

# COMMON APPLICATION FORM

Bharti AXA Liquid Fund, Bharti AXA Treasury Advantage Fund  
Bharti AXA Short Term Income Fund and Bharti AXA Regular Return Fund



PLEASE FILL ALL FIELDS WITH BLACK BALL POINT, IN BLOCK LETTERS AND COMPLETE MANDATORY (MARKED\*) FIELDS

Application No: \_\_\_\_\_

Please read the instructions carefully, before filling up the application form.

<b>1. DISTRIBUTOR INFORMATION</b> (Refer Instruction No. 1)			<b>FOR OFFICE USE ONLY</b>	
Name & Agent Code ARN-0032	Sub-Agent Name & Code	Bank/Branch Name & Serial No.	Registrar Serial No.	Date/Time of Receipt
<b>Upfront commission shall be paid directly by the investor to the AMFI registered Distributors based on the investors' assessment of various factors including services rendered by the distributor.</b>				
<b>2. INFORMATION OF EXISTING INVESTOR</b> (For existing Investors / Zero Balance Folio Holders, please mention the Folio Number & go directly to Section 7 (Scheme Details). Note that Applicant Details and Mode of Holding will be as per existing Folio Number) (Refer Instruction No 2 )				
Folio No. / ZERO Balance Folio Number			(*Mandatory for all investors)	
<b>3. APPLICANT INFORMATION</b> (Refer Instruction No. 3)				
Name of Sole /First Applicant <input type="checkbox"/> Mr. <input type="checkbox"/> Ms. <input type="checkbox"/> M/s.		Date of Birth		
F I R S T N A M E		M I D D L E N A M E		L A S T N A M E
Documents Enclosed <sup>A</sup> <input type="checkbox"/> Micro SIP <input type="checkbox"/> PAN Proof <input type="checkbox"/> KYC <sup>C</sup> PAN* _____				
Name of Second Applicant <input type="checkbox"/> Mr. <input type="checkbox"/> Ms. <input type="checkbox"/> M/s.		Date of Birth		
F I R S T N A M E		M I D D L E N A M E		L A S T N A M E
Documents Enclosed <sup>A</sup> <input type="checkbox"/> Micro SIP <input type="checkbox"/> PAN Proof <input type="checkbox"/> KYC <sup>C</sup> PAN* _____				
Name of Third Applicant <input type="checkbox"/> Mr. <input type="checkbox"/> Ms. <input type="checkbox"/> M/s.		Date of Birth		
F I R S T N A M E		M I D D L E N A M E		L A S T N A M E
Documents Enclosed <sup>A</sup> <input type="checkbox"/> Micro SIP <input type="checkbox"/> PAN Proof <input type="checkbox"/> KYC <sup>C</sup> PAN* _____				
Name of Guardian/Contact Person <sup>B</sup> Relationship with MINOR		Guardian's Date of Birth		
F I R S T N A M E		M I D D L E N A M E		L A S T N A M E
Documents Enclosed <sup>A</sup> <input type="checkbox"/> Micro SIP <input type="checkbox"/> PAN Proof <input type="checkbox"/> KYC <sup>C</sup> PAN* _____				
<sup>B</sup> Please mention the contact person in case of Non-individual <sup>C</sup> KYC - Mandatory for investments of Rs. 50,000/- and above, for certain category of investors, mandatory irrespective of transaction value (Refer Instruction No. 12) <sup>A</sup> For Micro SIP refer Point No. 6 and 7				
Mode of Holding <input type="checkbox"/> Single <input type="checkbox"/> Joint <input type="checkbox"/> Anyone or Survivor				
Status <input type="checkbox"/> Resident individual <input type="checkbox"/> NRI/PIO <input type="checkbox"/> Company / Body Corporate <input type="checkbox"/> Trust <input type="checkbox"/> Listed Company <input type="checkbox"/> Partnership <input type="checkbox"/> Flls <input type="checkbox"/> Bank / FI <input type="checkbox"/> AOP / BOI <input type="checkbox"/> Club / Society <input type="checkbox"/> Minor <input type="checkbox"/> NGO <input type="checkbox"/> Defence Establishment <input type="checkbox"/> Government Body <input type="checkbox"/> HUF <input type="checkbox"/> Others _____				
Occupation <input type="checkbox"/> Private Sector Service <input type="checkbox"/> Public Sector / Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Others _____				

<b>4. FIRST APPLICANT'S CONTACT INFORMATION</b> (Refer Instruction No. 4)														
Correspondence Address of Sole/First Applicant (P.O. Box alone may not be sufficient)														
<table style="width:100%; border-collapse: collapse;"> <tr> <td style="width:20%; border-bottom: 1px solid black;"> </td> <td style="width:20%; border-bottom: 1px solid black;"> </td> <td style="width:20%; border-bottom: 1px solid black;"> </td> <td style="width:20%; border-bottom: 1px solid black;"> </td> <td style="width:20%; border-bottom: 1px solid black;"> </td> </tr> <tr> <td style="border-bottom: 1px solid black;">City</td> <td style="border-bottom: 1px solid black;">State</td> <td colspan="3" style="border-bottom: 1px solid black;">Pin code</td> </tr> </table>										City	State	Pin code		
City	State	Pin code												
Overseas Address # (mandatory for NRI/FII applicant). (P.O. Box alone may not be sufficient)														
<table style="width:100%; border-collapse: collapse;"> <tr> <td style="width:20%; border-bottom: 1px solid black;"> </td> <td style="width:20%; border-bottom: 1px solid black;"> </td> <td style="width:20%; border-bottom: 1px solid black;"> </td> <td style="width:20%; border-bottom: 1px solid black;"> </td> <td style="width:20%; border-bottom: 1px solid black;"> </td> </tr> <tr> <td style="border-bottom: 1px solid black;">City</td> <td style="border-bottom: 1px solid black;">Country</td> <td colspan="3" style="border-bottom: 1px solid black;">Pin code</td> </tr> </table>										City	Country	Pin code		
City	Country	Pin code												
<sup>#</sup> Document proof for foreign address to be provided (self certified copy of bank account statement/Passbook will serve as proof of address. Incase the documents are in foreign language, the same to be translated to English and certified by Govt. authorities in the country of residence or the Indian Embassy.														
Contact Details	Tel No. STD Code	Res.	Off.	Fax										
1 <sup>st</sup> Applicant	Mobile No. <sup>#</sup>		Email ID <sup>*</sup>											
2 <sup>nd</sup> Applicant	Mobile No. <sup>#</sup>		Email ID <sup>*</sup>											
3 <sup>rd</sup> Applicant	Mobile No. <sup>#</sup>		Email ID <sup>*</sup>											
<sup>#</sup> Mobile number is mandatory to enable us to communicate with you better <span style="float: right;"><sup>*</sup>Email ID compulsory for ECO Plan</span>														

<b>5. EMAIL COMMUNICATION INFORMATION</b> (Refer Instruction No. 5)				
I/We wish to receive the following document(s) via e-mail in lieu of physical document(s) [Please ( )]		<input type="checkbox"/> Account Statement <input type="checkbox"/> News Letter <input type="checkbox"/> Annual Report <input type="checkbox"/> Other Statutory Information		
<b>PERSONAL IDENTIFICATION NUMBER (PIN)</b> (Please ✓)				
<input type="checkbox"/> I would like to apply for a PIN <sup>B</sup> (PIN will allow you to access your account / transact online subject to the Terms & Conditions for online transaction facility given in this form / as available on the AMC website from time to time. Please sign on the PIN Agreement Form attached and submit it alongwith this Common Application Form.				

<p><b>Investment Managers</b></p> <p><b>ACKNOWLEDGEMENT SLIP</b> (To be filled in by the investor)</p> <p>Received from: Mr. / Ms. / M/s _____ an application for allotment of units under Scheme _____, Plan _____, Option _____</p> <p>Cheque/DD No _____ Dated ____/____/____</p> <p>Amount (Rs.) _____ Drawn on Bank and Branch _____</p> <p>Checklist <input type="checkbox"/> Investment Details <input type="checkbox"/> Bank Mandate <input type="checkbox"/> Attested PAN Card Copy <input type="checkbox"/> KYC Details</p> <p><i>Please note: All purchases are subject to realization of cheques/Demand Drafts and subject to the terms and conditions of relevant Scheme Information Document and Statement of Additional Information.</i></p>	<p>Application No: _____</p> <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p>Collection Centre's Stamp &amp; Receipt Date and Time</p>    </div>
---	--

**6. BANK ACCOUNT DETAILS (\* Mandatory - If left blank, Application will be rejected) (Refer Instruction No. 6)**

A/c Type [please ]  Saving  Current  NRO  NRE  FCNR  Others (Please Specify) \_\_\_\_\_

Bank Name

Account No

Branch  City  Pin

IFSC Code\*  (mandatory for credit via NEFT/RTGS) (11 Character code appearing on your cheque leaf.)

MICR Code\*  (9 Digit No. next to your Cheque Number) **(Please attach blank cancelled cheque/Copy of cheque)**

Direct credit facility is available for redemption/dividend proceeds for investors having HDFC Bank Account.

**IN CASE INVESTOR WISH TO RECEIVE A CHEQUE**  
 (instead of a direct credit into their bank account), please indicate the preference below:  
 I/We want to receive the redemption and dividend proceeds (if any) by way of a cheque.  please (

**7. SCHEME DETAILS (Refer Instruction No. 7)**

Scheme Name : \_\_\_\_\_

Investment In	Plan	In case of Dividend Option	
		Option	Dividend Sub-Option
<input type="checkbox"/> Lumpsum <input type="checkbox"/> SIP (please fill the SIP Form)			

**8. DIVIDEND TRANSFER FACILITY (Please to select this facility) (Refer Instruction No. 8)**

This facility is available only under Dividend Payout option if the unit holder chooses to transfer the amount of the dividend receivable by them into any of the open ended schemes.

**9. INVESTMENT & PAYMENT DETAILS (Refer Instruction No 9)**

Investment Amount  DD Charges  Net Amount

Cheque/DD No  Cheque/DD Date  Drawn on Bank

Branch Name  A/c Type [please ]  Saving  Current  NRO  NRE  FCNR

**• Third Party & O/S cheques will not be accepted and transaction is liable to be rejected. Separate cheque/demand draft is required for investment in each plan of a scheme.**

**10. NOMINATION DETAILS (Please ignore this section if you do not wish to nominate) (Refer Instruction No. 10)**

Name & Address of Nominee(s)	Date of Birth	Name & Address of the Guardian	Signature of Guardian	Proportion (%) by which the unit will be shared by each Nominee (should aggregate to 100%)
1.				
2.				
3.				

**11. DECLARATION AND SIGNATURE(S) (Refer Instruction No. 11)**

I/We have read and understood the contents of the Scheme Information Document and Statement of Additional Information of Bharti AXA Mutual Fund including the section on "Who cannot invest" and "Prevention of Money Laundering". I/We hereby apply for Allotment/Purchase of Units in the Scheme and agree to abide by the terms and conditions applicable thereto. I/We hereby declare that I/We am /are authorised to make this investment and that the amount invested in the Scheme is through legitimate sources only and does not involve and is not designed for the purpose of any contravention or evasion of any Act, Rules, Regulations, Notifications or Directions issued by any regulatory authority in India. I/We hereby authorise Bharti AXA Mutual Fund, its Investment Manager and its agents to disclose details of my investment to my bank(s)/Bharti AXA Mutual Fund's bank(s) and /or Distributor /Broker / Investment Advisor. I/We have neither received nor been induced by any rebate or gifts, directly or indirectly, in making this investment. I/We declare that the information given in this application form is correct, complete and truly stated.

**Applicable to NRI only:** I/We confirm that I am/we are Non-Resident Indian/Person of Indian Origin and that I/We have remitted funds from abroad through approved banking channels or from funds in my/our NRE/NRO/FCNR Account. I/We undertake that all additional purchases made under this Folio will also be from funds received from abroad through approved banking channels or from funds in my/our NRE/NRO/FCNR Account.

DATE

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.

**SIGNATURE(S)**

Sole/1 <sup>st</sup> applicant/Guardian/Authorised Signatory/POA	2 <sup>nd</sup> applicant/Guardian/Authorised Signatory/POA	3 <sup>rd</sup> applicant/Guardian/Authorised Signatory/POA
--	---	---

**CHECKLIST** (Please submit the following documents with your application (where applicable). All documents should be original/true copies Certified by a Director/Trustee /Company Secretary /Authorised signatory / Notary Public.)

Documents	Ind	Co.	Soc.	Partnership Firms	Investment through POA	Trusts	NRI
PAN Card (not required for Micro SIP)							
KYC Acknowledgement*							
Resolution/ Authorisation to invest							
List of authorised signatories with specimen signatures							
Memorandum & Articles of Association							
Trust Deed							
Bye-laws							
Partnership Deed							
Notorised POA (signed by investor and POA Holder)							

\*Please refer instruction no. 12 for further details

**For more information visit us at**  
**www.bharti-axa-im.com**

**Email us at**  
**service@bharti-axa-im.com**

**Call us at (Toll Free) | Alternate Number**  
**1-800-1032-263 | 020-4011 2300**

# SPECIAL PRODUCTS APPLICATION FORM (SIP-PDC/ SWP / STP/ Micro SIP)

## 1. DISTRIBUTOR INFORMATION FOR OFFICE USE ONLY

Name & Agent Code	Sub-Agent Name & Code	Bank/Branch Name & Serial No.	Registrar Serial No.	Date/Time of Receipt
ARN- 0032				

Upfront commission shall be paid directly by the investor to the AMFI registered Distributors based on the investors' assessment of various factors including services rendered by the distributor.

## 2. INFORMATION OF EXISTING INVESTOR (For existing Investors / Zero Balance Folio Holders, please mention the Folio Number & go directly to Section 7 (Scheme Details). Note that Applicant Details and Mode of Holding will be as per existing Folio Number) (Refer Instruction No 1)

Folio No. / ZERO Balance Folio Number  Mandatory field\*

## 3. APPLICANT INFORMATION

Name of Sole / First Applicant  Mr.  Ms.  M/s. Date of Birth  DD  MM  YY (\*Mandatory for all investors)

F  I  R  S  T  N  A  M  E   M  I  D  D  L  E  N  A  M  E   L  A  S  T  N  A  M  E

Documents Enclosed\*  Micro SIP  PAN Proof  KYC\* PAN\*

Name of Second Applicant  Mr.  Ms.  M/s. Date of Birth  DD  MM  YY (\*Mandatory for all investors)

F  I  R  S  T  N  A  M  E   M  I  D  D  L  E  N  A  M  E   L  A  S  T  N  A  M  E

Documents Enclosed\*  Micro SIP  PAN Proof  KYC\* PAN\*

Name of Third Applicant  Mr.  Ms.  M/s. Date of Birth  DD  MM  YY (\*Mandatory for all investors)

F  I  R  S  T  N  A  M  E   M  I  D  D  L  E  N  A  M  E   L  A  S  T  N  A  M  E

Documents Enclosed\*  Micro SIP  PAN Proof  KYC\* PAN\*

Name of Guardian/Contact Person\* Relationship with MINOR  Guardian's Date of Birth  DD  MM  YY

F  I  R  S  T  N  A  M  E   M  I  D  D  L  E  N  A  M  E   L  A  S  T  N  A  M  E

Documents Enclosed\*  Micro SIP  PAN Proof  KYC\* PAN\*

\*Please mention the contact person in case of Non-individual \*KYC - Mandatory for investments of Rs. 50,000/- and above, for certain category of investors, ^For Micro SIP refer Point No. 6 and 7 mandatory irrespective of transaction value (Refer Instruction No. 8)

## 4. SYSTEMATIC INVESTMENT PLAN (SIP)

SIP SCHEME\*:  PLAN\*:  OPTION\*:

Micro SIP SUB OPTIONS\*:  DIVIDEND FREQUENCY\*:

(Refer Instruction No. 5)

Investment Amount (Rs.) (in figures)  Investment Period (in months)  From  DD  MM  YY To  DD  MM  YY

Investment Commencement Date  DD  MM  YY Dates  1st  7th\*  10th  15th  20th  25th (\*Default date is 7th)

Drawn on Bank  Branch

Cheque Dates From  DD  MM  YY To  DD  MM  YY Cheque Nos. From  To

Account Type  SAVINGS  CURRENT  OTHERS Frequency  MONTHLY\* (\*Minimum 6 months)

All Schemes offer SIP except Bharti AXA Liquid Fund & Bharti AXA Treasury Advantage Fund (please specify)

## 5. SYSTEMATIC WITHDRAWAL PLAN (SWP) (Please refer Ready Reckoner)

SCHEME\*:  PLAN\*:  OPTION\*:

SUB OPTIONS\*:

Withdrawal Option  FIXED or  APPRECIATION WITHDRAWAL Amount (Rs.) (in figures)

Total Amount of SWP (Rs.) (in figures)  Fixed Withdrawal Frequency  MONTHLY (Minimum 6 months) or  QUARTERLY  ANNUAL\*

Dates (Only one date)  1st  7th\*  10th  15th  20th  25th (\*Default date 7th) Withdrawal Period From  DD  MM  YY To  DD  MM  YY

\*Only applicable for Bharti AXA Treasury Advantage Regular Plan Growth

## 6. SYSTEMATIC TRANSFER PLAN (STP) (Please refer Point No. 17 and 18)

FROM SCHEME\*:  PLAN\*:  OPTION\*:

TO SCHEME\*:  PLAN\*:  OPTION\*:

Amount per Transfer (Rs.)  Transfer Period From  DD  MM  YY To  DD  MM  YY

Dates  1st  7th\*  10th  15th  20th  25th (\*Default date 7th) Frequency  MONTHLY  DAILY

Total Amount of Transfer (Rs.)  Total Amount in words  No. of Installments

## 7. DECLARATION AND SIGNATURES

I/We have read and understood the contents of the Scheme Information Document and Statement of Additional Information of Bharti AXA Mutual Fund including the section on "Who cannot invest" and "Prevention of Money Laundering". I/We hereby apply for Allotment/Purchase of Units in the Scheme and agree to abide by the terms and conditions applicable thereto. I/We hereby declare that I/We am/are authorised to make this investment and that the amount invested in the Scheme is through legitimate sources only and does not involve and is not designed for the purpose of any contravention or evasion of any Act, Rules, Regulations, Notifications or Directions issued by any regulatory authority in India. I/We hereby authorise Bharti AXA Mutual Fund, its Investment Manager and its agents to disclose details of my investment to my bank(s)/Bharti AXA Mutual Fund's bank(s) and/or Distributor/Broker/Investment Advisor. I/We have neither received nor been induced by any rebate or gifts, directly or indirectly, in making this investment. I/We declare that the information given in this application form is correct, complete and truly stated.

**Applicable to NRI only:** I/We confirm that I am/we are Non-Resident Indian/Person of Indian Origin and that I/We have remitted funds from abroad through approved banking channels or from funds in my/our NRE/NRO/FCNR Account. I/We undertake that all additional purchases made under this Folio will also be from funds received from abroad through approved banking channels or from funds in my/our NRE/NRO/FCNR Account.

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.

Signature(s)  Sole / First Applicant  Second Applicant  Third Applicant

(To be signed by All Applicants if mode of operation is Joint)

## ACKNOWLEDGEMENT SLIP Folio No. / Application No.

To be filled in by the Investor

(To be filled in by the First applicant/Authorized Signatory) :  
Received from Name & address :   
an application for Purchase of Units alongwith Cheque  SIP-PDC/ Micro SIP-PDC/ SWP/ STP  For Rs.   
All purchases are subject to realisation of cheques. Cheque Number from  to

Acknowledgement Stamp

**INSTRUCTIONS - COMMON TO SIP-PDC / SWP / STP FACILITIES AVAILABLE UNDER THE SPECIAL PRODUCTS (SIP-PDC / SWP / STP)**

- Existing investors seeking for Special Products only, need to fill up this Special Product Form. New investors who wish to enrol for the special products should fill up Special Product Form in addition to the Common Application Form.
- In case of renewal of SIP-PDC/ SWP/ STP this form should be submitted at least 15 working days prior to the due date.
- The investor has the right to discontinue SIP/ SWP/ STP at any time he/she so desires by sending a written request at least 15 working days prior to the due date of next SIP / SWP / STP to any of the offices of Bharti AXA Mutual Fund or its Authorised Collection Centres. On receipt of such request the SIP / SWP / STP will be terminated and in case of SIP balance post-dated cheques will be returned to the investor.
- Units will be allotted / redeemed / transferred at the Applicable NAV related prices of the 1st /or 7th /or 10th /or 15th /or 20th /or 25th of every month (or next business day, if 1st /or 7th /or 10th /or 15th /or 20th /or 25th non business day). In case of Post Dated Cheques submitted for any dates, other than the dates offered, immediate next offered date would be considered as the SIP date(s). An account statement will be dispatched to the unit holders once every quarter within 10 working days of the end of each quarter. The first account statement will be issued within 10 working days of the initial investment.
- Micro SIP shall be applicable where aggregate of installments in a rolling 12 months period or in a financial year i.e. April-March does not exceed Rs. 50,000/-.
- Micro SIP benefit is available to individuals, NRI's, Minors and Sole Proprietors only. HUF's, PIO's and any other entities/ persons etc. are not eligible. The AMC will reject the application where they find that documents are deficient or where the installment total will exceed Rs. 50,000/-.
- Eligible investors are required to submit any one of the following photo identification document as a proof of identification in lieu of PAN:
  - Voter Identity Card; 2. Driving License; 3. Government / Defense identification card; 4. Passport; 5. Photo Ration Card; 6. Photo Debit Card; 7. Employee ID cards issued by companies registered with Registrar of Companies; 8. Photo Identification issued by Bank Managers of Scheduled Commercial Banks / Gazetted Officer / Elected Representatives to the Legislative Assembly / Parliament; 9. ID card issued to employees of Scheduled Commercial / State / District Co-operative Banks; 10. Senior Citizen / Freedom Fighter ID card issued by Government; 11. Cards issued by Universities / deemed Universities or institutes under statutes like ICAI, ICWA, ICSI; 12. Permanent Retirement Account No (PRAN) card issued to New Pension System (NPS) subscribers by CRA (NSDL); and 13. Any other photo ID card issued by Central Government / State Governments /Municipal authorities / Government organizations like ESIC / EPFO.
- Except for investors availing for Micro SIP, it is compulsory for all investors to quote their Permanent Account Number (PAN) and submit copy of the PAN card issued by the Income Tax Department, in case the amount of investment is Rs. 50,000/- or above in a year, while making an application for Purchase of Units. In case of joint applicants, PAN details of all holders should be submitted. In case the investor making the application is a 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 to Bharti AXA Mutual Fund for verifying that they are residents of State of Sikkim. However KYC norms would have to be adhere to, where investments are more than Rs. 50,000/-. In accordance with the Prevention of Money Laundering Act, 2002, it is mandatory for investors to provide the KYC Acknowledgement if the investment amount is Rs 50,000 and above. However, for certain category of investors, the submission of KYC acknowledgement is mandatory irrespective of transaction amount. For further details please refer to point no.12 of the instructions for completing application form.
- DIRECT APPLICATIONS :** Investors should ensure to write the word 'DIRECT' in the column 'ARN No' or 'Broker Code' in their applications for purchases/additional purchases/ switches/fresh Systematic Investment Plans (SIP)/ fresh Systematic Transfer Plans (STP) in all such cases where applications are not routed through any distributor/agent/broker. In cases where unit holder uses a pre-printed transaction slip where details in the 'ARN No' or 'Broker Code' column is already printed, unit holder should cancel the ARN No/ Broker Code, write 'DIRECT' in the said column and it should also be counter signed by the unit holder/ all joint holder(s). Transactions slips/application forms where the column under 'ARN No or 'Broker Code' is provided, has to be filled by the unit holder as 'DIRECT' for processing the same as Direct applications. Investors can submit their applications for purchases /additional purchases/ switches/fresh SIP/ fresh STP at any of the Official Point(s) of Acceptance of Bharti AXA Mutual Fund. The list of Official Point(s) of Acceptance is available on the website of Bharti AXA Mutual Fund (www.bharti-axa-im.com).
- The applicability of SIP/ SWP/ STP will be as per the terms & conditions of the respective Scheme Information Documents and Statement of Additional Information.
- Please attach Photo copy of a cancelled cheque.
- All post-dated cheques have to be issued favouring the individual scheme name (For SIP-PDC).
- The first investment cheque while applying for Monthly SIP can be either equal to or greater than the subsequent Monthly SIP instalment amounts. The subsequent Monthly SIP instalment amounts however should remain the same as per the scheme specific information document and all the post-dated cheques issued.
- Cheques should be drawn payable at locations of BAIM branches & authorised centres. Non MICR / outstation post dated cheques will not be accepted for SIP.
- Options available under SWP & Minimum Amount in Bharti AXA Regular Return Fund and Bharti AXA Short Term Income Fund
  - Fixed withdrawal : Investors can withdraw fixed amount of Rs. 500/- and in multiples of Rs. 100/- thereafter at regular intervals & the dates applicable for the same are 1st /or 7th /or 10th /or 15th /or 20th /or 25th for minimum 6 months.
  - Appreciation SWP : Appreciation of above Rs. 500/- can be withdrawn at monthly & quarterly frequency & the dates applicable for the same are 1st /or 7th /or 10th /or 15th /or 20th /or 25th of the relevant month.
- In both Fixed Withdrawal and Appreciation SWP, Units will be redeemed basis Applicable NAV on the date chosen as per above.
- For Annual SWP in Bharti AXA Treasury Advantage Fund the 1st redemption under the Facility will be effected on the 3rd day of the anniversary month, or on the 3rd day of the month as indicated by the Unitholder, and annually thereafter. Where the 3rd day referred above is not a Business Day, the redemption for the SWP will be effected on the following Business Day. Anniversary month means 12 calendar months from the month in which the request from the Unitholder for the Facility is registered.
- If the STP application has from date and to date, then it refers to calendar days and processing happens only on business days.
- If the STP application has number of installments, the number of installment is registered by omitting the non business day and holidays.

**Ready Reckoner for Special Product**

Schemes	SIP				STP				SWP				
	Available	Minimum Amount	SIP Frequency	Minimum Duration	Available	Minimum Amount	STP Frequency	Minimum Duration	Available	Minimum Amount	Withdrawal Frequency	Minimum Duration Installment	
					IN	OUT							
Bharti AXA Short Term Income Fund		Rs. 1,000 and in multiples of Rs. 100 thereafter	Monthly	6 Months			Rs. 1,000 and in multiples of Rs. 100 thereafter	Monthly	6 Months	Minimum balance in a scheme for SWP should be Rs. 25,000	Rs. 500 and in multiples of Rs. 100	Monthly, Quarterly	6
Bharti AXA Liquid Fund		Not Applicable					Daily - Rs. 300 Monthly - Rs. 1,000 and in multiples of Rs. 100 thereafter	Daily and Monthly	Daily - 1 Month Monthly - 6 Months		Not Applicable		
Bharti AXA Treasury Advantage Fund		Not Applicable					Daily - Rs. 300 Monthly - Rs. 1,000 and in multiples of Rs. 100 thereafter	Daily and Monthly	Daily - 1 Month Monthly - 6 Months		-	Annual (Regular Growth Option)	2
Bharti AXA Regular Return Fund		Rs. 1,000 and in multiples of Rs. 100 thereafter	Monthly	6 Months			Rs. 1,000 and in multiples of Rs. 100 thereafter	Monthly	6 Months		Rs. 500 and in multiples of Rs. 100	Monthly, Quarterly	6

Minimum balance in Bharti AXA Regular Return Fund and Bharti AXA Short Term Income Fund for SWP should be Rs. 10,000/-

FLKIM/051010

For more information visit us at  
[www.bharti-axa-im.com](http://www.bharti-axa-im.com)

Email us at  
[service@bharti-axa-im.com](mailto:service@bharti-axa-im.com)

Call us at (Toll Free)  
**1-800-1032-263**

Alternate Number  
**020-4011 2300**

# SIP AUTO DEBIT FACILITY : REGISTRATION CUM MANDATE FORM

INVESTORS SUBSCRIBING TO THE SCHEME THROUGH SIP AUTO DEBIT FACILITY TO COMPLETE THIS FORM COMPULSORILY ALONGWITH COMMON APPLICATION FORM

(Application should be submitted atleast 30 days before the 1<sup>st</sup> Debit Clearing date)  
For terms & conditions refer overleaf

Application No: \_\_\_\_\_

## 1. DISTRIBUTOR INFORMATION FOR OFFICE USE ONLY

Name & Agent Code	Sub-Agent Name & Code	Bank/Branch Name & Serial No.	Registrar Serial No.	Date/Time of Receipt
ARN- 0032				

Please ✓ any one only  **SIP Registration - by Existing Investor** (Please do not fill the Application Form)  **SIP Registration - by New Investor** (Complete the Application Form compulsorily alongwith this form.)  **Micro SIP** (Refer Point No. 13)

**Upfront commission shall be paid directly by the investor to the AMFI registered Distributors based on the investors' assessment of various factors including service rendered by the distributor.**

## 2. INVESTOR DETAILS

(For Existing Investor / Zero Balance Folio Holders please mention Folio Number / For New Applicants please mention the Application Form Number) (\*Mandatory for all investors) (Please the enclosures)

Folio No. / Application No. / Zero Balance Folio No. \_\_\_\_\_ (#mandatory for investments equal to or greater than Rs. 50,000/- except for certain category of investors, mandatory irrespective of transaction value (Refer Instruction No. 12 of main Application Form))

Name of 1st Applicant / \_\_\_\_\_

Documents Enclosed  Micro SIP \_\_\_\_\_  PAN Proof  KYC# PAN\* \_\_\_\_\_

Name of 2nd Applicant / \_\_\_\_\_

Documents Enclosed  Micro SIP \_\_\_\_\_  PAN Proof  KYC# PAN\* \_\_\_\_\_

Name of 3rd Applicant / \_\_\_\_\_

Documents Enclosed  Micro SIP \_\_\_\_\_  PAN Proof  KYC# PAN\* \_\_\_\_\_

Name of Father/ Guardian in case of Minor \_\_\_\_\_

Documents Enclosed  Micro SIP \_\_\_\_\_  PAN Proof  KYC# PAN\* \_\_\_\_\_

## 3. SIP DETAILS (First SIP cheque and subsequent via Auto Debit Facility in select cities only)

Scheme Name	Plan	Option
Sub Option	Dividend Frequency	

Please refer the scheme specific SID / SAI to know the Plan, Option & Sub-Options related information.

Frequency (please ✓)  Monthly SIP Date :  1st  7th\*  10th  15th  20th  25th (\*Default date is 7th)

Instalment Amount (In figures) \_\_\_\_\_ Enrolment Period From\*\* D D M M Y Y Y Y To D D M M Y Y Y Y

Drawn on Bank /Branch Name \_\_\_\_\_

\*\*Minimum SIP term should be for 6 months.

## 4. PARTICULARS OF BANK ACCOUNT (Refer point B)

Name of 1st Account Holder \_\_\_\_\_

Name of 1st Joint Holder \_\_\_\_\_

Name of 2nd Joint Holder \_\_\_\_\_

Name of Bank & Branch \_\_\_\_\_

City \_\_\_\_\_ Pin \_\_\_\_\_

Account No. \_\_\_\_\_

9 digit MICR Code (Mandatory) \_\_\_\_\_ (This is 9 digit number next to the cheque number)

IFSC Code \_\_\_\_\_

**Please provide a copy of cancelled cheque leaf from an Auto Debit eligible bank (Mandatory)**

Account Type (Please )	
Savings <input type="checkbox"/>	NRO <input type="checkbox"/>
Current <input type="checkbox"/>	NRE / FCNR <input type="checkbox"/>

**DECLARATION & SIGNATURE:** I/We hereby declare that the particulars given above are correct and express my willingness to make payments referred above to debit my/our account directly or through participation in Auto Debit. 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 AMC, about any changes in my/our bank account. I/We have read and agreed to the terms and conditions mentioned overleaf.

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.

**Applicable to NRI only:** I /We confirm that I am/ we are Non-Resident Indian/Person of Indian Origin and that I/We have remitted funds from abroad through approved banking channels or from funds in my/our NRE/NRO/FCNR Account. I/We undertake that all additional purchases made under this Folio will also be from funds received from abroad through approved banking channels or from funds in my/our NRE/NRO/FCNR Account.

SIGNATURE (S) (as in Bank records)	Sole/1 <sup>st</sup> applicant/Guardian/Authorised Signatory/POA	2 <sup>nd</sup> applicant/Guardian/Authorised Signatory/POA	3 <sup>rd</sup> applicant/Guardian/Authorised Signatory/POA
---------------------------------------	--	---	---

## 5. BANKER'S ATTESTATION

Certified that the signature of account holder and the Details of Bank account are correct as per our records

Signature of authorised Official from Bank (Bank stamp and date)

Signature verification request (To be retained by the Customers Bank)

**The Branch Manager** \_\_\_\_\_ Date D D M M Y Y

Bank \_\_\_\_\_ Branch \_\_\_\_\_

**Sub :** Mandate verification for A/c. No. \_\_\_\_\_

This is to inform you that I/We have registered for making payment towards my investments in Bharti AXA Mutual Fund by debit to my /our above account directly or through ECS (Debit Clearing). 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.

Thanking you,  
Yours sincerely

SIGNATURE (S) (as in Bank records)	Sole/1 <sup>st</sup> applicant/Guardian/Authorised Signatory/POA	2 <sup>nd</sup> applicant/Guardian/Authorised Signatory/POA	3 <sup>rd</sup> applicant/Guardian/Authorised Signatory/POA
---------------------------------------	--	---	---

## ACKNOWLEDGEMENT SLIP Folio No. / Application No. \_\_\_\_\_

(To be filled in by the First applicant/Authorized Signatory) :

Received from Name & address : \_\_\_\_\_

an application for Purchase of Units alongwith Cheque  SIP/ Micro SIP  For Rs. \_\_\_\_\_

Acknowledgement Stamp

# TERMS AND CONDITIONS FOR SIP WITH AUTO DEBIT FACILITY

## A. SCHEME AVAILABLE FOR SIP WITH AUTO DEBIT FACILITY

SIP is available only under Bharti AXA Short Term Income Fund and Bharti AXA Regular Return Fund

## B. TERMS & CONDITIONS FOR SIP AUTO DEBIT FACILITY

- Monthly SIP Payment can be done through Auto Debit Facility in all the cities as prescribed by the Reserve Bank of India (RBI).
- Monthly SIP is also available with HDFC Bank, IDBI Bank, Kotak Mahindra Bank, IndusInd Bank, Bank of Baroda for all locations.
- Please check the Scheme Information Document and Statement of Additional Information for SIP facility in respective scheme.
- The cities as prescribed in RBI's list may be modified/updated/changed/removed at any time in future entirely at the discretion of Bharti AXA Investment Managers Private Limited without assigning any reasons or prior notice. If any city is removed, SIP instructions for investors in such cities via Auto Debit route will be discontinued and communication to that effect will be sent to the investor.
- SIP facility is available only on specific dates of the month viz - 1st /or 7th /or 10th /or 15th /or 20th /or 25th for monthly SIP.
- During ongoing purchase in monthly SIP your first SIP can be for any day of the month. Your second and subsequent SIPs are available only on the above specified dates of the month with a minimum gap of atleast 30 days between first and second SIP instalment. In case the chosen date turns out to be a non working day for the scheme; the SIP will be processed on the immediate following working day.
- The SIP cheque should be drawn on the same bank account which is to be registered for Auto Debit. The bank account provided for Auto Debit should participate in local MICR clearing.
- The cheque should be drawn in favour of "Full name of the Scheme".
- The first investment cheque while applying for Monthly SIP can be either equal to or greater than the subsequent Monthly SIP instalment amounts. The subsequent Monthly SIP instalment amounts however should remain the same as per the scheme specific information document and all the post-dated cheques issued.
- If two consecutive SIP's fail, the SIP will automatically stand terminated and a communication to the effect will be sent to the investor.
- If the SIP preferences are not indicated or in case of discrepancy or ambiguity, the default option shall be as under:  
SIP Frequency - Monthly, SIP Date - every 7th of the month and Tenure - 6 months.
- The investor has the right to discontinue SIP at any time he/she so desires by sending a written request, at least 15 working days prior to the due date of next SIP for Monthly SIP, to any of the offices of Bharti AXA Mutual Fund or its Investor Service Centres. All the request should be accompanied by:
  - A new SIP form duly filled in and carrying the revised/new SIP request details, or
  - A written and signed confirmation for discontinuing the existing SIP.
- Micro SIP shall be applicable where aggregate of installments in a rolling 12 months period or in a financial year i.e. April-March does not exceed Rs. 50,000/-.
- Micro SIP benefit is available to individuals, NRI's, Minors and Sole Proprietors only. HUF's, PIO's and any other entities/ persons etc. are not eligible. The AMC will reject the application where they find that documents are deficient or where the installment total will exceed Rs. 50,000/- per year.
- Except for investors availing Micro SIP please furnish a certified copy of the PAN card with the application form. Additionally please furnish KYC acknowledgement copy if investment amount is Rs. 50,000/- and above except for Micro SIP.
- Eligible investors are required to submit any one of the following photo identification document as a proof of identification in lieu of PAN:
  - Voter Identity Card; 2. Driving License; 3. Government / Defense identification card; 4. Passport; 5. Photo Ration Card; 6. Photo Debit Card; 7. Employee ID cards issued by companies registered with Registrar of Companies; 8. Photo Identification issued by Bank Managers of Scheduled Commercial Banks / Gazetted Officer / Elected Representatives to the Legislative Assembly / Parliament; 9. ID card issued to employees of Scheduled Commercial / State / District Co-operative Banks; 10. Senior Citizen / Freedom Fighter ID card issued by Government; 11. Cards issued by Universities / deemed Universities or institutes under statutes like ICAI, ICWA, ICSI; 12. Permanent Retirement Account No (PRAN) card issued to New Pension System (NPS) subscribers by CRA (NSDL); and 13. Any other photo ID card issued by Central Government / State Governments / Municipal authorities / Government organizations like ESIC / EPFO.
- In case of renewal of Monthly SIP this form should be submitted at least 1 month prior to the due date.
- Investor will not hold Bharti AXA Investment Managers Pvt. Ltd., its registrars and other service providers responsible if the transaction is delayed or not effected, the investor bank account is debited in advance or after the specific SIP/ Micro SIP date due to various clearing cycles of Auto Debit / local holidays / incomplete or incorrect instructions from the applicant.
- Bharti AXA Investment Managers Pvt. Ltd. reserves the right not to represent any mandate for SIP auto Debit facility if the registration could not be effected in time for reason beyond its control.
- Bharti AXA Investment Managers Pvt. Ltd., its registrars and other service providers shall not be responsible and liable for any transaction failures, due to rejection of the transaction by your bank / branch or its refusal to register the SIP mandate.
- Please refer the Scheme Information Documents / Statement of Additional Information of the scheme for the Applicable NAV, Redemptions, Risk Factors, Load and other information before investing.
- Generic Structure on SIP

This facility enables investors to save and invest periodically over a longer period of time. It is a convenient way to "invest as you earn" and affords the investor an opportunity to enter the market regularly, thus averaging the acquisition cost of Units. SIP allows investors to invest a fixed amount of Rupees on either daily basis or on specific dates every month by purchasing Units of the Scheme at the Purchase Price prevailing at such time. Any unit holder can avail of this facility subject to certain terms and conditions contained in the Application form, Scheme Information Document and Statement of Additional Information of the respective scheme.

Systematic Investment Plan facility will be available as detailed below:

SIP Options	Monthly SIP
Contribution will be debited	On any one of the following dates in a month as chosen by the investor / Unitholder : 1st /or 7th /or 10th /or 15th /or 20th /or 25th basis NAV of that day, or of following Business Day, if that day is not a Business Day.
Minimum duration of SIP contributions	6 months

Auto Debit allows an investor to instruct his bank to debit his bank account at periodic intervals for making investments in mutual fund scheme(s). However the first investment in SIP under this mode shall be by way of cheque only.

There shall be a gap of at least 30 days between the date of the first cheque and first instalment through Auto Debit in the case of a Monthly SIP initiated during the Ongoing Offer period.

For more information visit us at  
[www.bharti-axa-im.com](http://www.bharti-axa-im.com)

Call us at (Toll Free)  
**1-800-1032-263**

Email us at  
[service@bharti-axa-im.com](mailto:service@bharti-axa-im.com)

Alternate Number  
**020-4011 2300**