s	ree to abide by the terms, conditions, rule's and regulation positions of the income Tax Act, Anti Money Laundering Lises Mutual Fund. (D) The information given in / with this ormation/details with the AMC / Fund/Registrars and Trav We will indemnify the Fund, AMC, Trustee, RTA and other mo fitrail commission or any other mode), payable to him ilicative portfolio and/ or any indicative yield by the Fund/A We have read, understood and shall be bound by the term (A) through the registrar or otherwise. (I) Applicable to Fo	is governing the scheme. (B) I/We hereby de aws or any other applicable laws enacted by a application form is true and correct and finsfer Agent (RTA) from time to time. I/We he intermediaries in case of any dispute regard for the different competing Schemes of var AMC/fits distributor for this investment. I/We I is & conditions of the PIN agreement availal reign Resident's Residing in India: - I/We co	sclare that the amount invested in the the Government of India from time treby confirm that the AMC/Fund sha inig the eligibility, validity and author ious Mutual Funds from amongst w have not received nor have been ind ble on the AMC website for transact of firm that I/We satisfy the Residency	e scheme is through legitimate so to time. (C) Signature of the non formation sought by Mirae Ass all have the right to share my info ization of my/our transactions. (E thich the Scheme is being recomuced by any rebate or gifts, directing online. (H) RIA: I/We hereby ty test as prescribed under FEMA	surces only and does not involve and is not de inine acknowledging receipts of my/our cred et Investment Managers (India) Private Lim- rmation and other details with the regulatory. 5) I/We further declare that "The ARN holder hended to me/us. (F) I/We hereby confirm th thy or indirectly in making this investment. (G) agree to consent the AMC to share my trans: provisions. I/We further declare that I/We am	signed for the purpose of the contravention it will constitute full discharge of liabilities of itled" (AMC) / Fund and undertake to updatand government authorities as and when no has disclosed to me/us all the commissions at I/We have not been offered/communicat Applicable to Investors availing the online to action details to the registered investment /are "Person Resident in India" and are allo
Received Application from Mr. / Ms. / M/s as per details below Scheme Name and Plan	ifly the AMC, in which event the AMC reserves the right to fiftim that the information provided by me / us on this Forr be presumed that applicant is the ultimate beneficial ow s concealed the facts of beneficial ownership. I/We also dhaar: I/We hereby voluntarily submit Aadhar card to the ecurities and Exchange Board of India ("SEBI") vide it	o redeem my / our investments in the Schem in is true, correct, and complete. I / We also or ner, with no declaration to submit. In such ce undertake to keep you informed in writing a Fund/AMC for updating the same in my folio is letter dated November 20, 2019 bearing	ne(s). (K) FATCA/CRS Certification confirm that I / We have read and un- sise, the concerned SEBI registered bout any changes/modification to the reference no. SEBI/HO/IMD/DF5/	: I/We have understood the inforderstood the FATCA& CRS Term intermediary reserves the right to be above information in future & OW/P/2019/30719/1 ("SEBI NO	mation requirements of this Form (read alon s and Conditions and hereby accept the sam reject the application or reverse the allotmer also undertake to provide any other addition: C") had granted their non-objection to trans	g with the FATCA & CRS Instructions) and e. In case the above information is not prov nt of units, if subsequently it is found that ap al information as may be required at your e
Received Application from Mr. / Ms. / M/s as per details below Scheme Name and Plan						
Scheme Name and Plan Payment Details Date & Stamp of Collection Centre / MIRAE ASSET ESG SECTOR LEADERS ETF Amount (Rs)	Received Application from Mr	. / Ms. / M/s				as per details below:
MIRAE ASSET ESG SECTOR LEADERS ETF Amount (Rs)	Scheme Name		Pavm	ent Details	Date & Stamp	· · · · · · · · · · · · · · · · · · ·
	MIRAE ASSET ESG SECTOR					

Dated_____ Bank & Branch_

INSTRUCTIONS

- 1. Auto Switch facility is a Special facility available to the existing investors having investments in Specified Schemes of Mirae Asset Mutual Fund (MAMF) only during the New Fund Offering (NFO) period whereby investors can switch their units from such Specified Schemes at the specified date during the NFO Period.
- 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.
- 3. 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' holding pattern details and mode of holding in the Transferee NFO ETF Scheme will be as existing in the Demat Account held with the Depository.
- 10.Unit holders will be Allotted units in Demat form only. The Unit holder are required to have a beneficiary account with any DP registered with NSDL / CDSL and will be required to indicate in the application form, along with the copy of any one of the following supporting document of Client Master List, Transaction cum Holding Statement or Delivery Instruction Slip (DIS).
- 11. This facility will not be available for units which are under any Lien/Pledged or any lock-in period.
- 12. 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.
- 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 or amend or withdraw this facility or change the procedures from time to time.
- 15.Investors are requested to note that there is no choice of Plan and the Option in the intended NFO ETF scheme in which investment is to be made, and for the purpose of trading ISIN of the ETF scheme needs to be used. In case of any ambiguity, the application will be liable to be rejected.
- 16.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.