

LIC NOMURA MF MIDCAP FUND

(An Open Ended Equity Fund)



Investors must read the Key Information Memorandum 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 Code column.) (Refer Instruction 2 & 3)

ARN Code	Sub-broker Code	Employee Unique Identification Number (EUIIN)	Sub-broker Code (as allotted by ARN holder)	RM Code	Time Stamp No
ARN-32141		E047160			<i>For office use only</i>

Declaration for "execution-only" transaction (only where EUIIN box is left blank) (Refer Instruction No.3)
 "I / We hereby confirm that the EUIIN 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)

<input type="checkbox"/> I confirm that I am a First time investor across Mutual Funds.	<input type="checkbox"/> I confirm that I am an existing investor in Mutual Funds.
(Rs. 150 deductible as Transaction Charge and payable to the Distributor)	(Rs. 100 deductible as Transaction Charge and payable to the Distributor)

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 13.)

Folio No. The details in our records under the folio number mentioned alongside will apply for this application

2. APPLICANT(S) DETAILS (In case of Minor, there shall be no joint holders)

Sole/First Applicant's Name	FIRST	MIDDLE	LAST	KYC: <input type="checkbox"/>
DOB <input type="text"/>	DOB is mandatory in case of unit holder is minor. Proof attached. Please (√) <input type="checkbox"/>			

Second Applicant's Name	FIRST	MIDDLE	LAST	KYC: <input type="checkbox"/>
Third Applicant's Name	FIRST	MIDDLE	LAST	KYC: <input type="checkbox"/>

First Applicant PAN: Second Applicant PAN: Third Applicant PAN:

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
PAN: <input type="text"/> KYC <input type="checkbox"/> Relationship with minor Please (√) <input type="checkbox"/> Father <input type="checkbox"/> Mother <input type="checkbox"/> Court Appointed Legal Guardian		

3. TAX STATUS (Please tick (√))

- Resident Individual FIIs NRI-NRO HUF Club/Society PIO Body Corporate Minor Government Body
 Trust NRI-NRE Bank & FI Sole Proprietor Partnership Firm QFI FPI Others

4. KYC Details (Mandatory) Occupation Please tick (√)

FIRST APPLICANT	<input type="checkbox"/> Private Sector <input type="checkbox"/> Student	<input type="checkbox"/> Public Sector <input type="checkbox"/> Forex Dealer	<input type="checkbox"/> Government Service <input type="checkbox"/> Others	<input type="checkbox"/> Business <input type="checkbox"/> Professional (please specify)	<input type="checkbox"/> Agriculturist	<input type="checkbox"/> Retired	<input type="checkbox"/> Housewife
SECOND APPLICANT	<input type="checkbox"/> Private Sector <input type="checkbox"/> Student	<input type="checkbox"/> Public Sector <input type="checkbox"/> Forex Dealer	<input type="checkbox"/> Government Service <input type="checkbox"/> Others	<input type="checkbox"/> Business <input type="checkbox"/> Professional (please specify)	<input type="checkbox"/> Agriculturist	<input type="checkbox"/> Retired	<input type="checkbox"/> Housewife
THIRD APPLICANT	<input type="checkbox"/> Private Sector <input type="checkbox"/> Student	<input type="checkbox"/> Public Sector <input type="checkbox"/> Forex Dealer	<input type="checkbox"/> Government Service <input type="checkbox"/> Others	<input type="checkbox"/> Business <input type="checkbox"/> Professional (please specify)	<input type="checkbox"/> Agriculturist	<input type="checkbox"/> Retired	<input type="checkbox"/> Housewife

GROSS ANNUAL INCOME [Please tick (√)]

FIRST APPLICANT	<input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> > 25 Lacs - 1 Crore <input type="checkbox"/> > 1 Crore Net worth (Mandatory for Non-Individual Rs. _____ as on <input type="text"/> (Not older than 1 year)
SECOND APPLICANT	<input type="checkbox"/> Below 1 lac <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> > 25 Lacs - 1 Crore <input type="checkbox"/> > 1 Crore OR Net Worth _____ (Not older than 1 year)
THIRD APPLICANT	<input type="checkbox"/> Below 1 lac <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> > 25 Lacs - 1 Crore <input type="checkbox"/> > 1 Crore OR Net Worth _____ (Not older than 1 year)

For Individual <input type="checkbox"/> I am Politically Exposed Person <input type="checkbox"/> I am Related to Politically Exposed <input type="checkbox"/> 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 (If No. please attach mandatory Ultimate Beneficial Ownership (UBO) Declaration) Foreign Exchange / Money Changer Services Gaming / Gambling / Lottery / Casino Services Money Lending / Pawning None of the above	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No
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5. MODE OF HOLDING [Please tick (√)] Joint Single Anyone of Survivor (Default option is joint)

6. MAILING ADDRESS OF FIRST / SOLE APPLICANT (MANDATORY) (Refer Instruction 11)

Landmark City State Pincode Country



(TO BE FILLED IN BY THE INVESTOR)

ACKNOWLEDGEMENT SLIP

APP. No

Received an application for purchase of units of LIC Nomura MF _____ from Mr/Mrs/M/s. _____ (Scheme Name with option) _____ alongwith _____ (Name of the investor) Cheque/Draft No./Payment Instrument No. _____ Dated _____ Bank _____ Branch _____ Drawn on _____ For ₹ _____ Bank Charges (in cases of Draft) of ₹ _____ Date _____ Please Note : All purchases are subject to realisation of Cheque / Demand Draft / Payment Instrument.	Time Stamp No. ISC Signature, Stamp & Date
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7. CONTACT DETAILS OF SOLE/FIRST APPLICANT (Mobile No. and Email Id. Refer Instruction No. 11)

Email Id (Please Specify)		Mobile No.
Tel no (Resi) (STD Code)	(Off) (STD Code)	

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

Landmark City State Pincode Country

9. DEMAT ACCOUNT DETAILS* - (Optional - refer instruction 14)

	NSDL	CDSL
DP NAME		
DP ID		
Beneficiary Account No		

10. FATCA Detail (For Individuals & HUF (Mandatory) Non Individual investors should mandatorily fill separate FACTA details formDo you have any non-Indian Country (ies) of Birth / Citizenship / Nationality and Tax Residency? Yes No Please tick as applicable and if yes, provide the below mentioned information (mandatory).

Sole/First Applicant/Guardian <input type="checkbox"/> Yes <input type="checkbox"/> No		2nd Applicant <input type="checkbox"/> Yes <input type="checkbox"/> No		3rd Applicant <input type="checkbox"/> Yes <input type="checkbox"/> No or POA <input type="checkbox"/> Yes <input type="checkbox"/> No	
Country of Birth		Country of Birth		Country of Birth	
Country of Citizenship/ Nationality		Country of Citizenship/ Nationality		Country of Citizenship/ Nationality	
Are you a US Specified Person?	<input type="checkbox"/> Yes <input type="checkbox"/> No please provide Tax Payer Id.	Are you a US Specified Person?	<input type="checkbox"/> Yes <input type="checkbox"/> No please provide Tax Payer Id.	Are you a US Specified Person?	<input type="checkbox"/> Yes <input type="checkbox"/> No please provide Tax Payer Id.
Country of Tax Residency* (other than India)	Taxpayer Identification No.	Country of Tax Residency* (other than India)	Taxpayer Identification No.	Country of Tax Residency* (other than India)	Taxpayer Identification No.
1		1		1	
2		2		1	

* Please indicate all countries in which you are a resident for tax purpose and associated Tax Payer Identification number. In case of association with POA, the POA holder should fill form to provide the above details mandatorily.

11. BANK ACCOUNT 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.		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	Ps specify	Branch	Bank City
IFSC code	MICR no	Refer Instruction 8.3	

12. INVESTMENT DETAILS [Please tick (✓)] (Refer Instruction No. 2, 3 & 10) (If this section is left blank, only folio will be created)

Separate cheque/demand draft must be Issued for each Investment, drawn in favour of respective scheme name. Please write appropriate scheme name as well as the Plan / Option / Sub Option.

* Cheque / DD Favouring Scheme Name (refer Instruction 2 & 3)	Plan / Option	Amount Invested (Rs.)	DD Charges	Net Amount Paid (Rs.)	Cheque/DD No./UTR No. (in case of NEFT/RTGS)	Bank and Branch and Account Number

*All purchases are subject to relaxation of fund (Refer to Instruction No. 10) Account Type (Please tick (✓)) SB Current NRE NRO FCNR Others (Per Specify)**13. NOMINATION DETAILS (Refer Instruction No. 16)**

<input type="checkbox"/> I/We wish to nominate <input type="checkbox"/> I/We DO NOT wish to nominate and sign here		1st Applicant Signature (Mandatory)	
Nomination Name and Address		Guardian Name (in case of Minor)	Allocation %
		Nominee / Guardian Signature	
Nominee 1			100%

To register multiple nominee please fill separate Nomination Form

14. POA (Power of Attorney) REGISTRATION DETAILS (Refer Instruction overleaf)

Name of the POA holder	Attached <input type="checkbox"/> KYC Letter (Mandatory)
PAN of the PoA holder	<input type="checkbox"/> Notarized copy of PoA

15. DECLARATION & SIGNATURE/S

a.) Having read & understand the contents of the Scheme Information Document of the Scheme & reinvestment scheme. I/We hereby apply for units of the scheme & agree to abide by the terms, conditions, rules & regulations governing the scheme. I /We hereby declare that the amount invested in the scheme is through legitimate sources only & does not involve & is not designed for the purpose of the contravention of any Act, Rules, Regulations, Notifications or Directions of the provisions of the Income Tax Act, Anti Money laundering Laws, Anti Corruption Laws or any other applicable laws enacted by the Govt. of India from time to time. I /We have understood the details of the scheme & I /We have not received nor have been induced by any rebate or gifts, directly or indirectly in making this investment. I /We confirm that the funds invested in the Scheme, legally belong to me / us, in the event "Know Your Customer" process is not completed by me / us to the satisfaction of the AMC. I /We hereby authorised the AMC, to redeem the funds invested in the Scheme, in favour of the applicant at the applicable NAV prevailing on the date of such redemption & undertaking such other action with such funds that may be required by the Law. b) for NRIs: I /We confirm that I am / we are Non Resident of Indian Nationality / Origin & that I /we have remitted funds from abroad through approved banking channels or from funds in my/our Non-Resident External / Non-Resident Ordinary. I/We confirm that details provided by me/us are true & correct. c) 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. d) I/We have read & understood the SEBI Circular no. MRD/DoP/Cir 05/2007 dt. April 27, 2007 & SEBI Circular No. 35/MEM-COR/18/07-08 dt. June 26, 2007 regarding mandatory requirement of PAN. I/We confirm that I/we are holding valid PAN card / have applied for PAN. e) The ARN holder has disclosed to me/us all the commission (In the form of trail commission or any other mode), payable to him for the different competing Scheme of various Mutual Fund from amongst which the Scheme is being recommended to me /us.

Date : _____	SIGN HERE First 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

SIP AUTO DEBIT FORM



LIC NOMURA MUTUAL FUND

4th Floor, Industrial Assurance Building, Opp. Churchgate Station, Mumbai - 400 020

Tel.: 022-6801 6000; Fax: 022-2288 0633; Toll Free No.: 1800 258 5678;

E-mail: service@licnomuramf.com Website: www.licnomuramf.com

(Please use separate Enrolment Form for each Scheme. A Photocopy of this form is valid)

Systematic Investment Plan through ECS/DIRECT DEBIT

Normal SIP

Micro SIP

Name of the Authorised Centre:

FOR OFFICE USE ONLY RM CODE

Agent Information (Investors applying under Direct Plan must mention "Direct" in ARN column)

ARN Code

Sub Broker Code

EUIN (Employee Unique Identification Number)

Sub Broker Code (as allotted by ARN holder)

ARN-32141

E047160

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.

Signature First Applicant /Parent or Guardian

Signature Second Applicant

Signature Third Applicant

TRANSACTION CHARGES FOR APPLICATIONS THROUGH DISTRIBUTORS/AGENTS ONLY (Refer Instruction No. 4)

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 the 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.

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

New Investors*

Existing Investor (Please tick as applicable)

I/We hereby apply to the LIC NOMURA MUTUAL FUND TRUSTEE CO. PVT. LTD. for a Systematic Investment Plan (SIP) through ECS / Direct Debit under the following Scheme and agree to abide by the terms, conditions, rules and regulation of the scheme(s) mentioned overleaf as on the date of this investment.

Name of Sole /First Account Holder: Mr./Mrs./M/s

Folio/ Account Number (For existing investor)

(* New Investors are required to complete and submit a Common Application Form also)

Name: 2nd Holder

3rd Holder

SIP Details: Scheme

Plan

Option

For MICRO SIP Cases (Refer Instruction No. 19 overleaf)

DOB

1st Holder

2nd Holder

3rd Holder

Supporting Document

1st Holder

2nd Holder

3rd Holder

Reference Number

1st Holder

2nd Holder

3rd Holder

Frequency

Monthly

Quarterly (Please tick as applicable)

SIP Date

1st

15th

25th

SIP Amount Rs. (per installment)

(For minimum period and SIP amount, please refer point No. 17 overleaf)

SIP Period from

Perpetual (Please refer point No. 24 overleaf)

I/We authorise LIC NOMURA Mutual Fund Trustee Co. Pvt. Ltd. or their authorised service providers to Debit my/ our account listed below by ECS (Electronic Clearing Services) for collection of SIP Payments and confirm that the Funds invested belongs to me/us. I/We have not received nor been induced by any rebate or gifts, directly or indirectly in making this investment

Account Holder name as in Bank Account

Bank Name

Branch Name

Address

City

Account Number

9 Digit Code No. of the Bank appearing in MICR Band for ECS PAYMENT

RTGS: IFSC CODE

Mandatory Enclosures :

Cancelled Cheque or photocopy of

Cheque, duly signed by the applicant/s

First SIP via Cheque

Cheque NO.

Date

Amount (₹)

Account Type Saving Current CC

(Please tick as applicable)

DEMAT ACCOUNT DETAILS - (Please ensure that the sequence of names as mentioned in the application form matches with that of the account held with the Depository Participant).

Do you want Units in Demat Form (Please ✓) Yes No

If Yes, please provide the below details

National Securities Depository Limited (NSDL)

Central Depository Services (India) Limited (CDSL)

Depository Participant Name

Depository Participant Name

DP ID No.

I

N

Beneficiary Account No.

Target ID No.

Authorisation of the Bank Account holder

This is to inform that I/We have registered for the RBI's Electronic Clearing Service (Debit Clearing) and that my/our payments towards my/our investment in LIC NOMURA Mutual Fund Trustee Co. Pvt. Ltd. shall be made from my/our below mentioned Bank Account with your bank. I/We authorise the representative carrying the ECS Mandate Form to get it verified & executed.

Signature

Sole/First Applicant/Guardian

Bank Account Number

2nd Applicant

3rd Applicant

Acknowledgement Slip for SIP through ECS/DIRECT DEBIT (To be filled in by investor)

Investor's Name

Folio/ Account Number

Scheme

SIP Amount (₹)

Frequency: Monthly Quarterly

(please tick as applicable)

LIC NOMURA Mutual Fund Trustee CO. Pvt. Ltd./

Authorised Centre

Signature & Stamp

Mutual Fund Investments Are Subject To Market Risks, Read All Scheme Related Documents Carefully.

I/We hereby declare that the particulars given above are correct and complete. If the transaction is delayed or not effected at all for reasons of incomplete information, I/We will not hold LIC NOMURA Mutual Fund Trustee Co. Pvt. Ltd. responsible. I/We further undertake that any changes in my/our Bank details will be informed to the fund immediately. I/We have read and agreed to the terms and conditions mentioned overleaf. I/We have read & understood the contents of the Scheme Information Document of the scheme wherein Systematic Investment Plan is obtained.

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 declare that I/We don't have any existing Micro SIPs which together with the current application will result in aggregate investments exceeding Rs.50,000/- in a year. (Applicable for Micro SIP)

Signature _____
Sole/First Applicant/Guardian _____
2nd Applicant _____
3rd Applicant _____
Minor Name _____ **Minor's DOB** _____

****Banker's Attestation:**

Certified that the Signature of account holder and the details of Bank account are correct as per records.:

Signature of Authorised Official from the Bank(Bank Stamp and Date)

**Bank attestation mandatory if copy of Cheque is not enclosed or for payable at par Cheques.

TERMS AND CONDITIONS (SIP ECS/DIRECT DEBT)

SIP Payment through Electronic Clearing Services/Direct Debit

- The facility of SIP payment through Electronic Clearing Service (ECS) Debit of the Reserve Bank of India is available only to the investors having bank account in selected cities only. For details of selected cities, please refer to our Area Office / Business Center / Kavy Centers. The facility of Direct Debit is available only with the banks with which LIC NOMURA MF AMC Ltd. has tie up for Direct Debit. For details of banks where Direct Debit is available please refer to our Area Offices / Business Centers / Kavy Centers. The list of cities for ECS Debit and list of Banks for Direct Debit may be modified / updated / changed / removed at any time in future entirely at the discretion of LIC NOMURA Mutual Fund without assigning any reasons or prior notice. SIP / Micro SIP in such cities via ECS (Debit) route will be discontinued without prior notice
- New investors who wish to enroll for SIP through ECS should also fill up the Common Application Form in addition to this form.
- Investors must provide a cancelled Cheque or copy thereof, duly signed by the applicant/s and the first investment must be by means of Cheque from the account where ECS Debit is to be effected. Bankers attestation is mandatory if no Cheque is provided or for Payable At Par Cheques
- Existing investors must provide their Account Number and need not fill up a Common Application Form.
- For further details of the Scheme features like minimum amount, risk factors etc., investors should, before investment, refer to the Scheme Information Documents, Key Information Memorandum and Addenda issued till date, available free of cost at any the Area Offices/Business Centers or Distributors or from website www.licnomuramf.com
- The SIP through ECS Form, and the Common Application Form (in case of new investors), along with the necessary Cheque or copy thereof should be submitted at least 15 days in advance of the date of the first ECS Debit Transaction.
- The bank branch provided for ECS should participate in the local MICR clearing. The investor shall inform his/her Banker about the ECS mandate and LIC NOMURA Mutual Fund Trustee Co. Pvt. Limited will not be liable for any transaction failures due to rejection by the investor's bank/branch.
- SIP through ECS is presently available on 1st/15th/ 25th of the Month. If any other date is mentioned, the nearest date will be automatically fixed. In case these days are non business days for the scheme, then SIP will be processed for the next business day's NAV related price
- The investor agrees to abide by the terms and conditions of ECS facility of Reserves Bank of India (RBI)
- Investor will not hold LIC Nomura Mutual Fund Trustee Co. Pvt. Limited and its service providers responsible if a transaction is delayed or not effected by the investor's Bank or if debited in advance or after the specified SIP date due to various reasons.
- LIC NOMURA Mutual Fund Trustee Co. Pvt. Limited reserves the right to reverse the allotments in case a ECS debit is rejected by the Bank for any reason whatsoever.
- LIC NOMURA Mutual Fund Trustee Co. Pvt. Limited shall not be responsible and liable for any damages/compensation for any loss, damage etc., incurred by the investor. The investor assumes the entire risk of using the ESC facility and takes full responsibility for the same.
- The AMC/LIC NOMURA Mutual Fund Trustee Co. Pvt. Limited reserves the right to discontinue or modify the Terms & Conditions of SIP facility at any time in future on a prospective basis.
- LIC NOMURA Mutual Fund Trustee Co. Pvt. Limited reserves the right to discontinue the SIP in case of suspension of direct debit through ECS or in case a direct debit through ECS is rejected by the investor's bank for any reason. For load structure refer to our area offices/business centers at the addresses available on our website www.licnomuramf.com
- LIC NOMURA Mutual Fund Trustee Co. Pvt. Limited reserves the right to reject any application without assigning any reason therefor.
- PERMANENT ACCOUNT NUMBER:** SEBI has made it mandatory for all applicants including joint holders and guardian to mention his/her Permanent Account Number (PAN) irrespective of the amount of purchase (fresh, additional, SIP). In order to verify that the PAN of the applicants (in case of applications in joint names, guardian in case minor, each of the applicants) has been used and correctly quoted therein, the applicants shall attach a photocopy of the PAN card duly attested by the distributor / agent (AMFI registered) through whom the application is effected or by Bank Manager or Notary or Investors Service Centers of LIC Nomura Mutual Fund or ISCs of Kavy. Attestation will be done after verification with the original PAN Card. Applications not accompanied with the above requirements are liable to be rejected.
- Minimum Investments:#

SIP Mode	Amount	Min. No. of Installment required	Min. Initial Subscription Amount
Monthly	From ₹ 100/- / ₹ 500/- upto ₹ 1000/-	11	₹ 100/-* / ₹ 500/-
	> ₹ 1000/-	5	₹ 1000/-
Quarterly	Minimum ₹ 1000/-	3	As per Scheme Information Document & subsequent Addendum

* are subject to changes at short notice. For details contact any of our Area Offices, Business Centers or Kavy Centers.

Minimum amount is Rs.100/- in respect of equity schemes only.

- Know Your Customer (KYC) Compliance:** Units held in account statement (non-demat) form Investors should note that it is mandatory for all purchases/ switches/ registrations for Systematic Investment Plan (SIP) / Systematic Transfer Plan (STP) / Dividend Transfer Plan (DTP) to quote the KYC Compliance Status of each applicant (guardian in case of minor) in the application and attach proof of KYC Compliance viz. KYC Acknowledgement Letter. Applicants intending to apply for units through a Power of Attorney (PoA) must ensure that the issuer of the PoA and the holder of the PoA must mention their KYC Compliance Status and attach proof of KYC Compliance at the time of investment. With effect from January 1, 2012, SEBI has introduced a common KYC Application Form for all the SEBI registered intermediaries. New investors are therefore requested to use the common KYC Application Form and carry out the KYC process including In-Person Verification (IPV) with any SEBI registered intermediaries including mutual funds. The KYC Application Forms are also available on our website www.licnomuramf.com. Existing KYC compliant investors can continue the practice of providing KYC Acknowledgement Letter / Printout of KYC Compliance Status downloaded from CDSL Ventures Ltd. (CVL) website (www.cvllndia.com) using the PAN at the time of investment. Once the investor has done KYC with any SEBI registered intermediary, the investor need not undergo the same process again with LIC NOMURA Mutual Fund. However, the Mutual Fund reserves the right to carry out fresh KYC of the investor. Units held in electronic (demat) form For units held in demat form, the KYC performed by the Depository Participant of the applicants will be considered as KYC verification done by the Trustee / AMC. In the event of non compliance of KYC requirements, the Trustee/AMC reserves the right to freeze the folio of the investor(s) and effect mandatory redemption of unit holdings of the investors at the applicable NAV, subject to payment of exit load, if any. For further details, please refer Section 'Know Your Customer (KYC) Compliance in Statement of Additional Information available on our website www.licnomuramf.com.
- As regards MICRO SIP, investors are requested to go through as mentioned below:
 - In compliance with SEBI Letter No. MFD/DoP/PAN/MI/68992/2009, dated June 19, 2009 issued to AMFI and subsequent guidelines issued by AMFI in this regard, effective from 01/08/2009, SIPs upto 50,000/- per year per investor i.e. aggregate of installments in a rolling 12 months period or in a financial year (to be referred as 'Micro SIP') shall be exempt from the requirement of PAN as a proof of identification.
 - This exemption will be applicable ONLY to investments by individuals including NRIs but not PIOs, Minors and Sole Proprietary Firms. HUFs and other categories will not be eligible for MICRO SIPs.
 - Investor (including joint holders) will submit a photocopy of any one of 1) Voter Identity Card / Driving License / Government / Defence Identification Card / Passport / Photo Ratio Card / Photo Debit Card / Employee ID cards issued by Companies registered with Registrar of Companies / Photo Identification issued by Bank Managers of Scheduled Commercial Banks / Gazetted Officer / Elected Representatives to the Legislative Assembly / Parliament / ID Card issued to employees of Scheduled Commercial / State / District Co-operative Banks / Senior Citizen / Freedom Fighter ID Card issued by Government / Cards issued by Universities / Deemed Universities or Institutes under statutes like ICAI, ICWA, ICSI / Permanent Retirement Account No. (PRAN) Card issued to New Pension System (NPS) subscribers by CRA (NSDL) / Any other photo ID card issued by Central Government / State Governments / Municipal Authorities / Government Organizations like ESIC / EPFO, for availing the MICRO SIP facility as a supporting document and same must be current and valid and shall be self attested by the investor / attested by the ARN holder mentioning the ARN Number.
 - Investor has to give a declaration that he does not have any existing Micro SIPs which together with the current application will result in aggregate investments exceeding Rs.50,000/- in a year.
- For details contact our Area Offices / Business Centers / Kavy
- In case SIP investments are made through 'Third Party Payments' i.e. payment made through an instrument issued from a bank account other than that of the first named applicant/ investor mentioned in the application form, Investors are required to fill up & submit the 'Third Party Payment Declaration Form' available at any of our ISCs or website www.licnomuramf.com along with the SIP Form. In case the name is not pre-printed on the first SIP cheque or signature on the first SIP cheque does not match, then the first named applicant/investor should submit any one of the documents viz. A copy of the bank passbook or a statement of bank account or a letter from the bank on its letterhead certifying the details of the investor. For further details, please refer to the Instructions in the Key Information Memorandum and section 'How to Apply' under Statement of Additional Information available on our website www.licnomuramf.com.
- Investor may discontinue the SIP / Micro Facility by giving a one month notice to the registrar to the scheme viz. M/s Kavy Computershare Pvt. Ltd.
- Please note that there should be a minimum of 21 business days gap between the SIP application date and next installment date.
- Transaction charges in case of investments through Systematic Investment Plan (SIP) shall be deducted only if the total commitment (i.e. amount per SIP installment x No. of installments) amounts to Rs.10,000/- or more. The Transaction Charges shall be deducted in 3-4 installments.
- 'Perpetual SIP' will be the default option in a case end date for enrolment period is not provided. In case an investor, who has opted for Perpetual SIP, subsequently intends to discontinue the same, a written communication thereof will be required to be furnished.

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



PRASANNA KUMAR Application No. :
ARN-32141 / E047160

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

Aadhaar Number, if any: _____

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

UID (Aadhaar) Passport Voter ID Driving Licence Others _____ (Please see guideline 'D' overleaf)

PHOTOGRAPH

Please affix
the recent passport
size photograph and
sign across it

B. Address Details (please see guidelines overleaf)

1. Address for Correspondence

City / Town / Village		Country	Pin Code
State			

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		Country	Pin Code
State			

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

6. 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: _____

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FOR OFFICE USE ONLY

IPV Done on

AMC/Intermediary name OR code

(Originals Verified) Self Certified Document copies received

(Attested) True copies of documents received

Main Intermediary

Seal/Stamp of the intermediary should contain
Staff Name
Designation
PRASANNA KUMAR
Signature
ARN-32141 / E047160
Date

Seal/Stamp of the intermediary should contain
Staff Name
Designation
Name of the Organization
Signature
Date

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. 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.

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



PRASANNA KUMAR Application No. :
ARN-32141 / E047160

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

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PHOTOGRAPH

Please affix the recent passport size photograph and sign across it

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6. 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: _____

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IPV Done on

AMC/Intermediary name OR code

(Originals Verified) Self Certified Document copies received

(Attested) True copies of documents received

Main Intermediary

Seal/Stamp of the intermediary should contain
 Staff Name
 Designation
PRASANNA KUMAR
 Signature
ARN-32141 / E047160
 Date

Seal/Stamp of the intermediary should contain
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 Designation
 Name of the Organization
 Signature
 Date

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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.

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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.
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2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
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