

LIC NOMURA MF CAPITAL PROTECTION ORIENTED FUND - SERIES 3

A Close Ended Capital Protection Oriented Scheme

This product is suitable for investors who are seeking*:

- Regular income as well as capital appreciation over medium/long term
- To generate returns by investing in debt and money market instruments and also in equity and equity related instruments to achieve capital appreciation.
- Low Risk (Blue)

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

Note: Risk may be represented as:

<input type="checkbox"/> (BLUE) investors understand that their principal will be at low risk	<input type="checkbox"/> (YELLOW) investors understand that their principal will be at medium risk	<input type="checkbox"/> (BROWN) investors understand that their principal will be at high risk
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LIC NOMURA MUTUAL FUND
 Investors must read the Key Information Memorandum / Scheme Information Document and the Instructions before completing this Form.
 The Application Form should be completed in English and in BLOCK LETTERS only.

APP. No

KEY PARTNER / ARN HOLDER INFORMATION (Investors applying under Direct Plan must mention "Direct" in ARN column.) (Refer Instruction 2 & 3)

ARN Code	Sub-broker Code	Employee Unique Identification Number (EUIN)	Sub-broker Code (as allotted by ARN holder)	RM Code	Office Stamp
ARN-32141		E047160		M351	

Declaration for "execution-only" transaction (only where EUIN box is left blank) (Refer Instruction No.3)

"I / We hereby confirm that the EUIN box has been intentionally left blank by me / us as this is an "execution-only" transaction without any interaction or advice by the employee/ relationship manager/ sales person of the above distributor or notwithstanding the advice of in-appropriateness, if any, provided by the employee / relationship manager / sales person of the distributor and the distributor has not charged any advisory fees on this transaction." (please tick (✓)) and sign

SIGN HERE First/ Sole Applicant/ Guardian	SIGN HERE Second Applicant	SIGN HERE Third Applicant
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TRANSACTION CHARGES FOR APPLICANTS THROUGH DISTRIBUTORS ONLY [Refer Instruction 4 and please tick (✓) any one]

<input type="checkbox"/> I confirm that I am a First time investor across Mutual Funds. (Rs. 150 deductible as Transaction Charge and payable to the Distributor)	<input type="checkbox"/> I confirm that I am an existing investor in Mutual Funds. (Rs. 100 deductible as Transaction Charge and payable to the Distributor)
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In case the purchase/ subscription amount is Rs. 10,000 or more and your Distributor has opted in to receive Transaction Charges, the same are deductible as applicable from the purchase/ subscription amount and payable to the Distributor. Units will be issued against the balance amount invested. Upfront commission shall be paid directly by the investor to the ARN Holder (AMFI registered Distributor) based on the investors' assessment of various factors including the service rendered by the ARN Holder.

1. EXISTING UNIT HOLDER INFORMATION (If you have existing folio, please fill in section 1 and proceed to section 6 and 7.)

Folio No. <input type="text"/>	The details in our records under the folio number mentioned alongside will apply for this application.
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2. APPLICANT(S) DETAILS (In case of Minor, there shall be no joint holders)

Sole/First Applicant's Name	FIRST	MIDDLE	LAST
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DOB DOB is mandatory in case of unit holder is minor. # Proof attached. Please (✓)

NAME OF GUARDIAN (in case of First / Sole Applicant is a Minor) / NAME OF CONTACT PERSON - DESIGNATION (in case of non-individual Investors)

FIRST	MIDDLE	LAST
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STATUS (of First/Sole Applicant) [Please tick (✓)]	MODE OF HOLDING (Please tick (✓))	PAN #/PEKRN #	KYC.* (Please Tick)
Resident Individual <input type="checkbox"/> Partnership <input type="checkbox"/> HUF <input type="checkbox"/>	Single <input type="checkbox"/>	1st Applicant <input type="text"/>	1st Applicant <input type="checkbox"/>
NRI-Repatriation <input type="checkbox"/> Company <input type="checkbox"/> FIIs <input type="checkbox"/>			
NRI-Non Repatriation <input type="checkbox"/> Minor <input type="checkbox"/> PIO <input type="checkbox"/>	Joint <input type="checkbox"/> Anyone or Survivor <input type="checkbox"/>	2nd Applicant <input type="text"/>	2nd Applicant <input type="checkbox"/>
Sole Proprietorship <input type="checkbox"/> Trust <input type="checkbox"/> AOP <input type="checkbox"/>	(In case of more than one holder and option is not selected then default option will be joint)		
Body Corporate <input type="checkbox"/> LLP <input type="checkbox"/> BOI <input type="checkbox"/>		3rd Applicant <input type="text"/>	3rd Applicant <input type="checkbox"/>
Society/Club <input type="checkbox"/> Others (please Specify)		*(in case of minor Guardian's PAN# and KYC to be mentioned in 1st Applicant) Please attach proof	

Second Applicant's Name	FIRST	MIDDLE	LAST
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Third Applicant's Name	FIRST	MIDDLE	LAST
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3. MAILING ADDRESS OF FIRST / SOLE APPLICANT (Mandatory) (Refer Instruction 11)

Landmark	City	State	Pincode <input type="text"/>	Country
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CONTACT DETAILS OF SOLE/FIRST APPLICANT (Mobile No or Email Id. Refer Instruction No. 11)

^E mail id (Please Specify)	Mobile No <input type="text"/>
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Tel no (Resi) STD Code	Off STD Code
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^ On providing email-id investors shall receive scheme wise annual report or an abridged summary thereof / account statements / statutory and other documents by email.

OVERSEAS ADDRESS (Overseas address is mandatory for NRI / FII applicants in addition to mailing address in India)

Landmark	City	State	Pincode <input type="text"/>	Country
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4. UNIT HOLDING OPTION (MANDATORY PLEASE (✓)) DEMAT* PHYSICAL NON DEMAT (DEFAULT)

DEMAT ACCOUNT DETAILS - (Optional - refer instruction 14)

	NSDL	CDSL
DP NAME		
DP ID		
Beneficiary Account No		

*Investors opting to hold units in demat form should provide a copy of DP statement to match the demat detail as stated in the application form.



ACKNOWLEDGEMENT SLIP

(To be filled in by the Investor) APPLICATION FORM

APP No.

Received an application for purchase of units of LIC Nomura MF Capital Protection Oriented Fund - Series 3 _____ (please specify plan & option)	Time Stamp No.
from Mr/Mrs/M/s. _____ (Name of the investor) _____ alongwith	
Cheque/Draft No./Payment Instrument No. _____ Dated _____ Bank _____	ISC Signature, Stamp and Date
Branch _____ For Rs. _____ Date _____	
Bank Charges (in cases of Draft) of Rs. _____	
Please Note : All purchases are subject to realisation of Cheque / Demand Draft / Payment Instrument.	

5. BANK ACCOUNT (PAY-OUT) DETAILS OF THE FIRST APPLICANT (refer instruction 8) As per SEBI Regulations it is mandatory for investors to provide their bank account details

Account No. <input type="text"/>	Name of the Bank	
Type of A/c <input type="checkbox"/> SB <input type="checkbox"/> Current <input type="checkbox"/> NRE <input type="checkbox"/> NRO <input type="checkbox"/> FCNR <input type="checkbox"/> Others <input type="checkbox"/>	Branch	Bank City
IFSC code <input type="text"/>	MICR no <input type="text"/>	Refer Instruction 8.3 (Mandatory for Credit via NEFT / RTGS) (11 Character code appearing on your cheque leaf. If you do not find this on your cheque leaf, please check for the same with your bank) In case if the bank details provided by you is different from the payment bank account please enclose a canceled cheque.

6. INVESTMENT DETAILS (Investors applying under Direct Plan must mention "Direct" against the Scheme name.) (refer instruction no. 2 & 3 (Ps tick the appropriate box))

LIC NOMURA MF CAPITAL PROTECTION ORIENTED FUND - SERIES 3

Plan	<input checked="" type="checkbox"/> Regular <input type="checkbox"/> Direct	*If not specified, Default Option Growth
Option*	<input checked="" type="checkbox"/> Growth <input type="checkbox"/> Dividend Payout	

7. PAYMENT DETAILS (refer instruction 10) The name of the first/ sole applicant must be pre-printed on the cheque. Please write Application Form No. / Folio No. on the reverse of the Cheque/ Demand Draft/ Payment Instrument. Please attach a separate cheques for each scheme, Multiple cheques are not permitted with single application form. Please write Cheque/ DD/ Payment Instrument in favour of "LIC NOMURA MF CAPITAL PROTECTION ORIENTED FUND - SERIES 3".

Payment Types (Please tick (✓))	<input type="checkbox"/> Non Third Party Payment	<input type="checkbox"/> Third Party Payment
Mode of payment (Please tick (✓))	<input type="checkbox"/> Cheque /DD	<input type="checkbox"/> RTGS/NEFT
A/c. Type (Please tick (✓))	<input type="checkbox"/> SB <input type="checkbox"/> Current <input type="checkbox"/> NRE <input type="checkbox"/> NRO	<input type="checkbox"/> FCNR <input type="checkbox"/> Others <input type="checkbox"/> (Ps Specify)
Payment instrument no	Payment instrument date	Drawn on Bank / Branch Name
a. Payment Amt (in Rs.)	b. Charges (if any specifically for DD)	Total Amount (a+b) (in figures)

In case of Third Party Payment, please download "Third Party Declaration Form" from our website www.licnomuramf.com and attach with the application form.

8. NOMINATION (refer instruction 16) (Mandatory for new folios of Individuals where mode of holding is single) In case you do not wish to nominate please(✓) the following declaration (\$). This section is to be filled in only by investors who opt to hold the Units in non-demat form.

(\$)[Please (✓) I/We do not wish to Nominate

Name	Date of Birth	Name of Guardian	Signature of Nominee (Optional)/ Guardian of Nominee (Mandatory)	Proportion (%)
(to be furnished in case the Nominee is a minor)				
Nominee 1				
Nominee 2				
Nominee 3				
Proportion (%) in which the units will be shared by each (to be furnished in case the Nominee is a minor) Nominee (should aggregate to 100%)				

DECLARATION & SIGNATURE/S

I/ We have read and understood the terms and contents of the scheme related documents and hereby apply for allotment of Units of LIC Nomura Mutual Fund CPOF - Series 3 indicated above. I /We agree to abide by the terms, conditions, rules and regulations of the relevant Scheme.

I/We hereby declare as under:

- I/We am/are authorised to make this investment as per the Constitutive documents/ authorization(s) 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.
- The information given in / with this application form is correct, complete and truly stated. I /We agree to furnish such other information as may be required by LIC Nomura Mutual Fund and undertake to inform the AMC / Registrars and Transfer Agent (RTA) in writing about any change in the information furnished from time to time. I/We hereby indemnify LIC Nomura Mutual Fund and its AMC, Trustee, RTA, other intermediaries in case of any dispute regarding the eligibility, validity and authorization of my/our transactions and/or the applicant who applied on my / our behalf.
- I/we have not received nor been induced by any rebate or gifts, directly or indirectly, in making this investment. The ARN holder (AMFI registered Distributor) has disclosed me/us all the commissions (in the form of trail commission or any other mode), payable to him/them for the different competing schemes of various Mutual Funds from amongst which the scheme is being recommended to me/us.

I/WE HEREBY CONFIRM THAT I / WE HAVE NOT BEEN OFFERED/ COMMUNICATED ANY INDICATIVE PORTFOLIO AND/OR ANY INDICATIVE YIELD BY LIC Nomura MUTUAL FUND/ LIC Nomura ASSET MANAGEMENT COMPANY LIMITED / ITS DISTRIBUTOR FOR THIS INVESTMENT.

4. Applicable to PEKRN Holders: I, the first/ sole holder, also hereby declare that I do not hold a Permanent Account Number and hold only a single PAN Exempt KYC Reference No. (PEKRN) issue by KYC Registration Authority and that my existing investment together with the current application will not result in aggregate investments exceeding Rs. 50,000/- in a financial year.

5. Applicable to application under Direct Plan: I/We have read and understood the scheme related documents pertaining to the "Direct Plan" and also confirm that the investments in scheme through "Direct plan" is/are made at my own discretion. LIC Nomura Mutual Fund /LIC Nomura AMC/Trustee shall not be liable for any consequences arising out of such investments.

I / We confirm that I am / We are foreign national(s) presently resident in India.

I/We undertake to redeem my/our entire investment / encash all other proceeds including dividend due to me / us before I/We change my/our residency status. I/ We shall be fully liable for all consequences (including taxation) arising out of the failure to redeem/encash on account of change in residential status.

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 normal banking channels or from funds in my / our Non-Resident External / Ordinary Account / FCNR Account.

Date : _____	SIGN HERE First/ Sole Applicant/ Guardian	SIGN HERE Second Applicant	SIGN HERE Third Applicant
Place : _____			

For any queries please contact our nearest Investor Service Centre or

Call Toll Free Number 1800-258-5678

Email : service@licnomuramf.com

Website : www.licnomuramf.com

**Know Your Client (KYC)
Application Form (For Individuals Only)**



PRASANNA KUMAR
ARN-32141
E047160

Application No. :

Please fill in ENGLISH and in BLOCK LETTERS

A. Identity Details (please see guidelines overleaf)

1. Name of Applicant (As appearing in supporting identification document).

Name

Father's/Spouse Name

2. Gender Male Female B. Marital status Single Married C. Date of Birth / /

3. Nationality Indian Other (Please specify) _____

4. Status Please tick (✓) Resident Individual Non Resident Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals)

5. PAN Please enclose a duly attested copy of your PAN Card

Unique Identification Number (UID)/Aadhaar, if any: _____

6. Proof of Identity submitted for PAN exempt cases Please Tick (✓)

UID (Aadhaar) Passport Voter ID Driving Licence Others _____

PHOTOGRAPH

Please affix the recent passport size photograph and sign across it

(Please see guideline 'D' overleaf)

B. Address Details (please see guidelines overleaf)

1. Address for Correspondence

City / Town / Village Pin Code
State Country

2. Contact Details

Tel. (Off.) (ISD) (STD) Tel. (Res.) (ISD) (STD)
Mobile (ISD) (STD) Fax (ISD) (STD)
E-Mail Id.

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

Passport Ration Card Registered Lease/Sale Agreement of Residence Driving License Voter Identity Card *Latest Bank A/c Statement/Passbook
 *Latest Telephone Bill (only Land Line) *Latest Electricity Bill *Latest Gas Bill Others (Please specify) _____

*Not more than 3 Months old. Validity/Expiry date of proof of address submitted / /

4. Permanent Address of Resident Applicant if different from above B1 OR Overseas Address (Mandatory) for Non-Resident Applicant

City / Town / Village Pin Code
State Country

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

Passport Ration Card Registered Lease/Sale Agreement of Residence Driving License Voter Identity Card *Latest Bank A/c Statement/Passbook
 *Latest Telephone Bill (only Land Line) *Latest Electricity Bill *Latest Gas Bill Others (Please specify) _____

*Not more than 3 Months old. Validity/Expiry date of proof of address submitted / /

C. Other Details (please see guidelines overleaf)

1. Gross Annual Income Details (Please tick (✓): Below 1 Lac 1-5 Lac 5-10 Lac 10-25 Lac > 25 Lacs

OR

Net-worth in ₹. (*Net worth should not be older than 1 year) as on (date) / /

2. Occupation (Please tick (✓) any one and give brief details):

Private Sector Service Public Sector Government Service Business Professional Agriculturist Retired
 Housewife Student Forex Dealer Others (Please specify) _____

3. Please tick, if applicable: Politically Exposed Person Related to a Politically Exposed Person

For definition of PEP, please refer guideline overleaf

4. Any other information: _____

DECLARATION

SIGNATURE OF APPLICANT

I hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.

Place:

Date:

FOR OFFICE USE ONLY

IPV Done on / /

AMC/Intermediary name OR code

Seal/Stamp of the intermediary should contain

Seal/Stamp of the intermediary should contain

(Originals Verified) Self Certified Document copies received

Staff Name

Staff Name

Designation

Designation

Name of the Organization

Name of the Organization

Signature

Signature

Date

Date

(Attested) True copies of documents received

Main Intermediary

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCICard and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

B. Proof of Identity (POI): List of documents admissible as Proof of Identity:

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA): List of documents admissible as Proof of Address: (*Documents having an expiry date should be valid on the date of submission.)

1. Unique Identification Number (UID) (Aadhaar)/Passport/Voters Identity Card/Ration Card/Registered Lease or Sale

Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.

2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court Judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

(*Sufficient documentary evidence in support of such claims to be collected.)

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50,000/- p.a.
5. In case of institutional clients, namely, FIIs, Mfs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.