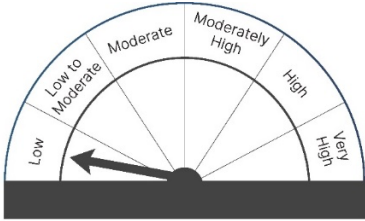
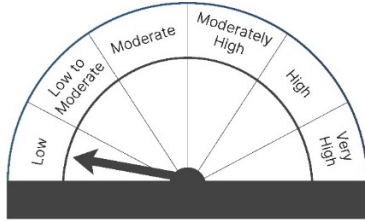


## KEY INFORMATION MEMORANDUM

# Samco Arbitrage Fund

(An open ended scheme investing in arbitrage opportunities)

This product is suitable for investors who are seeking*:	Scheme Risk-o-meter	Benchmark Risk-o-meter (NIFTY 50 Arbitrage TRI)
<ul style="list-style-type: none"> <li>To generate low volatility returns over short to medium term</li> <li>Predominantly investing in arbitrage opportunities in the cash and derivative segments of the equity markets</li> </ul> <p><i>*Investors should consult their financial advisers if in doubt about whether the product is suitable for them.</i></p>	 <p>Investors understand that their principal will be at low risk</p>	 <p>Investors understand that their principal will be at low risk</p>

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

**Offer of Units of Rs. 10 each for cash during the New Fund Offer and continuous offer for Units at NAV based prices**

New Fund Offer Opens	New Fund Offer Closes	Scheme re-opens for continuous sale & repurchase not later than
November 11, 2024	November 20, 2024	December 03, 2024

**Name of Sponsor:**

Samco Securities Limited

**Name of Mutual Fund:** Samco Mutual Fund

**Name of Asset Management Company:** Samco Asset Management Private Limited

**Name of Trustee Company:** Samco Trustee Private Limited

**Address:**

1004 - A, 10th Floor, Naman Midtown - A Wing, Senapati Bapat Marg, Prabhadevi 400 013

**Addresses, Website of the Entities:**

**Address:** 1003 - A, Naman Midtown, Senapati Bapat Marg, Prabhadevi West, Mumbai - 400 013

**Website:** [www.samcomf.com](http://www.samcomf.com), **Email:** [mfasst@samcomf.com](mailto:mfasst@samcomf.com)

**Toll Free No.:** 18001034757, **Fax No.:** 022 41708989

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 and Statement of Additional Information available free of cost at any of the Investor Service Centres or distributors or from the website [www.samcomf.com](http://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.

This Key Information Memorandum is dated October 29, 2024.

<b>Name of the Scheme</b>	Samco Arbitrage Fund																													
<b>Category of the Scheme</b>	Arbitrage Fund																													
<b>Scheme type</b>	An open ended scheme investing in arbitrage opportunities																													
<b>Scheme Code</b>	SAMC/O/H/ARB/24/07/0008																													
<b>Investment Objective</b>	The investment objective of the Scheme is to generate capital appreciation and income by predominantly investing in arbitrage opportunities in the cash and the derivative segments of the equity markets and the arbitrage opportunities available within the derivative segment and by investing the balance in debt and money market instruments. There is no assurance that the investment objective of the scheme will be achieved.																													
<b>Asset allocation Pattern</b>	<p>Under normal circumstances, the asset allocation pattern will be as follows:</p> <table border="1" data-bbox="386 688 1401 934"> <thead> <tr> <th rowspan="2">Instruments</th> <th colspan="2">Indicative allocations (% of net assets)</th> </tr> <tr> <th>Minimum</th> <th>Maximum</th> </tr> </thead> <tbody> <tr> <td>Equities &amp; equity related instruments (Hedged exposure)</td> <td>65%</td> <td>100%</td> </tr> <tr> <td>Debt and Money Market Instruments</td> <td>0%</td> <td>35%</td> </tr> </tbody> </table> <p>The Scheme may also take exposure to</p> <ul style="list-style-type: none"> <li>Investment in Equity Derivatives upto 100% for the purpose of hedging and portfolio balancing.</li> <li>A maximum of 20% of net assets may be deployed in securities lending and the maximum single party exposure may be restricted to 5% of net assets outstanding at any point of time.</li> <li>Securitized debt up to 20% of the net assets of the scheme.</li> </ul> <p>The Scheme may invest in other scheme(s) under the same AMC or any other mutual fund without charging any fees, provided that aggregate inter-scheme investment made by all Schemes under the same AMC or in Schemes under the management of any other asset management shall not exceed 5% of the net asset value of the Mutual Fund. Further, the Scheme shall not invest in any fund of funds scheme.</p> <p><b>Indicative Table</b> (Actual instrument/percentages may vary subject to applicable SEBI circulars)</p> <table border="1" data-bbox="373 1535 1469 1860"> <thead> <tr> <th>S. no</th> <th>Type of Instrument</th> <th>Percentage of exposure (% of total assets)</th> <th>Circular references</th> </tr> </thead> <tbody> <tr> <td>1.</td> <td>Equity Derivatives for hedging purposes</td> <td>Upto 100%</td> <td>Para 12.25 of SEBI Master Circular on Mutual Funds dated June 27, 2024</td> </tr> <tr> <td>2.</td> <td>Securities Lending and borrowing</td> <td>Upto 20%</td> <td>Para 12.11 of SEBI Master Circular on Mutual Funds dated June 27, 2024</td> </tr> <tr> <td>3.</td> <td>Securitized Debt</td> <td>Upto 20%</td> <td>Para 12.15 of SEBI Master Circular on Mutual Funds dated June 27, 2024</td> </tr> </tbody> </table>			Instruments	Indicative allocations (% of net assets)		Minimum	Maximum	Equities & equity related instruments (Hedged exposure)	65%	100%	Debt and Money Market Instruments	0%	35%	S. no	Type of Instrument	Percentage of exposure (% of total assets)	Circular references	1.	Equity Derivatives for hedging purposes	Upto 100%	Para 12.25 of SEBI Master Circular on Mutual Funds dated June 27, 2024	2.	Securities Lending and borrowing	Upto 20%	Para 12.11 of SEBI Master Circular on Mutual Funds dated June 27, 2024	3.	Securitized Debt	Upto 20%	Para 12.15 of SEBI Master Circular on Mutual Funds dated June 27, 2024
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4.	Units of mutual Fund schemes	Upto 35%	Clause 4 of the Seventh Schedule of SEBI (Mutual Funds) Regulations, 1996
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The scheme will not invest in following securities:

S.no	Type of Instrument
1.	Equity Derivatives for non- hedging purposes
2.	Overseas securities/ ADR/ GDR
3.	Units issued by REITs and InvITs
4.	Short Selling in debt instruments
5.	Debt instruments with Credit enhancement/ structured obligations
6.	Debt instruments with special features (AT1 and AT2 Bonds)
7.	Repo transactions in Corporate debt securities
8.	Credit Default Swap transactions
9.	Debt Derivatives
10.	Commodity derivatives

The cumulative gross exposure through equity, debt, derivative positions, other permitted securities/assets and such other securities/ assets as may be permitted by SEBI from time to time shall not exceed 100% of the net assets of the Scheme in accordance with SEBI Master circular no. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2024/90 dated June 27, 2024.

However, cash or cash equivalents with residual maturity of less than 91 days may be treated as not creating any exposure in line with clause 12.25 of SEBI Master circular no. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2024/90 dated June 27, 2024. Further, SEBI vide letter dated November 3, 2021, has clarified that Cash Equivalent shall consist of Government Securities, T-Bills and Repo on Government Securities.

Pursuant to SEBI Master Circular for Mutual Funds dated June 27, 2024, 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.

Pending deployment of funds of the Scheme, in securities in terms of the investment objective, and for margin purposes, the AMC may park the funds of the Scheme in short term deposits of scheduled commercial banks, subject to the clause 12.16 of the SEBI Master Circular for Mutual Funds dated June 27, 2024, as amended from time to time.

**Rebalancing due to Short Term Defensive Consideration:**

Due to market conditions, the AMC may invest beyond the range set out in the asset allocation. Such deviations shall normally be for a short term and defensive considerations only in terms of SEBI Master circular no. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2024/90 dated June 27, 2024. In the event of deviations, the fund manager will carry out rebalancing within 30 calendar days.

**Timelines for Rebalancing of Portfolios in case of passive breach:**

	<p>In the event of deviations from asset allocation due to passive breaches, the fund manager will carry out rebalancing within 30 business days. Where the portfolio is not rebalanced within 30 business 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, if so desires, can extend the timelines up to sixty (60) business days from the date of completion of mandated rebalancing period. In case the portfolio of scheme is not rebalanced within the extended timelines, AMCs shall not be permitted to launch any new scheme till the time the portfolio is rebalanced. Further, no exit load shall be levied to the investors who exiting the scheme.</p> <p>Additionally, the AMC shall report the deviation to the Trustees at each stage. In case the AUM of deviated portfolio is more than 10% of the AUM of main portfolio of scheme, the AMC shall immediately disclose the same to the investors through SMS and email / letter including details of portfolio not rebalanced. Subsequently, the AMC shall also immediately communicate to investors through SMS and email / letter when the portfolio is rebalanced. Additionally, the AMC shall disclose the deviation from the mandated asset allocation to investors along with periodic portfolio disclosures as specified by SEBI from the date of lapse of mandated plus extended rebalancing timelines.</p>
<p><b>Investment Strategy</b></p>	<p>The scheme will endeavour to invest in arbitrage opportunities between spot and futures prices of exchange traded equities and the arbitrage opportunities available within the derivative segment as per the investment objective and the asset allocation pattern of the Scheme. If suitable arbitrage opportunities are not available in the opinion of the Fund Manager, the scheme may invest in debt and money market securities.</p> <p>The Fund Manager will evaluate the difference between the price of a stock in the futures market and in the spot market. If the price of a stock in the futures market is higher than in the spot market, after adjusting for costs and taxes the scheme shall buy the stock in the spot market and sell the same stock in equal quantity in the futures market, simultaneously. The Scheme will endeavor to build similar market neutral positions that offer an arbitrage potential for e.g. buying the basket of index constituents in the cash or futures segment and selling the index futures, etc. The Scheme would also look to avail of opportunities between one futures contract and another.</p> <p>The fund manager shall use derivatives within the permissible limits actively in-addition to hedging and rebalancing the portfolio subject to the Regulations and the investment objectives and the terms of the scheme set out elsewhere in this Scheme Information Document.</p> <p>Derivative products are leveraged instruments and can provide disproportionate gains as well as disproportionate losses to the investor. Execution of such strategies depends upon the ability of the fund manager to identify such opportunities. Identification and execution of the strategies to be pursued by the fund manager involve uncertainty and decision of fund manager may not always be profitable. No assurance can be given that the fund manager will be able to identify or execute such strategies.</p> <p>Derivative investments carry certain risks and issues arising out of such dealings. The risks associated with the use of derivatives -either for hedging or for portfolio balancing -are different from, and possibly greater than, the risks associated with investing directly securities and other traditional investments.</p>

The Scheme may deploy one or more of the below mentioned derivative Strategies to the extent they are in line with the investment objective of the Scheme.

**1) Cash Futures Arbitrage:**

The Scheme would look for market opportunities between the spot and the futures market. The cash futures arbitrage strategy can be employed when the price of the futures exceeds the price of the underlying stock. The Scheme will first buy the stocks in cash market and then sell in the futures market to lock the spread known as arbitrage return.

Buying the stock in cash market and selling the futures results into a hedge where the Scheme has locked in a spread and is not affected by the price movement of cash market and futures market. The arbitrage position can be continued till expiry of the future contracts. The future contracts are settled based on the last half an hour's weighted average trade of the cash market. Thus, there is a convergence between the cash market and the futures market on expiry. This convergence helps the Scheme to generate the arbitrage return locked in earlier. However, the position could even be closed earlier in case the price differential is realized before expiry or better opportunities are available in other stocks. The strategy is attractive if this price differential (post all costs) is higher than the investor's cost-of-capital.

**2) Index Arbitrage:**

The Nifty 50 derives its value from fifty constituent stocks; the constituent stocks (in their respective weights) can be used to create a synthetic index matching the Nifty Index. Also, theoretically, the fair value of a future is equal to the spot price plus the cost of carry.

Theoretically, therefore, the pricing of Nifty Index futures should be equal to the pricing of the synthetic index created by futures on the underlying stocks. Due to market imperfections, the index futures may not exactly correspond to the synthetic index futures. The Nifty Index futures normally trades at a discount to the synthetic Index due to large volumes of stock hedging being done using the Nifty Index futures giving rise to arbitrage opportunities.

One instance in which an index arbitrage opportunity exists is when Index future is trading at a discount to the index (spot) and the futures of the constituent stocks are trading at a cumulative premium. The fund manager shall endeavour to capture such arbitrage opportunities by taking long positions in the Nifty Index futures and short positions in the synthetic index (constituent stock futures). Based on the opportunity, the reverse position can also be initiated.

**3) Portfolio Protection / Hedging:**

The Scheme may use exchange-traded derivatives to hedge the equity portfolio.

**4) Calendar Spread:**

Under this strategy, the Scheme attempts to extract and profit from the spread (the difference between buying and selling price) created between two derivative contracts (eg. Futures) of the same underlying instrument but with different expiries.

**5) Covered Call Strategy**

The covered call strategy is a strategy where a fund manager writes call options against an equivalent long position in an underlying stock thereby giving up a part of the upside from the long position. The strategy allows the fund manager to earn premium income from the option writing in addition being able to capture the remaining part of the upside.

#### **6) Corporate Action / Event Driven Strategies:**

**Dividend Arbitrage:** Around dividend declaration time, the stock futures / options market can provide a profitable opportunity. Generally, the stock price declines by the dividend amount when the stock goes ex-dividend.

**Buy-Back/ Open offers Arbitrage:** Companies that are targets for buy-backs/ open offers, provide opportunities depending on the difference between the traded price and the buy-back open offer price. The scheme will take a long position in a stock for which the buy-back/ open offer price is expected to be higher than the traded price. Depending on the probability of the open offer and acceptance of shares, the scheme may take a certain short position in the future of the same stock. Since the position is related to a stock-specific event, it is expected to be uncorrelated with the overall direction of the equity markets.

**Merger/ Risk Arbitrage:** When the Company announces any merger, amalgamation, hive off, demerger, etc., there could be opportunities due to price differential in the cash and the derivative market. In case the merger is between 2 listed companies, the arbitrage can be based on the differential between the announced swap ratio and the actual traded prices for the 2 stocks.

**Convertible Securities Arbitrage (when available):** This strategy attempts to extract value from options embedded in convertible securities. Typically, the strategy involves purchasing a convertible security and then hedging the underlying equity security.

**Investment in IPOs/FPO/QIBs:** This strategy attempts to make investments in companies through Initial Public offers (IPOs) or secondary offers through Follow-on Public Offers (FPOs) or Qualified Institutional Buyers route (QIBs).

These are just a few examples of arbitrage opportunities arising out of corporate actions. This is not an exhaustive list as every corporate action could offer a different and unique opportunity.

For detailed derivative strategies, please refer to SAI.

#### **Portfolio Turnover Policy**

The Scheme is an open-ended scheme. It is expected that there would be a number of subscriptions and redemptions on a daily basis. Consequently, it is difficult to estimate with any reasonable measure of accuracy, the likely turnover in the portfolio. There may be an increase in transaction cost such as brokerage paid, if trading is done frequently. However, the cost would be negligible as compared to the total expenses of the Scheme. Frequent trading may increase the profits which will offset the increase in costs. The fund manager will endeavor to optimize portfolio turnover to maximize gains and minimize risks keeping in mind the cost associated with it. However, it is difficult to estimate with reasonable accuracy, the likely

	turnover in the portfolio of the Scheme. The Scheme has no specific target relating to portfolio turnover.
<b>Risk profile of the scheme</b>	<p><b>Mutual Fund Units involve investment risks including the possible loss of principal. Please read the SID carefully for details on risk factors before investment.</b></p> <p><b>Scheme specific Risk Factors are summarized below:</b></p> <ul style="list-style-type: none"> <li>• The primary objective of the Fund Manager is to identify investment opportunities and to exploit price discrepancies in various markets. Identification and exploitation of the strategies to be pursued by the Fund Manager involve uncertainty. No assurance can be given that the Fund Manager will be able to locate investment opportunities or to correctly exploit price discrepancies in the capital markets. Reduction in mis-pricing opportunities between the cash market and Future and Options market may lead to lower level of activity affecting the returns. As the Scheme proposes to execute arbitrage transactions in various markets simultaneously, this may result in high portfolio turnover and, consequently, high transaction cost.</li> <li>• There may be instances where the price spread between cash and derivative market is insufficient to meet the cost of carry. In such situations, the Fund Manager due to lack of opportunities in the derivative market may not be able to outperform liquid/money market funds. In addition to this, there can be increase in number of transactions as the fund manager has to take simultaneous calls in cash and derivative market, which may lead to high portfolio turnover and consequently will lead to high transaction costs.</li> <li>• In case of a large redemption, the scheme may need to reverse the spot-futures transaction before the date of futures' settlement. This eventuality may lead to the basis risk.</li> <li>• While reversing the spot-futures transaction on the Futures &amp; Options settlement day on the Stock Exchange, there could be a risk of volume-weighted-average-price of the market being different from the price at which the actual reversal is processed. This may result in basis risk.</li> <li>• There can be no assurance or guarantee that the arbitrage opportunities may exist at all times in the capital market. The lack of arbitrage opportunities shall not provide an opportunity to the Fund Manager to exploit price discrepancies in the capital markets.</li> </ul> <p><b>Risks associated with investments in Equity and Equity related instruments:</b></p> <p>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 may be exposed to the risk arising from over exposure to few securities/issuers/sectors.</p> <p><b>Risks associated with Derivatives</b></p> <p>The Scheme may invest in derivative products in accordance with and to the extent permitted under the Regulations. The use of derivatives requires an understanding of the underlying instruments and the derivatives themselves. The risk of investments in derivatives includes mispricing or improper valuation and the inability of derivatives to correlate perfectly with underlying assets, rates and indices.</p> <p><b>Risk Associated with covered call strategy</b></p>

The Scheme may write covered call option only in case it has adequate number of underlying equity shares as per regulatory requirement. This would lead to setting aside a portion of investment in underlying equity shares. If covered call options are sold to the maximum extent allowed by regulatory authority, the Scheme may not be able to sell the underlying equity shares immediately if the view changes to sell and exit the stock. The covered call options need to be unwound before the stock positions can be liquidated. This may lead to a loss of opportunity, or can cause exit issues if the strike price at which the call option contracts have been written become illiquid. Hence, the Scheme may not be able to sell the underlying equity shares, which can lead to temporary illiquidity of the underlying equity shares and result in loss of opportunity.

**Risks associated with investments in Fixed Income Securities:**

The NAV of the Scheme, to the extent invested in fixed income securities, will be affected by changes in the interest rates due to various factors such as government borrowing, inflation, economic performance etc. The NAV of the Scheme is expected to increase from a fall in interest rates while it would be adversely affected by an increase in the level of interest rates. Investments in Fixed Income securities may inter-alia carry Re-investment Risk, Spread Risk, Credit/Default Risk, Liquidity Risk, Prepayment Risk, etc.

**Risks associated with Short Selling & Securities Lending**

Securities Lending is a lending of securities through an approved intermediary to a borrower under an agreement for a specified period with the condition that the borrower will return equivalent securities of the same type or class at the end of the specified period along with the corporate benefits accruing on the securities borrowed. There are risks inherent in securities lending, including the risk of failure of the other party, in this case the approved intermediary to comply with the terms of the agreement. Such failure can result in a possible loss of rights to the collateral, the inability of the approved intermediary to return the securities deposited by the lender and the possible loss of corporate benefits accruing thereon.

Short-selling is the sale of shares or securities that the seller does not own at the time of trading. Instead, he borrows it from someone who already owns it. Later, the short seller buys back the stock/security he shorted and returns the stock/security to the lender to close out the loan. The inherent risks are Counterparty risk and liquidity risk of the stock/security being borrowed. The security being short sold might be illiquid or become illiquid and covering of the security might occur at a much higher price level than anticipated, leading to losses.

**Risks associated with investing in Securities Segment and Tri-party 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") and / or National Stock Exchange ("NSE"), allotment and redemption of Units on any Business Day will depend upon the order processing / settlement by NSE and / or BSE and their respective clearing corporations on which the Fund has no control.



	<p><b>Risks associated with Restrictions on Redemption:</b></p> <p>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 restrictions may affect the liquidity of the Scheme and there may be a delay in investors receiving part of their redemption proceeds.</p> <p><b>Risks associated with Segregated portfolio:</b></p> <p>The AMC / Trustee shall decide on creation of segregated portfolio of the Scheme in case of a credit event at issuer level i.e. downgrade in credit rating by a Credit Rating Agencies (CRA) or actual default of either the interest or principal amount, in case of its unrated debt or money market instruments. Accordingly, Investor holding units of segregated portfolio may not able to liquidate their holding till the time recovery of money from the issuer. The Security comprises of segregated portfolio may not realise any value.</p> <p>Further, listing of units of segregated portfolio in recognised stock exchange does not necessarily guarantee their liquidity. There may not be active trading of units in the stock market. Further trading price of units on the stock market may be significantly lower than the prevailing NAV.</p> <p>For details on risk factors and risk mitigation measures, please refer SID.</p>
<p><b>Plans and Options</b> Plans/Options and sub options under the Scheme</p>	<p>There will be two plans under the Scheme namely, Regular Plan and Direct Plan.</p> <ul style="list-style-type: none"> <li>• Samco Arbitrage Fund – Regular Plan</li> <li>• Samco Arbitrage Fund – Direct Plan</li> </ul> <p><b>Regular Plan:</b> This Plan is for investors who wish to route their investment through any distributor.</p> <p><b>Direct Plan:</b> This Plan is only for investors who purchase /subscribe Units in a Scheme directly with the Mutual Fund and is not available for investors who route their investments through a Distributor.</p> <p>All the plans will have common portfolio.</p> <p><b>Option under each Plan(s)</b></p> <p>Growth Option</p> <p>For detailed disclosure on default plans and options, kindly refer SAI.</p>
<p><b>Applicable NAV (after the scheme opens for subscriptions and redemptions)</b></p>	<p><b>Subscriptions/Purchases including Switch - ins:</b></p> <p>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:</p> <ol style="list-style-type: none"> <li>1. In respect of valid applications received upto 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</li> </ol>

	<p>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</p> <p>2. 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</p> <p>3. Irrespective of the time of the receipt of valid application 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:</p> <p>i. Application is received before the applicable cut-off time</p> <p>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.</p> <p>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.</p> <p>For allotment of units in respect of switch-in to the scheme under Pt. (3) above from other schemes, it shall be ensured that:</p> <p>i. Application for switch-in is received before the applicable cut-off time.</p> <p>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.</p> <p>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.</p> <p><b>Redemptions including Switch - outs:</b></p> <p>The following cut-off timings shall be observed by the Mutual Fund in respect of Repurchase of Units:</p> <p>1. where the application received upto 3.00 pm – closing NAV of the day of receipt of application; and</p> <p>2. an application received after 3.00 pm – closing NAV of the next Business Day.</p> <p><b>Note:</b> In case the application is received on a Non-Business Day, it will be considered as if received on the Next Business Day.</p> <p>The above mentioned cut off timing shall also be applicable to transactions through the online trading platform.</p> <p>In case of Transaction through Stock Exchange Infrastructure, the Date of Acceptance will be reckoned as per the date &amp; time; the transaction is entered in stock exchange's infrastructure for which a system generated confirmation slip will be issued to the investor.</p>		
<p><b>Minimum application and redemption amount/number of units</b></p>	<p><b>Purchase</b></p> <p>₹ 5000/- and in multiples of ₹ 1 thereafter</p>	<p><b>Additional Purchase</b></p> <p>₹ 500 and multiples of ₹ 1 thereafter</p>	<p><b>Repurchase</b></p> <p>There will be no minimum redemption criteria</p>
<p>For details of investment/transaction through SIP/STP/SWP facility please refer to the SID.</p>			

<b>Despatch of Redemption Request</b>	As per SEBI Regulations, the Mutual Fund shall initiate Redemption proceeds within 3 Working Days of receiving a valid Redemption request. In case of exceptional situations listed in AMFI Circular No. AMFI/35P/MEM-COR/74/2022-23 dated January 16, 2023 read with clause 14.2 of SEBI Master Circular dated June 27, 2024, redemption payment would be made within the permitted additional timelines. A penal interest of 15% per annum or such other rate as may be prescribed by SEBI from time to time, will be paid in case the Redemption proceeds are not initiated within above timelines from the date of receipt of a valid Redemption request.	
<b>Benchmark index</b>	Nifty 50 Arbitrage TRI	
<b>IDCW policy</b>	N.A.	
<b>Name of fund manager</b>	Mr. Paras Matalia Mr. Dhawal Ghanshyam Dhanani Mr. Umeshkumar Mehta	
<b>Name of the Trustee</b>	Samco Trustee Private Limited	
<b>Performance of the scheme</b>	This is a new scheme and hence does not have any performance track record	
<b>Additional scheme related disclosures</b>	This is a new scheme and hence does not have any additional details.	
<b>Portfolio Disclosure</b>	i. Top 10 Holding of the Scheme - Not Applicable ii. Sector-wise portfolio Holdings of the Scheme - Not Applicable iii. Portfolio Turnover ratio of the Scheme - Not Applicable iv. Monthly portfolio - Not Applicable	
<b>Expenses of the scheme</b>	<b>Type of Load</b>	<b>Load chargeable (as %age of NAV)</b>
	Entry Load	Not Applicable
	Exit Load	<ul style="list-style-type: none"> <li>• 0.25% if the investment is redeemed or switched out on or before 30 days from the date of allotment of units</li> <li>• No Exit Load will be charged if investment is redeemed or switched out after 30 days from the date of allotment of units.</li> </ul>
	<p>The load structure will be equally applicable to all special products offered under the schemes such as SIP, STP, etc. However, no load will be applicable for switches between the plans under the scheme and switches between the options under each plan under the scheme. Further, the AMC shall not charge any load on units allotted on Reinvestment of Income Distribution cum Capital Withdrawal, if any, for existing as well as prospective investors.</p> <p>The entire exit load (net of GST), charged, if any, shall be credited to the scheme. The Investor is requested to check the prevailing Load structure of the Scheme before investing.</p> <p>For any change in Load structure AMC will issue an addendum and display it on the website/Investor Service Centres.</p> <p>The Trustee/AMC reserves the right to change / modify the Load structure from a prospective date.</p> <p><b>Recurring expenses</b></p>	

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

The AMC has estimated that upto 2.25% of the daily net assets of the scheme will be charged to the scheme as expenses. For the actual Annual Scheme Recurring expenses currently being charged, the investor should refer to the website of the Mutual Fund at <https://www.samcomf.com/total-expense-ratio>

S.no	Expenses Head	(% of Daily Net Assets (Estimated p.a.)
i.	Investment Management & Advisory Fee	Upto 2.25%
ii.	Audit fees/fees and expenses of trustees	
iii.	Custodial Fees	
iv.	Registrar & Transfer Agent Fees including cost of providing account statements / redemption cheques/ warrants	
v.	Marketing & Selling Expenses including Agents Commission and statutory advertisement	
vi.	Costs related to investor communications	
vii.	Costs of fund transfer from location to location	
viii.	Cost towards investor education & awareness	
	Goods & Services Tax on expenses other than investment and advisory fees	
ix.	Other Expenses (to be specified as per Reg 52 of SEBI MF Regulations)	
xi.	Brokerage and transaction cost, including Goods & Service Tax, under Regulation 52 (6A)(a)	Upto 0.12% / 0.05%
xii.	Goods and Service Tax on investment and advisory fees	At actual
<b>A.</b>	<b>Maximum total expense ratio (TER) permissible under Regulation 52 (6) (c)</b>	<b>Upto 2.25%</b>
B.	Additional expenses under regulation 52(6A) (c)	Upto 0.05%
C.	Additional expenses for gross new inflows from specified cities	Upto 0.30%

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:

**(I) Recurring expenses including the investment management and advisory fee:**

Assets under management Slab (In ₹ crore)	Total expense ratio limits
On the first ₹ 500 crores of the daily net assets	2.25%
On the next ₹ 250 crores of the daily net assets	2.00%
On the next ₹ 1250 crores of the daily net assets	1.75%
On the next ₹ 3000 crores of the daily net assets	1.60%

On the next ₹ 5000 crores of the daily net assets	1.50%
On the next ₹ 40,000 crores of the daily net assets	Total expense ratio reduction of 0.05% for every increase of ₹ 5,000 crores of daily net assets or part thereof.
On the balance of the assets	1.05%

**(II) In addition to the above, the following costs or expenses may be charged to the Scheme, as per sub regulation 52(6A) namely-**

(a) brokerage and transaction costs which are incurred for the purpose of execution of trade up to 0.12 per cent of trade value in case of cash market transactions and 0.05 per cent of trade value in case of derivatives transactions.

(b) expenses not exceeding 0.30% of daily net assets, if the new inflows from retail investors from such cities as specified by SEBI from time to time are at least - (i) 30% of gross new inflows in the scheme, or; (ii) 15% of the average assets under management (year to date) of the scheme, whichever is higher.

Provided that if inflows from retail investors from such cities are less than the higher of (i) or (ii) above, 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 sales, marketing and distribution expenses incurred for bringing inflows from such cities.

Provided further that amount incurred as expense on account of inflows from retail investors 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.

These expenses are in abeyance with effect from March 1, 2023 till further instructions from SEBI.

(c) additional expenses not exceeding 0.05% of daily net assets of the scheme towards various permissible expenses.

Provided that such additional expenses shall not be charged to the schemes where the exit load is not levied or applicable.

Any expenditure in excess of the limits specified in sub-regulations 52 (6) and 52 (6A)] shall be borne by the asset management company or by the trustee or sponsors.

**(III) The AMC may charge Goods and service tax on investment and advisory fees to the Scheme in addition to the maximum limit of annual recurring expenses as prescribed in Regulation 52. Further, the below mentioned expenses and charges shall be borne by the Scheme within the maximum limit of annual recurring expenses as prescribed in Regulation 52.**

a) Goods and Service tax on expenses other than investment and advisory fees; and,

b) brokerage and transaction costs (including Goods and service tax) incurred for the purpose of execution of trade in excess of 0.12% in case of cash market transactions, and 0.05% in case of derivatives transactions, if any.

**Note:**

- a. These estimates have been made in good faith as per the information available and estimates made by the Investment Manager/ AMC and are subject to change inter-se or in total subject to prevailing Regulations.
- b. 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.
- c. 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.

**Please refer the illustration given below in this regard:**

Particulars	Regular Plan	Direct Plan
Amount Invested at the beginning of the year (in Rs.)	10,000	10,000
Returns before Expenses (in Rs.)	1,500	1,500
Expenses other than Distribution Expenses (in Rs.)	150	150
Distribution Expenses (in Rs.)	50	-
Returns after Expenses at the end of the Year (in Rs.)	1,300	1,350

Any circular/clarification issued by SEBI in regard to expenses chargeable to the Scheme/Plan(s) will automatically become applicable and will be incorporated in the SID/SAI/KIM accordingly.

The mutual fund would update the current expense ratios on its website ([www.samcomf.com](http://www.samcomf.com)) at least three working days prior to the effective date of the change. Investors can refer 'Total Expense Ratio of Mutual Fund Schemes' section on <https://www.samcomf.com/total-expense-ratio> for Total Expense Ratio (TER) details.

#### **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.

<b>Illustration of expenses and impact on the return</b>	
Opening NAV Per Unit for the Day (a)	10.0000
Closing NAV Per Unit for the Day (b)	11.0000
NAV Movement Per Unit (c = a - b)	1.0000
Flat Return for the Day after expenses ( d = (c / a) %)	10.00%
TER % (e)	2.00%
Expenses for the Day (f = (b * e)/365)	0.0006
Expenses for the Day % (g = (f / b) %)	0.0055%
Flat Return prior to expenses for the Day (h = d + g)	10.0055%

**Please Note:**

	<p>The above illustration is purely given to explain the impact of the expense ratio on a scheme's return and should not be construed as an indicative return of the scheme.</p> <p>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.</p>
<b>Tax treatment for unitholders</b>	Investors are advised to refer to the details in the Statement of Additional Information and also 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.
<b>Daily Net Asset Value (NAV) publication</b>	The AMC will calculate and disclose the first NAV of the Scheme within 5 business days from the date of allotment. Subsequently, the AMC will calculate and disclose the NAVs on all business Days. The AMC shall update the NAVs on its website ( <a href="http://www.samcomf.com">www.samcomf.com</a> ) and of the Association of Mutual Funds in India (AMFI) ( <a href="http://www.amfiindia.com">www.amfiindia.com</a> ) before 11.00 p.m. on every Business Day.
<b>For investor grievances Please contact</b>	<p><b>Registrar and Transfer Agent:</b> K-Fin Technologies Limited, Unit - Samco Mutual Fund, Selenium, Tower B, Plot number 31 &amp; 32, Financial District, Gachibowli, Nanakramguda, Serilingampally Mandal, Hyderabad - 500032. TEL: 040 33211000.</p> <p>Name, address, telephone number, fax number, e-mail ID of the Mutual Fund, Mr. Sadath Ali Khan, Samco Asset Management Private Limited 1003 – A, Naman Midtown, Senapati Bapat Marg, Prabhadevi, Mumbai – 400 013</p> <p><b>Phone no.:</b> 63572 22000, <b>Fax No:</b> 022 4170 8989. <b>Toll Free:</b> 1800 1034757 <b>E-mail:</b> <a href="mailto:mfasst@samcomf.com">mfasst@samcomf.com</a></p> <p>If not satisfied with the response of the intermediary you can lodge your grievances with SEBI at <a href="http://scores.gov.in">http://scores.gov.in</a> 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.</p> <p>For any grievances with respect to transactions through BSE StAR and / or NSE MFSS, the investors / Unit Holders should approach either the stock broker or the investor grievance cell of the respective stock exchange.</p>
<b>Unitholder's information</b>	<p><b>Account Statement</b></p> <p>On acceptance of the 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 allotment will be sent to the unit holders registered e-mail address and/or mobile number.</p> <p><b>Consolidated Account Statement</b></p> <p>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.</p> <p>Further, CAS issued for the half-year (September/ March) shall also provide</p>

- 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](http://www.samcomf.com)) and on the website of Association of Mutual Funds in India ([www.amfiindia.com](http://www.amfiindia.com)).

Unitholders whose email addresses are not registered with the Mutual Fund may 'opt-in' 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, in an all-India edition of one national English daily newspaper and in one Hindi newspaper, 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 and Half yearly Disclosures: Portfolio / Financial Results**

The AMC will disclose the portfolio of the Scheme (along with ISIN) as on the last day of the month / half year on the website of the Mutual Fund and AMFI within 10 days from the close of each month/ half year (i.e. 31st March and 30th September) respectively in a user-friendly and downloadable spreadsheet format. Further, AMC shall publish an advertisement in an all-India edition of one national English daily newspaper and one Hindi newspaper, every half year, disclosing the hosting of the half-yearly statement of its schemes' portfolio on the website of the Mutual Fund and AMFI and the modes through which unitholder(s) can submit a request for a physical or electronic copy of the statement of scheme portfolio.

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.

The AMC shall send via email both the monthly and half-yearly statement of scheme portfolio within 10 days from the close of each month / half-year respectively. The unitholders whose e-mail addresses are not registered with the Fund are requested to update / provide their email



	<p>address to the Fund for updating the database. Since the Scheme is a new Scheme, Top 10 Holdings and Sector wise holdings are not available.</p> <p>Additionally, in terms of SEBI Master circular no. SEBI/HO/IMD/IMD-PoD-1/P/CIR/2024/90 dated June 27, 2024, the AMC shall also include the Scheme risk-o-meter, name of benchmark and risk-o-meter of benchmark in the portfolio disclosure.</p> <p>The AMC shall provide a physical copy of the statement of scheme portfolio, without charging any cost, on specific request received from a unit holder.</p> <p><b>For further details, please refer the SID of the Scheme.</b></p>
<b>Stamp Duty</b>	<p>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.</p> <p>Accordingly, pursuant to levy of stamp duty, the number of units allotted on purchases, switch-ins, Systematic Investment Plan (SIP) installments, Systematic Transfer Plan (STP) installments, Reinvestment of Income Distribution cum Capital Withdrawal etc. to the unit holders would be reduced to that extent. The stamp duty will be deducted from the net investment amount i.e. gross investment amount less any other deduction like transaction charge. Units will be created only for the balance amount i.e. Net Investment Amount as reduced by the stamp duty. The stamp duty will be computed at the rate of 0.005% on an inclusive method basis.</p> <p>For instance: If the transaction amount is Rs. 100,100 /- and the transaction charge is Rs. 100, the stamp duty will be calculated as follows: <math>((\text{Transaction Amount} - \text{Transaction Charge})/100.005 \times 0.005)</math></p> <p>= Rs. 5. If the applicable Net Asset Value (NAV) is Rs. 10 per unit, then units allotted will be calculated as follows: <math>(\text{Transaction Amount} - \text{Transaction Charge} - \text{Stamp Duty}) / \text{Applicable NAV} = 9,999.50</math> units.</p>

1. Distributor Information				Application No. <input style="width: 150px;" type="text"/>
Distributor Code	Sub-Broker Code	Internal Sub-Broker Code	EUIN*	RIA CODE <sup>A</sup>
	ARN -	INTERNAL CODE		

\*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 in-appropriateness, 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'.  
<sup>A</sup>I/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.

<b>Signature (s)</b> <span style="float: right;">SOLE / FIRST APPLICANT</span>	SECOND APPLICANT	THIRD APPLICANT
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TRANSACTION CHARGES for 10,000/- and above (✓ any one) :  I am a first time investor across Mutual Funds OR  I am an existing investor in Mutual Funds. In case the subscription amount is 10,000/- or more and your distributor has opted to receive transaction charges, 150/- (for first time mutual fund investor) or 100/- (for investor other than first time mutual fund investor) will be deducted from the subscription amount and paid to the distributor. Units will be issued against the balance amount invested.

Mode of Holding	
(In case of Demat Purchase Mode of Holding should be same as in Demat Account)	<input type="checkbox"/> Single <input type="checkbox"/> Joint <input type="checkbox"/> Anyone or Survivor (Default)

1. Applicant Information (Mandatory) to be filled in block letters	(Refer Instruction No.II)
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Folio No. <input style="width: 100px;" type="text"/> (For Existing unit holders)	Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender
Name of Sole / 1 <sup>st</sup> Applicant <input style="width: 900px;" type="text"/> Mr. / Ms. / M/s.	
PAN <input style="width: 100px;" type="text"/>	CKYC No. <input style="width: 100px;" type="text"/>
Date of Birth <input style="width: 100px;" type="text"/>	
Mailing address <input style="width: 900px;" type="text"/>	
City <input style="width: 250px;" type="text"/>	State <input style="width: 250px;" type="text"/>
Pin code <input style="width: 100px;" type="text"/>	
Mobile No. <input style="width: 100px;" type="text"/>	Email ID <input style="width: 300px;" type="text"/>
The Email ID belongs to (Mandatory Please ✓) <input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependents <input type="checkbox"/> POA <input type="checkbox"/> Custodian <input type="checkbox"/> Guardian The Mobile No. belongs to (Mandatory Please ✓) <input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependents <input type="checkbox"/> POA <input type="checkbox"/> Custodian <input type="checkbox"/> Guardian	
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 <input style="width: 100px;" type="text"/>	Valid upto <input style="width: 100px;" type="text"/>

(Legal Entity Identifier Number is Mandatory for transaction value of INR 50 crore and above for Non-Individual investors. Refer instruction no. XXII)

Second Applicant
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Mr. / Ms. <input style="width: 500px;" type="text"/>	Date of Birth <input style="width: 100px;" type="text"/>
PAN <input style="width: 100px;" type="text"/>	CKYC No. <input style="width: 100px;" type="text"/>
Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender	
Mobile No. <input style="width: 100px;" type="text"/>	Email ID <input style="width: 300px;" type="text"/>
The Email ID belongs to (Mandatory Please ✓) <input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependents <input type="checkbox"/> POA <input type="checkbox"/> Custodian <input type="checkbox"/> Guardian The Mobile No. belongs to (Mandatory Please ✓) <input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependents <input type="checkbox"/> POA <input type="checkbox"/> Custodian <input type="checkbox"/> Guardian	

Third Applicant
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Mr. / Ms. <input style="width: 500px;" type="text"/>	Date of Birth <input style="width: 100px;" type="text"/>
PAN <input style="width: 100px;" type="text"/>	CKYC No. <input style="width: 100px;" type="text"/>
Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender	
Mobile No. <input style="width: 100px;" type="text"/>	Email ID <input style="width: 300px;" type="text"/>
The Email ID belongs to (Mandatory Please ✓) <input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependents <input type="checkbox"/> POA <input type="checkbox"/> Custodian <input type="checkbox"/> Guardian The Mobile No. belongs to (Mandatory Please ✓) <input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependents <input type="checkbox"/> POA <input type="checkbox"/> Custodian <input type="checkbox"/> Guardian	

## ACKNOWLEDGEMENT SLIP

(To be filled by the investor)

Received from: Mr. / Ms. / M/s <input style="width: 400px;" type="text"/> Samco Multi Asset Allocation Fund	Application No. <input style="width: 150px;" type="text"/>
an application for units of Samco <input style="width: 300px;" type="text"/>	Plan: <input type="checkbox"/> Regular <input type="checkbox"/> Direct Option: <input type="checkbox"/> Growth IDCW
Sub Option: <input type="checkbox"/> Payout of IDCW <input type="checkbox"/> Reinvestment of IDCW <input type="checkbox"/> Transfer of IDCW (Specify in Target Scheme)	
Target Scheme of Samco <input style="width: 300px;" type="text"/>	Plan: <input type="checkbox"/> Regular <input type="checkbox"/> Direct Option: <input type="checkbox"/> Growth
vide Cheque No <input style="width: 100px;" type="text"/>	Dated <input style="width: 100px;" type="text"/>
Amount (₹) <input style="width: 100px;" type="text"/>	
Drawn on Bank <input style="width: 250px;" type="text"/>	Branch <input style="width: 250px;" type="text"/>
Please note: All purchases are subject to realization of cheques and as per applicable load structure (please refer Scheme Information Document)	

Collection Center's Stamp & Receipt Date and Time



**For Individuals ( Please tick ✓ )**

	First Applicant:	Second Applicant	Third Applicant
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  Yes  No      Gaming / Gambling / Lottery / Casino  Yes  No      Money Lending / Pawning  Yes  No  
Charger Services

**3. Non-Profit Organization (NPO)**

We are falling under "Non-Profit Organization" [NPO] which has been constituted for religious or charitable purposes referred to in clause (15) of section 2 of the Income-tax Act, 1961 (43 of 1961), and is registered as a trust or a society under the Societies Registration Act, 1860 (21 of 1860) or any similar State legislation or a Company registered under the section 8 of the Companies Act, 2013 (18 of 2013).  Yes  No

If yes, please quote Registration No. of Darpan portal of Niti Aayog

If not, please register immediately and confirm with the above information. Failure to get above confirmation or registration with the portal as mandated, wherever applicable will force MF / AMC to register your entity name in the above portal and may report to the relevant authorities as applicable. We am/are aware that we may be liable for it for any fines or consequences as required under the respective statutory requirements and authorize you to deduct such fines/charges under intimation to me/us or collect such fines/charges in any other manner as might be applicable.

**4. Power of Attorney (POA) If investment is being made by a Constitutional Attorney, please submit notarised copy of POA**

POA NAME

PAN

**5. Nomination Details ( Please tick ✓ )**

- I/We do hereby nominate the undermentioned Nominee(s) to receive the Units allotted to my/our credit in my/our folio in the event of my/our death. I/We also understand that all payment and settlements made to such Nominee(s) and Signature of the Nominee(s) acknowledging receipt thereof, shall be a valid discharge by the AMC/Mutual Fund/Trustees. **OR**
- I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our MF Folio/ and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our MF Folio / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the MF Folio / demat account.

Nominee details	Nominee 1	Nominee 2	Nominee 3
Name*			
Address of Nominee(s)/ Guardian in case of Minor			
Date of Birth* (in case of Minor)			
Relationship*			
Proportion (%)* (% to aggregate to 100%)			
Name of the Guardian* (to be furnished in case the nominee is minor)			
Mobile / Telephone No. of nominee(s)/ Guardian in case of Minor			
Email ID of nominee(s)/ Guardian in case of Minor			
Nominee/ Guardian (in case of Minor) Identification details – [Please tick any one of following and provide details of same]			
<input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity ID			

The information marked with (\*) are mandatory fields and cannot be left blank.

**Signature (s)**

"Should be signed by all unit holders including joint holders, irrespective of mode of holding"

SOLE / FIRST APPLICANT

SECOND APPLICANT

THIRD APPLICANT

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

Scheme  Plan:  Regular  Direct  
 Option:  Growth  IDCW Sub Option:  Payout of IDCW  Reinvestment of IDCW  Transfer of IDCW (Specify in Target Scheme)  
 Target Scheme of Samco  Plan:  Regular  Direct Option:  Growth

## 7. Bank Account Details

Account No  Account Type (Please ✓):  SB  Current  NRO  NRE  FCNR  
 Bank Name  Bank Address   
 City  Pin  IFSC CODE  MICR CODE

## 8. Payment Details

Mode of Payment (Please ✓)  RTGS/NEFT/Fund Transfer  Demand Draft  Cheque  One time Mandate  
 Cheque No/Payment Ref No  Date   
 Gross Amount ₹  Net Amount ₹  DD Charges ₹   
 Bank Details:  Same as above (Please tick (✓) if yes)  Different from above (Please tick (✓) if it is different from above and fill in the details below)  
 Bank/Branch & City   
 Account No  Account Type (Please ✓):  SB  Current  NRO  NRE  FCNR

## 9. FATCA/CRS Details - Non Individual Investors should mandatory to fill separate FATCA/CRS details form

(Refer Instruction No.XVI)

The below information is required for all applicants/guardian

	Place / City of Birth	Country of Birth	Country of Citizenship / Nationality		
First Applicant / Guardian			<input type="checkbox"/> Indian	<input type="checkbox"/> U.S.	<input type="checkbox"/> Others <u>Please Specify</u>
Second Applicant			<input type="checkbox"/> Indian	<input type="checkbox"/> U.S.	<input type="checkbox"/> Others <u>Please Specify</u>
Third Applicant			<input type="checkbox"/> Indian	<input type="checkbox"/> U.S.	<input type="checkbox"/> Others <u>Please Specify</u>

Is your Tax Residency/Country of Birth/Citizenship/Nationality other than India?  Yes  No (please ✓)

If yes, please indicate all countries in which you are resident for tax purpose and the associated Tax ID number below, In case of POA, the POA holder should mandatorilly fill Annexure I for complete details.

	Country of Tax Residency	Tax Identification Number or Functional Equivalent	Identification Type (TIN or other please specify)	Identification Type (TIN or other please specify)
First Applicant / Guardian				Reasons <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C
Second Applicant				Reasons <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C
Third Applicant				Reasons <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C

Reason A - The country where the Account Holder is liable to pay tax does not issue Tax Identification Number to its residents

Reason B - No TIN required (Select this reason only if the authorities of the country of tax residence do not require the TIN to be cancelled)

Reason C - Others please state the reasons thereof

## 10. Declaration and Signature(s)

Having read and understood the contents of the Scheme Information Document (SID) of the scheme applied for 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 such 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/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 (i) (Including amount of Additional Purchase Transaction made in future)

Repatriation  Non Repatriation

Date

Place

Signature (s)

SOLE / FIRST APPLICANT

SECOND APPLICANT

THIRD APPLICANT

## Instructions to investors for filling up the application form

### I. GENERAL INSTRUCTIONS

1. Please read the Key Information Memorandum, Scheme Information Document (SID) and Statement of Additional Information (SAI) containing the terms of offer carefully before investing. 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".
2. All applicants are deemed to have accepted the terms subject to which the offer is being 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 provided in order to avoid unnecessary delays 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.

### II. APPLICANT INFORMATION

1. Name should be given in full without any abbreviations. Preferably write exactly as it appears in your Bank Account or as it appears in the Certificate of incorporation document as the case may be.
2. Date of birth of the Minor, Name of Parent/Legal Guardian and relationship with minor is mandatory for investment on behalf of Minor applicant.
3. Name of the Contact Person, email and Telephone No. should be mentioned in case of investments by Company, Body Corporate, Trust, Society, FII and other non-individual applicants.
4. The signature should be in English or in any of the Indian languages. Thumb Impressions must be attested by a magistrate or a notary public or a special executive magistrate under his/her official seal. Application by minor should be signed by the guardian. In case of H.U.F., the Karta should sign on behalf of the H.U.F.
5. The designated Investor Service Center/ Collection Center will affix time stamp/manual 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 Form. Please refer to the checklist provided at the end of the Application Form 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, invalid in any respect or not accompanied by cheque or fund transfer instructions for the
7. Investors 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 not routed through any distributor/agent/broker. In cases where unit holder uses 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 unit holder.
9. In case of NRI investment, complete postal address should be stated. P.O. Box address alone is not sufficient. NRIs/ FIIs should necessarily state their overseas address failing which application may be rejected. In addition, Indian address should be stated for correspondence.
10. Investment through constituted Attorney should necessarily be signed by the constituted Power of Attorney holder.
11. Please provide email ID & Mobile Number, this will help us send investment / product related communication and resolve any queries more promptly.
12. 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 be "anyone or survivor". 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 each Unit holder by e-mail. Investors are requested to provide their e-mail address for the same and this will also help us resolve queries more promptly. Unitholders who have provided email id will be sent all communications/reports as mentioned above by email only and no physical communications will be sent. Any change in the e-mail address should be communicated to nearest designated Investor Services. Samco Mutual Fund/Registrars are not responsible for e-mail not reaching the investor and for all consequences thereof. Should the Unit holder experience any difficulty in accessing the electronically delivered documents, the AMC will arrange for the same through physical mode on receipt of request for the same. It is deemed that the Unitholder is aware of all security risks including possible third party interception of the documents and contents of the documents becoming known to third parties.

### IV. BANK ACCOUNT DETAILS

It is mandatory to attach cancelled cheque / self-certified copy of blank cheque / self-certified Bank Statement / first page of the Bank pass book (bearing account number and first unit holder name on the face of the cheque / 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 Regulations 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 account please fill separate form for Registering / Adding Multiple Bank Accounts. Individuals / HUF can register upto 5 bank accounts and Non Individuals upto 10 bank accounts. For further information please refer SAI.

### V. PAN DETAILS

It is mandatory for all investors to quote their Permanent Account Number (PAN) (except MICRO SIP Investments) and submit certified copy of the PAN card issued by the Income Tax Department, irrespective of the amount of investment, while making an application for Purchase of Units. In case of joint holding, PAN details of all holders should be submitted. In case the application is on behalf of minor, PAN details of the Guardian must be submitted. Investors residing in the state of Sikkim are exempt from the mandatory requirement of PAN proof submission; however sufficient documentary evidence shall have to be submitted for verifying that they are residents of the State of Sikkim. Applications without the aforesaid details are liable to be rejected without any reference to the investors. Investment through Systematic Investment Plans (SIPs) upto ₹ 50,000/- (aggregate of installments in a rolling 12 months period per investor shall be exempt from the requirement of PAN. In case of PAN Exempt cases PAN Exempt KYC Reference Number (PEKRN) is Mandatory.

### VI. INVESTMENT DETAILS

Investors should indicate the Option for which the application 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/ Sub option as prescribed in SID will be 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 payment instruments. For further information please refer SAI.
2. Investors may make payment by cheque payable locally in the city where the application form is submitted at AMC/RTA ISC's 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 invest, outstation cheques and cash will not be accepted.
5. The cheque should be drawn in favor of "Scheme name account followed by investor PAN (For example Samco Multi Asset Allocation Fund A/c investor PAN XXXXXX) and should be crossed 'Account Payee Only'.
6. Returned cheques will not be presented again for collection and the accompanying application will be rejected.
7. Single cheque for investments in multiple Schemes and multiple cheques for investments in Single Scheme will not be accepted.
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. **NRI / FII's**  
**Repatriation basis:** - Payments by NRIs/FIIs may be made by way of cheques drawn on non-resident external accounts payable at par and payable at the cities where the Investor Service Centers are located.  
**Non-Repatriation 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. 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 no.) in the application form for electronic fund transfer (EFT) of redemption amount to the unit holders 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. a. The 11 digit IFSC (Indian Financial System) Code b. The 9-digit MICR (Magnetic Ink Character Recognition) number appearing next to the cheque number in the cheque leaf (Please attach copy of the cancelled cheque for verification) Based on the above information AMC will enable secure transfer of your redemption payouts via the various electronic mode of transfers (RTGS / NEFT / Direct Credit mode that are available in the banking system). This facility of EFT is safe and fast and eliminates the potential risk of loss of instruments in transit through physical mode. The Mutual Fund, however, reserves the right to issue a cheque / demand draft to unit holders residing at locations where this facility is not available. "If the remittance is delayed or not affected for reasons of incomplete or incorrect information, AMC cannot be held responsible". For validation of IFSC/MICR code, investor to attach the cancelled cheque/copy of cheque (PSU banks account holders to provide the front page of pass book along with cheque copy). If these documents are not provided the fund will not be responsible consequent delay in receipt of payment. Fund is also not responsible for bankers delay.

### IX. NOMINATION DETAILS

Nomination is mandatory for all the folios/accounts, is opened by an individual. New subscriptions received from individuals without nomination will be rejected.

1. The nomination can be made only by individuals applying for /holding units on their own singly or jointly. Non-individuals including society, trust (other than a religious or charitable trust), body corporate, partnership firm, Karta of Hindu Undivided Family, holder of Power of Attorney cannot nominate. Nomination is not allowed in a folio held on behalf of a minor. All holders will have to sign request for nomination or cancellation of nomination, even if the mode of holding is not joint. Nomination cannot be signed by Power of Attorney (PoA) holders.
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, a local 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 maintained at the folio / account level and shall be applicable for all schemes in the folio / account.

### X. 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 (KYC Registration Agency) Regulations, 2011 on December 23, 2011 with a view to bring uniformity in KYC requirements for the securities market and to develop a mechanism for centralization of the KYC records. Accordingly the following procedures shall apply:

- SEBI has introduced a common KYC Application Form for all the SEBI registered intermediaries viz. Mutual Funds, Portfolio Managers, Depository Participants, Stock Brokers, Venture Capital Funds, Collective Investment Schemes, etc. New Investors are therefore requested to use the common KYC Application Form and carry out the KYC process including IPV with any SEBI registered intermediaries including mutual funds. The KYC Application Forms are also available on our website [www.samcofm.com](http://www.samcofm.com).
- The Fund shall perform the initial KYC of its new investors and may undertake enhanced KYC measures commensurate with the risk profile of its investors in line with the aforementioned circulars/circulars issued by SEBI in this regard from time to time. The Fund shall upload the details of the investors on the system of the KYC Registration Agency ("KRA"). The Registrar & Transfer Agent of the Fund viz. KFin Technologies Limited ("KFin") may also undertake the KYC of the investors on behalf of the Fund. On receipt of the KYC documents from the Fund, the KRA shall send a letter to the investor within SEBI stipulated timelines, confirming the details thereof.

- Once the investor has done KYC with a SEBI registered intermediary, the investor need not undergo the same process again with another intermediary but can submit the letter/acknowledgment issued by the KRA.
- It is mandatory for intermediaries including mutual funds to carry out IPV of its new investors. The IPV carried out by any SEBI registered intermediary can be relied upon by the Fund. Samco Asset Management Private Limited and NISM/AMFI certified distributors who are Know Your Distributor (KYD) compliant are authorized to undertake the IPV for mutual fund investors. Further, in case of any applications received directly (i.e. without being routed through the distributors) from the investors, the Fund may rely upon the IPV (on the KYC Application Form) performed by the scheduled commercial banks.
- Existing KYC compliant investors of the Fund can continue to invest as per the current practice. However, existing investors are also urged to comply with the new KYC requirements including IPV as mandated by SEBI.
- Application Form not accompanied by KYC Application Form or letter/acknowledgment issued by KRA may be rejected by the Fund. The KYC compliance status will be validated with the records of the KRA. AMC reserves the right to call for any additional information from the investors/applicant/reject applications/subsequent application in order to fulfill the requirements of PMLA norms prescribed by SEBI/PMLA Regulation from time to time.

#### XI. 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 National Stock Exchange, "BESTAR MF" platform of Bombay Stock Exchange.

Please refer Scheme Information Document(s) of the Scheme(s) for further details.

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

In terms of SEBI circular no. CIR/ 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 w.e.f. November 1, 2011 and paid to the distributors/ brokers (who have opted in for transaction charges) in respect of applications relating to new subscriptions only (lumpsum and SIP), subject to the following:

- For existing mutual fund investors: ₹ 100/- per subscription of ₹ 10,000/- and above;
- For the first time mutual fund investors: ₹ 150/- per subscription 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 installment.
- 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. CIR/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 type of the product.

The Transaction Charge as mentioned above shall be deducted by the AMC from the subscription amount of the unitholder and paid to the distributor and the balance shall be invested.

#### XIII. EMPLOYEE UNIQUE IDENTIFICATION NUMBER (EUIIN):

SEBI has made it compulsory for every employee/ relationship manager/ sales person of the distributor of Mutual Fund products to quote the EUIIN obtained by him/her from AMFI in the Application Form. EUIIN, particularly in advisory transactions, would assist in addressing any instance of mis-selling even if the employee/relationship manager/sales person later leaves the employment of the distributor. Individual ARN holders including senior citizens distributing Mutual Fund products are also required to obtain and quote EUIIN in the Application Form. Hence, if your investments are routed through a distributor please ensure that the EUIIN is correctly filled up in the Application Form.

However, if your distributor has not given you any advice pertaining to the investment, the EUIIN box may be left blank. In this case, you are required to provide a duly signed declaration to this effect. Distributors are advised to ensure that the sub broker affixes his/her ARN code in the column separately provided in addition to the current practice of affixing the internal code issued by the main ARN holder and the EUIIN of the Sales Person (if any) in the EUIIN space.

#### XIV. BENEFICIAL OWNERSHIP DETAILS:

Under the Prevention of Money Laundering Act, 2005 ("PMLA"), all intermediaries including mutual funds are required to obtain sufficient information from their clients in order to identify and verify the persons who beneficially own or control the account. SEBI circular dated January 24, 2013 on identification of Beneficial Ownership has prescribed a uniform approach to be followed for determination of beneficial owners. A 'Beneficial owner' is defined as a natural person/s who ultimately own, control or influence a client and/or persons on whose behalf a transaction is being conducted, which includes persons who exercise ultimate effective control over a legal person or arrangement.

All categories of investors except individuals, company listed on a stock exchange or majority owned subsidiary of such company, are requested to provide details about 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 have not provided the requisite information on beneficial ownership. In the event of change in beneficial ownership, investors are requested to immediately update the details with the Fund/Registrar.

#### XV. FATCA DETAILS:

The Foreign Account Tax Compliance Act is a United States (US) federal law, aimed at prevention of 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. FATCA is designed to increase compliance by US taxpayers and is intended to bolster efforts to prevent tax evasion by the US taxpayers with offshore investments.

As per SEBI circular no. CIR/MIRSD/2/2014 dated June 30, 2014, the Government of India and the US have reached an agreement in substance on the terms of an Inter-Governmental Agreement ("IGA") to implement the FATCA provisions, which have become globally applicable from July 1, 2014. FATCA requires enhancement of due diligence processes by the Foreign Financial Institutions ("FFI") so as to enable identification of US reportable accounts.

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, from time to time, to (i) undertake necessary due diligence process by collecting information/ documentary evidence of the US/non US status of the investors; (ii) disclose/report information as far as may be legally permitted about the holdings/investment returns pertaining to reportable accounts to the US Internal Revenue Service and/or such Indian authorities as may be specified under FATCA or other applicable laws and (iii) carry out such other activities as prescribed under the FATCA provisions, as amended from time to time.

FATCA due diligence will have to be directed at each investor/unit holder (including joint investors) and on being identified as a reportable person/specified US person, all the folios will be reported. Further, in case of folio with joint investors, the entire account value of investment portfolio will be attributable under each such reportable person. Investors/Unit holders would therefore be required to furnish such information to the Fund/AMC, from time to time, in order to comply with the reporting requirements stated in the IGA and/or circulars/guidelines issued by SEBI/AMFI in this regard.

The impact of FATCA is relevant not only at the point of on-boarding of the investors but also throughout the life cycle of the investor account / folio with the Fund. Hence investor(s) should immediately intimate the Fund/AMC, in case of any change in the FATCA related information provided by them at the time of initial subscription.

The Fund/AMC reserves the right to reject any application or compulsorily redeem the units held directly or beneficially in case the applicant/investor fails to furnish the relevant information and/or documentation or is found to be holding units in contravention of the FATCA provisions.

Investors are advised to consult their tax advisors to understand the FATCA requirements and its implications in relation to their investment.

#### XVI. CENTRAL KYC RECORDS REGISTRY (CKYCR):

The Government of India vide their Notification dated November 26, 2015 authorised the Central Registry of Securitisation Asset Reconstruction and Security Interest of India (CERSAI) to act as and to perform the functions of the Central KYC Records Registry under the said rules, including receiving, storing, safeguarding and retrieving the KYC records under the Prevention of Money Laundering Act, 2002. SEBI required all the market intermediaries to update/upload KYC details of the new customer/investors (not KYC-KRA compliant) on CERSAI's online platform. CERSAI is a centralized repository of KYC records of customers/investors in the financial sector with uniform KYC norms and inter-usability of the KYC records across the sector with an objective to reduce the burden of producing KYC documents and getting those verified every time when the customer/investors creates a new relationship with a financial entity. Central KYC (CKYC) will store all the customer/investor information at one central server that is accessible to all the financial institutions. After opening a KYC account under the CKYC, customer/investor will get a 14-digit identification number ("KYC Number") and that the same may be quoted by the investor wanting to invest in mutual funds. Further, the Mutual Fund/AMC is required to check whether the PAN of the investor has been updated in CKYCR. In case the PAN has not been updated, the Mutual Fund/AMC shall collect a self certified copy of the investor's PAN card and update/upload the same in CKYCR. In case the investor uses the old KRA KYC form for updating of any KYC information, such investor shall be required to provide additional/missing information only by using the supplementary CKYC form or fill the new "CKYC form".

#### XVII. DEMATERIALIZATION:

The unit holders would have an option to hold the units in dematerialized form. The applicant intending to hold units in dematerialized form will be required to have a beneficiary account with a Depository Participant (DP) of the NSDL/CDSL and will be required to mention in the application form DP ID, DP Name and Beneficiary Account No. with the DP name at the time of subscribing to the units of the Scheme. Applicants must ensure that the sequence of the names as mentioned in the application form matches with that of the beneficiary account held with the Depository Participant. Names, Address, PAN details, KYC Details etc. mentioned in the application form will be verified against the Depository data. If the details mentioned in the application (other than ASBA applications) are incomplete / incorrect or not matching with the depository records, the application shall be treated as application for nondemat mode and accordingly units will be allotted in non-demat mode. Note - In case of subscription of units through SIP in demat (electronic) mode, unit holder will not be able to redeem / transfer such units till units are credited to investor's Demat (Beneficiary) account. Unit holders who have opted to hold units in dematerialized form will receive payment of redemption proceeds into bank (i.e. beneficiary) account linked to their Demat account. Units held in demat form are freely transferable from one demat account to another demat account.

#### XVIII. LEGAL ENTITY IDENTIFIER:

RBI vide circular dated January 2021 on "Introduction of Legal Entity Identifier for Large Value Transactions in Centralized Payment Systems" decided to introduce the LEI system 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 it will be mandatory to include 20-digit Legal Entity Identifier (LEI) information while initiating any transaction of value INR 50 crore and above by entities (non-Individual) for purchase and redemption transaction.

#### XIX. DECLARATION AND SIGNATURE:

- 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 the 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.
- The original Power of Attorney or a duly notarized copy of the Power of Attorney shall be required to be submitted where applications are made under a Power of Attorney





## 5. Gross Annual Income (Please tick ✓)

**First Applicant**  Below 1 Lac  1-5 Lacs  5-10 Lacs  10-25 Lac  > 25 Lacs - 1 Crore  > 1 Crore  
**OR** Net worth (Mandatory for Non - Individuals) ₹  as on  (Not older than 1 year)

**Second Applicant**  Below 1 Lac  1-5 Lacs  5-10 Lacs  10-25 Lac  > 25 Lacs - 1 Crore  > 1 Crore  
**OR** Net worth (Mandatory for Non - Individuals) ₹  as on  (Not older than 1 year)

**Third Applicant**  Below 1 Lac  1-5 Lacs  5-10 Lacs  10-25 Lac  > 25 Lacs - 1 Crore  > 1 Crore  
**OR** Net worth (Mandatory for Non - Individuals) ₹  as on  (Not older than 1 year)

### For Individual (Please tick ✓)

	First Applicant	Second Applicant	Third Applicant
I am Politically Exposed Person			
I am Related to Politically Exposed			
Not Applicable			

### For Non-Individual Investors (Companies, Trust, Partnership etc.)

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 Services  Yes  No
- Money Lending/Pawning  Yes  No

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

(Refer Instruction No.XVII)

Place & Country of Birth	Sole / First Applicant / Guardian			2nd Applicant			<input type="checkbox"/> 3rd Applicant <input type="checkbox"/> POA		
	Country #	Tax Payer Ref ID No	Identification Type (TIN or other, please specify)	Country #	Tax Payer Ref ID No	Identification Type (TIN or other, please specify)	Country #	Tax Payer Ref ID No	Identification Type (TIN or other, please specify)

\*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.

## 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 entitling 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 designed 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, R&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 SAI, 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 losses 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 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 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).

Signature of the Applicant(s)	Sole/First Applicant/Guardian/ PoA/Authorised Signatory	Second Applicant/PoA	Third Applicant/PoA
	Sole/First Applicant/Guardian/ PoA/Authorised Signatory	Second Applicant/PoA	Third Applicant/PoA

Date  Place  Attn: NRI unit holders; payment must be made through NRE/FCNR Accounts

## Instructions for filling up the Application Form

- 1. Meaning of ASBA:** ASBA is an application for subscribing to a New Fund Offer (NFO), containing an authorisation to block the application money in a bank account.
- 2. Self Certified Syndicate Bank (SCSB):** SCSB is a banker to an issue registered with the SEBI which offers the facility of applying through the ASBA process. The list of SCSBs will be displayed by SEBI on its website at [www.sebi.gov.in](http://www.sebi.gov.in) from time to time. ASBAs can be accepted only by SCSBs, whose names appear in the list of SCSBs displayed on SEBI's website. Unit holders maintaining their accounts in any of these Banks may approach one of the designated branches of these SCSBs for availing this facility. Further it may be noted that from time to time new banks register themselves as SCSBs who become eligible to provide these services and also the existing SCSBs designate additional branches that also provide this facility. An updated list of all the registered SCSBs, their controlling branches, contact details and details of their contact persons, a list of their designated branches which are providing such services is available on the website of SEBI at the address <http://www.sebi.gov.in>. Further these details are also available on the websites of the Stock Exchanges at <http://www.bseindia.com> and <http://www.nseindia.com>. Alternatively, unit holders may also contact the AMC, R&TA for information about the SCSBs or the ASBA process. These SCSBs are deemed to have entered into an arrangement with the Issuer and shall be required to offer the ASBA facility to all its account holders for all issues to which ASBA process is applicable. An SCSB shall identify its Designated Branches (DBs) at which an ASBA Applicant shall submit ASBA and shall also identify the Controlling Branch (CB), which shall act as a coordinating branch for the Registrar to the Issue, Stock Exchanges and Merchant Bankers. The SCSB, its DBs and CB shall continue to act as such, for all issues to which ASBA process is applicable. The SCSB may identify new DBs for the purpose of ASBA process and intimate details of the same to SEBI, after which SEBI will add the DB to the list of SCSBs maintained by it. The SCSB shall communicate the following details to Stock Exchanges for making it available on their respective websites. These details shall also be made available by the SCSB on its website: (i) Name and address of the SCSB (ii) Addresses of DBs and CB and other details such as telephone number, fax number and email ids. (iii) Name and contact details of a nodal officer at a senior level from the CB.
- 3. Eligibility of unit holders:** Unit holder shall be eligible to apply through ASBA process, if he/she:
  - (i) is a "Resident Retail Individual unit holder, Non Institutional unit holder, QIBs, Eligible NRIs applying on non-repatriation basis, Eligible NRIs applying on repatriation basis i.e. any unit holder,
  - (ii) is applying through blocking of funds in a bank account with the SCSB; Such unit holders are hereinafter referred as "ASBA unit holders".
- 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, physical or electronic, 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&TA 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&TA 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&TA to obtain information about all ASBAs and to treat these applications similar to non-ASBA applications while allotment of Units, as per the procedure specified in the Securities and Exchange Board of India (Issue of Capital and Disclosure Requirements) Regulations, 2009. 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 in case of demat holding.
  7. SCSB shall give ASBA unit holders an acknowledgement for the receipt of ASBAs.
  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 ASBAs 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&TA 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.

1. Distributor Information				Application No	S
Distributor Code	Sub-Broker Code	Internal sub broker code	EUIN*	RIA Code <sup>^</sup>	
ARN-	ARN-	INTERNAL CODE	Employee Unique IDENTIFICATION NO.		

\*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 in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor/sub broker".  
^I/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.

Sign Here  First / Sole Applicant / Guardian Authorised Signatory  Second Applicant Authorised Signatory  Third Applicant Authorised Signatory

**2. Unitholder Information**

Name of First / Sole Applicant  PAN

Folio No. (For Existing Unit Holders)  CKYC No.

**3. Investment Details** (Choice of Plan [Please ✓])  Registration  Cancellation

Scheme  Plan:  Regular  Direct Target Scheme of Samco

Option:  Growth  IDCW Sub Option:  Payout of IDCW  Reinvestment of IDCW  Transfer of IDCW (Specify in Target Scheme) Plan:  Regular  Direct Option:  Growth

SIP Date  Preferred Debit Date (Any day from 1<sup>st</sup> to 28<sup>th</sup> of the month)  Monthly OR  Quarterly OR  Half Yearly

Enrolment Period From  To  OR Perpetual (Default)  OR No. of Installments

First SIP Instalment via : Cheque No.  Bank A/c No.

Drawn on Bank  Branch

Each SIP Amount  Amount in words

**SIP Step UP FACILITY:**

Fixed Amount	Variable (in Percentage)
Amount (Minimum 500/- in multiple of Re 1/-) <input type="text"/>	Percentage (Minimum 10% and in multiple of 5%) ₹ <input type="text"/>
Freeze # <input type="checkbox"/> Amount <input type="text"/> OR Month-Year <input type="text"/>	Freeze # <input type="checkbox"/> Amount <input type="text"/> OR Month-Year <input type="text"/>
Frequency \$ <input type="checkbox"/> Half Yearly <input type="checkbox"/> Yearly	Frequency \$ <input type="checkbox"/> Half Yearly <input type="checkbox"/> Yearly

\$ In case of Quarterly SIP, only the Yearly frequency is available under SIP TOP UP. # Freeze the SIP Top-Up amount once it reaches a fixed predefined amount or maximum amount as mentioned in OTM.

**4. Unit Holding Option**  Physical Mode (Default)  Demat Mode (Demat Account details are mandatory if the investor wishes to hold the units in Demat Mode)

CDSL / NSDL DP Name  DP ID  Beneficiary A/C No.

**5. 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 would not hold the user institution responsible. I/We will also inform Samco Mutual Fund about any changes in my bank account. This is to inform you that I/We have registered for making payment towards my investments in Samco Mutual Fund by debit to my/our account directly or through NACH. I/We hereby authorize to honour such payments and have signed and endorsed the Mandate Form. Further, I 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 also 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.

Date   First / Sole Applicant  Second Applicant  Third Applicant

UMRN  Date

Utility Code   Create  Modify  Cancel

Sponsor Bank Code  I/We authorize **Samco Mutual Fund**

To debit (tick ✓) SB / CA / CC / SB-NRE / SB-NRO / OTHER Bank A/c No.

With Bank  IFSC/MICR

an amount of Rupees  Amount in words  Amount ₹

Debit Type  Fixed Amount  Maximum Amount Frequency  Monthly  Quarterly  Half Yearly  Yearly  As and when presented

Reference 1  Reference 2

1. I agree for the debit of mandate processing charges by the bank whom I am authorizing to debit my account as per latest schedule of charges of the bank. 2. This is to confirm that the declaration has been carefully read, understood 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. 3. I have understood that I am authorized to cancel/amend this mandate by appropriately communicating the cancellation/amendment request to the user entity/corporation or the bank where I have authorized the debit.

From  To  Maximum period of validity of this mandate is 40 years only.

Signature of Primary Account holder  Signature of account holder  Signature of account holder

1. Name as in Bank Records 2. Name as in Bank Records 3. Name as in Bank Records

## Terms and Conditions

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 ISC'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 realisation 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 Product and Services tab The 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 on such discontinuation.
11. Existing Unit holders in Scheme of Samco Mutual Fund are required to submit only the SIP Mandate registration form. Existing unit holders should note that the unit holder's details & the mode of holding will be 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 par & 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 folio, then the investor has to submit a duly filled & signed SIP Mandate registration form along with the first cheque (if investment is in the new Scheme).
18. You can choose to discontinue this facility by giving 30 Calendar days written notice to any of AMC/Registrar Investor Service centers.
19. Request for change in bank mandate to be submitted atleast 30 Calendar days before the due date of next SIP installment.
20. The bank account provided for NACH (Debit) should be in the list of banks participating in NACH.
21. MICR code or IFSC code should be mandatory filled on NACH mandate, MICR code starting and/or ending with 000 are not valid for NACH.
22. 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.
23. 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 in 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 war, civil commotion, riots, strike, mutiny, 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.
24. 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.
25. Samco Asset Management Private Ltd. reserves the right to reject any application without assigning any reason thereof.
26. Incorrect, incomplete or ambiguous forms will not be accepted and will be returned to the investor within 10 business days via normal post.
27. To avail of SIP in separate Scheme via NACH facility, an investor will have to fill a separate form for each Scheme. A single form cannot be used for different Schemes simultaneously.
28. 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 Investor" for Filling up the Application Form.
29. **SYSTEMATIC INVESTMENT PLAN (SIP) Step UP FACILITY**
  - 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.
  - b. The minimum amount for Fixed TOP UP shall be ₹ 500 and in multiple of ₹ 1/- thereof. And for variable TOP UP would be available in at 10%, 15% and 20% and in multiples of 5%.
  - 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.
  - d. Top-Up Cap amount: Investor has an option to freeze the SIP Top-Up amount once it reaches a fixed predefined amount. 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 default amount of SIP Cap amount. In case the top up amount arrived in decimals the amount will be rounding off in nearest rupee.
  - 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.
  - f. In case of no selection, the SIP Variable Top - Up amount will be capped at a default amount of ₹ 10 Lakhs.
  - g. Under the said facility, SIP amount will remain constant from Top - Up Cap date/ amount till the end of SIP Tenure.



## 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 would 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 UMRN, the Sponsor Bank Code and the Utility Code are meant for office use only and need not be filled by the investors.
8. The 9 digit MICR and the 11 digit IFSC are mandatory requirements without which your SIP applications will be rejected. You should find these codes on your cheque leaf.



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.

# SYSTEMATIC TRANSFER PLAN (STP)

(Please read the instructions on the overleaf before filling up the form)

## 1. Distributor Information

Distributor Code	Sub-Broker Code	Internal sub broker code	EUIIN*	RIA Code^

\*Investors should mention the EUIIN 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 EUIIN box has been intentionally left blank by me/us as this transaction is executed without any interaction or advice by the employee/relationship manager/sales person of the above distributor/sub broker or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor/sub broker".

^I/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.

Signatures	Signature of Sole/First Holder	Signature of Second Holder	Signature of Third Holder

## 2. Unitholder Information

Name of First / Sole Applicant:  PAN:

Folio No. (For Existing Unit Holders):  CKYC No.:

### Registration Cancellation

(From which you wish to transfer amount):

(To which you wish to transfer amount):

From Scheme Name:  Plan:  Regular  Direct

Option:  Growth  IDCW Sub Option:  Payout of IDCW  Reinvestment of IDCW  Transfer of IDCW

<p>To Scheme Name: <input type="text"/></p> <p>Plan: <input type="checkbox"/> Regular <input type="checkbox"/> Direct Sub Option: <input type="checkbox"/> Payout of IDCW <input type="checkbox"/> Reinvestment of IDCW <input type="checkbox"/> Transfer of IDCW (Specify in Target Scheme)</p>	<p>Target Scheme Name: <input type="text"/></p> <p>Plan: <input type="checkbox"/> Regular <input type="checkbox"/> Direct Option: <input type="checkbox"/> Growth</p>
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Instalment Amount Rs:

Frequency:  Daily (Monday to Friday)

(Select any one)

Weekly  Monday  Tuesday  Wednesday  Thursday  Friday

Fortnightly (Alternative Wednesday)

Monthly STP Date\*:  1<sup>st</sup>  7<sup>th</sup>  10<sup>th</sup>  15<sup>th</sup>  25<sup>th</sup>

Quarterly STP Date\*:  1<sup>st</sup>  7<sup>th</sup>  10<sup>th</sup>  15<sup>th</sup>  25<sup>th</sup>

Tenure: Start Date:  End Date:

## DECLARATION

Having read and understood the contents of the Scheme Information Document, Key Information Memorandum cum application 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/AMC can send us all types of SMS relating to the products offered by them. 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.

Signature of Sole/First Holder	Signature of Second Holder	Signature of Third Holder
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## Terms and Conditions and Instructions for Systematic Transfer Plan facility (STP):

- The STP enrollment form should be filled legibility in ENGLISH in BLOCK letters using black or dark blue ink. Incomplete application forms are liable to be rejected. Please strike out any section that is not applicable. Correction/Cancellation on any of the mandatory information should be countersigned by the investor.
- Systematic Transfer Plan (STP) is a special facility available in selected Schemes of Samco MF. It is a facility wherein unit holders of designated open-ended schemes of Samco Mutual Fund (SMF) can opt to transfer a fixed amount (capital) at regular intervals to another designated open-ended scheme of SMF.
- Unit holders are advised to read the Statement of Additional Information (SAI), Scheme Information Document (SID) and Key Information Memorandum (KIM) of the respective Transferor & Transferee Scheme(s) available at all the Designated Investor Service Centers (DISC), brokers / distributors and on our website [www.samcomf.com](http://www.samcomf.com) carefully before investing.
- New Unit holders are required to fill up Common Application Form for investing in Transferor Scheme along with STP Enrolment Form. Existing Unit holders in Transferor Scheme are required to provide their Folio No. and submit only STP Enrolment Form
- Please submit separate enrolment form for more than one Transferor and / or Transferee schemes
- Unit holders should clearly mention from and to which scheme / option he / she wish to transfer their investment. Please note that if no Transferor Scheme or Transferee Scheme is mentioned or in case of an ambiguity the application is liable to be rejected.
- In case Day of Transfer has not been indicated under Weekly frequencies, Wednesday shall be treated as Default Day. Further, in case of Monthly and Quarterly Frequency, if the STP date and Frequency has not been indicated, frequency shall be treated Default frequency as 10th.
- Under multiple STP the investor has to ensure that he maintains sufficient balance in the transferor scheme else none of the transfers into the transferee scheme will be processed.
- If an investor does not mention STP start date, or the STP start date is unclear/not expressly mentioned on the STP Application form, then by default STP would start from the next subsequent cycle after meeting the minimum registration requirement of 7 working days as per the defined frequency by the investor. If an investor does not mention STP end date or the STP end date is unclear, it will be considered as perpetual STP.
- All valid transfer requisitions would be treated as switch-out / redemption for the Transferor Scheme and switch-in/ subscription transactions for the Transferee scheme and would be processed at the applicable NAV (subject to applicable exit load) of the respective schemes. The difference between the NAVs of the two Schemes/ Plans will be reflected in the number of units allotted. All valid transactions would be processed as per the applicable cut off timing on the business days as mentioned in the respective SID
- A minimum period of 7 days shall be required for registration under STP.
- Units will be allotted/redeemed at the applicable NAV of the respective dates of the Scheme on which such investments/withdrawals are sought from the Scheme.
- The requests for discontinuation of STP shall be subject to an advance notice of 15 days before the next due date for STP and it will terminate automatically if all Units are liquidated or withdrawn from the account or upon the Funds' receipt of notification of death or incapacity of the Unit holder.
- Further, in case of a last STP, where the balance amount is less than the STP amount, the entire amount will be transferred to the transferee scheme.
- STP will be automatically terminated if all the units are liquidated or withdrawn from the Transferor Scheme or pledged or upon receipt of intimation of death of the unit holder.
- This facility will not be available for units which are under any Lien/Pledged or any lock-in period.
- The provision of 'Minimum Redemption Amount' as specified in the Scheme Information Document of the opted Transferor Schemes and 'Minimum Application Amount' specified in the Scheme Information Document of the opted Transferee Schemes will not be applicable
- The application is subject to detailed scrutiny and verification. Applications which are not complete in all respect are liable for rejection either at the collection point itself or subsequently after detailed scrutiny / verification at the back office of the Registrar.
- SMF in consultation with Trustees reserves the right to withdraw this offering, modify the procedure, frequency, dates, load structure with prior notice in accordance with the SEBI (Mutual Funds) Regulations 1996 read with various amendments and circulars issued thereto and any such change will be applicable only to units transacted pursuant to such change on a prospective basis.
- Frequency wise minimum amount and number of instalments provided in below table:

STP Frequency	Cycle Date	Minimum amount	Minimum instalment
Daily	Monday to Friday	1000	12
Weekly	Any one day (Monday to Friday)	1,000	6
Fortnight	Alternative Wednesday	1,000	6
Monthly	1st , 7th , 10th 15th or 25th	1,000	6
Quarterly	1st , 7th , 10th 15th or 25th	3,000	2

1. Distributor Information				
Distributor Code	Sub-Broker Code	Internal sub broker code	EUIN*	RIA Code^

\*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 in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor/sub broker".

^I/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.

Signatures	Signature of Sole/First Holder	Signature of Second Holder	Signature of Third Holder

2. Unitholder Information	
Name of First / Sole Applicant: <input type="text"/>	PAN: <input type="text"/>
Folio No. (For Existing Unit Holders): <input type="text"/>	CKYC No.: <input type="text"/>

<input type="checkbox"/> Registration <input type="checkbox"/> Cancellation	
(From which you wish to transfer amount):	(To which you wish to transfer amount):
From Scheme: <input type="text" value="Samco Overnight Fund"/>	Plan: <input type="checkbox"/> Regular <input type="checkbox"/> Direct    Option: <input type="checkbox"/> Growth
To Scheme: <input type="text"/>	Plan: <input type="checkbox"/> Regular <input type="checkbox"/> Direct
Option: <input type="checkbox"/> Growth <input type="checkbox"/> IDCW    Sub Option: <input type="checkbox"/> Payout of IDCW <input type="checkbox"/> Reinvestment of IDCW <input type="checkbox"/> Transfer of IDCW (Specify in Target Scheme)	Option: <input type="checkbox"/> Growth

TSTP shall only be eligible if minimum amount in source scheme is Rs. 25,000/-

Base Instalment Amount Rs: <input type="text"/>
(Minimum of Rs.1,000)

Frequency: <input type="radio"/> Weekly <input type="checkbox"/> Monday <input type="checkbox"/> Tuesday <input type="checkbox"/> Wednesday <input type="checkbox"/> Thursday <input type="checkbox"/> Friday
<input type="radio"/> Monthly    TSTP Date*: <input type="text" value="DD"/> <input type="text" value="DD"/> Investor can select any date of each Month & Quarter (other than 29,30,31) <input type="radio"/> Quarterly    (only in case of Monthly and Quarterly frequencies)    *In case the day/date chosen for TSTP falls on a Non-Business Day or on a date which is not available in a particular month, the TSTP will be processed on the immediate next Business Day

Tenure: Start Date: <input type="text" value="DDMMYYYY"/> End Date: <input type="text" value="DDMMYYYY"/> Under TSTP default option will get registered till 31-12-2099
OR
No. of Instalments: <input type="text"/>
OR
Target Amount (Rs.): <input type="text"/> TSTP will automatically cease when cumulative installment through TSTP reaches the target amount.

## DECLARATION

Having read and understood the contents of the Scheme Information Document, Key Information Memorandum cum application 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/AMC can send us all types of SMS relating to the products offered by them. 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.

Signature of Sole/First Holder	Signature of Second Holder	Signature of Third Holder
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## Terms and Conditions and Instructions for Timer Systematic Transfer Plan facility (TSTP):

- What is a Timer STP Plan? - Timer STP is a facility wherein an investor under the specified scheme(s) ('Source Schemes') can opt to transfer variable amount, on the predetermined dates to any open-ended equity Scheme(s) ('Target Scheme') at defined intervals. The variable amount(s) or actual amount(s) of transfer to the Target Scheme will be linked to the Equity Margin of Safety Index (EMOSI) as computed by the AMC on the date of respective transfer.
- The form should be completed in English and in Block Letters only. Please  in the appropriate box, where boxes have been provided.
- Investors are advised to read the Scheme Information Document(s) of each of the Target Scheme(s) and the applicable Statement of Additional Information carefully before exercising the option/ investing. The Scheme Information Document(s) / Statement of Additional Information/ Key Information Memorandum(s) of the respective Scheme(s) are available with the Investor Service Centers of Samco Mutual Fund, brokers/distributors and displayed at the website www.samcof.com.
- TSTP Enrollment Form complete in all respects, should be submitted at any of the Investor Service Centers (ISCs) of Samco Mutual Fund.
- Eligibility Criteria for TSTP:** An investor must maintain minimum balance/ investment of Rs. 25,000/- in the opted source scheme at the time of registration of TSTP. If such minimum balance/ investment is not available and the TSTP registration request will be liable to be rejected.
- Frequency of TSTP:** Investors may choose Weekly or Monthly or Quarterly Frequency in the Form; in case investor fails to mention frequency or opted multiple frequencies / date, default option would be Monthly and the default date will be 10th.
- For Weekly frequency, investor can select any day between Monday to Friday. In case frequency day not provided in form, the default day will be every Monday.
- For Monthly & Quarterly frequency, investor can select any date (other than 29,30,31). In case the date is not indicated, the default date will be 10th.
- Tenure:** Investors may choose (1) Target Amount or (2) No of installments or (3) End date in the form. If this information is not provided / incomplete, the TSTP will be registered by default till 31-Dec-2099.
- There is no maximum duration for TSTP enrollment. However, TSTPs will be registered in a folio held by a minor, only till the date of the minor attaining majority, even though the instructions may be for a period beyond that date, the TSTP facility will automatically stand terminated upon the Unit Holder attaining 18 years of age.
- Base Instalment amount:** The Investor would required to provide a base instalment amount that is intended to be transferred to the target scheme at regular interval. At presently minimum base instalment amount in Source scheme is Rs 1,000/- in multiple of Re.1/-
- The provision of 'Minimum redemption amount' specified in the Scheme Information Document of source scheme and 'Minimum application amount' specified in the Scheme Information Document of the target scheme(s) will not be applicable for TSTP.
- The amount of transfer to the Target Scheme shall be in the range of 0.01x to 6x as per the multiplier selected which shall be based on the latest Equity Margin of Safety Index (EMOSI) levels which is a proprietary model of Samco Asset Management Pvt Limited (the AMC). In case the base computation amount is less than Rs. 100, then the instalment will be considered as Rs. 100. However, In any case the TSTP instalment amount will not exceed 6x of the base instalment amount as per the multiplier selected. In case amount arrived in decimals the amount will be rounding off in nearest rupee.
- If investor does not mention either the PAN or Folio details, then the form is liable for rejection.
- Applicable schemes: At presently this facility is applicable for
  - Source Scheme: Samco Overnight Fund
  - Target Scheme: Other schemes of Samco Mutual Fund.
- Only one registration per target scheme in a folio would be allowed. In case of any existing registration (normal STP or TSTP) then new registration shall be rejected. Multiple TSTPs from the same source scheme to a different Target Scheme would be allowed (as and when schemes launched).
- Units will be allotted under the same folio number.
- Once registered, the facility cannot be modified. Investor may cancel an existing registration and register a fresh under New / Separate Form.
- Equity Margin of Safety Index (EMOSI):** Equity Margin of Safety Index (EMOSI) levels computed by the AMC is a proprietary model of Samco Asset Management Pvt Limited (the AMC). The EMOSI is derived by assigning different weights such as Price to Earnings (PE), G-sec yields, moving average divergences and / or other fundamental and technical factors as may be determined by the AMC from time to time.
- Based on the EMOSI and the corresponding multiplier factor, the actual amount of TSTP shall be derived for transferring the amount to the Target Scheme. Please refer to the EMOSI Multiplier table below for reference.

EMOSI value	Multiplier on Base Instalment amount to be transferred	EMOSI value	Multiplier on Base Instalment amount to be transferred
= &lt; 70	0.01x	101	1.05x
71	0.05x	102	1.10x
72	0.05x	103	1.15x
73	0.05x	104	1.20x
74	0.05x	105	1.25x
75	0.05x	106	1.40x

EMOSI value	Multiplier on Base Instalment amount to be transferred	EMOSI value	Multiplier on Base Instalment amount to be transferred
76	0.05x	107	1.55x
77	0.05x	108	1.70x
78	0.05x	109	1.85x
79	0.05x	110	2.00x
80	0.10x	111	2.15x
81	0.14x	112	2.30x
82	0.18x	113	2.45x
83	0.22x	114	2.60x
84	0.26x	115	2.75x
85	0.30x	116	2.95x
86	0.34x	117	3.15x
87	0.38x	118	3.35x
88	0.42x	119	3.55x
89	0.46x	120	3.75x
90	0.50x	121	3.95x
91	0.55x	122	4.15x
92	0.60x	123	4.35x
93	0.65x	124	4.55x
94	0.70x	125	4.75x
95	0.75x	126	4.95x
96	0.80x	127	5.15x
97	0.85x	128	5.35x
98	0.90x	129	5.55x
99	0.95x	130	5.75x
100	1.00x	= &gt; 131	6.00x

In case multiplier on base computation amount is less than Rs. 100, then the instalment will be considered as Rs. 100.

- The detailed working of the EMOSI model is proprietary to the AMC and is confidential. The AMC reserves the right to make changes to the EMOSI Model as may be necessary and as it may deem fit.
- Minimum no of Instalments** - Minimum number of installments in all frequencies will be 12.
- Transfer of Balance:** If the outstanding balance in the source scheme in investor's folio is less than the amount to be transferred on the date of TSTP, the amount so transferred will be restricted to the balance available.
- The EMOSI will be declared and uploaded in website on all business days/daily. However, the AMC reserves the right to change the frequency/day of EMOSI updation. In case the day/date of transfer falls on a Non-Business Day or on a date which is not available in a particular month, the immediate next Business Day will be considered for the purpose of determining the applicability of NAV.
- In case of nil balance in the Source Scheme, TSTP instalment for that particular due date will not be processed and TSTP will cease upon five consecutive unsuccessful transactions.
- The AMC reserves the right to cease the TSTP without prior intimation, including but not limited to receipt of intimation of death of Unit holder or in any scenario as per AMC discretion.
- The TSTP is available only for units held / to be held in Non - demat Mode in the Source Scheme and the Target Scheme.
- The units of the Target Scheme will be allotted as per the closing NAV of the day on which the funds are available for utilization by the Target Scheme irrespective of the instalment date of the TSTP.
- The TSTP transactions will be executed based on latest / previous day EMOSI value available.
- Exit Load** - The Load Structure will be applied at the time of instalment process in the source scheme. The amount transferred under the TSTP from the Source Scheme to the Target Scheme shall be affected by switching units of Source Scheme at applicable NAV, after payment of exit load applicable to the Source Scheme if any, and subscribing to the units of the Target Scheme at Applicable NAV. For Scheme load structure please refer to Key Information Memorandum or contact the nearest Investor Service Centre (ISC) of Samco Mutual Fund or visit our website www.samcof.com.
- This facility is provided subject to provisions of cut off timing for applicability of NAV and time stamping requirements, provisions of the SAI and the respective SID including the provisions of the 'Prevention of Money Laundering and Know Your Customer' requirements as detailed in the SAI, and any other applicable laws, rules and regulations as may be enforced from time to time.



## Terms and Conditions and Instructions for Timer Systematic Transfer Plan facility (TSTP):

- The facility will not get executed in case the units are pledged or where lien is marked on units, or if units are within the applicable statutory lock period, if any, at the time of receipt of request.
- The TSTP facility is not, in any manner an assurance or promise or guarantee on part of Samco Mutual Fund / Samco AMC to the unit holders in terms of returns or capital appreciation or minimization of loss of capital. The AMC/Trustees will not be liable for any loss, whether actual or notional on account of the decision of the Investor to opt for TSTP.
- All requests for registering or deactivating the TSTP shall be subject to an advance notice of 7 (seven) business days to the Investor Service Centers.
- The use of this Facility by the Investor will be deemed as the investor's confirmation that the investor understands and agrees to be bound by all of the terms and conditions applicable to this Facility, as detailed in the 'Timer Systematic Transfer Plan (TSTP) Facility - Form', as amended from time to time.
- The AMC reserves the right to change, modify or withdraw this facility at any point of time. However, the change will be effective only on a prospective basis. Further, the AMC reserves the right to restrict the number / type of schemes being offered through this facility.
- **Illustration : Calculation of amount of Timer STP:**

The amount to be transferred on each TSTP date will be determined basis the Equity Margin of Safety Index (EMOSI) level on the date of respective transfer as explained below.

Source : Samco Overnight Fund

Target : Samco Flexi Cap Fund

Date – 10th date

Frequency - Monthly

Base Instalment Amount- Rs. 1,000/-

Number of Instalments - Default i.e. 2099

Investment Date in Source Fund – October 2022

TSTP Initiated from November 10, 2022

a. Calculation of Timer STP instalment amount on the date of the instalment of November 10, 2022:

- If the EMOSI on November 10, 2022, is 115, matrix defines a transfer of 2.75x of the base instalment amount. (1,000 \*2.75), Rs. 2,750 will be transferred to Samco Flexi Cap Fund.

b. Calculation of Timer STP instalment amount on the date of the instalment of December 10, 2022:

- If the EMOSI on December 10, 2022, is 90, matrix defines a transfer of 0.5x of the base instalment amount (1,000\*0.5), Rs. 500 will be transferred to Samco Flexi Cap Fund.

TSTP date	Assumed EMOSI value	Multiplier on Base instalment Amount	Transfer Amount (Rs)
(A)	(B)	(C)	(Rs. 1,000 X Column C)
10-Nov-22	115	2.75x	2,750
10-Dec-22	90	0.50x	500
10-Jan-23	120	3.75x	3,750
10-Feb-23	127	5.15x	5,150
10-Mar-23	150	6.00x	6,000
10-Apr-23	130	5.75x	5,750
10-May-23	119	3.55x	3,550
10-Jun-23	106	1.40x	1,400
10-Jul-23	100	1.00x	1,000
10-Aug-23	95	0.75x	750
10-Sep-23	90	0.50x	500
10-Oct-23	85	0.30x	300
10-Nov-23	60	0.01x	100
10-Dec-23	82	0.18x	180
10-Jan-24	96	0.80x	800

The above table is for illustrative purposes only.



## 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)

Details	UBO1	UBO2	UBO3
Name of UBO			
UBO Code (Refer 3(iv) (A) of Part C)			
Country of Tax residency*			
PAN#			
Address	<input type="text"/> <input type="text"/> Zip <input type="text"/> State <input type="text"/> Country <input type="text"/>	<input type="text"/> <input type="text"/> Zip <input type="text"/> State <input type="text"/> Country <input type="text"/>	<input type="text"/> <input type="text"/> Zip <input type="text"/> State <input type="text"/> Country <input type="text"/>
Address Type	<input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	<input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	<input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office
Tax ID%			
Tax ID Type			
City of Birth			
Country of birth			
Occupation Type	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others <input type="text"/>	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others <input type="text"/>	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others <input type="text"/>
Nationality			
Father's Name			
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others
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  Designation

Date  Place

First / Sole Applicant   
  Second Applicant   
  Third Applicant

**1. Financial Institution (FI)**

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

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

An entity is treated as primarily conducting as a business one or more of the 3 activities described above, or an entity's gross income is primarily attributable to investing, reinvesting, or trading in financial assets of the entity's gross income attributable to the relevant activities equals or exceeds 50 percent of the entity's gross income during the shorter of :

- (i) The three-year period ending on 31 March of the year preceding the year in which the determination is made; or
- (ii) The period during which the entity has been in existence.

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

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

- FI not required to apply for GIIN:

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

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

**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 of which is regularly traded on an established securities market;
- c. Active NFE : (is any one of the following):

Code	Sub-category
01	Less than 50 percent of the NFE's gross income for the preceding financial year is passive income and less than 50 percent of the assets held by the NFE during the preceding financial year are assets that produce or are held for the production of passive income;
02	The NFE is a Governmental Entity, an International Organization, a Central Bank, or an entity wholly owned by one or more of the foregoing;
03	Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an entity shall not qualify for this status if the entity 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;
04	The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFE;
05	The NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution;
06	The NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution;
07	Any NFE that fulfils all of the following requirements: <ul style="list-style-type: none"> <li>• 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;</li> <li>• It is exempt from income tax in India;</li> <li>• It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;</li> </ul> <p>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.</p>

Code	Sub-category
	Explanation - For the purpose of this sub-clause, the following shall be treated as fulfilling the criteria provided in the said sub-clause, namely:- (I) an Investor Protection Fund referred to in clause (23EA); (II) a Credit Guarantee Fund Trust for Small Industries referred to in clause 23EB; and (III) an Investor Protection Fund referred to in clause (23EC), of section 10 of the Act;

### 3. Other Definitions

#### (i) Related entity

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

#### (ii) Passive NFE

The term passive NFE means

- (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) a withholding foreign partnership or withholding foreign trust;

(Note: Foreign persons having controlling interest in a passive NFE are liable to be reported for tax information compliance purposes)

#### (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 trustees, 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 provide 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 identity of the settlor of the trust, the trustee, the protector, the beneficiaries with 15% or more interest in the trust and any other natural person exercising ultimate effective 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.

(A) Controlling Person Type (UBO):			
UBO Code	Sub-category	UBO Code	Sub-category
01	CP of legal person-ownership	08	CP of legal arrangement-trust-other
02	CP of legal person-other means	09	CP of legal arrangement-Other-settlor equivalent
03	CP of legal person-senior managing official	10	CP of legal arrangement-Other-trustee equivalent
04	CP of legal arrangement-trust-settlor	11	CP of legal arrangement-Other-protector equivalent
05	CP of legal arrangement-trust-trustee	12	CP of legal arrangement-Other-beneficiary equivalent
06	CP of legal arrangement-trust-protector	13	CP of legal arrangement-Other-other equivalent
07	CP of legal arrangement-trust-beneficiary		

#### (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 581 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(c) of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code;
- (11) a dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State;
- (12) a broker as defined in section 6045(c) of the U.S. Internal Revenue Code; or
- (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) The designated withholding agent agrees to report to the IRS (or, in the case of a reporting Model 1 IGA, to the relevant foreign government or agency thereof) all of the information described in or (as appropriate) with respect to any specified U.S. persons and (2). Notwithstanding the previous sentence, the designated withholding agent is not required to report information with respect to an indirect owner of the 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.

# DECLARATION FORM OF ULTIMATE BENEFICIAL OWNERSHIP (UBO) / CONTROLLING PERSONS

**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

## 1. Investor details

**Investor Name**  **PAN**

\* If PAN is not available, specify Folio No. (s)

## 2. Category

Our company is a Listed Company on a recognized stock exchange in India / Subsidiary of a or Controlled by a Listed Company  
[If this category is selected, no need to provide UBO details].

**Name of the Stock Exchange where it is listed**  **Security ISIN**

**Name of the Listed Company** (applicable if the investor is subsidiary/associate):   
mandatory in case of Listed company or subsidiary of the Listed Company

Unlisted Company  
  Partnership Firm / LLP  
  Unincorporated association / body of individuals  
  Public Charitable Trust  
 Private Trust  
  Religious Trust  
  Trust created by a Will  
  Others  Please Specify

## 3. UBO / Controlling Person(s) details.

Does your company/entity have any individual person(s) who holds direct / indirect controlling ownership above the prescribed  Yes  No threshold limit?

If 'YES' - We hereby declare that the following individual person holds directly / indirectly controlling ownership in our entity above the prescribed threshold limit. Details of such individual(s) are given below.

If 'NO' - declare that no individual person (directly / indirectly) holds controlling ownership in our entity above the prescribed threshold limit. Details of the individual who holds the position of Senior Managing Official (SMO) are provided below.

	UBO-1 / Senior Managing Official (SMO)	UBO-2	UBO-3
<b>Name of the UBO/SMO</b>			
<b>UBO / SMO PAN.</b> <small>For Foreign National, TIN to be provided]</small>			
<b>% of beneficial interest</b>	>10% controlling interest. <input type="checkbox"/> >15% controlling interest. <input type="checkbox"/> >25% controlling interest. <input type="checkbox"/> NA. (for SMO) <input type="checkbox"/>	>10% controlling interest. <input type="checkbox"/> >15% controlling interest. <input type="checkbox"/> >25% controlling interest. <input type="checkbox"/> NA. (for SMO) <input type="checkbox"/>	>10% controlling interest. <input type="checkbox"/> >15% controlling interest. <input type="checkbox"/> >25% controlling interest. <input type="checkbox"/> NA. (for SMO) <input type="checkbox"/>
<b>UBO / SMO Country of Tax Residency.</b>			
<b>UBO / SMO Taxpayer Identification Number / Equivalent ID Number</b>			
<b>UBO / SMO Identity Type</b>			
<b>UBO / SMO Place &amp; Country of Birth</b>	Place of Birth <input style="width: 80px;" type="text"/> Country of Birth <input style="width: 80px;" type="text"/>	Place of Birth <input style="width: 80px;" type="text"/> Country of Birth <input style="width: 80px;" type="text"/>	Place of Birth <input style="width: 80px;" type="text"/> Country of Birth <input style="width: 80px;" type="text"/>
<b>UBO / SMO Nationality</b>			
<b>UBO / SMO Date of Birth</b> <small>[dd-mmm-yyyy]</small>			
<b>UBO / SMO PEP</b>	Yes – PEP. <input type="checkbox"/> Yes – Related to PEP. <input type="checkbox"/> N – Not a PEP. <input type="checkbox"/>		

<b>UBO / SMO Address [include City, Pincode, State, Country]</b>	Address: <input type="text"/> <input type="text"/> City: <input type="text"/> Pincode: <input type="text"/> State: <input type="text"/> Country: <input type="text"/>	Address: <input type="text"/> <input type="text"/> City: <input type="text"/> Pincode: <input type="text"/> State: <input type="text"/> Country: <input type="text"/>	Address: <input type="text"/> <input type="text"/> City: <input type="text"/> Pincode: <input type="text"/> State: <input type="text"/> Country: <input type="text"/>
<b>UBO / SMO Address Type</b>	Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office. <input type="checkbox"/>		
<b>UBO / SMO Email</b>			
<b>UBO / SMO Mobile</b>			
<b>UBO / SMO Gender</b>	Male <input type="checkbox"/> Female <input type="checkbox"/> Others <input type="checkbox"/>		
<b>UBO / SMO Father's Name</b>			
<b>UBO / SMO Occupation</b>	Public Service <input type="checkbox"/> Private Service <input type="checkbox"/> Business <input type="checkbox"/> Others <input type="checkbox"/>		
<b>UBO / SMO KYC Complied?</b>	Yes / No. If 'Yes,' please attach the KYC acknowledgement. If 'No,' complete the KYC and confirm the status.	Yes / No. If 'Yes,' please attach the KYC acknowledgement. If 'No,' complete the KYC and confirm the status.	Yes / No. If 'Yes,' please attach the KYC acknowledgement. If 'No,' complete the KYC and confirm the status.

Mandatory column.

Note: If the given columns are not sufficient, required information in the given format can be enclosed as additional sheet(s) duly signed by Authorized Signatory.

\* Participating Mutual Fund(s) / RTA may call for additional information/documentation wherever required or if the given information is not clear / incomplete / correct and you may provide the same as and when solicited.

**Declaration**

I/We acknowledge and confirm that the information provided above is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false, untrue, misleading, or misrepresenting, I/We am/are aware that I/We may be liable for it including any penalty levied by the statutory/legal/regulatory authority. I/We hereby confirm the above beneficial interest after perusing all applicable shareholding pattern and MF/RTA/other registered intermediaries can make reliance on the same. I/We hereby authorize you [RTA/Fund/AMC/Other participating entities] to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to any of the Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me/us of the same. Further, I/We authorize to share the given information to other SEBI Registered Intermediaries /or any regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant purposes. I/We also undertake to keep you informed in writing about any changes / modification to the above information in future within 30 days of such changes and undertake to provide any other additional information as may be required at your / Fund's end or by domestic or overseas regulators/ tax authorities.

Signature with relevant seal:

Authorized Signatory	Authorized Signatory	Authorized Signatory
----------------------	----------------------	----------------------

Name <input type="text"/>	Name <input type="text"/>	Name <input type="text"/>
Designation <input type="text"/>	Designation <input type="text"/>	Designation <input type="text"/>
Place <input type="text"/>		
Date <input type="text" value="DD/MM/YYYY"/>		

## Instructions on Controlling Persons / Ultimate Beneficial Owner

As per PMLA guidelines and relevant SEBI circulars issued from time to time, non-individuals and trusts are required to provide details of controlling persons [CP] / ultimate beneficiary owner [UBO] and submit appropriate proof of identity of such CPs/ UBOs. The beneficial owner has been defined in the circular as the natural person or persons, who ultimately own, control or influence a client and/or persons on whose behalf a transaction is being conducted and includes a person who exercises ultimate effective control over a legal person or arrangement.

### A. For Investors other than individuals or trusts:

- i. The identity of the natural person, who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest. Controlling ownership interest means ownership of/entitlement to:
  - more than 10% of shares or capital or profits of the juridical person, where the juridical person is a company.
  - more than 15% of the capital or profits of the juridical person, where the juridical person is a partnership.
  - 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.
- ii. In cases where there exists doubt under clause (i) above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity of the natural person exercising control over the juridical person through other means like through voting rights, agreement, arrangements or in any other manner.
- iii. Where no natural person is identified under clauses (i) or (ii) above, the identity of the relevant natural person who holds the position of senior managing official.

### B. For Investors which is a trust:

The identity of the settler of the trust, the trustee, the protector, the beneficiaries with 10% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

### C. Exemption in case of listed companies / foreign investors

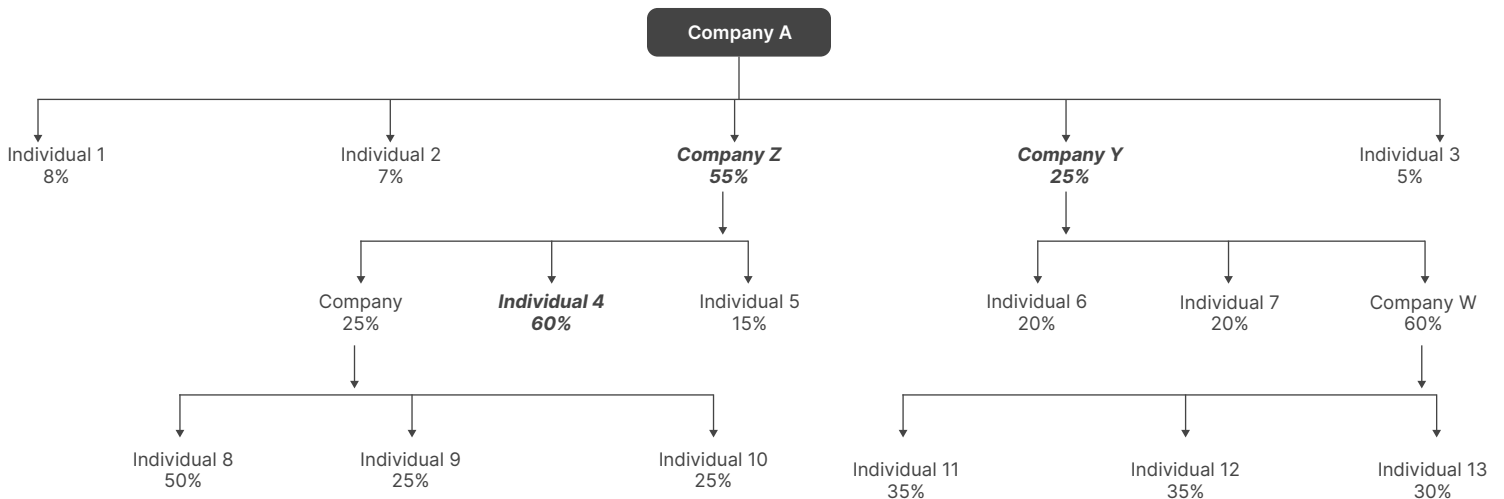
The client or the owner of the controlling interest is a company listed on a stock exchange or is a majority-owned subsidiary of such a company, there is no need for identification and verification of the identity of any shareholder or beneficial owner of such companies and hence exempted from UBO declaration provided other requisite information is provided. Intermediaries dealing with foreign investors viz., Foreign Institutional Investors, Sub Accounts and Qualified Foreign Investors, may be guided by the clarifications issued vide SEBI circular CIR/MIRSD/11/2012 dated September 5, 2012 and other circulars issued from time to time, for the purpose of identification of beneficial ownership of the client.

### D. Exemption in case of listed companies / foreign investors

Beneficial Owner(s) / Senior Managing Official (SMO) is/are required to comply with the prescribed KYC process as stipulated by SEBI from time to time with any one of the KRA & submit the same to AMC. KYC acknowledgement proof is to be submitted for all the UBO(s) / SMO(s).

## Sample Illustrations for ascertaining beneficial ownership:

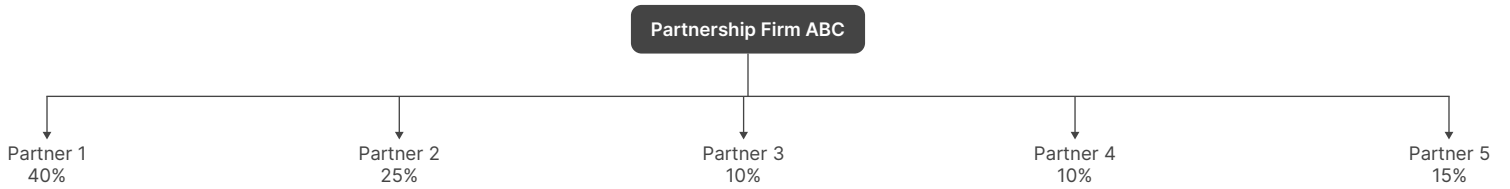
Illustration No. 1 – Company A



For Applicant A, Individual 4 is considered as UBO as it holds effective ownership of 33% in Company A. Hence details of Individual 4 must be provided with KYC proof, Shareholding pattern of Company A, Z & Y to be provided along with details of persons of Company Y who are senior managing officials and those exercising control.



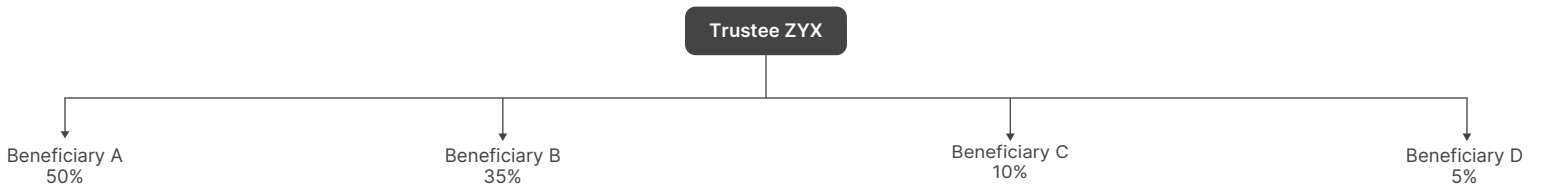
**Illustration No. 2 – Partner ABC**



For Partnership Firm ABC, Partners 1, 2 and 5 are considered as UBO as each of them holds  $\geq 15\%$  of capital. KYC proof of these partners needs to be submitted including shareholding.

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**Illustration No. 3 – Trustee ZYX**



For Trust ZYX, Beneficiaries A, B and C are considered as UBO as they are entitled to get benefitted for  $>10\%$  of funds used. KYC proof for these beneficiaries needs to be submitted. Additionally, if they have nominated any person or group of persons as Settlor of Trust / Protector of Trust, relevant information to be provided along with the proof indicated.



# DECLARATION FORM OF NON-PROFIT ORGANIZATION (NPO)

(Mandatory for Trusts/Society)

**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

## 1. Investor details

**Investor Name**  **PAN**

- I/We hereby confirm that above stated entity / organization is falling under "Non-profit organization" [NPO] which has been constituted for religious or charitable purposes referred to in clause (15) of section 2 of the Income-tax Act, 1961 (43 of 1961), and is registered as a trust or a society under the Societies Registration Act, 1860 (21 of 1860) or any similar State legislation or a Company registered under the section 8 of the Companies Act, 2013 (18 of 2013)
- Enclosed relevant documentary proof evidencing the above definition.

We further confirm that we have registered with DARPAN Portal of NITI Aayog as NPO and registration details are as follows:

**Registration Number of DARPAN portal**

If not, please register immediately and confirm with the above information. In absence of receipt of the Darpan portal registration details, MF/AMC/RTA will be required to register your entity on the said portal and/or report to the relevant authorities as applicable.

- I/We hereby confirm that the above stated entity / organization is NOT falling under Non-profit organization as defined above or in PMLA Act/Rules thereof.

I/We acknowledge and confirm that the information provided above is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/We may be liable for it for any fines or consequences as required under the respective statutory requirements and authorize you to deduct such fines/charges under intimation to me/us or collect such fines/charges in any other manner as might be applicable. I/We hereby authorize you [RTA/Fund/AMC/Other participating entities] to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to any of the Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me/us of the same. Further, I/We authorize to share the given information to other SEBI Registered Intermediaries or any other statutory authorities to facilitate single submission / update & for regulatory purposes. I/We also undertake to keep you informed in writing about any changes / modification to the above information in future within 30 days of such changes and undertake to provide any other additional information as may be required at your / Fund's end or by domestic or overseas regulators/ tax authorities.

Signature with relevant seal:

Authorized Signatory	Authorized Signatory	Authorized Signatory
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**Place**

**Date**

## Investor Service Centers/ Official Point of Acceptance for Samco Mutual Fund

Samco Asset Management Private Limited (AMC), A-1003 Naman Midtown 10th Floor, Prabhadevi (West) Mumbai 400 013.

### Branch Offices of KFin Technologies Private Limited

Kfin Technologies Private Limited - Official Point of Acceptance for Samco Mutual Fund

• **Agartala:** Ols Rms Chowmuhani Mantri Bari Road 1St Floor Near Jana Sevak Saloon Building Traffic Point Tripura West Agartala 799001 • **Agra:** House No. 17/2/4 2nd Floor Deepak Wasan Plaza Behind Hotel Holiday Inn Sanjay Place Agra 282002 • **Ahmedabad:** Office No. 401 On 4Th Floor Abc-I Off. C.G. Road - Ahmedabad 380009 • **Ahmednagar:** Shop no. 2, Plot No. 17, S.no 322, Near Ganesh Colony, Savedi, Ahmednagar - 414001 • **Ajmer:** 302 3Rd Floor Ajmer Auto Building Opposite City Power House Jaipur Road; Ajmer 305001 • **Akola:** Shop No 25 Ground Floor Yamuna Tarang Complex Murtizapur Road N.H. No- 6 Opp Radhakrishna Talkies Akola 444001 • **Aligarh:** 1St Floor Sevti Complex Near Jain Temple Samad Road Aligarh-202001 • **Allahabad:** Meena Bazar 2nd Floor 10 S.P. Marg Civil Lines Subhash Chauraha Prayagraj Allahabad 211001 • **Alwar:** Office Number 137 First Floor Jai Complex Road No-2 Alwar 301001 • **Amaravathi:** Shop No. 21 2nd Floor Gulshan Tower Near Panchsheel Talkies Jaistamb Square Amaravathi 444601 • **Ambala:** 6349 2nd Floor Nicholson Road Adjacent Kos Hospital Ambala Cant Ambala 133001 • **Amritsar:** Sco 5 2nd Floor District Shopping Complex Ranjit Avenue Amritsar 143001 • **Anand:** B-42 Vaibhav Commercial Center Nr Tvs Down Town Show Room Grid Char Rasta Anand 380001 • **Ananthapur:** Kfin Technologies Ltd. #13/4 Vishnupriya Complex Beside Sbi Bank Near Tower Clock Ananthapur-515001. • **Asansol:** 112/N G. T. Road Bhanga Pachil G.T Road Asansol Pin: 713 303; Paschim Bardhaman West Bengal Asansol 713303 • **Aurangabad:** Shop No B 38 Motiwala Trade Center Nirala Bazar Aurangabad 431001 • **Azamgarh:** House No. 290 Ground Floor Civil Lines Near Sahara Office - Azamgarh 276001 • **Balalore:** 1-B. 1St Floor Kalinga Hotel Lane Baleshwar Baleshwar Sadar Balasore 756001 • **Bangalore:** No 35 Puttanna Road Basavanagudi Bangalore 560004 • **Bankura:** Plot Nos- 80/1/Anatunchati Mahalla 3Rd Floor Ward No-24 Opposite P.C Chandra Bankura Town Bankura 722101 • **Bareilly:** 1St Floorrear Sidea -Square Building 54-Civil Lines Ayub Khan Chauraha Bareilly 243001 • **Baroda:** 1St Floor 125 Kanha Capital Opp. Express Hotel R C Dutt Road Alkapuri Vadodara 390007 • **Begusarai:** C/O Dr Hazari Prasad Sahu Ward No 13 Behind Alka Cinema Begusarai (Bihar) Begusarai 851117 • **Belgaum:** Premises No.101 Cts No.1893 Shree Guru Darshani Tower Anandwadi Hindwadi Belgaum 590011 • **Bellary:** Ground Floor 3Rd Office Near Womens College Road Beside Amruth Diagnostic Shanthi Archade Bellary 583103 • **Berhampur (Or):** Opp Divya Nandan Kalyan Mandap 3Rd Lane Dharam Nagar Near Lohiya Motor Berhampur (Or) 760001 • **Bhagalpur:** 2nd Floor Chandralok Complexghantagar Radha Rani Sinha Road Bhagalpur 812001 • **Bharuch:** 123 Nexus Business Hub Near Gangotri Hotel B/S Rajeshwari Petroleum Makampur Road Bharuch 392001 • **Bhatinda:** Mcb -Z-3-01043 2 Floor Goniana Road Opporite Nippon India Mf Gt Road Near Hanuman Chowk Bhatinda 151001 • **Bhavnagar:** 303 Sterling Point Waghawadi Road - Bhavnagar 364001 • **Bhilai:** Office No.2 1St Floor Plot No. 9/6 Nehru Nagar [East] Bhilai 490020 • **Bhilwara:** Office No. 14 B Prem Bhawan Pur Road Gandhi Nagar Near Canarabank Bhilwara 311001 • **Bhopal:** Sf-13 Gurukripa Plaza Plot No. 48A Opposite City Hospital Zone-2 M P Nagar Bhopal 462011 • **Bhubaneswar:** A/181 Back Side Of Shivam Honda Show Room Saheed Nagar - Bhubaneswar 751007 • **Bikaner:** 70-71 2nd Floor | Dr.Chahar Building Panchsati Circle Sadul Ganj Bikaner 334003 • **Bilaspur:** Shop.No.306 3Rd Floor Anandam Plaza Vyapar Vihar Main Road Bilaspur 495001 • **Bokaro:** City Centre Plot No. He-07 Sector-Iv Bokaro Steel City Bokaro 827004 • **Borivali:** Gomati Smutigrround Floor Jambli Gully Near Railway Station Borivali Mumbai 400 092 • **Burdwan:** Saluja Complex; 846 Laxmipur G T Road Burdwan; Ps: Burdwan & Dist: Burdwan-East Pin: 713101 • **Calicut:** Second Floor Manimuriyil Centre Bank Road Kasaba Village Calicut 673001 • **Chandigarh:** First Floor Sco 2469-70 Sec. 22-C - Chandigarh 160022 • **Chandrapur:** 2nd Floor, Raghuwanshi Complex, Near Azad Garden, Chandrapur, Maharashtra-44240 • **Chennai:** 9Th Floor Capital Towers 180 Kodambakkam High Road Nungambakkam | Chennai - 600 034 • **Chinsura:** No : 96 Po: Chinsurah Doctors Lane Chinsurah 712101 • **Cochin:** Door No: 61/2784, Second floor, Sreelakshmi Tower, Chittoor Road, Ravipuram, Ernakulam-Kerala-682015 • **Coimbatore:** 3Rd Floor Jaya Enclave 1057 Avinashi Road - Coimbatore 641018 • **Cuttack:** Shop No-45 2nd Floor Netaji Subas Bose Arcade (Big Bazar Building) Adjusent To Reliance Trends Dargha Bazar Cuttack 753001 • **Darbhanga:** 2nd Floor Raj Complex Near Poor Home Darbhanga - 846004 • **Davangere:** D.No 162/6 1St Floor 3Rd Main P J Extension Davangere Taluk Davangere Manda Davangere 577002 • **Dehradun:** Shop No-809/799 Street No-2 A Rajendra Nagar Near Sheesha Lounge Kaulagarh Road Dehradun-248001 • **Deoria:** K. K. Plaza Above Apurwa Sweets Civil Lines Road Deoria 274001 • **Dhanbad:** 208 New Market 2nd Floor Bank More - Dhanbad 826001 • **Dhule:** Ground Floor Ideal Laundry Lane No 4 Khol Galli Near Muthoot Finance Opp Bhavasar General Store Dhule 424001 • **Durgapur:** Mwav-16 Bengal Ambuja 2nd Floor City Centre Distt. Burdwan Durgapur-16 Durgapur 713216 • **Erode:** Address No 38/1 Ground Floor Sathy Road (Vctv Main Road) Sorna Krishna Complex Erode 638003 • **Faridabad:** A-2B 2nd Floor Neelam Bata Road Peer Ki Mazar Nehru Groundnit Faridabad 121001 • **Ferozpur:** The Mall Road Chawla Bulding 1st Floor Opp. Centrail Jail Near Hanuman Mandir Ferozpur 152002 • **Gandhidham:** Shop # 12 Shree Ambica Arcade Plot # 300 Ward 12. Opp. Cg High School Near Hdfe Bank Gandhidham 370201 • **Gandhinagar:** Suyesh solitaire, Nr. Podar International School, Kudasam, Gandhinagar-382421 Gujarat • **Gaya:** Property No. 711045129 Ground Floorhotel Skylark Swaraipuri Road - Gaya 823001 • **Ghatkopar:** 11/Platinum Mall, Jawahar Road, Ghatkopar (East), Mumbai 400077 • **Ghaziabad:** Ff- 31 Konark Building Rajnagar - Ghaziabad 201001 • **Ghaziipur:** House No. 148/19 Mahua Bagh Raini Katra- Ghaziipur 233001 • **Gonda:** H No 782 Shiv Sadan Iti Road Near Raghukul Vidyapeeth Civil Lines Gonda 271001 • **Gorakhpur:** Shop No 8 & 9 4Th Floor Cross Road The Mall Bank Road Gorakhpur - 273001 • **Gulbarga:** H No 2-231 Krishna Complex 2nd Floor Opp. Municipal Corporation Office Jagat Station Main Road Kalaburagi Gulbarga 585105 • **Guntur:** 2nd Shatter 1St Floor Hno. 6-14-48 14/2 Lane Arundal Pet Guntur 522002 • **Gurgaon:** No: 212A 2nd Floor Vipul Agora M. G. Road - Gurgaon 122001 • **Guwahati:** Ganapati Enclave 4Th Floor Opposite Bora Service Ullubari Guwahati Assam 781007 • **Gwalior:** City Centre Near Axis Bank - Gwalior 474011 • **Haldwani:** Shoop No 5 Kmvn Shoping Complex - Haldwani 263139 • **Haridwar:** Shop No. - 17 Bhatia Complex Near Jamuna Palace Haridwar 249410 • **Hassan:** Sas No: 490 Hemadri Arcade 2nd Main Road Salgame Road Near Brahmins Boys Hostel Hassan 573201 • **Hissar:** Shop No. 20 Ground Floor R D City Centre Railway Road Hissar 125001 • **Hoshiarpur:** Unit # Sf-6 The Mall Complex 2nd Floor Opposite Kapila Hospital Sutheri Road Hoshiarpur 146001 • **Hubli:** R R Mahalaxmi Mansion Above Indusind Bank 2nd Floor Desai Cross Pinto Road Hubballi 580029 • **Hyderabad:** No: 303 Vamsee Estates Opp: Bigbazaar Ameerpet Hyderabad 500016 • **Hyderabad(Gachibowli):** Selenium Plot No: 31 & 32 Tower B Survey No.115/22 115/24 115/25 Financial District Gachibowli Nanakramguda Serilingampally Mandal Hyderabad 500032 • **Indore:** Kfin Technologies Ltd. 101 Diamond Trade Center 3-4 Diamond Colony New Palasia Above Khurana Bakery Indore • **Jabalpur:** 2nd Floor 290/1 (615-New) Near Bhavartal Garden Jabalpur - 482001 • **Jaipur:** Office No 101 1St Floor Okay Plus Tower Next To Kalyan Jewellers Government Hostel Circle Ajmer Road Jaipur 302001 • **Jalandhar:** Office No 7 3Rd Floor City Square Building E-H197 Civil Line Next To Kalyan Jewellers Jalandhar 144001 • **Jalgaon:** 3Rd Floor 269 Jaee Plaza Baliram Peth Near Kishore Agencies Jalgaon 425001 • **Jalpaiguri:** D B C Road Opp Nirala Hotel Opp Nirala Hotel Opp Nirala Hotel Jalpaiguri 735101 • **Jammu:** Kfin Technologies.Ltd 1D/D Extension 2 Valmiki Chowk Gandhi Nagar Jammu 180004 State - J&K • **Jamnagar:** 131 Madhav Plaza Opp Sbi Bank Nr Lal Bungalow Jamnagar 361008 • **Jamshedpur:** Madhukunj 3Rd Floor Q Road Sakchi Bistupur East Singhbhum Jamshedpur 831001 • **Jhansi:** 1St Floor Puja Tower Near 48 Chambers Elite

Crossing Jhansi 284001 • **Jodhpur**: Shop No. 6 Gang Tower G Floor Opposite Arora Moter Service Centre Near Bombay Moter Circle Jodhpur 342003 • **Junagadh**: Shop No. 201 2nd Floor V-Arcade Complex Near Vanzari Chowk M.G. Road Junagadh 362001 • **Kalyan**: Seasons Business Centre, 104 / 1st Floor, Shivaji Chowk, Opposite KDMC (Kalyan Dombivali Mahanagar Corporation) Kalyan - 421301 • **Kalyani**: Ground Floor, H No B-7/27S, Kalyani, Kalyani HO, Nadia, West Bengal - 741235 • **Kannur**: 2nd Floor Global Village Bank Road Kannur 670001 • **Kanpur**: 15/46 B Ground Floor Opp: Muir Mills Civil Lines Kanpur 208001 • **Karimnagar**: 2nd Shutterhno. 7-2-607 Sri Matha Complex Mankammathota - Karimnagar 505001 • **Karnal**: 3 Randhir Colony Near Doctor J.C. Bathla Hospital Karnal (Haryana) 132001 • **Karur**: No 88/11 Bb Plaza Nrmp Street K S Mess Back Side Karur 639002 • **Khammam**: 11-4-3/3 Shop No. S-9 1St Floor Srivenkata Sairam Arcade Old Cpi Office Near Priyadarshini Collegenehru Nagar Khammam 507002 • **Kharagpur**: Holding No 254/220 Sbi Building Malancha Road Ward No.16 Po: Kharagpur Ps: Kharagpur Dist: Paschim Medinipur Kharagpur 721304 • **Kolhapur**: 605/1/4 E Ward Shahupuri 2nd Lane Laxmi Niwas Near Sultane Chambers Kolhapur 416001 • **Kolkata**: 2/1 Russel Street 4Thfloor Kankaria Centre Kolkata 70001 Wb • **Kollam**: Sree Vigneswara Bhavan Shastri Junction Kollam - 691001 • **Korba**: Office No.202, 2nd floor, ICRC, QUBE, 97, T.P. Nagar, Korba -495677 • **Kota**: D-8 Shri Ram Complex Opposite Multi Purpose School Gumanpur Kota 324007 • **Kottayam**: 1St Floor Csiascension Square Railway Station Road Collectorate P O Kottayam 686002 • **Kurnool**: Shop No: 47 2nd Floor S Komda Shopping Mall Kurnool 518001 • **Lucknow**: Ist Floor A. A. Complex 5 Park Road Hazratganj Thaper House Lucknow 226001 • **Ludhiana**: Sco 122 Second Floor Above Hdcc Mutual Fun Feroze Gandhi Market Ludhiana 141001 • **Madurai**: No. G-16/17 Ar Plaza 1St Floor North Veli Street Madurai 625001 • **Malda**: Ram Krishna Pally; Ground Floor English Bazar - Malda 732101 • **Mandi**: House No. 99/11 3Rd Floor Opposite Gss Boy School School Bazar Mandi 175001 • **Mangalore**: Shop No - 305 Marian Paradise Plaza 3Rd Floor Bunts Hostel Road Mangalore - 575003 Dakshina Kannada Karnataka • **Margoa**: Shop No 21 Osia Mall 1St Floor Near Ktc Bus Stand Sgdpa Market Complex Margao - 403601 • **Mathura**: Shop No. 9 Ground Floor Vihari Lal Plaza Opposite Brijwasi Centrum Near New Bus Stand Mathura 281001 • **Meerut**: Shop No: - 111 First Floor Shivam Plaza Near Canara Bank Opposite Eves Petrol Pump Meerut-250001 Uttar Pradesh India • **Mehsana**: Ff-21 Someshwar Shopping Mall Modhera Char Rasta - Mehsana 384002 • **Mirzapur**: Triveni Campus Near Sbi Life Ratanganj Mirzapur 231001 • **Moga**: 1St Floordutt Road Mandir Wali Gali Civil Lines Barat Ghar Moga 142001 • **Moradabad**: Chadha Complex G. M. D. Road Near Tadi Khana Chowk Moradabad 244001 • **Morena**: House No. Hig 959 Near Court Front Of Dr. Lal Lab Old Housing Board Colony Morena 476001 • **Mumbai**: 6/8 Ground Floor Crossley House Near Bse ( Bombay Stock Exchange) Next Union Bank Fort Mumbai - 400 001 • **Muzaffarpur**: First Floor Saroj Complex Diwam Road Near Kalyani Chowk Muzaffarpur 842001 • **Mysore**: No 2924 2nd Floor 1St Main 5Th Cross Saraswathi Puram Mysore 570009 • **Nadiad**: 311-3Rd Floor City Center Near Paras Circle - Nadiad 387001 • **Nagercoil**: Hno 45 1St Floor East Car Street Nagercoil 629001 • **Nagpur**: Plot No. 2 Block No. B / 1 & 2 Shree Apratind Khare Town Mata Mandir Road Dharampeth Nagpur 440010 • **Nanded**: Shop No.4 Santakripa Market G G Road Opp.Bank Of India Nanded 431601 • **Nasik**: S-9 Second Floor Suyojit Sankul Sharanpur Road Nasik 422002 • **Navsari**: 103 1St Floore Landmark Mall Near Sayaji Library Navsari Gujarat Navsari 396445 • **Nellore**: 24-6-326/1, Ibaco Building 4th Floor, Grand Truck road, Beside Hotel Minerva, Saraswathi Nagar, Dargamitta Nellore - 524003 • **New Delhi**: 305 New Delhi House 27 Barakhamba Road - New Delhi 110001 • **Noida**: F-21 2nd Floor Near Kalyan Jewelers Sector-18 Noida 201301 • **Palghat**: No: 20 & 21 Metro Complex H.P.O.Road Palakkad H.P.O.Road Palakkad 678001 • **Panipat**: Shop No. 20 1St Floor Bmk Market Behind Hive Hotel G.T.Road Panipat-132103 Haryana • **Panjim**: H. No: T-9 T-10 Affran Plaza 3Rd Floor Near Don Bosco High School Panjim 403001 • **Pathankot**: 2nd Floor Sahni Arcade Complex Adj.Indra Colony Gate Railway Road Pathankot Pathankot 145001 • **Patiala**: B- 17/423 Lower Mall Patiala Opp Modi College Patiala 147001 • **Patna**: 3A 3Rd Floor Anand Tower Exhibition Road Opp Icici Bank Patna 800001 • **Pondicherry**: No 122(10B) Muthumariamman Koil Street - Pondicherry 605001 • **Pune**: Office # 207-210 Second Floor Kamla Arcade Jm Road. Opposite Balgandharva Shivaji Nagar Pune 411005 • **Raipur**: Office No S-13 Second Floor Reheja Tower Fafadih Chowk Jail Road Raipur 492001 • **Rajahmundry**: No. 46-23-10/A Tirumala Arcade 2nd Floor Ganuga Veedhi Danavaipeta Rajahmundry East Godavari Dist Ap - 533103 • **Rajkot**: 302 Metro Plaza Near Moti Tanki Chowk Rajkot Rajkot Gujarat 360001 • **Ranchi**: Room no 103, 1st Floor, Commerce Tower, Beside Mahabir Tower, Main Road, Ranchi -834001 • **Ratlam**: 106 Rajaswa Colony, Near Sailana Bus Stand, Ratlam (M.P.) 457001 • **Rewa**: Shop No. 2 Shree Sai Anmol Complex Ground Floor Opp Teerth Memorial Hospital Rewa 486001 • **Rohtak**: Office No: - 61 First Floor Ashoka Plaza Delhi Road Rohtak 124001 • **Roorkee**: Shree Ashadeep Complex 16 Civil Lines Near Income Tax Office Roorkee 247667 • **Rourkela**: 2nd Floor Main Road Udit Nagar Sundargarh Rourekla 769012 • **Sagar**: 1st Floor Above Shiva Kanch Mandir. 5 Civil Lines Sagar Sagar 470002 • **Saharanpur**: Ist Floor, Krishna Complex, Opp. Hathi Gate, Court Road, Saharanpur, Uttar Pradesh, Pincode 247001 • **Salem**: No.6 Ns Complex Omalur Main Road Salem 636009 • **Sambalpur**: First Floor; Shop No. 219 Sahej Plaza Golebazar; Sambalpur Sambalpur 768001 • **Satara**: G7, 465 A, Govind Park Satar Bazaar, Satara - 415001 • **Satna**: 1St Floor Gopal Complex Near Bus Stand Rewa Roa Satna 485001 • **Shillong**: Annex Mani Bhawan Lower Thana Road Near R K M Lp School Shillong 793001 • **Shimla**: 1St Floor Hills View Complex Near Tara Hall Shimla 171001 • **Shimoga**: Jayarama Nilaya 2nd Corss Mission Compound Shimoga 577201 • **Shivpuri**: A. B. Road In Front Of Sawarkar Park Near Hotel Vanasthali Shivpuri 473551 • **Sikar**: First Floorsuper Tower Behind Ram Mandir Near Taparya Bagichi - Sikar 332001 • **Silchar**: N.N. Dutta Road Chowchakra Complex Premtala Silchar 788001 • **Siliguri**: Nanak Complex 2nd Floor Sevoke Road - Siliguri 734001 • **Solan**: Disha Complex 1St Floor Above Axis Bank Rajgarh Road Solan 173212 • **Solapur**: Shop No 106. Krishna Complex 477 Dakshin Kasaba Datta Chowk Solapur-413007 • **Sonepat**: Shop No. 205 Pp Tower Opp Income Tax Office Subhash Chowk Sonepat. 131001. • **Sri Ganganagar**: Address Shop No. 5 Opposite Bihani Petrol Pump Nh - 15 Near Baba Ramdev Mandir Sri Ganganagar 335001 • **Srikakulam**: D No 4-4-97 First Floor Behind Sri Vijayaganapathi Temple Pedda Relli Veedhi Palakonda Road Srikakulam 532001 • **Sultanpur**: 1St Floor Ramashanker Market Civil Line - Sultanpur 228001 • **Surat**: Ground Floor Empire State Building Near Udhna Darwaja Ring Road Surat 395002 • **Thane**: Room No. 302 3Rd Floorganga Prasad Near Rbl Bank Ltd Ram Maruti Cross Roadnaupada Thane West Mumbai 400602 • **Tinsukia**: 3rd Floor, Chirwapatty Road, Tinsukia-786125, Assam • **Tirunelveli**: 55/18 Jeney Building 2nd Floor S N Road Near Aravind Eye Hospital Tirunelveli 627001 • **Tirupathi**: Shop No: 18-1-421/F1 City Center K.T.Road Airtel Backside Office Tirupathi - 517501 • **Tiruvalla**: 2nd Floorerinjery Complex Ramanchira Opp Axis Bank Tiruvalla 689107 • **Trichur**: 4Th Floor Crown Tower Shakthan Nagar Opp. Head Post Office Thrissur 680001 • **Trichy**: No 23C/1 E V R Road Near Vekkaliyaman Kalyana Mandapam Putthur - Trichy 620017 • **Trivandrum**: 1St Floor Marvel Building Opp SI Electricals Uppalam Road Statue Po Thiruvandrum 695001 • **Tuticorin**: 4 - B A34 - A37 Mangalmal Mani Nagar Opp. Rajaji Park Palayamkottai Road Tuticorin 628003 • **Udaipur**: Shop No. 202 2nd Floor Business Centre 1C Madhuvan Opp G P O Chetak Circle Udaipur 313001 • **Ujjain**: Heritage Shop No. 227 87 Vishvavidhyalaya Marg Station Road Near Icici Bank Above Vishal Megha Mart Ujjain 456001 • **Valsad**: 406 Dreamland Arcade Opp Jade Blue Tithal Road Valsad 396001 • **Vapi**: A-8 Second Floor Solitaire Business Centre Opp Dcb Bank Gidc Char Rasta Silvassa Road Vapi 396191 • **Varanasi**: D-64/132 Ka 2nd Floor Anant Complex Sigra Varanasi 221010 • **Vashi**: Vashi Plaza Shop No. 324 C Wing 1St Floor Sector 17 Vashi Mumbai 400705 • **Vellore**: No 2/19 1St Floor Vellore City Centre Anna Salai Vellore 632001 • **Vijayawada**: Hno26-23 1St Floor Sundarammastreet Gandhinagar Krishna Vijayawada 520010 • **Vile Parle**: Shop No.1 Ground Floor Dipti Jyothi Co-Operative Housing Society Near Mtnl Office P M Road Vile Parle East 400057 • **Visakhapatnam**: Dno : 48-10-40 Ground Floor Surya Ratna Arcade Srinagar Opp Roadto Lalitha Jeweller Showroom Beside Taj Hotel Ladge Visakhapatnam 530016 • **Warangal**: Shop No22 Ground Floor Warangal City Center 15-1-237 Mulugu Road Junction Warangal 506002 • **Yamuna Nagar**: B-V 185/A 2nd Floor Jagadri Road Near Dav Girls College (Uco Bank Building) Pyara Chowk - Yamuna Nagar 135001



### **Samco Mutual Fund**

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