Samco Flexi Cap Fund
(An open-ended dynamic equity scheme investing across large cap, mid cap, small cap stocks)

This product is suitable for investors who are seeking:

- To generate long-term capital growth;
- Investment in Indian & foreign equity instruments across market capitalization;

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

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

New Fund Offer Opens on January 17, 2022
New Fund Offer Closes on January 31, 2022

Offer of units of ₹ 10/- each for cash during the New Fund Offer and Continuous offer for units at NAV based Prices

Scheme reopens for continuous sale and repurchase - Within 5 business days from the date of allotment

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.samcomf.com.

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

Addresses, Website of the Entities:

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Address: 1003 A, Naman Midtown, Senapati Bapat Marg, Prabhadevi - West, Mumbai - 400 013</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Website: <a href="http://www.samcomf.com">www.samcomf.com</a></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Name of the Scheme | Samco Flexi Cap Fund
---|---
Type of the Scheme | An open-ended dynamic equity scheme investing across large cap, mid cap, small cap stocks.

Investment Objectives

The investment objective of the Scheme is to seek to generate long-term capital growth from an actively managed portfolio of Indian & foreign equity instruments across market capitalisation. However, there is no assurance or guarantee that the investment objective of the Scheme will be achieved.

Asset allocation Pattern of the Scheme

The asset allocation under the scheme will be follows:

<table>
<thead>
<tr>
<th>Instruments</th>
<th>Indicative allocations (% of total assets)</th>
<th>Risk Profile</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Minimum</td>
<td>Maximum</td>
</tr>
<tr>
<td>Indian Equity across the market capitalization</td>
<td>65</td>
<td>100</td>
</tr>
<tr>
<td>Foreign securities</td>
<td>0</td>
<td>35</td>
</tr>
<tr>
<td>Tri-party Repo (TREPS) through CCIL</td>
<td>0</td>
<td>35</td>
</tr>
</tbody>
</table>

The cumulative gross exposure through equity, foreign securities and such other securities/assets as may be permitted by the Board from time to time shall not exceed 100% of the net assets of the respective Scheme. However, the exposure in cash or cash equivalents with residual maturity of less than 91 days shall not be considered while calculating the gross exposure.

Further,

- a) The Scheme shall not invest in derivatives, debt & money market instruments except Triparty Repo (TREPS) through CCIL;
- b) The scheme shall not invest in structured obligations and credit enhancements;
- c) The Scheme shall not participate in Credit Default Swaps.
- d) The Scheme shall not invest in units of overseas mutual funds

Pursuant to SEBI circular No. SEBI/HO/IMD/DF2/CIR/P/2016/42 dated March 18, 2016, the Scheme may deploy NFO proceeds in Triparty Repo on Government securities or treasury bills (TREPS) before the closure of NFO period. However, the AMC shall not charge any investment management and advisory fees on funds deployed in TREPS during the NFO period.

The Scheme shall not deploy more than 20% of its net assets in securities lending. In addition to the above limit, the Scheme shall not deploy more than 5% of the net assets in securities lending to any single intermediary.

During the New Fund Offer (NFO), the Scheme intends to invest maximum amount equivalent to USD 300 million in foreign securities. The said limit shall be valid for a period of six months from the date of closure of NFO period. Thereafter, the Scheme shall invest in Overseas securities as per the limits available to ‘Ongoing Schemes’ in terms of the SEBI Circular No. SEBI/HO/IMD/DF3/ CIR/P/2020/225 dated November 5, 2020.

Pending deployment of the funds in securities in terms of investment objective of the Scheme, the AMC may park the funds of the Scheme in short term deposits of the Scheduled Commercial Banks, subject to the guidelines issued by SEBI from time to time.

Subject to the Regulations, the asset allocation pattern indicated above may change from time to time, keeping in view market conditions, market opportunities, applicable regulations and political and economic factors. These proportions can vary substantially depending upon the perception of the fund manager; the intention being at all times to seek to protect the interests of the Unit holders. Such changes in the investment pattern will be for short term and for defensive considerations only. In the event of deviations, the fund manager will carry out rebalancing within 30 Days. Where the portfolio is not rebalanced within 30 Days, justification for the same shall be placed before the Investment Committee and reasons for the same shall be recorded in writing. The Investment Committee shall then decide on the course of action. However, at all times the portfolio will adhere to the overall investment objectives of the Scheme.

Investment Strategy

The Scheme aims to generate long term capital appreciation by investing in a dynamic mix of equity and equity related instruments across market capitalizations. The Scheme would invest in companies based on various criteria including sound professional management, track record, industry scenario, growth prospects, liquidity of the securities, etc. The Scheme will emphasise on well managed, good quality companies with above average growth prospects. There will be no particular bias towards any market cap size or any sector. The Scheme may also invest a certain portion of its corpus in foreign securities.

The portfolio will be built utilising a bottom-up stock selection process, focusing on appreciation potential of individual stocks from a fundamental perspective. The AMC employs a “Fair value” based research process to analyse the appreciation potential of each stock in its universe (Fair value is a measure of the intrinsic worth of a company). The universe of stocks is carefully selected to include companies having an efficient business model and enjoying sustainable competitive advantages as compared to their competitors, and are able to compound consistently.

The scheme by utilising a holistic risk management strategy will endeavour to manage risks associated with investing in equity markets. The scheme has identified the following risks and designed risk management strategies, which are embedded in the investment process to manage these risks.
The scheme may also seek participation in foreign instruments to achieve optimal portfolio construction.

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

**Scheme specific Risk Factors are summarized below:**

Investment in Mutual Fund Units involves investment risks such as trading volumes, settlement risk, liquidity risk, default risk including the possible loss of principal. Subject to necessary regulatory approvals and within the investment objectives of the Scheme, the Scheme may invest in overseas equity markets which carry risks related to fluctuations in the foreign exchange rates, the nature of the securities market of the country, repatriation of capital due to exchange controls and political circumstances.

**Risks associated with investments in Equity and Equity related instruments:**

Investments in equity and equity related securities involve a degree of risk and investors should not invest in equity schemes unless they afford to take the risk of losing their investment. Equity instruments by nature are volatile and prone to price fluctuations on a daily basis due to both micro and macro factors. Volatility in the capital markets, changes in policies of the Government, taxation laws or any other political and economic development may negatively affect the prices of the securities invested in by the Scheme. Trading volumes, settlement periods and transfer procedures may restrict the liquidity of some of the investments. The Scheme may inter-alia also be exposed to the risk arising from over exposure to few securities/ issuers/sectors.

**Risks associated with investing in Securities Segment and Triparty Repo trade settlement:**

The mutual fund is exposed to the extent of its contribution to the default fund of CCIL at any given point in time i.e. in the event that the default waterfall is triggered and the contribution of the mutual fund is called upon to absorb settlement/default losses of another member by CCIL, the scheme may lose an amount equivalent to its contribution to the default fund.

**Risks associated with transaction in Units through stock exchange(s):**

In respect of transaction in Units of the Scheme through Bombay Stock Exchange ("BSE"), National Stock Exchange ("NSE") and / or Indian Commodity Exchange Ltd. ("ICEX"), allotment and redemption of Units on any Business Day will depend upon the order processing / settlement by NSE, BSE and / or ICEX and their respective clearing corporations on which the Fund has no control.

**Risks associated with Restrictions onRedemption:**

The Trustee and the AMC may impose restrictions on redemptions when there are circumstances leading to a systemic crisis or event that severely constricts market liquidity or the efficient functioning of markets. Accordingly, such restriction may affect the liquidity of the Scheme and there may be a delay in investors receiving part of their redemption proceeds.

Please refer the SID for further details.

In case of default of either the interest or principal amount, the Scheme may create segregated portfolio of money market instruments in terms of applicable SEBI regulations/ circulars.

Risk is an inherent part of the investment function. Effective Risk Management is critical to Fund Management for achieving financial soundness. Investments by the Scheme shall be made as per the investment objectives of the Scheme and provisions of the Regulations.

The Fund, by utilizing a holistic risk management strategy, will endeavour to manage risks associated with investing in equity markets. The risk control process involves identifying & measuring the risk through various risk measurement tools. The Fund has identified following risks of investing in equities and designed risk management strategies, which are embedded in the investment process to manage such risks.

<table>
<thead>
<tr>
<th>Risk &amp; description specific to equities</th>
<th>Risk mitigants/ Management strategy</th>
</tr>
</thead>
<tbody>
<tr>
<td>Quality risk - Risk of investing in unsustainable/ weak companies</td>
<td>Investment universe carefully selected to only include high quality businesses</td>
</tr>
<tr>
<td>Price risk - Risk of overpaying for a company</td>
<td>“Fair value” based investment approach supported by comprehensive research</td>
</tr>
<tr>
<td>Concentration risk</td>
<td>Invest across the market capitalization spectrum and industries/ sectors</td>
</tr>
<tr>
<td>Liquidity risk - High impact costs</td>
<td>Control portfolio liquidity at portfolio construction stage</td>
</tr>
<tr>
<td>Volatility - Price volatility due to company or portfolio specific</td>
<td>Control risk class/ sector/ stock exposures to control overall factors portfolio volatility</td>
</tr>
<tr>
<td>Event risk - Price risk due to company or sector specific event</td>
<td>Understand businesses to respond effectively and speedily to events Usage of derivatives: Hedge portfolios, if required, in case of predictable events with uncertain outcomes</td>
</tr>
</tbody>
</table>
The Scheme offers the following Plans:

- Samco Flexi Cap Fund – Regular Plan
- Samco Flexi Cap Fund – Direct Plan

Regular Plan is available for all types of investors investing through a Distributor. Direct Plan is only for investors who purchase/subscribe Units in a Scheme directly with the Fund and is not available for investors who route their investments through a Distributor. All the plans will have a common portfolio.

Each plan offers only Growth Option.

Default Plan

The investor must clearly specify his choice of plan. Investors subscribing under Direct Plan of a Scheme will have to indicate "Direct Plan" against the Scheme name in the application form. Investors should also indicate "Direct" in the ARN column of the application form. The investors may refer to the following table for applicability of Direct Plan/ Regular Plan under different scenarios:

<table>
<thead>
<tr>
<th>Scenario</th>
<th>Broker code mentioned by investor</th>
<th>Plan mentioned by the investor</th>
<th>Default Plan to be captured</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Not mentioned</td>
<td>Not mentioned</td>
<td>Direct Plan</td>
</tr>
<tr>
<td>2.</td>
<td>Not mentioned</td>
<td>Direct</td>
<td>Direct Plan</td>
</tr>
<tr>
<td>3.</td>
<td>Not mentioned</td>
<td>Regular</td>
<td>Direct Plan</td>
</tr>
<tr>
<td>4.</td>
<td>Mentioned</td>
<td>Direct</td>
<td>Direct Plan</td>
</tr>
<tr>
<td>5.</td>
<td>Direct</td>
<td>Not mentioned</td>
<td>Direct Plan</td>
</tr>
<tr>
<td>6.</td>
<td>Direct</td>
<td>Regular</td>
<td>Direct Plan</td>
</tr>
<tr>
<td>7.</td>
<td>Mentioned</td>
<td>Regular</td>
<td>Regular Plan</td>
</tr>
<tr>
<td>8.</td>
<td>Mentioned</td>
<td>Not mentioned</td>
<td>Regular Plan</td>
</tr>
</tbody>
</table>

In cases of wrong/invalid/incomplete ARN codes mentioned on the application form, the application shall be processed under Regular Plan. The AMC shall contact and obtain the correct ARN code within 30 calendar days of the receipt of the application form from the investor/distributor. In case, the correct code is not received within 30 calendar days, the AMC shall reprocess the transaction under Direct Plan from the date of application without any exit load.

Default plan would be Direct Plan (i.e. plan whether Direct or Regular Plan and distributor code is not indicated in the application form)

Applicable NAV

Subscriptions/Purchases including Switch-ins:

The following cut-off timings shall be observed by the Mutual Fund in respect of purchase of units of the Scheme and the following NAVs shall be applied for such purchase:

- In respect of valid applications received up to 3.00 p.m on a Business Day at the Designated Investor Service Centre and funds for the entire amount of subscription/purchase/switch-in as per the application are credited to the bank account of the respective Scheme/the Fund before the cut-off time i.e. available for utilization before the cut-off time – the closing NAV of the day on which the funds are available for utilization shall be applicable.

- In respect of valid applications received after 3.00 p.m on a Business Day at the Designated Investor Service Centre and funds for the entire amount of subscription/purchase/switch-in as per the application are credited to the bank account of the respective Scheme/the Fund after cut-off time i.e. available for utilization after the cut-off time – the closing NAV of the day next business day on which the funds are available for utilization shall be applicable.

- Irrespective of the time of the receipt of valid application/request at the Designated Investor Service Centre where funds for the entire amount of subscription/purchase/switch-in as per the application are credited to the bank account of the respective Scheme/the Fund before cut-off time of next business day i.e. available for utilization before the cut-off time on any subsequent Business Day - the closing NAV of the day of such Business Day on which the funds are available for utilization shall be applicable.

For allotment of units in respect of purchase in the Scheme under Pt. (3) above, it shall be ensured that:

i. Application is received before the applicable cut-off time.

ii. Funds for the entire amount of subscription/purchase as per the application are credited to the bank account of the Scheme before the cut-off time.

iii. The funds are available for utilization before the cut-off time without availing any credit facility whether intra-day or otherwise, by the Scheme.
For allotment of units in respect of switch-in to the scheme under Pt. (3) above from other schemes, it shall be ensured that:

i. Application for switch-in is received before the applicable cut-off time.

ii. Funds for the entire amount of subscription/purchase as per the switch-in request are credited to the bank account of the Scheme before the cut-off time.

iii. The funds are available for utilization before the cut-off time without availing any credit facility whether intra-day or otherwise, by the Scheme.

Redemptions including Switch - outs:
The following cut-off timings shall be observed by the Mutual Fund in respect of Repurchase of Units:

- Where the valid application received upto 3.00 pm – closing NAV of the day of receipt of application.
- In respect of valid application received after 3.00 pm – closing NAV of the next Business Day.

Note: In case the application is received on a Non-Business Day, it will be considered as if received on the Next Business Day.

The above mentioned cut-off timing shall also be applicable to transactions through the online trading platform.

In case of Transaction through Stock Exchange Infrastructure, the Date of Acceptance will be reckoned as per the date & time; the transaction is entered in stock exchange's infrastructure for which a system generated confirmation slip will be issued to the investor.

For details of investment/transaction through SIP/STP/SWP facility please refer to the SID.

<table>
<thead>
<tr>
<th>Minimum application and redemption amount/number of units</th>
<th>Purchase</th>
<th>Additional Purchase</th>
<th>Repurchase</th>
</tr>
</thead>
<tbody>
<tr>
<td>₹ 5,000/- and in multiples of ₹ 1/- thereafter</td>
<td>₹ 500/- and multiples of ₹ 1/- thereafter</td>
<td>There will be no minimum redemption criteria</td>
<td></td>
</tr>
</tbody>
</table>

Despatch of repurchase (redemption) request
The redemption proceeds shall be dispatched to the unit holders within 10 working days from the receipt of the valid redemption request at the Authorised Centre of Samco Mutual Fund.

Benchmark index
Nifty 500 Index TRI

Dividend policy
N.A

Name of fund managers
Ms. Nirali Bhansali
Mr. Dhawal Ghanshyam Dhanani (Dedicated Fund Manager for overseas investments)

Name of the Trustee
Samco Trustee Private Limited

Performance of the scheme
This is a new scheme and hence does not have any performance track record.

This is a new scheme and hence does not have any additional details.

Top 10 Holding of the Scheme - Not Applicable
Sector-wise portfolio Holdings of the Scheme - Not Applicable
Portfolio Turnover ratio of the Scheme - Not Applicable
Monthly portfolio - Not Applicable

Type of Load | Load chargeable (as % age of NAV) |
-------------|----------------------------------|
Entry Load   | Not Applicable                   |
Exit Load    | 2% if the investment is redeemed/switch out on or before 365 days from the date of allotment of units. 1% if the investment is redeemed/switch out after 365 days but on or before 730 days from date of allotment of units. No Exit Load will be charged if investment is redeemed/switch out after 730 days from the date of allotment of units. |

The above-mentioned load structure shall also applicable to the special products such as SIP, STP, switches, etc. offered by the AMC.
For switches between the Plans i.e., between Regular and Direct Plan or vice versa, load will be charged by the scheme. Exit load charged to the investors will be credited back to the scheme net of GST. The Investor is requested to check the prevailing Load structure of the Scheme before investing.

SEBI vide its circular no. SEBI/IMD/CIR No. 4/ 168230/09 dated June 30, 2009 has decided that there shall be no entry Load for all Mutual Fund Schemes. The upfront commission on investment made by the investor, if any, shall be paid to the ARN Holder (AMFI registered Distributor) directly by the investor, based on the investor’s assessment of various factors including service rendered by the ARN Holder.

The Trustee/AMC reserves the right to change / modify the Load structure from a prospective date.

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 following maximum expenses for the first 500 crores of the daily net assets of the Scheme, which will be charged to the Scheme. The same may be reduced to the extent of increase in the corpus size. For the actual current expenses being charged, the Investor should refer to the website of the AMC.

<table>
<thead>
<tr>
<th>Expense Head</th>
<th>% of daily Net Assets</th>
</tr>
</thead>
<tbody>
<tr>
<td>Investment Management and Advisory fees</td>
<td></td>
</tr>
<tr>
<td>Trustee fees</td>
<td></td>
</tr>
<tr>
<td>Audit fees</td>
<td></td>
</tr>
<tr>
<td>Custodian fees</td>
<td></td>
</tr>
<tr>
<td>RTA fees</td>
<td></td>
</tr>
<tr>
<td>Marketing &amp; selling expense incl. agent commission</td>
<td></td>
</tr>
<tr>
<td>Cost related to investor communications</td>
<td></td>
</tr>
<tr>
<td>Cost of fund transfer from location to location</td>
<td></td>
</tr>
<tr>
<td>Cost of providing account statements &amp; redemption cheques and warrants</td>
<td>Upto 2.25%</td>
</tr>
<tr>
<td>Costs of statutory advertisements</td>
<td></td>
</tr>
<tr>
<td>Cost towards investor education &amp; awareness (at least 2 bps)</td>
<td></td>
</tr>
<tr>
<td>Brokerage &amp; transaction cost over and above 12 bps in case of cash market transactions.</td>
<td></td>
</tr>
<tr>
<td>Goods &amp; Services Tax (GST) on expenses other than investment and advisory fees</td>
<td></td>
</tr>
<tr>
<td>GST on brokerage and transaction cost</td>
<td></td>
</tr>
<tr>
<td>Other Expenses*</td>
<td></td>
</tr>
<tr>
<td><strong>Maximum total expense ratio (TER) permissible under Regulation 52(6)(c)</strong></td>
<td>Upto 2.25%</td>
</tr>
<tr>
<td>Additional expenses under regulation 52(6A) (c)</td>
<td>Upto 0.05%</td>
</tr>
<tr>
<td>Additional expenses for gross new inflows from specified cities under regulation 52(6A) (b)</td>
<td>Upto 0.30%</td>
</tr>
</tbody>
</table>

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

All fees and expenses charged in a Direct Plan (in percentage terms) under various heads including the investment and advisory fee shall not exceed the fees and expenses charged under such heads in Regular Plan.

Direct Plan shall have a lower expense ratio excluding distribution expenses, commission, etc. and no commission for distribution of Units will be paid/ charged under Direct Plan.

The expenses towards Investment Management and Advisory Fees under Regulation 52(2) and the various sub-heads of recurring expenses mentioned under Regulation 52(4) of SEBI (MF) Regulations are apportionable without any internal cap in nature. Thus, there shall be no internal sub-limits within the expense ratio for expense heads mentioned under Regulation 52 (2) and (4) respectively. Further, the additional expenses under Regulation 52(6A) (c) may be incurred either towards investment & advisory fees and/or towards other expense heads as stated above.

These estimates have been made in good faith as per the information available to and estimates made by the Investment Manager and are subject to change inter-se or in total subject to prevailing Regulations.
The AMC will charge the Scheme such actual expenses incurred, subject to the statutory limit prescribed in the Regulations. The recurring expenses of the Scheme (including the Investment Management and Advisory Fees) shall be as per the limits prescribed under the SEBI (MF) Regulations.

These are as follows:

<table>
<thead>
<tr>
<th>Assets under management Slab (in crore)</th>
<th>Total expense ratio limits</th>
</tr>
</thead>
<tbody>
<tr>
<td>On the first ₹ 500 crores of the daily net assets</td>
<td>2.25%</td>
</tr>
<tr>
<td>On the next ₹ 250 crores of the daily net assets</td>
<td>2.00%</td>
</tr>
<tr>
<td>On the next ₹ 1250 crores of the daily net assets</td>
<td>1.75%</td>
</tr>
<tr>
<td>On the next ₹ 3000 crores of the daily net assets</td>
<td>1.60%</td>
</tr>
<tr>
<td>On the next ₹ 5000 crores of the daily net assets</td>
<td>1.50%</td>
</tr>
<tr>
<td>On the next ₹ 40,000 crores of the daily net assets</td>
<td>Total expense ratio reduction of 0.05% for every increase of ₹ 5,000 crores of daily net assets or part thereof.</td>
</tr>
<tr>
<td>On the balance of the assets</td>
<td>1.05%</td>
</tr>
</tbody>
</table>

The total expenses of the Scheme including the investment management and advisory fee shall not exceed the limit stated in Regulation 52(6) of the SEBI (MF) Regulations.

The AMC may charge the Mutual Fund with investment and advisory fee as prescribed in the SEBI (MF) Regulations from time to time and amendments thereto.

**Additional expenses for gross new inflows from specified cities**

A. In addition to the limits as specified in Regulation 52(6) of SEBI (MF) Regulations or the Total Recurring Expenses (Total Expense Limit) as specified above, the following costs or expenses may be charged to the Scheme namely -

   a) Expenses not exceeding of 0.30 percent of daily net assets, if the new inflows from beyond top 30 cities (such cities as specified by SEBI/AMFI from time to time) are at least -

      i. 30 percent of gross new inflows in the Scheme, or;

      ii. 15 percent of the average assets under management (year to date) of the Scheme, whichever is higher:

         Provided that if inflows from such cities is less than the higher of sub-clause (i) or sub-clause (ii), such expenses on daily net assets of the Scheme shall be charged on proportionate basis.

      Provided further that, expenses charged under this clause shall be utilised for distribution expenses incurred for bringing inflows from such cities.

      Provided further that, amount incurred as expense on account of inflows from such cities shall be credited back to the Scheme, in case the said inflows are redeemed within a period of one year from the date of investment.

      Provided further that, additional TER can be charged based on inflows only from retail investors in terms of SEBI circular no. SEBI/HO/IMD/DF2/CIR/P/2018/137 dated October 22, 2018 and SEBI circular no. SEBI/HO/IMD/DF2/CIR/P/2019/42 dated March 25, 2019. For this purpose, inflows of amount upto Rs 2,00,000/- per transaction, by individual investors shall be considered as inflows from "retail investor".

B. Within the Total Expense Limit chargeable to the Scheme, following will be charged to the Scheme:

   i. GST on other than investment and advisory fees, if any, (including on brokerage and transaction costs on execution of trades) shall be borne by the Scheme.

   ii. Investor education and awareness initiative fees of at least 2 basis points on daily net assets of the Scheme.

**Additional expenses under regulation 52(6A) (c)**

b) Additional expenses, incurred towards different heads mentioned under Regulations 52(2) and 52(4), not exceeding 0.05 percent of daily net assets of the Scheme;

c) GST payable on investment and advisory service fees (‘AMC fees’) charged by Samco Asset Management Private Limited.

Further, brokerage and transaction costs which are incurred for the purpose of execution of trade and is included in the cost of investment shall not exceed 0.12 percent in case of cash market transactions.

Expenses over and above the prescribed limit shall be charged / borne in accordance with the Regulations prevailing from time to time.

The mutual fund would update the current expense ratios on its website (www.samcomf.com) at least three working days prior to the effective date of the change.

Illustration of impact of expense ratio on scheme's returns

For any scheme, NAV is computed on a daily basis factoring in all the assets as well as liabilities of the Scheme (including expenses charged). Expenses charged to the Scheme bring down its NAV and hence the investor's net returns on a corresponding basis.

<table>
<thead>
<tr>
<th>Particulars</th>
<th>Regular Plan</th>
<th>Direct Plan</th>
</tr>
</thead>
<tbody>
<tr>
<td>Amount Invested on March 31, 2020</td>
<td>10,000</td>
<td>10,000</td>
</tr>
<tr>
<td>Returns before Expenses</td>
<td>1,500</td>
<td>1,500</td>
</tr>
<tr>
<td>Expenses other than Distribution Expenses</td>
<td>150</td>
<td>150</td>
</tr>
<tr>
<td>Distribution Expenses</td>
<td>40</td>
<td>-</td>
</tr>
<tr>
<td>Returns after Expenses as on March 31, 2021</td>
<td>1,310</td>
<td>1,350</td>
</tr>
</tbody>
</table>

Please Note:
- The purpose of the above illustration is purely to explain the impact of expense ratio charged to the Scheme and should not be construed as providing any kind of investment advice or guarantee of returns on investments.
- It is assumed that the expenses charged are evenly distributed throughout the year. The expenses of the Direct Plan under the Scheme may vary with that of the Regular Plan under the Scheme.
- Calculations are based on assumed NAVs, and actual returns on your investment may be more, or less.

Any tax impact has not been considered in the above example, in view of the individual nature of the tax implications. Each investor is advised to consult his or her own financial advisor.

Transaction charges

As per SEBI circular dated August 22, 2011, Transaction Charge per subscription of ₹ 10,000/- and above shall be charged from the investors and shall be payable to the distributors/ brokers (who have not opted out of charging the transaction charge) in respect of applications routed through distributor/broker relating to Purchases / subscription /new inflows only (lumpsum and SIP), subject to the following:
- For Existing / New investors: ₹ 100/ ₹ 150 as applicable per subscription of ₹ 10,000/- and above.
- The transaction charge, if any, shall be deducted by the AMC from the subscription amount and paid to the distributor, and the balance shall be invested.
- Transaction charge for SIP shall be applicable only if the total commitment through SIP amounts to ₹ 10,000/- and above. In such cases the transaction charge would be recovered in maximum 4 equal successful installments.
- There shall be no transaction charge on subscription below ₹ 10,000/-.
- There shall be no transaction charges on direct investments.

The requirement of minimum application amount shall not be applicable if the investment amount falls below the minimum requirement due to deduction of transaction charges from the subscription amount. However, the option to charge “transaction charges” is at the discretion of the distributors. Investors may note that distributors can opt to receive transaction charges based on type of the Scheme. Accordingly, the transaction charges would be deducted from the subscription amounts, as applicable.

Tax treatment for unitholders

Investors are advised to refer to the paragraph on Taxation in the “Scheme Information Document” and to consult their own tax advisors with respect to the specific amount of tax and other implications arising out of their participation in the Scheme.

Daily Net Asset Value (NAV) publication

The NAV will be declared on all business days.
NAV can also be viewed on www.samcomf.com and www.amfindia.com

For investor grievances


Name, address, telephone number, fax number, e-mail ID of the Mutual Fund,
Mr. Durga Prasad, Samco Asset Management Private Limited 1003 – A, Naman Midtown, Senapati Bapat Marg, Prabhadevi, Mumbai – 400 013 Phone no.: 022 4170 8999, Fax No: 022 41708989. Toll Free: 18001034757. E-mail: mfassist@samcomf.com

If not satisfied with the response of the intermediary you can lodge your grievances with SEBI at http://scores.gov.in or you may also write to any of the offices of SEBI. For any queries, feedback or assistance, please contact SEBI Office on Toll Free Helpline at 1800 22 7575 / 1800 266 757.

Unitholder's information

Account Statement

On acceptance of the valid application for subscription, an allotment confirmation specifying the number of units allotted by way of e-mail and/or SMS within 5 business days from the date of receipt of transaction request/ allotment will be sent to the unitholders registered e-mail address and/or mobile number.
Consolidated Account Statement (CAS)

CAS is an account statement detailing all the transactions and holding at the end of the month including transaction charges paid to the distributor, across all schemes of all mutual funds. CAS issued to investors shall also provide the total purchase value/cost of investment in each scheme.

Further, CAS issued for the half-year (September/ March) shall also provide

a) The amount of actual commission paid by AMC/Mutual Fund to distributors (in absolute terms) during the half-year period against the concerned investor's total investments in each scheme.

b) The scheme's average Total Expense Ratio (in percentage terms) along with the break up between Investment and Advisory fees, Commission paid to the distributor and Other expenses for the period for each scheme's applicable plan (regular or direct or both) where the concerned investor has actually invested in.

Annual Report:

Scheme/Plan-wise Annual Report or an abridged summary thereof shall be mailed (email id where e mail id is provided unless otherwise required) to all Unit Holders within four months (or such other period as may be specified by SEBI from time to time) from the date of closure of the relevant accounting year i.e. 31st March each year and full annual report shall be available for inspection at the Head Office of the Mutual Fund and a copy shall be made available to the Unit holders on request on payment of nominal fees, if any. Scheme wise annual report shall also be displayed on the website of the Mutual Fund (www.samcomf.com) and on the website of Association of Mutual Funds in India (www.amfiindia.com).

Unitholders whose email addresses are not registered with the Mutual Fund may 'optin' to receive a physical copy of the annual report or an abridged summary thereof. Further, AMC shall provide a physical copy of the abridged summary of the Annual Report, without charging any cost, on a specific request received from a unitholder.

AMC shall also publish an advertisement every year, on their website, in atleast 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, disclosing the hosting of the scheme wise annual report on the website of the Mutual Fund and AMFI and the modes through which a unitholder can submit a request for a physical or electronic copy of the annual report or abridged summary thereof.

Monthly/Half yearly disclosures

The Mutual Fund shall within one month from the close of each half year, that is on 31st March and on 30th September, host a soft copy of its unaudited financial results on the website of the AMC and AMFI.

The mutual fund shall publish an advertisement disclosing the hosting of such financial results on their website, in atleast 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.

The unaudited financial results will also be displayed on the website of the AMC and AMFI.

The AMC will also provide a dashboard, in a comparable, downloadable (spreadsheet) and machine-readable format, providing performance and key disclosures like Scheme's AUM, investment objective, expense ratios, portfolio details, scheme's past performance etc. on website.

Product Labelling/
Risk-o-meter

In terms of SEBI Circular no. SEBI/HO/IMD/DF3/CIR/P/2020/197 dated October 5, 2020 and clarifications issued by SEBI in this regard, the product labelling /risk level assigned for the Scheme during the New Fund Offer is based on internal assessment of the Scheme's characteristics and the same may vary post New Fund Offer when the actual investments are made.

Further, the Mutual Fund/AMC shall evaluate the Risk-o-meter of the Scheme on a monthly basis and shall disclose the same along with portfolio disclosure of the Scheme on its website viz. www.samcomf.com and on the website of AMFI viz. www.amfiindia.com within 10 days from the close of each month. Further, any change in Risk-o-meter shall be communicated by way of Notice-cum-Addendum and by way of an e-mail or SMS to unitholders of the Scheme

Stamp Duty

Pursuant to Notification No. S.O. 1226(E) and G.S.R. 226(E) dated March 30, 2020 issued by Department of Revenue, Ministry of Finance, Government of India, read with Part I of Chapter IV of Notification dated February 21, 2019 issued by Legislative Department, Ministry of Law and Justice, Government of India on the Finance Act, 2019, stamp duty @0.005% of the transaction value would be levied on applicable mutual fund transactions.

Notwithstanding anything contained in the Key Information Memorandum, the provisions of SEBI (Mutual Funds) Regulations, 1996 and Guidelines thereunder shall be applicable. Further, investors may ascertain about any further changes from the Mutual Fund/Investor Service Centres /Distributors or Brokers.
1. Distributor Information

<table>
<thead>
<tr>
<th>Distributor Code</th>
<th>Sub-Broker Code</th>
<th>Internal Sub-Broker Code</th>
<th>EUIN*</th>
<th>RIA CODE</th>
</tr>
</thead>
<tbody>
<tr>
<td>146822</td>
<td>ARN -</td>
<td>INTERNAL CODE</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*Investors should mention the EUIN of the person who has advised the investor. If left blank, the fund will assume following declaration by the investor: "I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this transaction is executed without any interaction or advice by the employee/relationship manager/sales person of the above distributor/sub broker or notwithstanding the advice of inappropriateness, if any, provided by the employee/relationship manager/sales person of the distributor/sub broker."

Upfront commission shall be paid directly by the investor to the AMFI registered Distributors based on the investors' assessment of various factors including the service rendered by the distributor. For Direct investments, please mention 'Direct' in the column 'Distributor Code'.

1. Applicant Information

(Refer Instruction No.II)

<table>
<thead>
<tr>
<th>Folio No.</th>
<th>(For Existing unit holders)</th>
<th>Gender</th>
<th>Male</th>
<th>Female</th>
<th>Transgender</th>
</tr>
</thead>
</table>

Name of Solo / 1st Applicant Mr. / Ms. / M/s.

PAN CKYC No. Date of Birth D D M M Y Y Y Y

Mailing address

City State Email ID Pin code

Mobile No. | Email ID |
|-----------|----------|

I/We hereby declare that the email address and the mobile number provided on the application form belongs to (Please tick only one option)

<table>
<thead>
<tr>
<th>Self</th>
<th>Spouse</th>
<th>My dependents</th>
<th>My Childrens</th>
</tr>
</thead>
</table>

Please note: In the event that the mobile number or the email id provided herein above does not appear to be that of the unit holder/s, then the AMC shall send suitable communication in this regard to the unit holder.

LEI Code Valid upto D D M M Y Y Y Y

Guardian Details

(In case First / Sole Applicant is minor) / Contact Person- Designation / POA Holder (In case of Non-Individual Investors)

Mr. / Ms. Relationship with Minor/Designation

PAN CKYC No. Gender | Male | Female | Transgender |
|-------------------|------|--------|-------------|

Second Applicant

Mr. / Ms.

PAN CKYC No. Gender | Male | Female | Transgender |
|-------------------|------|--------|-------------|

Third Applicant

Mr. / Ms.

PAN CKYC No. Gender | Male | Female | Transgender |
|-------------------|------|--------|-------------|

Unit Holding Option

- [ ] Physical Mode
- [ ] Demat Mode

CDSL / NSDL DP ID NO.: Depository Participant Name:

Beneficiary A/C No.

Please Note: Demat Account Details of First / Sole Applicant (Name should be as per demat account)

(Note: Please attach copy of Client Master List.)

ACKNOWLEDGEMENT SLIP

(To be filled by the investor)

Received from: Mr. / Ms. / M/s an application for units of Samco Samco Flexi Cap Fund Plan: Regular Direct Option: Growth

vive Cheque No. Dated D D M M Y Y Y Y Amount (₹)

Drawn on Bank Branch

Collection Center's Stamp & Receipt Date and Time

Please note: All purchases are subject to realization of cheques and as per applicable load structure (please refer Scheme Information Document)
Tax Status (Applicable for First / Sole Applicant)
- Resident Individual
- FIs
- NRI - NRO
- HUF
- Body Corporate
- Club / Society
- PIO
- Provident Fund
- Minor
- Government Body
- Trust
- NRI - NRE
- Bank & FI
- Sole Proprietor
- Partnership Firm
- QFI
- Others

Proof of Date of Birth for minors (Any One)
- Birth Certificate
- Marksheet (HSC/ICSE/CBSE)
- School Leaving Certificate
- Passport
- Others

Overseas Address
For NRI applicants
- Indian
- Overseas

Address (Mandatory for NRI/FII applicant*)

Email Communication (Please tick ✓)
Default communication mode is through 'email'. If email address is not provided then please 'Opt-in' to receive below documents in physical copy by ticking the option below:
- Annual Report
- Abridged Annual Report
- Other Statutory Information

2. KYC Details (Mandatory - Refer Instruction No XI for details)
First Applicant:
- Business
- Service
- Professional
- Agriculturist
- Housewife
- Student
- Defence
- Sole / First Applicant / Guardian
- Bureaucrat
- Forex Dealer
- Unlisted Company
- Body Corporate
- Listed Company
- Others

Second Applicant:
- Business
- Service
- Professional
- Agriculturist
- Housewife
- Student
- Defence
- Sole / Second Applicant
- Bureaucrat
- Forex Dealer
- Unlisted Company
- Body Corporate
- Listed Company
- Others

Third Applicant:
- Business
- Service
- Professional
- Agriculturist
- Housewife
- Student
- Defence
- Sole / Third Applicant
- Bureaucrat
- Forex Dealer
- Unlisted Company
- Body Corporate
- Listed Company
- Others

Gross Annual Income (Please tick ✓)
First Applicant:
- Below 1 Lac
- 1-5 Lacs
- 5-10 Lacs
- 10-25 Lacs
- >25 Lacs - 1 Crore
- > 1 Crore
- (Not older than 1 year)

Second Applicant:
- Below 1 Lac
- 1-5 Lacs
- 5-10 Lacs
- 10-25 Lacs
- >25 Lacs - 1 Crore
- > 1 Crore
- (Not older than 1 year)

Third Applicant:
- Below 1 Lac
- 1-5 Lacs
- 5-10 Lacs
- 10-25 Lacs
- >25 Lacs - 1 Crore
- > 1 Crore
- (Not older than 1 year)

For Individuals (Please tick ✓)
- I am Politically Exposed Person
- I am Related to Politically Exposed
- Not Applicable

For Non-Individual Investors (Please tick ✓)
Is the company a Listed Company or Subsidiary of Listed Company or Controlled by a Listed Company: Yes No
(If No, please attach mandatory UBO Declaration)
Foreign Exchange / Money Charger Services
- Yes
- No
Gaming / Gambling / Lottery / Casino
- Yes
- No
Money Lending / Pawning
- Yes
- No

3. FATCA/CRS Details - Non Individual Investors should mandatory fill separate FATCA/CRS details form (Refer Instruction No.XVIII)

<table>
<thead>
<tr>
<th>Sole / First Applicant / Guardian</th>
<th>2nd Applicant</th>
<th>3rd Applicant</th>
<th>POA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Country #</td>
<td>Tax Payer Ref ID No</td>
<td>Identification Type (TIN or other, please specify)</td>
<td>Country #</td>
</tr>
</tbody>
</table>

#Please indicate all countries, other than India, in which you are a resident for tax purpose, associated Taxpayer Identification Number & it's Identification type e.g: TIN etc

Documents
- Resolution/ Authorisation to invest
- List of authorised signatories with specimen signatures
- Trust Deed
- Bye-laws
- Partnership Deed
- Overseas Auditor Certificate
- Notarised POA
- Proof of Address
- Copy of PAN Card / PEKRN
- KYC Acknowledgement
- PIO Card
- Foreign Inward Remittance Certificate

CHECKLIST: Please submit the following documents with your application (where applicable). All documents should be original/true copies certified by a Director/Trustee /Company Secretary /Authorised signatory / Notary Public.)
4. Power of Attorney (POA) If investment is being made by a Constitutional Attorney, please submit notarised copy of POA

POA NAME Mr. / Ms. / M/s. _______________________________ PAN _______________________________

5. Nomination Details (Please tick ✓)
I / We hereby confirm that I / We do not wish to exercise the right of nomination in respect of units subscribed/purchased by me/us.

OR
I / We wish to register my/our Nominee as per below details: (Mandatory for new Folios of Individuals where mode of holding is single)

<table>
<thead>
<tr>
<th>Name of Nominee</th>
<th>Date of Birth (If Nominee is minor)</th>
<th>Allocation (%)</th>
<th>Name of Legal Guardian/Parent (If Nominee is minor)</th>
<th>Relationship with Nominee</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

6. Lumpsum/New SIP-Investment Details* Choice of Scheme/Plan/Option For SIP Investment Auto-Debit Form is mandatory (Refer Instruction No.VI)

<table>
<thead>
<tr>
<th>Scheme</th>
<th>Plan: Regular Direct Option: Growth</th>
</tr>
</thead>
<tbody>
<tr>
<td>Samco Flexi Cap Fund</td>
<td></td>
</tr>
</tbody>
</table>

7. Bank Account Details

<table>
<thead>
<tr>
<th>Account No</th>
<th>Account Type (Please ✓): SB Current NRO NRE FCNR</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Bank Name</th>
<th>Bank Address</th>
</tr>
</thead>
<tbody>
<tr>
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<td></td>
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</table>

<table>
<thead>
<tr>
<th>City</th>
<th>Pin</th>
<th>IFSC CODE</th>
<th>MICR CODE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
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</tbody>
</table>

8. Payment Details

<table>
<thead>
<tr>
<th>Mode of Payment (Please ✓): RTGS/NEFT/Fund Transfer Demand Draft Cheque One time Mandate</th>
<th>Gross Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Cheque No</th>
<th>Date</th>
<th>Net Amount</th>
<th>DD Charges</th>
<th>Bank Details: Same as above (Please tick ✓ if yes)</th>
<th>Different from above (Please tick ✓ if it is different from above and fill in the details below)</th>
</tr>
</thead>
<tbody>
<tr>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Bank/Branch &amp; City</th>
<th>Account No</th>
<th>Account Type (Please ✓): SB Current NRO NRE FCNR</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
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</tbody>
</table>

9. Systematic Transaction Registration Details

<table>
<thead>
<tr>
<th>Scheme</th>
<th>Plan: Regular Direct Option: Growth</th>
</tr>
</thead>
<tbody>
<tr>
<td>Samco Flexi Cap Fund</td>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Installment amount (in figures)</th>
<th>Installment amount (in words)</th>
</tr>
</thead>
<tbody>
<tr>
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<table>
<thead>
<tr>
<th>SIF Period: From Date</th>
<th>To Date</th>
<th>SIF Frequency: (Please ✓): Monthly Quarterly Half Yearly Debit Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>D D M M Y Y Y Y</td>
<td>D D M M Y Y Y Y</td>
<td>D D M M Y Y Y Y</td>
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</table>

<table>
<thead>
<tr>
<th>Systematic Withdrawal Plan (SWP)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Scheme</td>
</tr>
<tr>
<td>Samco Flexi Cap Fund</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Amount (in figures)</th>
<th>Amount (in words)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>SWP Frequency: (Please ✓): Monthly Quarterly Half Yearly Yearly Option Debit Date</th>
<th>OR No. of Installments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Month Yearly Yearly Term</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>SWP Period: From Month</th>
<th>To Month</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

10. Declaration and Signature(s)

Having read and understood the contents of the Scheme Information Document and Statement of Additional Information and subsequent amendments thereto including the section on who cannot invest, “Prevention of Money Laundering” and “Know Your Customer”, I / We hereby apply to Samco Mutual fund for units of the Scheme as indicated above and agree to abide by the terms and conditions, rules and regulations of the Scheme. I / We further declare, I am / we are authorised to invest the amount & that the amount invested by me/us in the above mentioned Scheme(s) is derived through legitimate sources and is not held or designed for the purpose of contravention of any acts, rules, regulations or any statute or legislation or any other applicable laws or notifications, directions issued by the governmental or statutory authority from time to time. It is expressly understood that I / We have the express authority from our constitutional documents to invest in the units of the Scheme(s) and the AMC/Trustee/Fund would not be responsible if the investment is ultra vires thereto and the investment is contrary to the relevant constitutional documents.

I / We undertake that these investments are my/our own and acknowledge that AMC reserves the right to call for such other additional information/documents as required to comply with PMLA/KYC/FATCA norms.

I / We hereby further agree that the Fund can directly credit all the redemption amount to my bank details given above. I / We hereby declare that the particulars stated above are correct.

The ARN holder has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us. I / We further agree that the Fund and AMC can send us all types of SMS relating to the products offered by them applicable to investors who have not opted for nomination facility. I / We hereby confirm that it is my/our informed decision not to avail the nomination facility offered by Samco Mutual Fund.

Applicable to NRI only: I / We confirm that I am / we are Non Resident of Indian Nationality/Origin and I / We hereby confirm that the funds for subscription have been remitted from abroad through approved banking channels from funds in my/our Non-Resident External/Ordinary Account/FCNR Account. Please (✓) (Including amount of Additional Purchase Transaction made in future)

<table>
<thead>
<tr>
<th>Repatriation</th>
<th>Non Repatriation</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Date D D M M Y Y Y Y
Place

Signature(s)

Sole / First Applicant
Second Applicant
Third Applicant
1. Please read the Key Information Memorandum, Scheme Information Document (SID) and Scheme Information Document (SII) containing the terms of offer before applying. In the SID your attention is particularly drawn to the risk factors of investing in the Scheme and also the sections "Who Can not invest", "Risk Mitigation process against third party and / or forgery" and "The Mantle and Income Statement".

2. All applicants are deemed to have acknowledged that the purpose to which the offer is made and bind themselves to the terms upon signing the Application Form and tendering the payment.

3. Application Form should be filled legibly in ENGLISH in BLOCK letters using black or Dark Blue ink. Incomplete application forms are liable to be rejected. Please refer to the checklist at the end of the application form to ensure that the requisite details and documents have been submitted in order to avoid rejection and / or rejection of your application.

4. Please strike out any section that is not applicable. Correction/Cancellation on any of the mandatory information should be countersigned by the investor.

5. The designated Investor Service Center/ Collection Center will affix time stamp/ manua stamp and return the acknowledgement slip from the application form, to acknowledge receipt of the Application. No separate receipt will be issued for the application money.

6. Please fill in all the fields to prevent rejection of your Application. Please refer to the attached provision if you are not sure on how to ensure that the necessary details and attachments are made available. The application complete in all respects along with the cheque/ fund transfer instructions must be submitted to the nearest designated Investor Service Center/ Collection Center. Applications which are incomplete or invalid in any respect or not accompanied by cheque or fund transfer instructions for the amount payable are liable to be rejected.

7. The applicant must write the Application Form number / Folio number on the reverse of the cheques accompanying the Application Form.

8. Direct application—Investors are requested to mention the correct distributor Code in the Application Form. In case, the investor is directly applying, then they should clearly mention “DIRECT” in the column mentioned Distributor Code, in all such cases where applications are routed through an advisor/distributor/broker. In cases where the advisor user a pre-printed Broker Code, unit holder should cancel the ARN No/ Broker Code, write “DIRECT” in the said column and it should also be counter signed by the First named holder.

9. In case of NRI investment, complete postal address should be stated. P.O. Box address and postal code sufficient. For NRIs, the bank should overcharge their overseas account and the address states the bank name with the branch office.

10. In case of transmission of units in favour of a Nominee, the Unit holder must register the Nomination details before the start of the SWP scheme, in which case the nominee address shall be stated for correspondence.

11. Investors through constituted Attorney should necessarily be signed by the constituted Power of Attorney holder.

12. Please provide email & Mobile number, this will help us send investment / product information and communicate/ resolve any queries more promptly.

13. In the event the application has more than one investor and the mode of holding is not specified in the application form, the default option for holding would be considered to beHold jointly. However, in all such cases, communications, proceeds of redemption will be paid to the first named holder.

III. EMAIL COMMUNICATION

Account statement will be sent to Unit holders by Post / Courier for NFO/1st time investment in any of the Scheme. Subsequent Account Statements/Newsletters / Annual Reports / Other statutory information (as permitted under SEBI (Mutual Funds) Regulations, 1996) will be sent to the Unit holder address. The Unit holder is obliged to provide to their e-mail address for the same and this will also help us resolve queries more promptly. Unitholders who have provided e-mail id will be sent all communications/ reports as mentioned above by email only and will not receive postal statement. In the e-mail address should be communicated to nearest designated Investor Services. Samco Mutual Fund/Registrars are not responsible for e-mail correspondence the Unit holder experience any difficulty in accessing the electronecally delivered documents, the AMC will arrange for the same through physical mode on request of receipt for the same. It is deemed that the Unit holder is aware of all security risks including possible third party interception of the documents and contents of the documents becoming known to third party.

IV. BANK ACCOUNT DETAILS

It is mandatory to attach cancelled original cheque / self certified copy of blank cheque / self certified Bank Statement / first page of the Bank Pass book (bearing account number and name of the holder name) / Bank Pass Book/ Bank Statement is required as an incremental additional document in case of a. Registration of the investor’s Bank Mandate at the time of investment b. Subsequent change in the investor’s Bank Mandate. SEBI Directions have made it mandatory for investors to mention the Bank Name & address of branch and bank Account Number in their Investment application form in order to protect the interest of investors from fraudulent encashment of cheques. For registering multiple bank accounts, please indicate the names and addresses of the bank account in the application form. Investors through Systematic Investment Plans (SIPs) up to ₹ 50,000/- (aggregate of installments in a rolling 12 months period or in a financial year i.e. April – March) per person per investor shall be exempt from provision of Bank Mandate. In case of Exemplary / Single Scheme, in CAN Exempt KYC Reference Number (PEKRN) is Mandatory.

V. INVESTMENT DETAILS

Investors should indicate the Option for the application which is made. In case Investors wish to opt for both the Options, separate Application Form will have to be filled. In case applications are received where option/sub-option for investment is not selected the default option (50% option in case of SIPs is applicable). If the scheme name on the application form and on the payment instrument are different, the application will be processed and units allotted at applicable NAV of the scheme mentioned in the application / transaction slip duly signed by investor(s).

VII. MODE OF PAYMENT

1. As per AMFI best practice guidelines on ‘Risk mitigation process against third party cheques in mutual fund subscriptions’, Samco Mutual Fund shall not accept applications for subscriptions with third party cheques. In case of any information you may refer SAI.

2. Investors may make payment by cheque payable locally in the city where the application form is submitted at AMC/RTA/ ISDC or electronic mode such as RTGS/NEFT directly to Mutual Fund Collection account.

3. The cheque should be drawn on any bank which is situated at and is a member/sub member of the bankers clearing house. Cheque drawn on the bank not participating in the clearing house will not be accepted.

4. Payment through Stock investment cheques and cash will not be accepted.

5. The cheque should be drawn in favor of “Samco Flexi Fund A/c Investor PAN” and should be crossed ‘Account Payee Only’.

6. Returned cheques will not be presented again for collection and the accompanying application form will be rejected.

7. Single cheque for investments in multiple Schemes and multiple cheques for investments in a single Scheme will not be entertained.

8. In case of investment through electronic mode (RTGS/Transfer letter), you are requested to contact the nearest AMC/ RTA ISC for the Bank Account Number to which the purchase/additional purchase amount is to be credited.

9. NRIs / FIs

Repayment basis: - Payments by NRIs/FIs may be made by way of cheques drawn on non-resident external accounts payable at and payable at the cities where the Investor Service Centers are located.

Non-Repayment basis: - NRIs investing on a non repatriable basis may do so by issuing cheques drawn on Non-Resident Ordinary (NRO) account payable at the cities where the Investor Service Centers are located.

10. In case of payment through electronic mode (RTGS/NEFT or Transfer Letter), need to provide the bank acknowledgement copy along with purchase application.

VIII. SYSTEMATIC WITHDRAWAL PLAN DETAILS

<table>
<thead>
<tr>
<th>Minimum value of SWP</th>
<th>Yearly Option</th>
<th>Half Yearly Option</th>
<th>Quarterly Option</th>
<th>Monthly Option</th>
</tr>
</thead>
<tbody>
<tr>
<td>1,000/-</td>
<td>Six</td>
<td>Four</td>
<td>Two</td>
<td>One</td>
</tr>
</tbody>
</table>

a. Investors have the benefit of availing the choice of SWP on pre specified dates. The SWP allows the Unit holder to withdraw a specified sum of money each month/quarter from his investments in the Scheme.

b. The amount thus withdrawn by redemption will be converted into Units at Applicable NAV of the Scheme on the basis of the date of request and will be credited to the Unit holder’s folio.

c. Unitholders may start the facility needs to submit the SWP form by giving 15 days prior to the SWP date.

d. There are four options available under SWP viz. Monthly option, quarterly option, Half Yearly and Yearly option. The details of which are given below.

1. For SWP minimum amount to ₹ 1,000/- and multiple of ₹ 1,000/-

2. For SWP may be terminated by a Unit holder by giving 15 days written intimation/notice or it will terminate automatically if all the Units are liquidated or withdrawn from the scheme, if the holder of units fall below the SWP instalment amount.

XI. PAYMENT OF REDEMPTION

Investors are requested to provide the following details along with the mandatory requirement of bank account details (bank, branch address, account type and account number) in the application form for electronic fund transfer (EFT) of the redemption amount to the unit holder bank account. AMC will automatically extend this facility to all unit holders in case the bank account as communicated by the unit holder is with any of the bank providing EFT facility.

1. The 11 digit IFSC (Indian Financial System Code) of the unit holder account needs to be mentioned in the column mentioned Distributor Code, in all such cases where applications are routed through an advisor/distributor/broker. In cases where the advisor user a pre-printed Broker Code, unit holder should cancel the ARN No/ Broker Code, write “DIRECT” in the said column and it should also be counter signed by the First named holder.

2. Investors through constituted Attorney should necessarily be signed by the constituted Power of Attorney holder.

3. Please provide mobile number, this will help us send information / product information and communicate/ resolve any queries more promptly.

4. Returned cheques will not be presented again for collection and the accompanying application form will be rejected.

5. Investors through constituted Attorney should necessarily be signed by the constituted Power of Attorney holder.

6. In case of payment through electronic mode (RTGS/NEFT or Transfer Letter), need to provide the bank acknowledgement copy along with purchase application.

XII. NOMINATION DETAILS

Applicants applying for Units singly/jointly can make a nomination at the time of initial investment or during subsequent investments.

1. The nomination can be made only by individuals applying for holding units in their own name (singly or jointly). Non-Natural persons or charitable trusts, charitable trusts (except a charitable trust), body corporate, partnership firm, Karta of Hindu Undivided Family, holder of Power of Attorney cannot nominate. Nomination is allowed in a folio held on behalf of a minor. All holders will have to sign for nomination or cancellation of nomination, even if the mode of holding is not joint. Nomination cannot be signed by the Power of Attorney (PoA) holder of the folio.

2. A minor can be nominated and in that event, the name and address of the guardian of the minor nominee shall be provided by the Unit Holder. Nomination can also be made in favor of the Central Government, State Government, Central Government / State Government agency or any other authority, any person designated by virtue of his office or a religious or charitable trust.

3. A Non-Resident Indian can be a Nominee subject to the exchange control regulations in force from time to time.

4. Nomination in respect of the units stands rescinded upon the redemption/ transfer/ transmission of units.

5. Transmission of units in favour of a Nominee shall be a valid discharge by the Asset Management Company (AMC) against the legal heir.

6. The cancellation of nomination can be made only by those individuals who hold units on their own behalf singly or jointly and who made the original nomination. On cancellation of the nomination, the nomination shall stand rescinded and the AMC/ Fund/ Trustees shall not be under any obligation to transmit the units in favour of the Nominee.

7. Nomination shall maintain in the folio / account level and shall be applicable for all schemes in the folio / account.
XI. PREVENTION OF MONEY LAUNDERING AND KNOW YOUR CUSTOMER (KYC)

According to SEBI Guidelines under "The Prevention of Money Laundering Act, 2002", Mutual Funds are required to follow enhanced know your customer (KYC) norms. Further, SEBI has also notified SEBI (Know Your Customer Registration) Regulations, 2011 on December 23, 2011 with a view to ensuring uniform implementation of KYC requirements by all fund managers to prevent the use of funds for the prosecution or concealment of criminal activity. SEBI has introduced a KYC registration process for fund managers to report the details of the KYC process to SEBI through its website. In case of any breach, SEBI reserves the right to impose severe penalties.

The KYC process includes:
- Verification of identity and address of the investor.
- Collection of documents such as PAN, Aadhaar, and risk profile.
- Understanding the investment intentions and purposes.
- Assessment of the investor’s financial status.
- Ensuring compliance with all applicable regulations.

The KYC process is mandatory for all new investors and is required to be updated periodically.

XII. PURCHASE/REDemption OF UNITS THROUGH STOCK EXCHANGE INFraSTRUCTURE

The investors can subscribe to the Units of the Scheme through Mutual Fund Service System ("MFSS") platform of Bombay Stock Exchange and "ICEXMF" platform of Indian Commodity Exchange Ltd. ("ICEX") platform of National Stock Exchange, "BSEStAR MF" platform of Bombay Stock Exchange and "ICEXMF" platform of Indian Commodity Exchange Ltd. Please refer Scheme Information Document(s) of the Scheme(s) for further details.

XIII. INVESTMENTS UNDER THE ZERO BALANCE FOLIO

For investments under the zero balance folio, signatures on the transaction slip would be recovered as per the mode of the holding.

XIV. TRANSACTION CHARGE IN RESPECT OF APPLICATIONS ROUTED THROUGH DISTRIBUTORS/BROKERS:

In respect of SEBI Circular No. CID/IMD/DF/ 13/ 2011 dated August 22, 2011, as amended from time to time, Transaction Charge per subscription of ₹10,000/- and above shall be charged to the investors, with effect from November 1, 2011 and paid to the distributors/brokers (who have received the transaction charge from the investor) in respect of applications relating to new subscriptions only (liqmysip and sip), subject to the following:
- For existing mutual fund investors: 1% of ₹1,00,000/- and above; and
- For the first time mutual fund investors: 1% of ₹10,000/- and above;
- In case of SIPs, transaction charge shall be applicable only if the total commitment through SIP amounts to ₹10,000/- and above. In such cases the transaction charge would be recovered in 4 installments, starting from the 2nd to 5th instalment.
- There shall be no transaction charge on subscription of below ₹10,000/-.
- There shall be no transaction charge on transactions other than purchases/subscriptions relating to new inflows.
- There shall be no transaction charge on direct investments.
- There shall be no transaction charge on subscriptions carried out through the Stock Exchange Platform.

In accordance with SEBI circular no. CID/IMD/DF/21/2012 dated September 13, 2012, distributors shall also have an option either to opt in or opt out of levying transaction charge based on the type of the product.

XV. EMPLOYEE UNIQUE IDENTIFICATION NUMBER (EUIN):

SEBI has made it compulsory for every employee/ relationship manager/ sales person of the Distributor of Mutual Funds to obtain an EUIN obtained by SEBI from AMFI in the Application Form. EUIN, particularly in advisory transactions, would assist in addressing any instance of mis-selling etc. if the employee/relationship manager/sales person leaves the organization. EUIN holder and any other employees of the scheme/subscheme distributing Mutual Product funds are also required to obtain and quote EUIN in the Application Form. Hence, if your investment is made through a distributor please ensure that the EUIN is correctly filled up in the Application Form.

However, if your distributor has not given you any advice pertaining to the investment, the EUIN box may be left blank. In this case, you are required to provide a duly signed declaration to the fund manager. If you decide to change distributors, it is advised to ensure that your EUIN is updated.

All categories of investors except individuals, companies listed on a stock exchange or majority-owned subsidiary of any company, are requested to provide details of beneficial ownership in the Application Forms for all their investments. The Fund reserves the right to reject applications/restrict further investments or seek additional information from investors who fail to provide the requisite information on beneficial ownership.

XVI. BENEFICIAL OWNERSHIP DETAILS:

Under the Prevention of Money Laundering Act, 2005 ("PMLA"), all intermediaries including Mutual Funds are required to ensure that they identify and verify the persons who beneficially own or control the account. SEBI circular dated January 24, 2014 on identification of Beneficial Ownership has prescribed a uniform approach for all fund managers to be followed by them. A beneficial owner as defined as a natural person’s who ultimately owns, controls or influences a client and/or person on whose behalf a transaction is being conducted, which includes persons who exercise ultimate effective control over a legal person or arrangement.

Categories of investors except individuals, companies listed on a stock exchange or majority-owned subsidiary of any company, are requested to provide details of beneficial ownership in the Application Forms for all their investments. The Fund reserves the right to reject applications/restrict further investments or seek additional information from investors who fail to provide the requisite information on beneficial ownership.

XVII. FATCA DETAILS:

The Foreign Account Tax Compliance Act is a United States (US) federal law, aimed at preventing tax evasion by US Citizens and Residents ("US Persons") through use of offshore accounts. The FATCA provisions were included in the HIRE Act enacted by the US legislature in 2010. FATCA is designed to prevent the use of offshore accounts by US persons to avoid tax obligations by ensuring that financial institutions outside the US are subject to reporting requirements. The Fund/ Asset Management Company ("the AMC") are likely to be classified as a FFI under the FATCA provisions in which case the Fund/ the AMC would be required to report information about the investor to the US tax authorities.

The FATCA provisions are designed to promote information sharing among countries to combat tax evasion. The FATCA requirements apply to financial institutions that have accounts held by individuals or entities. These financial institutions are required to report information about each account to the US government. The information includes the identity of the account holder, the account holder’s address, and the amount of money in the account.

XVIII. LEGAL ENTITY IDENTIFIER:

RIJ biwi circular dated January 2021 on "Introduction of Legal Entity Identifier for Large Value Transactions in Central Securities Depository System (CSDS) for all transactions for all payment transactions of value INR 50 crore and above for Real Time Gross Settlement (RTGS) and National Electronic Funds Transfer (NEFT) from April 1, 2021. In view of the same, the Fund is legally required to undertake the necessary steps to initialize any transaction of value INR 50 crore and above by entities (Non-Individual) for purchase and redemption transaction.

XIX. DECLARATION AND SIGNATURE:

a. All the applicants must sign the application form. Application on behalf of minor should be signed by their natural parent or legal guardian. Signatures should be in English or in any Indian language. Thumb impression should be from the left hand for males and right hand for females and in all cases be attested by a Magistrate, Notary Public or Special Executive Magistrate. In case of HUF, the Karta will sign on behalf of the HUF.

b. The original Power of Attorney or a duly notarized copy of the Power of Attorney shall be submitted to the AMC for this application in case of a Power of Attorney
## 1. Distributor Information

<table>
<thead>
<tr>
<th>Application No</th>
<th>S</th>
</tr>
</thead>
<tbody>
<tr>
<td>146822</td>
<td></td>
</tr>
</tbody>
</table>

*Investors should mention the EUIN of the person who has advised the investor. If left blank, the fund will assume following declaration by the investor: "I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this transaction is executed without any interaction or advice by the employee/relationship manager/sales person of the above distributor/sub broker or notwithstanding the advice of inappropriateness, if any, provided by the employee/relationship manager/sales person of the distributor/sub broker.*

*We have invested in the below mentioned scheme of Samco Mutual Fund under the Direct Plan. I/We hereby give my/our consent to share/provide the transaction data feed / portfolio holdings / NAV etc. in respect of this particular transaction, to the SEBI Registered Investment Advisor (RIA) bearing the above mentioned registration number.*

<table>
<thead>
<tr>
<th>Authorised Signatory</th>
<th>First / Sole Applicant</th>
<th>Second Applicant</th>
<th>Third Applicant</th>
</tr>
</thead>
<tbody>
<tr>
<td>CKYC No.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

## 3. Investment Details (Choice of Plan [Please ✓])

### 3.1 Scheme Enrolment Period

<table>
<thead>
<tr>
<th>Scheme</th>
<th>Plan</th>
<th>Option</th>
</tr>
</thead>
<tbody>
<tr>
<td>Samco Flexi Cap Fund</td>
<td>Regular</td>
<td>Growth</td>
</tr>
<tr>
<td></td>
<td>Direct</td>
<td>Or Perpetual (Default)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Or No. of Installments</td>
</tr>
</tbody>
</table>

### 3.2 First SIP Instalment

- Cheque No.: [ ]
- Bank A/c No.: [ ]
- Branch: [ ]
- Amount ₹ [ ]

### 3.3 SIP Frequency

- Monthly [ ]
- Quarterly [ ]
- Half Yearly [ ]

### 3.4 SIP Step UP FACILITY:

<table>
<thead>
<tr>
<th>Fixed Amount</th>
<th>Variable (in Percentage)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Amount [ ]</td>
<td>Percentage [ ]</td>
</tr>
<tr>
<td>Freeze [ ]</td>
<td>Month-Year [ ]</td>
</tr>
<tr>
<td>Frequency [ ]</td>
<td>Half Yearly [ ]</td>
</tr>
</tbody>
</table>

### 3.5 Unit Holding Option

- Physical Mode (Default) [ ]
- Demat Mode (Demat Account details are mandatory if the investor wishes to hold the units in Demat Mode) [ ]

### 3.6 Declaration & Signature(s)

I/We declare that the particulars furnished here are correct. I/We authorize Samco Mutual Fund acting through its service providers to debit my/our bank account towards payment of SIP installments and/or any lumpsum payments through an Electronic Debit arrangement/NACH (National Automated Clearing House) as per my request from time to time. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information, I/We will not hold the user institution responsible. I/We authorize my representative (the bearer of this request) to get the above Mandate verified. Mandate verification charges, if any, may be charged to my/our account.

I/We hereby agree to read the respective SID and SAI of the mutual fund before investing in any scheme of Samco Mutual Fund using this facility.

**Note:**
- In case of Quarterly SIP, only the Yearly frequency is available in SIP TOP UP. If freeze the SIP Top-Up amount once it reaches a fixed predefined amount or maximum amount as mentioned in OTM.
- (Minimum 50/- in multiple of Re 1/-)
- Frequency $ in case of Quarterly SIP, only the Yearly frequency is available in SIP TOP UP.
- Freeze [#]: Amount [ ]
- Frequency $: Half Yearly [ ]

## 4. ONE TIME BANK MANDATE (NACH/OTM/Direct Debit Mandate Form)

<table>
<thead>
<tr>
<th>Sponsor Bank Code</th>
<th>Utility Code</th>
<th>Bank A/c No.</th>
<th>IFSC</th>
<th>✂</th>
<th>Amount ₹</th>
</tr>
</thead>
<tbody>
<tr>
<td>SAMCO MUTUAL FUND</td>
<td>SB CA SB-NRE</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### 5. Date

- Month-Year [ ]

### 6. Frequency

- Monthly [ ]
- Quarter [ ]
- Half Yearly [ ]
- Yearly [ ]

### 7. Debit Type

- Fixed Amt [ ]
- Maximum Amt [ ]

### 8. Scheme Name

- First / Sole Applicant: [ ]
- Second Applicant: [ ]
- Third Applicant: [ ]

---

For Office Use Only

<table>
<thead>
<tr>
<th>UMRN</th>
<th>Date D D M M Y Y Y Y</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Sign Here

By: [ ]

---

I agree for the debit of mandate processing charges by the bank whom I am authorizing to debit my account as per latest schedule of charges of the bank.

---

This is to inform that the declaration has been carefully read, understood and made by me/us. I am authorizing the User entity / Corporate to debit my account, based on the instructions as agreed and signed by me, I have understood that I am authorized to cancel / amend this mandate by appropriately communicating the cancellation / amendment request to the User entity / Corporate of the bank where I have authorized the debit.
1. Please refer SID for minimum SIP investment amount under the Scheme.

2. Please refer the Key Information Memorandum (KIM) and Scheme Information Document (SID) of the respective Scheme for applicable NAV, risk factors, load (exit/entry) and other information on the respective Scheme before investing.

3. Complete Application Form and SIP Mandate Registration Form along with the first cheque if any to be submitted to the AMC/RTA I/S.

4. Investors can give a cheque for the first installment. The first cheque should be drawn on the same bank account which is to be registered for NACH. Alternatively, the cheque may be drawn on any bank, for which investor should provide a photocopy of the cheque or cancelled cheque of the bank/branch for which NACH is to be registered.

5. First SIP cheque (if any) and subsequent SIP installments via NACH should be of the same amount.

6. If any chosen day falls on a non-business day, the next business day will be considered as the transaction date. However, all SIP installment transactions will be processed after realization of funds and cut off timings.

7. Incorrect/Incomplete applications are liable to be rejected.

8. Samco Asset Management Private Ltd. reserves the right to reject any application without assigning any reason thereof and the Trustee reserves the right to change/modify the terms and conditions of SIP.

9. NACH instructions will take a minimum of one month for registration with the bank and hence the first debit will be carried out only after one month, on the SIP date mentioned on the form. The AMC reserves the right to modify the SIP period depending on the one month period for registration to ensure minimum number of installments as mentioned in SID.

10. The mandate registration form will be submitted through National Automated Clearing House (NACH) and Banks participating in Direct Debit Facility. This facility is offered to investors having Bank accounts in select banks mentioned in the link under ‘List of Banks’. A list of Banks http://www.npci.org.in/ in the list may be modified/updated/changed/removed at any time in future entirely at the discretion of National Payments Corporation of India without assigning any reasons or prior notice. Standing instructions for investors in such Banks will be discontinued. We will inform such discontinuation.

11. Existing Unit holders in Scheme of Samco Mutual Fund are required to submit only the SIP Mandate registration form. Existing unit holder needs to ensure that the unit holder details & the mode of holding will be exactly as per the existing account. New investors, who wish to enroll for SIP through NACH, should fill the Application Form & SIP Mandate registration form.

12. Initial cheque should be drawn on any bank, which is situated at & is a member of the Banker’s Clearing House located at the place where the SIP application is submitted or payable at & should participate in local MICR clearing. Please contact the nearest designated Investor Service Centre for the updated list. For outstation applications, the initial DD has to be payable at the nearest AMC locations. No outstation cheques will be accepted. The cheque should be drawn in favor of the scheme chosen and crossed “A/c Payee Only”.

13. Payments will be accepted by NACH mode. For this purpose, investors/unit holders are required to give NACH Mandate Form to debit their bank accounts at periodic intervals & credit the subscription proceeds to Samco Mutual Fund Bank Account.

14. Returned/Dishonored cheque/NACH Rejects will not be presented again for collection.

15. The SIP Enrollment will be discontinued in cases where three consecutive SIP installments are not honored or the bank account is closed and no request for change in bank account has been submitted.

16. If investor has not provided the SIP frequency/period/date, the default SIP frequency would be Monthly & the SIP installments would be perpetual. The default date will be considered as 10th of the month for Monthly option.

17. If an Existing investor wants to enroll in another Scheme & continue for the existing Scheme via NACH facility, an investor will have to fill a separate form for each Scheme. A single scheme cannot be used for different schemes simultaneously.

18. As per Prevention of Money Laundering Act 2002, it is mandatory for all investors to be KYC compliant. For more details please refer point on “Instructions to Investors for Filling up the Application Form.

29. SYSTEMATIC INVESTMENT PLAN (SIP) Registration Form

1. a. Investors can opt for SIP TOP UP facility with Fixed Top Up option or Variable Top Up option, wherein the amount of the SIP can be increased at fixed intervals. In case the investor opts for both options, the Variable Top Up option shall be considered.

2. b. The minimum amount for Fixed Top UP shall be ₹500 and in multiple of ₹1/- thereafter. And for variable Top UP would be available in at 10%, 15% and 20% and in multiples of 5%.

3. c. The frequency is fixed at Yearly and Half Yearly basis. In case the TOP UP facility is not opted by ticking the appropriate box and frequency is not selected, the TOP UP facility may not be registered. In case of Quarterly SIP, only the Yearly frequency is available under SIP TOP UP.

4. d. Top-Up Cap amount: Investor has an option to freeze the SIP Top-Up amount only when the quarterly or half yearly amount is fixed. The fixed pre-defined amount should be same as the maximum amount mentioned by the investor in the bank mandate. In case of difference between the Cap amount & the maximum amount mentioned on Bank mandate, then amount which is lower of the two amounts shall be considered as the maximum amount of SIP Cap amount. In case the top-up amount arrives in decimals the amount will be rounding off in nearest rupee.

5. e. Top-Up Cap month/year: It is the date from which SIP Top-Up amount will cease and last SIP installment including Top-Up amount will remain constant from Cap date till the end of SIP tenure. Investor shall have flexibility to choose either Top-Up Cap amount or Top-Up Cap month/year. In case of multiple selection, Top-Up Cap amount will be considered as default selection.

6. f. In case of no selection, the SIP Variable Top -Up amount will be capped at a default amount of ₹10 Lakhs.

7. g. Under the said facility, SIP amount will remain constant from Top - Up Cap date/ amount till the end of SIP Tenure.

Terms and Conditions

Instructions to fill the nACH debit mandate form

1. Mobile Number and Email Id: Unit holder(s) should mandatorily provide their mobile number and email id on the mandate form. Where the mobile number and email id mentioned on the mandate form differs from the ones as already existing in the folio, the details provided on the mandate will be updated in the folio. All future communication whatsoever will be, thereafter, sent to the updated mobile number and email id.

2. Unit holder(s) need to provide along with the mandate form an original cancelled cheque (or a copy) with name and account number pre-printed of the bank account to be registered or bank account verification letter for registration of the mandate failing which registration may not be accepted. The Unit holder(s) cheque/bank account details are subject to third party verification.

3. Investors are deemed to have read and understood the terms and conditions of NACH Facility, SIP registration through NACH facility, the Scheme Information Document, Statement of Additional Information, Key Information Memorandum, Instructions and Addendum issued from time to time of the respective Scheme(s) of Samco Mutual Fund.

4. Date and the validity of the mandate should be mentioned in DD/MM/YYYY format.

5. Please mention the amount in figures and words.

6. Please fill all the required details in the Debit Mandate Form for NACH. The sole/first holder must be one of the holders in the bank account.

7. The UMNI, the Sponsor Bank Code and the Utility Code are meant for office use only and need not be filled by the investor, its Registrars, Auto-Debit Banks and other service providers shall not be liable for, nor be in default by reason of, any failure or delay in completion of its obligation under this agreement, where such failure or delay is caused, in whole or in part, by any acts of God, civil commotion, riots, strike, mutation, revolution, fire, flood, fog, war, change of government policies, unavailability of banks computer system, force majeure events or any other cause of peril which is beyond their reasonable control and which has the effect of preventing the performance of contract by them.

8. Investors will not hold Samco Asset Management Private Ltd., its registrars, banks and other service providers responsible if the transaction is delayed or not effected or the investor's bank account is debited in advance or after the specific SIP date due to the local holidays or any other reason.

9. Samco Asset Management Private Ltd. reserves the right to reject any application without assigning any reason thereof.

10. Incorrect, incomplete or ambiguous forms will not be accepted and will be returned to the investor within 10 business days via normal post.

11. To avail of SIP in separate Scheme via NACH facility, an investor will have to fill a separate form for each Scheme. A single scheme cannot be used for different schemes simultaneously.

12. As per Prevention of Money Laundering Act 2002, it is mandatory for all investors to be KYC compliant. For more details please refer point on “Instructions to Investors for Filling up the Application Form.

1. The bank account provided for NACH (Debit) should be in the list of banks participating in NACH.

2. MICR code or IFSC code should be mandatory filled on NACH mandate, MICR code starting and/or ending with 00 are not valid for NACH.

3. The investor agrees to abide by the terms and conditions of NACH facility of NPCI as applicable at the time of investment and as may be modified from time to time.

4. The investor undertakes to keep sufficient funds in the account till the date of execution of the debit. The investor hereby declares that the particulars given overleaf are correct and complete. If the date of debit to the investors account happens to be a Non Business day as per the fund, execution of the debit will not happen on the day of the holiday and allotment of Units will happen as per the terms and conditions listed by the concerned SID. The fund, its Registrars, Auto-Debit Banks and other service providers shall not be liable for, nor be in default by reason of, any failure or delay in completion of its obligation under this agreement, where such failure or delay is caused, in whole or in part, by any acts of God, civil commotion, riots, strike, mutation, revolution, fire, flood, fog, war, change of government policies, unavailability of banks computer system, force majeure events or any other cause of peril which is beyond their reasonable control and which has the effect of preventing the performance of contract by them.

5. Toll free number: 18001034757 Fax: 022-41708989 Email ID: mfassist@samcomf.com Website: www.samcomf.com
Name of the entity ____________________________

Type of address given at KRA  [ ] Residential  [ ] Business  [ ] Registered Office

PAN ____________________________ Date of Incorporation [D D M M Y Y Y Y]

City of incorporation ____________________________ Country of incorporation ____________________________

Additional KYC Information

Gross Annual Income (₹) Please (✓) [ ] Below 1 Lac  [ ] 1–5 Lacs  [ ] 5–10 Lacs  [ ] 10–25 Lacs  [ ] >25 Lacs – 1 Crore  [ ] >1 Crore

or Net worth ₹ ______ (not older than 1 year)

Politically Exposed Person (PEP) Status* (For authorised signatories/Promoters/Karta/Trustee/Whole time Directors)

[ ] I am PEP  [ ] I am Related to PEP  [ ] Not Applicable

*PEP are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

Non-Individual unit holders involved/providing any of the mentioned services

[ ] Foreign Exchange/Money Changer Services  [ ] Gaming/Gambling/Lottery/Casino Services  [ ] Money Lending/Pawning  [ ] None of the above

FATCA & CRS Declaration

Please ✓ the applicable tax resident declaration

1. Is “Entity” a tax resident of any country other than India  [ ] Yes  [ ] No

(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

<table>
<thead>
<tr>
<th>Sr. No.</th>
<th>Country</th>
<th>Tax Identification Number%</th>
<th>Identification Type (TIN or Other%, please specify)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td></td>
<td></td>
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<tr>
<td>3.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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

In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc.

In case the Entity’s Country of Incorporation/Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity’s exemption code here

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

1. We are a,  [ ] Financial institution (Refer 1 of Part C)  OR  [ ] Direct reporting NFE (Refer 3(vii) of Part C) (please tick as appropriate)

GIIN ____________________________

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

Name of sponsoring entity ____________________________

GIIN not available (please ✓ as applicable)

Applied for  [ ] Not obtained – Non-participating FI  [ ] Not required to apply for - please specify 2 digits sub-category ______ (Refer 1 A of Part C)

PART B (Please fill any one as appropriate “to be filled by NFEs other than Direct Reporting NFEs”)

1. Is the Entity a publicly traded company (that is, a company whose shares are regularly traded on an established securities market) (Refer 2a of Part C)

[ ] Yes (If yes, please specify any one stock exchange on which the stock is regularly traded)

Name of stock exchange ____________________________

2. Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market) (Refer 2b of Part C)

[ ] Yes (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded)

Name of listed company ____________________________

Nature of relation  [ ] Subsidiary of the Listed Company  OR  [ ] Controlled by a Listed Company

Name of stock exchange ____________________________

3. Is the Entity an active NFE (Refer 2c of Part C)

[ ] Yes Nature of Business ____________________________

Please specify the sub-category of Active NFE ______ (Mention code – refer 2c of Part C)

4. Is the Entity a passive NFE (Refer 3(ii) of Part C)

[ ] Yes Nature of Business ____________________________
**UBO Declaration** (Mandatory for all entities except, a Publicly Traded Company or a related entity of Publicly Traded Company)

**Category** (Please ✓ applicable category):
- [ ] Unlisted Company
- [ ] Partnership Firm Limited
- [ ] Liability Partnership Company
- [ ] Unincorporated association/body of individuals
- [ ] Public Charitable Trust
- [ ] Public Charitable Trust
- [ ] Religious Trust
- [ ] Private Trust
- [ ] Others (please specify)

Please list below the details of controlling person(s), confirming All countries of tax residency/permanent residency/citizenship and All Tax Identification Numbers for EACH controlling person(s). (Please attach additional sheets if necessary)

Owner-documented FI's should provide FI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E (Refer 3(vi) of Part C)

<table>
<thead>
<tr>
<th>Details</th>
<th>UBO1</th>
<th>UBO2</th>
<th>UBO3</th>
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<tbody>
<tr>
<td>Name of UBO</td>
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<tr>
<td>UBO Code (Refer 3(v) (A) of Part C)</td>
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<tr>
<td>Country of Tax residency*</td>
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<tr>
<td>PAN#</td>
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<table>
<thead>
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<tbody>
<tr>
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</table>

<table>
<thead>
<tr>
<th>Address Type</th>
<th>Residential</th>
<th>Business</th>
<th>Registered Office</th>
<th>Residential</th>
<th>Business</th>
<th>Registered Office</th>
<th>Residential</th>
<th>Business</th>
<th>Registered Office</th>
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<tbody>
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<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

| Tax ID% | | |
|---------| | |

| Tax ID Type | | |
|-------------| | |

| City of Birth | | |
|---------------| | |

| Country of birth | | |
|-----------------| | |

<table>
<thead>
<tr>
<th>Occupation Type</th>
<th>Service</th>
<th>Business</th>
<th>Others</th>
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<tbody>
<tr>
<td></td>
<td></td>
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</tr>
</tbody>
</table>

| Nationality | | |
|-------------| | |

| Father's Name | | |
|---------------| | |

<table>
<thead>
<tr>
<th>Gender</th>
<th>Male</th>
<th>Female</th>
<th>Others</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

| Date of Birth | | |
|---------------| | |

| Percentage of Holding (%)$ | | |
|-----------------------------| | |

* To include US, where controlling person is a US citizen or green card holder
# If UBO is KYC compliant, KYC proof to be enclosed. Else PAN or any other valid identity proof must be attached. Position/Designation like Director/Settlor of Trust/Protector of Trust to be specified wherever applicable.

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

$ Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory/Company Secretary

**FATCA & CRS Terms and Conditions**

The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which require Indian financial institutions to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our unit holders. In relevant cases, information will have to be reported to tax authorities/appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.

Please note that you may receive more than one request for information if you have multiple relationships with us or our group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

If you have any questions about your tax residency, please contact your tax advisor. If any controlling person of the entity is a US citizen or resident or green card holder, please include United States in the foreign country information field along with the 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.

**Certification**

I/We have read and understood the information requirements and the Terms and Conditions mentioned in this Form (read alongwith the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct and complete. I/We hereby agree and confirm to inform Samco Asset Management Private Limited/Samco Mutual Fund/Trustees for any modification to this information promptly. I/We further agree to abide by the provisions of the Scheme related documents inter alia provisions on ‘Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standards (CRS) on Automatic Exchange of Information (AEOI)’.

| Name | | |
|------| | |

| Date | | |
|------| | |

| Place | | |
|------| | | | | |
PART C FATCA Instructions & Definitions

1. Financial Institution (FI)

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

- Depository institution: an entity that accepts deposits in the ordinary course of banking or similar business.
- Custodial institution: an entity that holds as a substantial portion of its business, holds financial assets for the account of others and where it's income attributable to holding financial assets and related financial services equals or exceeds 20 percent of the entity's gross income during the shorter of -
  (i) The three financial years preceding the year in which determination is made; or
  (ii) The period during which the entity has been in existence, whichever is less.
- Investment entity is any entity:
  - That primarily conducts a business or operates for or on behalf of a customer for any of the following activities or operations for or on behalf of a customer
    (i) Trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading; or
    (ii) Individual and collective portfolio management; or
    (iii) Investing, administering or managing funds, money or financial asset or money on behalf of other persons;
  - The gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets, if the entity is managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity described above.
  - An entity is treated as primarily conducting as a business one or more of the 3 activities described above, or an entity's gross income is primarily attributable to investing, reinvesting, or trading in financial assets of the entity's gross income attributable to the relevant activities equals or exceeds 50 percent of the entity's gross income during the shorter of:
    (i) The three year period ending on 31 March of the year preceding the year in which the determination is made; or
    (ii) The period during which the entity has been in existence.

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

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

FI not required to apply for GIIN:

A. Reasons why FI not required to apply for GIIN:

<table>
<thead>
<tr>
<th>Code</th>
<th>Sub-category</th>
</tr>
</thead>
<tbody>
<tr>
<td>01</td>
<td>Governmental Entity, International Organization or Central Bank</td>
</tr>
<tr>
<td>02</td>
<td>Treaty Qualified Retirement Fund; a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; or a Pension Fund of a Governmental Entity, International Organization or Central Bank</td>
</tr>
<tr>
<td>03</td>
<td>Non-public fund of the armed forces, an employee's state insurance fund, a gratuity fund or a provident fund</td>
</tr>
<tr>
<td>04</td>
<td>Entity is an Indian FI solely because it is an investment entity</td>
</tr>
<tr>
<td>05</td>
<td>Qualified credit card issuer</td>
</tr>
<tr>
<td>06</td>
<td>Investment Advisors, Investment Managers &amp; Executing Brokers</td>
</tr>
<tr>
<td>07</td>
<td>Exempt collective investment vehicle</td>
</tr>
<tr>
<td>08</td>
<td>Trustee of an Indian Trust</td>
</tr>
<tr>
<td>09</td>
<td>FI with a local client base</td>
</tr>
<tr>
<td>10</td>
<td>Non-registering local banks</td>
</tr>
<tr>
<td>11</td>
<td>FFI with low-value Accounts</td>
</tr>
<tr>
<td>12</td>
<td>Sponsored investment entity and controlled foreign corporation</td>
</tr>
<tr>
<td>13</td>
<td>Sponsored, Closely Held Investment Vehicle</td>
</tr>
<tr>
<td>14</td>
<td>Owner Documented FFI</td>
</tr>
</tbody>
</table>

2. Non-financial entity (NFE) - Entity that is not a financial institution

Types of NFEs that are regarded as excluded NFE are:

a. Publicly traded company (listed company)
   A company is publicly traded if its stock are regularly traded on one or more established securities markets (Established securities market means an exchange that is officially recognized and supervised by a governmental authority in which the securities market is located and that has a meaningful annual value of shares traded on the exchange)

b. Related entity of a publicly traded company
   The NFE is a related entity of an entity which is regularly traded on an established securities market;

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

<table>
<thead>
<tr>
<th>Code</th>
<th>Sub-category</th>
</tr>
</thead>
<tbody>
<tr>
<td>01</td>
<td>Less than 50 percent of the NFE's gross income for the preceding financial year is passive income and less than 50 percent of the assets held by the NFE during the preceding financial year are assets that produce or are held for the production of passive income;</td>
</tr>
<tr>
<td>02</td>
<td>The NFE is a Governmental Entity, an International Organization, a Central Bank, or an entity wholly owned by one or more of the foregoing;</td>
</tr>
<tr>
<td>03</td>
<td>Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an entity shall not qualify for this status if the entity functions as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;</td>
</tr>
<tr>
<td>04</td>
<td>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;</td>
</tr>
<tr>
<td>05</td>
<td>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;</td>
</tr>
<tr>
<td>06</td>
<td>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;</td>
</tr>
</tbody>
</table>
| 07   | Any NFE that fulfills all of the following requirements:
   - It is established and operated in India exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in India and it is a professional organization, business league, chamber of commerce, labor organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare;
   - It is exempt from income tax in India;
   - It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
   - The applicable laws of the NFE’s country or territory of residence or the NFE’s formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFE’s charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and
   - The applicable laws of the NFE’s country or territory of residence or the NFE’s formation documents require that, upon the NFE’s liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of the NFE’s country or territory of residence or any political subdivision thereof. |
3. Other Definitions

(i) Related entity
An entity is a ‘related entity’ of another entity if either entity controls the other entity, or the two entities are under common control. For this purpose, control includes direct or indirect ownership of more than 50% of the votes and value in an entity.

(ii) Passive NFE
The term passive NFE means
1. 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
2. an investment entity defined in clause (1) of these instructions.
3. 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.)

(iii) Passive income
The term passive income includes income by way of:
1. Income Distribution cum Capital Withdrawal,
2. Interest,
3. Income equivalent to interest,
4. 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
5. Annuities
6. The excess of gains over losses from the sale or exchange of financial assets that gives rise to passive income
7. The excess of gains over losses from transactions (including futures, forwards, options and similar transactions) in any financial assets,
8. The excess of foreign currency gains over foreign currency losses
9. Net Income from swaps
10. Amounts received under cash value insurance contracts

But passive income will not include, in case of a non-financial entity that regularly acts as a dealer in financial assets, any income from any transaction entered into in the ordinary course of such dealer’s business as such a dealer.

(iv) Controlling persons
Controlling persons are natural persons who exercise control over an entity and includes a beneficial owner under sub-rule (3) of rule 9 of the Prevention of Money-Laundering (Maintenance of Records) Rules, 2005. In the case of a trust, the controlling person means the settlor, the trustee, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust. In the case of a legal arrangement other than a trust, controlling person means persons in equivalent or similar positions.

Pursuant to guidelines on identification of Beneficial Ownership issued vide SEBI circular no. CIR/MIRSD/2/2013 dated January 24, 2013, persons (other than individuals) are required to disclose certain details of Beneficial Owner(s) ('BO'). Accordingly, the Beneficial Owner means ‘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 of entitlements to
1. More than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;
2. More than 15% of the capital or profits of the juridical person, where the juridical person is a partnership; or
3. 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.

Where the client is a trust, the financial institution shall identify the beneficial owners of the client and take reasonable measures to verify the identity of such persons, through the real estate investment trust law, the identity of the settler of the trust, the trustee, the protector, the beneficiaries with 15% or more interest in the trust and any other natural person exercising ultimate control over the trust through a chain of control or ownership.

Where no natural person is identified the identity of the relevant natural person who holds the position of senior managing official.

<table>
<thead>
<tr>
<th>UBO Code</th>
<th>Sub-category</th>
<th>UBO Code</th>
<th>Sub-category</th>
</tr>
</thead>
<tbody>
<tr>
<td>01</td>
<td>CP of legal person ownership</td>
<td>08</td>
<td>CP of legal arrangement-trust-other</td>
</tr>
<tr>
<td>02</td>
<td>CP of legal person-other means</td>
<td>09</td>
<td>CP of legal arrangement-Other-settlor equivalent</td>
</tr>
<tr>
<td>03</td>
<td>CP of legal person senior managing official</td>
<td>10</td>
<td>CP of legal arrangement Other trustee equivalent</td>
</tr>
<tr>
<td>04</td>
<td>CP of legal arrangement-trust-settlor</td>
<td>11</td>
<td>CP of legal arrangement-Other-protector equivalent</td>
</tr>
<tr>
<td>05</td>
<td>CP of legal arrangement-trust-trustee</td>
<td>12</td>
<td>CP of legal arrangement Other-beneficiary equivalent</td>
</tr>
<tr>
<td>06</td>
<td>CP of legal arrangement-trust-protector</td>
<td>13</td>
<td>CP of legal arrangement-Other-other equivalent</td>
</tr>
<tr>
<td>07</td>
<td>CP of legal arrangement-trust-beneficiary</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

(v) Specified U.S. person – A U.S. person other than the following:
1. a corporation the stock of which is regularly traded on one or more established securities markets;
2. any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described in clause (i);
3. the United States or any wholly owned agency or instrumentality thereof;
4. any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing;
5. any organization exempt from taxation under section 501(a) of the U.S. Internal Revenue Code or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code;
6. any bank as defined in section 897(a) of the U.S. Internal Revenue Code;
7. any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code;
8. any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64);
9. any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code;
10. any trust that is exempt from tax under section 664(a) of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code;
11. any dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State;
12. a broker as defined in section 6045(c) of the U.S. Internal Revenue Code;
13. any tax-exempt trust under a plan that is described in section 403(b) or section 457(g) of the U.S. Internal Revenue Code.

(vi) Owner documented FI
An FI meets the following requirements:
(a) The FI is an FI solely because it is an investment entity;
(b) The FI is not owned by or related to any FI that is a depository institution, custodial institution, or specified insurance company;
(c) The FI does not maintain a financial account for any non-participating FI;
(d) The FI 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
(e) If 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 (a) (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 FI that holds its interest through a participating FI, a deemed compliant FI (other than an owner-documented FI), an entity that is a U.S. person, an exempt beneficial owner, or an excepted NFE.

(vii) Direct reporting NFE
A direct reporting NFE means a NFE that elects to report information about its direct or indirect substantial U.S. owners to the IRS.
### Unitholder Details
(Names should be in the same sequence as appearing in your Demat Account. In case of discrepancies, the Application is liable to get rejected.)

First/Sole Applicant:  
- Mr.  
- Ms.  
- M/s.  
- Individual  
- Non Individual

Name of First/Sole Applicant: 

Date of Birth*/Incorporation:  

Nationality: 

PAN/PEKRN#:  

Name of Guardian (in case of First/Sole Applicant is a Minor)/Name of Contact Person (in case of Non-Individual unit holders only):

Name: 

PAN/PEKRN#:  

Contact No. +91:  

* Mandatory for First holder/Minor # Please attach proof. Refer Instruction No. IV for PAN/PEKRN and XI for KYC (KRA).

### Investment Details
(Scheme/Plan/Option (Refer instruction VI, VII & X))

- **Scheme**: Samco Flexi Cap Fund  
- **Plan**: Regular  
- **Direct**:  
- **Option**: Growth

Total Amount to be blocked (in Figures): ₹  

Amount (in Words): 

### SCSB Account Details
(please refer websites of NSE, BSE and SEBI for list of SCSBs)

- Account No.:  
- Account Type: SB  
- Current  
- NRO  
- NRE  
- FCNR

Bank Name: 

Bank Address: 

City: 

State: 

Pin:  

MICR:  

9 digit code appears on your Cheque next to your Cheque No.  

RTGS IFSC Code:  

For Rupees Two lakhs and above  

NEFT IFSC Code:  

11 character code appearing on your Cheque leaf

### Demat Account Details

- Please:  
  - NSDL  
  - CDSL

- DP ID:  
- Beneficiary A/c No./Client ID:  

- DP Name:  

### ACKNOWLEDGEMENT SLIP
(To be filled by the investor)

- Received from: Mr. / Ms. / M/s  
- Tel No.:  
- Scheme: Samco Flexi Cap Fund  
- Dated: D D M M Y Y Y Y  
- Amount to be blocked (₹):  
- in words  
- SCSSB (Bank):  
- (Branch):  
- Bank A/c No.:  
- ASBA Form Dated: D D M M Y Y Y Y  
- Amount (₹):  
- in words  
- Collection Center’s Stamp & Receipt Date and Time:

---

**Sponsor**: Samco Securities Limited  
**Trustee Company**: Samco Trustee Private Limited  
**Investment Manager**: Samco Asset Management Private Limited  

**Samco Mutual Fund**  
1003 – A, Naman Midtown, Senapati Bapat Marg, Prabhadevi (W), Mumbai - 400 013

**APPLICATION SUPPORTED BY BLOCKED AMOUNT (ASBA) FORM**

Please read ASBA instructions before filling the Form.
5. Gross Annual Income (Please tick ✓)

<table>
<thead>
<tr>
<th>First Applicant</th>
<th>Net worth (Mandatory for Non-Individuals)</th>
<th>Second Applicant</th>
<th>Net worth (Mandatory for Non-Individuals)</th>
<th>Third Applicant</th>
<th>Net worth (Mandatory for Non-Individuals)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Below 1 Lac</td>
<td>□</td>
<td>Below 1 Lac</td>
<td>□</td>
<td>Below 1 Lac</td>
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</tr>
<tr>
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<td>□</td>
<td>&gt; 25 Lacs - 1 Crore</td>
<td>□</td>
<td>&gt; 25 Lacs - 1 Crore</td>
<td>□</td>
</tr>
<tr>
<td>&gt; 1 Crore</td>
<td>□</td>
<td>&gt; 1 Crore</td>
<td>□</td>
<td>&gt; 1 Crore</td>
<td>□</td>
</tr>
</tbody>
</table>

6. FATCA/CRS Details - Non Individual Investors should mandatory fill separate FATCA/CRS details form

<table>
<thead>
<tr>
<th>Place &amp; Country of Birth</th>
<th>Sole / First Applicant / Guardian</th>
<th>2nd Applicant</th>
<th>3rd Applicant</th>
<th>POA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tax Payer Ref ID No</td>
<td>Identification Type (TIN or other, please specify)</td>
<td>Tax Payer Ref ID No</td>
<td>Identification Type (TIN or other, please specify)</td>
<td>Tax Payer Ref ID No</td>
</tr>
</tbody>
</table>

7. Undertaking by ASBA Unit Holder / Account holder

1) I/We hereby undertake that I/We am/are an ASBA unit holder(s) as per the applicable provisions of the SEBI (Issue of Capital and Disclosure Requirements) Regulations, 2009. 2) In accordance with ASBA process provided in the SEBI (Issue of Capital and Disclosure Requirements) Regulations, 2009, I/We authorize (a) the Self Certified Syndicate Bank (SCSB) to do all acts as are necessary to make an application for purchase of units in the NFO blocking the amount to the extent mentioned above in the "SCSB details" or unblocking of funds in the bank account maintained with the SCSB specified in the ASBA Form, transfer of funds to the Issuer’s account designated for this purpose on receipt of instruction from the Registrar after finalisation of the basis of allotment enabling me/us to receive Units on such transfer of funds, etc. (b) Registrar to Samco Mutual Fund to issue instructions to the SCSB to remove the block on the funds in the bank account specified in the ASBA Form, upon finalisation of the basis of allotment and to transfer the requisite money to the Issuer’s account designated for this purpose. 3) In case the amount available in the bank account specified in the ASBA Form is insufficient for blocking the amount equivalent to the application money, the SCSB shall reject the application. 4) If the DP ID, Client ID or PAN furnished by me/us in the ASBA Form is incorrect or incomplete, the ASBA Application shall be rejected and the AMC, P&TA and SCSB shall not be liable for losses, if any. 5) I/We hereby authorise the SCSB to make relevant revisions as may be required to be done during the NFO, in the event of price revision. Having read and understood the contents of the SID and SAJ, I/We hereby apply under Direct/AMFI Certified empanelled distributors to the Trustees of Samco Mutual Fund for units of the Scheme/Option as indicated above and agree to abide by the terms, conditions, rules and regulations of the Scheme. I/We have understood the details of the Scheme and I/We have not received nor been induced by any rebate or gifts, directly or indirectly, in making this investment. I/We hereby authorise Samco Mutual Fund, its Investment Manager and its Agents to disclose details of my/our investment to my/our bank(s)/Samco Mutual Fund’s Bank(s) and/or Distributor/Broker/Investment Advisor and to verify my/our bank details provided by me/us. I/We hereby declare that the particulars given above are correct and express my/our willingness to make payments referred above through participation in ECS/Direct Debit Facility. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information, I/We would not hold Samco Asset Management Private Ltd. (Investment Manager to Samco Mutual Fund), their appointed service providers or representatives responsible. I/ We will also inform Samco Asset Management Private Ltd., about any changes in my/our bank account. I/We have understood that the present scheme does not offer any guarantee or assured return and that the scheme is subject to credit risk or default risk including possible loss of principal, any loses in case of a default will be borne by me/us. *I/We confirm that I am/We are Non-Residents of Indian Nationality/Origin and that the funds are remitted from abroad through approved banking channels or from my/our NRE/NRO/FCNR Account. I/We confirm that the details provided by me/us are true and correct. I/We hereby declare that the amount being invested by me/us in the Scheme of Samco Mutual Fund is derived through legitimate sources and is not held or designed for the purpose of contravention of any Act, Rules, Regulations or any statute or legislation or any other applicable laws or any Notifications, Directions issued by any governmental or statutory authority from time to time. *Applicable to NRI I/We confirm that the ARN holder has disclosed to me/us all the commissions (in the form of trailing commission or any other mode), payable to him for the different competing schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us. I/We acknowledge that the AMC has not considered my/our tax position in particular and that I/ We should seek tax advice on the specific tax implications arising out of my/our participation in the Scheme. I/We shall notify the AMC, in which event the AMC reserves the right to redeem my/our investments in the Scheme(s).
4. ASBA Facility in Brief: Unit holder shall submit his/her Application through an ASBA Application Form, either in physical or electronic mode, to the SCSB with whom the bank account of the ASBA unit holder or bank account utilised by the ASBA unit holder ("ASBA Account") is maintained. The SCSB shall block an amount equal to the NFO application Amount in the bank account specified in the ASBA Application Form, either in physical or electronic mode, on the basis of an authorisation to this effect given by the account holder at the time of submitting the Application. The Application Amount shall remain blocked in the aforesaid ASBA Account until the Allotment in the New Fund Offer and consequent transfer of the Application Amount against the allocated Units to the issuer's account designated for this purpose, or until withdrawal/failure of the Offer or until withdrawal/rejection of the ASBA Application, as the case may be. The ASBA data shall thereafter be uploaded by the SCSB in the electronic IPO system of the Stock Exchanges. Once the Allotment is finalised, the R&T A shall send an appropriate request to the Controlling Branch of the SCSB for unblocking the relevant bank accounts and for transferring the amount allocable to the successful ASBA Applicants to the AMC account designated for this purpose. In case of withdrawal/Rejection of the Offer, the R&T A shall notify the SCSBs to unblock the blocked amount of the ASBA Applicants within one day from the day of receipt of such notification.

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

6. Other Information for ASBA Unit holders:

1. On the closure date of the NFO, the ASBA form should be submitted to the SCSBs before the 3.00 p.m. or such other time as may be decided by respective SCSBs.
2. The Applicant intending to invest in the Scheme through ASBA Process will be required to have a beneficiary account with a Depository Participant (DP) of NSDL/CDSL, and will be required to mention in the application form (DP ID) No. and Beneficiary Account No. with the DP at the time of purchasing Units during the NFO.
3. Signatures as available with depository will be taken for all purpose after the allotment of units in case of demat holding.
4. All static details in our records would be taken from the demat account (DP ID) provided by you.
5. Bank account details provided in the ASBA Application form will be used for refunding reject applications where DP ID is not matching
6. Bank Mandate for redemptions/Income Distribution cum Capital Withdrawal will be as per your DP ID incase of demat holding.
7. SCSB shall give ASBA unit holders an acknowledgement for the receipt of ASBAAs.
8. SCSB shall not upload any ASBA in the electronic system of the Stock Exchange(s) unless (i) it has received the ASBA in a physical or electronic form; and (ii) it has blocked the application money in the bank account specified in the ASBA or has systems to ensure that Electronic ASBAAs are accepted in the system only after blocking of application money in the relevant bank account opened with it.
9. SCSB shall ensure that complaints of ASBA unit holders arising out of errors or delay in capturing of data, blocking or unblocking of bank accounts, etc. are satisfactorily redressed.
10. SCSB shall be liable for all its omissions and commissions in discharging responsibilities in the ASBA process.
11. R&T A shall act as a nodal agency for redressing complaints of ASBA and non-ASBA unit holders, including providing guidance to ASBA unit holders regarding approaching the SCSB concerned.
12. ASBA facility is currently available only to those unit holders who wish to hold the units in dematerialized form.