

BAJAJ FINSERV HEALTHCARE FUND

An open ended equity scheme following pharma, healthcare and allied theme

NFO Period: 6th December - 20th December, 2024

Key Information Memorandum of **Bajaj Finserv Healthcare Fund**

An open ended equity scheme following pharma, healthcare and allied theme

This product is suitable for investors who are seeking*:

- Wealth creation over long term
- To invest predominantly in equity and equity related instruments of pharma, healthcare and allied companies.

*Investors should consult their financial advisers if in doubt about whether the product is suitable for them Riskometer Benchmark Scheme Moderately High Moderately High Moderate Moderate Low to te High High Very High Very High LOW ð-RISKOMETER RISKOMETER Investors understand that their principal BSE Healthcare Total Return Index (TRI) will be at very high risk

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

Offer for Units of Rs. 10 Per Unit for cash during the New fund Offer Period and at NAV based prices upon re-opening

New Fund Offer Opens on:		December 06, 2024	
New Fund Offer Closes on:		December 20, 2024	
Scheme Re-opens for continuous sale and repurchase	on:	Within five business days	of allotment date
Name of Mutual Fund	Name of Asset Managemer	nt Company	Name of Trustee Company
Bajaj Finserv Mutual Fund	Bajaj Finserv Asset Manage	ement Limited	Bajaj Finserv Mutual Fund Trustee Limited
Address: 8th floor, E-core, Solitaire Business Park,	Address: S. No. 208/1B,		Address: S. No. 208/1B, Lohagaon, Viman Nagar,
Viman Nagar, Pune – 411014	Pune – 411014 (registered office)		Pune – 411014 (registered office)
	8th floor, E-core, Solitaire Business Park, Viman		8 th floor, E-core, Solitaire Business Park, Viman
	Nagar, Pune – 411014 (corporate office)		Nagar, Pune – 411014 (corporate office)
www.bajajamc.com	www.bajajamc.com		www.bajajamc.com

This Key Information Memorandum (KIM) sets forth the information, which a prospective investor ought to know before investing. For further details of the scheme/ Mutual Fund, due diligence certificate by the AMC, Key Personnel, investors' rights & services, risk factors, penalties & pending litigations etc. investors should, before investment, refer to the Scheme Information Document and Statement of Additional Information available free of cost at any of the Investor Service Centres or distributors or from the website www.bajajamc.com,

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

This KIM is dated October 24, 2024.

BAJAJ FINSERV ASSET MANAGEMENT LIMITED

Investment Objective		ctive of the Scheme is to generate long term capital a re and allied companies.	ppreciation by predominantly i	nvesting in equity and	l equity related securities of pharma,	
	However	However, there is no assurance that the investment objective of the Scheme will be achieved.				
Scheme Code	BFAM/0/E /THE/24/10/0014					
Asset Allocation pattern of the scheme	Instrur	Instruments Indicative allocations (% of total assets)				
		and Equity Related Securities of pharma, healthc	Are and 80%	Maximum 100%		
	Equitie	ompanies s and Equity related securities of other than pharm ied companies	a, healthcare 0%	20%		
	Debt a	nd Money Market Instruments* and Units of Mutual F		20%		
	*Debt in:	ssued by REITs and InvITs struments shall be deemed to include securitized d commercial bills, Triparty REPO, Reverse Repo and equ				
	Se In In In In	eme may also take exposure to: :curitized debt up to 20% of debt portfolio of the Schr vestment in Equity Derivatives shall be up to 50% of e vestment in Fixed Income Derivatives shall be up to 1 vestment in ADR / GDR / Foreign Securities / Overse id RBI from time to time.	equity assets of the scheme for 0% of Fixed Income assets of th	e scheme for non-he	dging purpose	
	to time. can make investme	ent in Foreign Securities / Overseas ETFs would be as The Scheme may invest up to US \$ 20 million in forei e overseas investments subject to a maximum of US \$ ent in overseas ETFs that invest in securities is US\$ 1 illion in Overseas ETFs.	gn securities. As per SEBI Mast \$ 1 billion per Mutual Fund withi	er Circular for Mutual n the overall industry	Funds dated June 27, 2024, Mutual Funds limit of US \$ 7 billion. The overall ceiling for	
	Funds da	eme will invest upto 10% of Fixed Income assets of th ted June 27, 2024, as amended from time to time. The e BASEL III framework. The investment shall adhere t	e scheme may invest in Additior	al Tier 1 (AT1) and Tier		
	to time. I time, the	eme may undertake repo/reverse repo transactions ir in addition to the instruments stated in the table abo Scheme may hold cash. A part of the net assets may rrnative investment as may be provided by RBI to me	ove, the Scheme may enter into be invested in the Tri-party Rep	repos/reverse repos oos on Government se	as may be permitted by RBI. From time to curities or treasury bills (TREPS) or repo or	
	The Scheme may engage in Short Selling of securities in accordance with the framework relating to Short Selling and securities lending and borrowing specified by SEBI. The Scheme shall not deploy more than 20% of its net assets in securities lending and not more than 5% of the net assets of the Scheme will be deployed in securities lending to any single counterparty.					
	Commer	s exposure of the scheme to repo transactions in (cial Papers (CPs) and Certificate of Deposits (CDs) ; n. The scheme will invest in Non-convertible preferen	shall not be more than 10% of	the net assets of the		
	The Scheme may invest in other scheme(s) under the same AMC or any other mutual fund without charging any fees, provided that aggregate inter-sc investment made by all Schemes under the same AMC or in Schemes under the management of any other asset management shall not exceed 5% of th asset value of the Mutual Fund. Further, the Scheme shall not invest in any fund of funds scheme.					
		eme shall invest in Debt instruments having Structur unds dated June 27, 2024. The same are currently as		ments in accordance	with provisions of SEBI Master Circular for	
		stment of the Scheme in the following instruments ents shall not exceed 5% of the debt portfolio of the S		debt portfolio of the	Scheme and the group exposure in such	
		nsupported rating of debt instruments (i.e. without fa upported rating of debt instruments (i.e. after factorir				
		ourpose, a group means a group as defined under regung company and its associates.	ulation 2 (mm) of the Regulation	s and shall include an	entity, its subsidiaries, fellow subsidiaries	
	the mark	ent in debt instruments, having credit enhancements et value of such shares.		-	ve a minimum cover of 4 times considering	
		re Table (Actual instrument/percentages may vary su		rsj	Circular reference	
	Sr. no 1	Type of Instrument Securities Lending	Percentage of exposure 20% of net assets of scheme	2	Circular references Clause 12.11 of SEBI Master Circular for Mutual Funds dated June 27, 2024	
	2	Equity Derivatives for non- hedging purposes	50% of equity assets of the		Clause 12.25 of SEBI Master Circular for Mutual Funds dated June 27, 2024	
	3 4	Fixed Income Derivatives for non- hedging purposes Securitized Debt	10% of Fixed Income assets20% of Debt Portfolio of the		Clause 12.15 of SEBI Master Circular for	
	5	Overseas Securities	20% of total assets of the sc	heme	Mutual Funds dated June 27, 2024 Clause 12.19 of SEBI Master Circular for	
	6	ReITs and InvITs	10% of net assets of the sch	eme	Mutual Funds dated June 27, 2024 Clause 12.21 of SEBI Master Circular for	
	7	AT1 and AT2 Bonds	10% of Fixed Income assets	of the scheme	Mutual Funds dated June 27, 2024 Clause 12.2 of SEBI Master Circular for	
	8	(Instruments with special features) Repo transactions in corporate debt securities	10% of the net assets of the	scheme	Mutual Funds dated June 27, 2024 Clause 12.18 of SEBI Master Circular for	
	9	Credit enhancement and structured obligations.	10% of Fixed Income assets	of the scheme	Mutual Funds dated June 27, 2024 Clause 12.3 of SEBI Master Circular for Mutual Funds dated June 27, 2024	
	10	Units of mutual fund schemes of Bajaj Finserv AMC or in the Scheme of other mutual funds	5% of the net asset value of	the Mutual Fund	Clause 4 of Seventh Schedule of SEBI Mutual Fund Regulations	
	11	Any other instrument Non-convertible Preference shares 	10% of net assets of the sch	eme	Clause 12.10 of SEBI Master Circular for	

	The scheme will not invest in following securities:					
	Sr. No. Securities 1. Fund of Funds scheme.					
	2. Credit Default Swaps.					
	The cumulative gross exposure through equity, debt, money market instruments, units of mutual fund schemes, securitised debt, special features instruments, Credit enhancement and structured obligations, Non-convertible Preference shares, units issued by REITs and InvITs, equity derivatives, fixed income derivatives, Foreign securities/ Overseas ETFs, repo transactions in corporate debt securities and such other securities/assets as may be permitted by the Board from time to time should not exceed 100% of the net assets of the scheme in accordance with SEBI Master Circular for Mutual Funds dated June 27, 2024.					
	Pursuant to SEBI Master Circular for Mutual Funds dated June 27, 2024, the Scheme may deploy NFO proceeds in Triparty repo on Government securities or treasury bills (TREPS) before the closure of NFO period. However, the AMC shall not charge any investment management and advisory fees on funds deployed in TREPS during the NFO period					
	At the time of building up the portfolio post NFO, the Fund Manager may deploy the funds in units of liquid mutual fund schemes to the extent permitted under SEBI (Mutual Funds) Regulations, 1996, in case suitable debt / money market instruments are not available or the Fund Manager is of the view that the risk-reward is not in the best interest of the unit holders.					
	All of the Scheme's assets will be invested in transferable securities. The corpus of the Scheme shall not in any manner be used in option trading, short selli or carry forward transactions as stipulated in SEBI Regulations and amended from time to time. Pending deployment of the funds in securities in terms of investment objective of the Scheme, the AMC may park the funds of the Scheme in short ter deposits of the Scheduled Commercial Banks, subject to the guidelines mentioned in SEBI Master Circular for Mutual Funds dated June 27, 2024, as may amended from time to time.					
	Rebalancing due to Passive Breaches: As per SEBI Master Circular for Mutual Funds dated June 27, 2024, as amended from time to time, in the event of deviation from mandated asset allocation due to passive breaches (occurrence of instances not arising out of omission and commission of the AMC), the fund manager shall rebalance the portfolio of the scheme within 30 business days. In case the portfolio of the scheme is not rebalanced within the period of 30 business days, justification in writing, including details of efforts taken to rebalance the portfolio shall be placed before the Investment Committee of the AMC. The Investment Committee, if it so desires, can extend the timeline for rebalancing upto 60 business days from the date of completion of mandated rebalancing period. Further, in case the portfolio is not rebalanced within the aforementioned mandated plus extended timelines, the AMC shall comply with the prescribed restrictions, the reporting and disclosure requirements as specified in the SEBI Master Circular for Mutual Funds dated June 27, 2024.					
	In case the AUM of the deviated portfolio is more than 10% of the AUM of the main portfolio of the scheme.					
	 The AMC shall immediately communicate the same to the investors of the scheme after the expiry of the mandated rebalancing period (i.e. 30 Business Days) through SMS and email/ letter including details of portfolio not rebalanced. The AMC shall also immediately communicate to the investors through SMS and email/letter when the portfolio is rebalanced. The AMC shall disclose scheme wise deviation of the portfolio (beyond aforesaid 10% limit) from the mandated asset allocation beyond 30 business days, on the AMC 's website i.e. www.bajajamc.com. 					
	The AMC shall also disclose any deviation from the mandated asset allocation to investors along with periodic portfolio disclosures as specified by SEBI from the date of lapse of mandated plus extended rebalancing timelines.					
	Rebalancing due to Short Term Defensive Consideration: Due to market conditions, the AMC may invest beyond the range set out in the asset allocation. Such deviations shall normally be for short term and defensive considerations as per SEBI Master Circular for Mutual Funds dated June 27, 2024, and the fund manager will rebalance the portfolio within 30 calendar days from the date of deviation.					
Investment Strategy	The Bajaj Finserv Healthcare Fund is an open ended actively managed equity scheme which aims to provide long-term capital appreciation by investing 80-100% of total assets in equity and equity related securities of companies classified under 'Healthcare Equipment & Supplies, Healthcare Services, Pharma- ceuticals & Biotechnology' as per Industry classification issued by AMFI from time to time and any other industry/sector that forms part of the benchmark index. The Scheme may also invest in companies involved in other healthcare, pharmaceutical and allied sectors. The scheme would invest in stocks across market capitalization, however, may take concentrated exposure to certain stocks/sectors/industry.					
	Examples of industries/sectors classified under 'Healthcare Equipment & Supplies, Healthcare Services, Pharmaceuticals & Biotechnology' are as follows:					
	 Biotechnology Healthcare Research, Analytics & Technology Healthcare Service Provider Hospital Medical Equipment & Supplies 					
	Pharmaceuticals Over the counter medicine, nutraceutical Any other industry/sector that forms part of the benchmark index					
	Please note that the above list is indicative, and the Fund Manager may add such other sector/industries which satisfy the pharma, healthcare and allied theme. The Fund Manager may also add other sectors as may be added in the BSE Healthcare Index from time to time.					
	The scheme may invest upto 20% of its total assets in equities and equity related securities of other than pharma, healthcare and allied companies.					
	The scheme may use Derivatives traded on recognized stock exchanges for the purpose of hedging, portfolio rebalancing and other purposes as may be permitted by SEBI. Although the scheme will predominantly invest in pharma, healthcare and allied companies, it retains the flexibility to take some exposure beyond such companies based on the asset allocation pattern of the scheme.					
	The scheme intends to use equity derivatives for purposes that may be permitted by SEBI Mutual Fund Regulations from time to time. Derivatives instruments may take the form of Futures, Options, Swaps or any other instrument, as may be permitted from time to time. For detailed derivative strategies, please refer to SAI.					
	The scheme defines the pharma, healthcare and allied theme as those which encompasses a broad array of industries and services that contribute to the enhancement of physical, mental, and emotional health. This theme is diverse, including traditional healthcare services as well as alternative or preventative or curative or palliative measures focused on improving overall well-being.					
	The Scheme may use SLBM for earning additional income for the scheme with a lesser degree of risk. Scheme may invest in the units of Mutual Fund schemes of Bajaj Finserv Mutual Fund or any other Mutual Funds in terms of the prevailing SEBI (MF) Regulations.					
	The Scheme may also invest a part of its corpus in overseas markets in Global Depository Receipts (GDRs), ADRs, overseas equity, bonds and mutual funds and such other instruments as may be allowed under the Regulations from time to time.					
	The scheme may take exposure in units of REIT and InvITs at an opportune time to generate income from real estate or infrastructure assets. Investing in units of REITs and InvITs has the potential to generate capital appreciation and regular income streams.					
	Fixed Income securities The Scheme may also invest in Debt and Money Market Securities/Instruments (Money Market securities include cash and cash equivalents). The Scheme aims to identify securities which offer optimal level of yields/returns, considering risk-reward ratio. With the aim of controlling risks rigorous in depth credit evaluation of the securities proposed to be invested in will be carried out by the Risk Management Team of the AMC. The credit evaluation includes a study of the operating environment of the issuer, the short as well as long-term financial health of the issuer. Rated debt instruments in which the Scheme invests will be of investment grade as rated by a credit rating agency. The AMC may consider the ratings of such Rating Agencies as approved by SEBI to carry out the functioning of rating agencies. The Scheme may invest in securitised debt.					
	In addition, the investment team of the AMC will study the macro economic conditions, including the political, economic environment and factors affecting liquidity and interest rates. The AMC would use this analysis to attempt to predict the likely direction of interest rates and position the portfolio appropriately to take advantage of the same.					

	The scheme intends to use fixed income derivatives for purposes that may be permitted by SEBI Mutual Fund Regulations from time to time. Derivatives instruments may take the form of forward rate agreement, interest rate Swaps, interest rate future or any other instrument, as may be permitted from time to time. For detailed derivative strategies, please refer to SAI.
	Further, the Scheme may invest in other schemes managed by the AMC or in the schemes of any other Mutual Funds in terms of the prevailing Regulations. As per the Regulations, no investment management fees will be charged for such investments.
	For the present, the Scheme does not intend to enter into underwriting obligations. However, if the Scheme does enter into an underwriting agreement, it would do so after complying with the Regulations and with the prior approval of the Board of the AMC/Trustee.
	The scheme may undertake repo transactions in corporate debt securities in accordance with the directions issued by RBI and SEBI from time to time. Such investment shall be made subject to the guidelines which may be prescribed.
	The scheme may also invest in Additional Tier 1 (AT1) and Tier 2 (AT2) bonds issued by high quality banks under the BASEL III framework.
	The Scheme may invest in debt instruments having structured obligations / credit enhancements.
	Portfolio Turnover: The scheme being an open ended scheme, it is expected that there would be frequent subscriptions and redemptions. Hence, it is difficult to estimate with any reasonable measure of accuracy, the likely turnover in the portfolio. If trading is done frequently there may be an increase in transaction cost such as brokerage paid etc. The fund manager shall endeavour to optimize portfolio turnover to maximize gains and minimize risks keeping in mind the cost associated with it. The Scheme has no specific target relating to portfolio turnover.
	Portfolio Turnover Ratio: Not Applicable (Since the scheme is a new fund to be launched, the said ratio is not applicable)
	Investment Philosophy & Process:
	Change is a principal quality of our business environment. There are obviously some businesses that adapt to these changes and ride these mega trends; while some end up losing their market share or profits, failing to adapt to these changes. It is important to consider these mega trends in investing.
	Structural changes demand that the incumbent, dominant companies, or business ecosystems, prepare for them if they want to stay in control of their market positions. Challenger companies, or up-and-coming business ecosystems often capitalize on these changes to enter existing markets or establish new ones. These moves are reflected in constantly shifting profit pools. In this fund, it is our endeavour to invest in companies that benefit from the trend driven by healthcare theme.
	INQUBE Investment Philosophy:
	The INQUBE fund management philosophy is based on first principles understanding of the market dynamics. The process at its core emanates from the studied realisation that fund alpha is an outcome of three edges namely the <u>Inf</u> ormation edge, the <u>Qu</u> antitative edge and the <u>Be</u> havioural edge of the investment team. At its core, the INQUBE investment philosophy borrows from human nature and behavioral finance as a knowledge discipline.
	To realise the edge at the stock ideas hunting stage, the process shall involve a simultaneous application of top-down and bottom-up research to identify potential investments. It also involves evaluating business cycles and trends, such as momentum and trend reversal patterns, in order to identify potential investment opportunities and the stage of growth such potential ideas may be at.
	At the ideas analysis stage, the process involves analysing the business, management and valuation to guide the stock selection process. While undertaking the allocation decisions, the business shall be filtered on account of its size, quality, valuation, growth outlook, and risk; to measure and structure the allocation
	The AMC/Sponsors/Trustee do not guarantee that the investment objective of the Scheme will be achieved. No guaranteed returns are being offered under the Scheme.
	The scheme intends to use derivatives for purposes that may be permitted by SEBI Mutual Fund Regulations from time to time. Derivatives instruments may take the form of Swaps or any other instrument, as may be permitted from time to time.
	The Margin for derivatives transactions may be placed in the form of such securities/instruments/deposits as may be permitted/eligible to be placed as margin from the assets of the Scheme. The securities/instruments/deposits so placed as margin shall be classified under the applicable category of assets for the purposes of asset allocation.
Risk Profile of the	Scheme specific risk factors:
Scheme	The scheme being theme specific will be largely affected by the risks associated with pharma, healthcare and allied companies. The portfolio will comprise predominantly of equity and equity related securities of pharma, healthcare and allied companies. The scheme will be subjected to concentration risk as the fund is mandated to invest in the companies belonging to specified theme which would limit its investment universe, hence the scope for diversification could be limited at times. This may result in the portfolio NAV to be more volatile as compared to a diversified portfolio and would have a material adverse bearing on the performance of the Scheme.
	1. Risks associated with investing in equities:
	 Investors may note that AMC/Fund Manager's investment decisions may not be always profitable, as actual market movements may be at variance with anticipated trends. Trading volumes, settlement periods and transfer procedures may restrict the liquidity of these investments. Different segments of the Indian financial markets have different settlement periods and such periods may be extended significantly by unforeseen circumstances. The inability of the Scheme to make intended securities purchases due to settlement problems could cause the Scheme to miss certain investment opportunities. Similarly, the inability to sell securities held in the Scheme portfolio would result at times, in potential losses to the Scheme, should there be a subsequent decline in the value of securities held in the Scheme portfolio. The value of the Scheme's investments may be affected generally by factors affecting securities markets, such as price and volume volatility in the capital markets, interest rates, currency exchange rates, changes in policies of the Government, taxation laws or any other appropriate authority policies and
	 other political and economic developments which may have an adverse bearing on individual securities, a specific sector or all sectors including equity and debt markets. Consequently, the NAV of the Units of the Scheme may fluctuate and can go up or down. The Mutual Fund may not be able to sell securities, which can lead to temporary illiquidity. There are risks inherent in securities lending, including the risk of failure of the other party, in this case the approved intermediary to comply with the terms of the agreement. Such failure can result in a possible loss of rights to be collateral, the inability of the approved intermediary to return the securities deposited by the lender and the possible loss of corporate benefits
	 Investors may note that dividend is due only when declared and there is no assurance that a company (even though it may have a track record of payment of dividend in the past) may continue paying dividend in future. As such, the scheme is vulnerable to instances where investments in securities may not earn dividend or where lesser dividend is declared by a company in subsequent years in which investments are made by scheme. As the profitability of companies are likely to vary and have a material bearing on their ability to declare and pay dividend, the performance of the scheme may be adversely affected due to such factors.
	 While securities that are listed on the stock exchange carry lower liquidity risk, the ability to sell these investments is limited by the overall trading volume on the stock exchanges. The liquidity of the Scheme's investments is inherently restricted by trading volumes in the securities in which it invests. Fund manager endeavors to generate returns based on certain past statistical trend. The performance of the scheme may get affected if there is a change in the said trend. There can be no assurance that such historical trends would continue. In case of abnormal circumstances, it will be difficult to complete the square off transaction due to liquidity being poor in stock futures/spot market.
	 However, the scheme will aim to take exposure only into liquid stocks where there will be minimal risk to square off the transaction. Changes in Government policy in general and changes in tax benefits applicable to mutual funds may impact the returns to investors in the Scheme or business prospects of the Company in any particular sector.
	 Investments in equity and equity related securities involve a certain degree of risk and Investors should not invest in the equity scheme unless they can afford to take the risk of losing their investment.

	2. Risks associated with investing in fixed income:							
	Market Risk: The NAV of the scheme, to the extent invested in Debt and Money Market securities, will be affected by changes in the general level of interest							
	rates. The NAV of the scheme is or rates.	expected to increase from a fall in inte	erest rates while it would be adversely affe	ected by an increase in the level of interest				
	 Liquidity Risk: Money market securities, while fairly liquid, lack a well-developed secondary market, which may restrict the selling ability of and may lead to the scheme incurring losses till the security is finally sold. The liquidity of a bond may change, depending on market condition changes in the liquidity premium attached to the price of the bond. At the time of selling the security, the security can become illiquid, leaving of the portfolio. 							
	 Price Risk: Government securities where a fixed return is offered run price-risk like any other fixed income security. Generally, when interest raprices of fixed income securities fall and when interest rates drop, the prices increase. The extent of fall or rise in the prices is a function of the coupon, days to maturity and the increase or decrease in the level of interest rates. The new level of interest rate is determined by the rates government raises new money and/or the price levels at which the market is already dealing in existing securities. This risk is not unique to Gov 							
	Securities. It exists for all fixed in	•	ent Securities are unique in the sense th	at their credit risk generally remains zero.				
	Settlement risk: The inability of	the scheme to make intended securit	ies purchases due to settlement problem	s could cause the scheme to miss certain				
	impact liquidity would result, at Regulatory Risk: Changes in gov	investment opportunities. By the same rationale, the inability to sell securities held in the scheme's portfolio due to the extraneous factors that may impact liquidity would result, at times, in potential losses in case of a subsequent decline in the value of securities held in the scheme's portfolio. Regulatory Risk: Changes in government policy in general and changes in tax benefits applicable to Mutual Funds may impact the returns to investors in the scheme.						
	Reinvestment Risk: This risk refe	vestment Risk: This risk refers to the interest rate levels at which cash flows received from the securities in the scheme are reinvested. The additional me from reinvestment is the "interest on interest" component. The risk is that the rate at which interim cash flows can be reinvested may be lower						
			an issuer's inability to meet interest and	principal payments on its obligations and				
	Risks associated with investment	nt in unlisted securities: Subject to ap		est in unlisted securities. These securities				
	the scheme has the power to inv price fluctuations, less liquidity	vest in securities which are not listed and greater risk than those which are	on a stock exchange ("unlisted Securitie	ecurity of an associate or group company, s") which in general are subject to greater urities may lack a liquid secondary market				
	 Different types of fixed income s 	ecurities in which the scheme would i	nvest as given in the Scheme Information	Document carry different levels and types				
	than Government securities. Fu	rther even among corporate bonds, b		prporate bonds carry a higher level of risk tively less risky than bonds, which are AA				
		verall level of risk of the portfolio, inve may increase the absolute level of risk		er yields as well as zero coupon securities				
				ecurities are more sensitive to changes in nvest in zero coupon securities that offer				
	 attractive yields. This may increa The scheme at times may receiv 		sts leading to an asset-liability mismatch a	and therefore requiring the AMC to make a				
	distress sale of the securities lea	ading to realignment of the portfolio a	and consequently resulting in investment t of the derivative vis-à-vis that of the sec	in lower yield instruments.				
				hmark rate. In the life of the security, this might not change, but the spread of the				
		chmark might increase leading to los sk of failure of counterparty to a trans		ideration received or to pay consideration				
	against securities delivered, in f	ull or in part or as per the agreed spec	ification. There could be losses to the Sch	neme in case of a counterparty default.				
	 Duration Risk: Duration risk refers to the movement in price of the underlying invested money market / debt instruments due to movement/change in interest rates over different durations of maturity of instruments. In a portfolio of debt assets, the duration risk is measured by the average duration of the portfolio. Duration, expressed in years, is used as a measure of the sensitivity of the fixed income instrument to a change in interest rates. Usually, individual duration of fixed income instruments in the portfolio is calculated and the portfolio duration is weighted average of such individual instrument duration. A longer portfolio duration is associated with greater price fluctuations. A rise in interest rates could normally lead to decrease in prices and generally negatively affects portfolios having longer duration vis-a-vis a shorter duration. A longer duration portfolio is also generally associated with greater volatility vis-a-vis a shorter duration portfolio. Sovereign Risk: Sovereign risk is the likelihood that a Government will default on its loan obligation by failing to meet its principal payments or interest. It comes in different forms and may result in losses to investors in addition to negative political consequences. The Central Government of a country is the issuer of the local currency in that country. The Government (Central / State) raises money to meet its capital and revenue expenditure by issuing debt or discounted securities. Since payment of interest and principal amount has a sovereign credit is minimal, even lower than a security with "AAA" rating 							
	For details on risk factors and risk mit	hich is lower than a yield on "AAA" sec igation measures, please refer SID.	sunty.					
Plans/Options	Plans							
Plans/ options	Bajaj Finserv Healthcare Fund – Direc Bajaj Finserv Healthcare Fund – Regu							
	<u>Options</u>							
	Growth Option	drawal (IDCW) option with Payout of	Income Distribution cum Capital Withdra	wal sub-option, Reinvestment of Income				
			tribution cum Capital Withdrawal sub-opt					
	The Scheme will have a common port							
	These NAVs will be separately declare	d.	investment and Transfer) under Regular	and Direct Plans will have different NAVs.				
	Default Plan would be as mentioned b							
	ARN Code mentioned/not mentioned by investor	Plan mentioned by investor	Default Plan					
	Not mentioned Not mentioned	Not mentioned Direct Plan	Direct Plan Direct Plan					
	Not mentioned Mentioned	Regular Plan Direct Plan	Direct Plan Direct Plan					
	Direct	Not mentioned	Direct Plan					
	Direct Mentioned	Regular Plan Regular Plan	Direct Plan Regular Plan					
	Mentioned	Not mentioned	Regular Plan					
	endeavour on best effort basis to obtai	n the correct ARN code within 30 cale		cessed under Direct Plan. The AMC shall form from the investor. In case the correct f application without any exit load.				
	Bajaj Finserv Healthcare Fund - Direct Plan is only for investors who purchase /subscribe units in a Scheme directly with the Fund.							
	Default option will be Growth Option. Default sub-option will be Reinvestme	nt of Income Distribution cum capital	withdrawal sub-option.					
	For detailed disclosure on default plans and options, kindly refer SAI.							

(5)

Applicable NAV (after the scheme opens for subscriptions and redemptions)	 Cut off timing for subscriptions/ redemptions/ switches: In case of Subscription/Switch-in for any amount: In respect of valid applications received upto 3.00 p.m. on a Business Day at the official point of acceptance of transactions and where the funds for the entire amount of subscription/purchase as per the application/Switch-in request, are available for utilization before the cut-off time i.e. 3.00 p.m the closing NAV of the day shall be applicable. In respect of valid applications received after 3.00 p.m. on a Business Day at the official point of acceptance of transactions and where the funds for the entire amount of subscription/purchase as per the application/Switch-in request, are available for utilization either on the same day or before the cut-off time of the next business day - the closing NAV of the next Business Day shall be applicable. Irrespective of the time of receipt of application at the official point of acceptance of transactions, where the funds for the entire amount are available for utilization before the cut-off time on any subsequent Business Day - the closing NAV of such subsequent Business Day shall be applicable. In case of investments through Systematic Investment Plan (SIP), Systematic Transfer Plans (STP), Other STP methods as may be offered by the AMC, IDCW Transfer, Trigger etc. the units would be allotted as per the closing NAV of the day on which the funds are available for utilization irrespective of the instalment date of the SIP, STP or record date of IDCW etc. Since different payment modes have different settlement cycles including electronic transactions (as per arrangements with Payment Aggregators/Banks/Exchanges etc), it may happen that the investor's account is debited, but the money is not credited within cut-off time on the same date to the Scheme's bank account, leading to a gap/delay in Unit allotment. Redemptions including switch-outs: In respect of valid applications received
Minimum Application Amount/ Number of Units	Purchase: • During NFO Period: Minimum application amount (lumpsum) :- Rs. 500/- and in multiples of Re. 1/- thereafter. Systematic Investment Plan (SIP):- Rs. 500/- and above: minimum 6 instalments. • During Ongoing Offer: Fresh Purchase (lumpsum) :- Rs. 500/- and in multiples of Re. 1/- thereafter. Systematic Investment Plan (SIP) :- Rs. 500/- and above: minimum 6 instalments. Minimum amount for switch-in :- Rs. 500/- and in multiples of Re. 1/- Two-Factor Authentication will be applicable for subscription as well as redemption transactions in the units of Mutual Fund. Minimum application amount will not be applicable for investments made in the scheme pursuant to SEBI Master Circular for Mutual Funds dated June 27, 2024, on alignment of interest of designated employees of the AMC with the unitholders of mutual fund schemes. For more information, please refer SAI. Additional Purchase :- On Ongoing basis Rs. 100/- and in multiples of Re. 1/- thereafter. Redemption: Minimum redemption amount - Rs. 500 and in multiples of Re. 0.01/- or the account balance of the investor whichever is less. Minimum amount for switch-out - Rs. 500 and in multiples of Re. 0.01/- or the account balance of the investor whichever is less.
Dispatch of Redemption Request	Within three working days of the receipt of the redemption request at the authorised centre of the Bajaj Finserv Mutual Fund.
Benchmark Index	BSE Healthcare Total Return Index (TRI)
Dividend Policy	The Scheme may declare IDCW subject to the availability of distributable surplus and approval from Trustees. IDCW would become payable to the unitholders whose names appear on the register of unitholders on the record date as fixed for the scheme. The IDCW declared will be paid net of tax deducted at source, wherever applicable. There is no assurance or guarantee to the Unit holders as to the rate of IDCW distribution nor that the IDCW will be paid regularly. If the Fund declares IDCW, the NAV of the Scheme would stand reduced by the amount of IDCW paid. All the IDCW payments shall be in accordance and compliance with SEBI, Stock Exchange Guidelines, as applicable from time to time. IDCW is the amount that can be distributed out of equalisation reserve which is part of the sale price that represents realised gains. Any IDCW upto Rs. 100/-shall be compulsorily reinvested in the same option under the scheme at prevailing NAV on record date.
Name of the Fund Manager	Mr. Nimesh Chandan and Mr. Sorbh Gupta (Equity portion) Mr. Siddharth Chaudhary (Debt portion)
Name of the Trustee Company	Bajaj Finserv Mutual Fund Trustee Limited
Performance of the Scheme	This scheme does not have any performance track record.
Additional Scheme Related Disclosures	 Scheme's portfolio holdings (top 10 holdings by issuer and fund allocation towards various sectors to be provided through a functional website link that contains detailed description.): Not Applicable as it is a new scheme Disclosure of name and exposure to Top 7 issuers, stocks, groups and sectors as a percentage of NAV of the scheme in case of debt and equity ETFs/index funds through a functional website link that contains detailed description: Not Applicable as it is a new scheme Portfolio Turnover Rate particularly for equity oriented schemes shall also be disclosed: Not Applicable (Since the scheme is a new fund to be launched, the said ratio is not applicable).
Expenses of the Scheme	New Fund Offer Period: These are the expenses incurred for the purpose of new fund offer of the scheme including marketing, advertising, communication, registrar expenses, statutory expenses, printing expenses, stationery expenses, bank charges, exchange related charges, service provider related charges etc. As required in SEBI Regulations, all NFO expenses will be borne only by the AMC and not by the scheme. Accordingly, the NFO expenses would be incurred from AMC books and not from scheme books.

Load Structure		Exit Load is an amount which is paid by the investor to redeem the units from the scheme. Load amounts are variable and are subject to change from time to time. For the current applicable structure, please refer to the website link: https://www.bajajamc.com/sid-disclosure or may call at toll free no. 18003093900 or your distributor.						
	Type of Load	Load chargeable (as %age of NAV)						
	Entry*	Nil						
	Exit**	For each purchase of units through Lumpsum / switch-in / Systematic In exit load will be as follows:	nvestment Plan (SIP) and Systematic Transfer Plan (STP),					
		 if units are redeemed / switched out within 3 months from the dat if units are redeemed/switched out after 3 months from the date 						
		The Scheme will not levy exit load in case the timelines for rebalancing p dated June 27, 2024, is not complied with.	ortfolio as stated in SEBI Master Circular for Mutual Funds					
	/additional subscri SIP/STP accepted	n the requirements specified by the SEBI Master Circular for Mutual Funds dat otion /switches accepted by the Mutual Fund. Similarly, no entry load will be c by the Mutual Fund. For the purpose of charging of exit load, units would be it load shall be applicable only on prospective investments.	charged with respect to applications for registrations under the					
	**The load on other	types of transaction could be Income Distribution cum Capital Withdrawal re	einvestment, Switch in/out, SIP/SWP/STP (as applicable)					
		ion/switch undertaken in excess of 25% holding of an investor on account o d June 27, 2024 shall not be subject to exit load imposed in the scheme.	f compliance with the requirements of SEBI Master Circular for					
		ssion on investment made by the investor, if any, shall be paid to the ARN Hol ssessment of various factors including service rendered by the ARN Holder.	lder (AMFI registered distributor) directly by the investor, based					
	Goods & Services T	arged to the unitholders by the Mutual Fund on redemption (including switch ax. ax on exit load, if any, shall be paid out of the exit load proceeds.	-out) of units shall be credited to the respective scheme net of					
		be charged for switch transaction from this scheme to any another equit in the scheme would not attract any exit load:	ty scheme of Bajaj Finserv Mutual Fund. Further, switches of					
	(ii) switch from F	Direct Plan to Regular Plan; Regular Plan to Direct Plan where the investment in Regular Plan is without a nt Options (Income Distribution cum capital withdrawal /growth) of the same						
		Load on bonus/ re-investment of Income Distribution cum capital withdrawal units: In terms of SEBI Master Circular for Mutual Funds dated June 27, 2024, no entry and exit load shall be charged on bonus units or units allotted on reinvestment of Income Distribution cum capital withdrawal.						
	The Trustee / AMC reserves the right to change the load structure any time in future if they so deem fit on a prospective basis. The investor is requested to check the prevailing load structure of the scheme before investing.							
	In case of changes to load structure, the AMC would endeavour to do the following:							
	 An addendum would be attached to the SID and Key Information Memorandum (KIM). The same may be circulated to brokers/distributors so that the same can be attached to all SID and abridged SID in stock. Further the addendum would be sent along with a newsletter to unitholders immediately after the 							
	changes.Arrangement would be made to display the changes in the SID in the form of a notice in all the official points of acceptance of transactions and distribu-							
	 tor's/broker's office. The introduction of the exit load along with the details may be stamped in the acknowledgement slip issued to the investors on submission of the application form and may also be disclosed in the statement of accounts issued after the introduction of such load. A public retries a ball we have water to a ball water to a statement of accounts issued after the introduction of such load. 							
	 A public notice shall be provided on the website in case of changes undertaken to the exit load. The AMC/Trustee reserves the right to change / modify the Load structure of the Scheme, subject to maximum limits as prescribed under the Regulations. However, the Redemption /Repurchase Price will not be lower than 95% of the NAV. 							
Recurring Expenses	Annual Scheme Recurring Expenses							
	These are the fees and expenses for operating the scheme. These expenses include Investment Management and Advisory Fee charged by the AMC, Registrar and Transfer Agents' fee, marketing and selling costs etc. as given in the table below:							
	Limits specified by SEBI in SEBI MF Regulations for scheme recurring expenses:							
	a. on the first Rs. 500 crore of the Scheme's daily net assets - upto 2.25%;							
	 b. on the next Rs. 250 crore of the Scheme's daily net assets – upto 2.00%; c. on the next Rs. 1,250 crore of the Scheme's daily net assets – upto exceed 1.75%; 							
	d. on the next Rs. 3,000 crore of the Scheme's daily net assets – upto exceed 1.60%;							
	 e. on the next Rs. 5,000 crore of the Scheme's daily net assets - upto exceed 1.50%; f. on the next Rs. 40,000 crore of the Scheme's daily net assets - Total Expense Ratio reduction of 0.05% for every increase of Rs. 5,000 crores of daily net assets or part thereof; g. on balance of the assets - upto 1.05%. 							
	In addition to the re	ecurring expense mentioned above, additional expenses of 0.05% of daily net	t assets of the scheme shall be chargeable.					
	Expense Head		% p.a. of daily Net Assets* (Estimated p.a.)					
		agement & Advisory Fee and expenses of trustees	-					
	Custodial Fees							
	Registrar & Trans redemption chec	sfer Agent Fees including cost of providing account statements / IDCW / ues/ warrants						
	Marketing & Selli	ng Expenses including Agents Commission and statutory advertisement	-					
		investor communications nsfer from location to location	_					
	Cost towards inv	estor education & awareness [®]	Upto 2.25					
		saction cost pertaining to distribution of units [%] s Tax on expenses other than investment and advisory fees						
	Goods & Service	Goods & Services Tax on brokerage and transaction cost						
		(to be specified as per Reg 52 of SEBI MF Regulations)* Expense Ratio (TER) permissible under Regulation 52 (6) (c)	Upto 2.25					
		ses under Regulations 52(6A)(c)	Upto 0.05					
		ses for gross new inflows from specified cities	Upto 0.30*					

*SEBI vide letter no. SEBI/HO/IMD/IMD-SEC3/P/0W/2023/5823/1 dated February 24, 2023 and AMFI vide letter no. 35P/MEM-COR/85/2022-23 dated March 02, 2023 has advised AMCs to keep B-30 incentive in abeyance till AMCs put in place effective controls. Accordingly, applicability of this expense ratio will be subject to any further communication issued by SEBI / AMFI in this regard.

*As permitted under the Regulation 52 of SEBI (MF) Regulations, 1996 and pursuant to SEBI Master Circular for Mutual Funds dated June 27, 2024.

^aIn terms of SEBI Master Circular for Mutual Funds dated June 27, 2024, the AMC / Mutual Fund shall annually set apart at least 2 basis points (i.e. 0.02%) on daily net assets of the scheme within the maximum limit of Total Expense Ratio as per Regulation 52 of the SEBI (MF) Regulations for investor education and awareness initiatives.

^{*}Brokerage and transaction costs incurred for the execution of trades and included in the cost of investment, not exceeding 0.12% of the value of trades of cash market transactions and 0.05% of the value of trades of derivative market transactions. It is hereby clarified that the brokerage and transaction costs incurred for the execution of trades of and transaction costs incurred for the execution of trades may be capitalized to the extent of 0.12% of the value of trades of cash market transactions and 0.05% of the value of trades of derivative market transactions. Any payment towards brokerage and transaction costs (including Goods & Services Tax, if any) incurred for the execution of trades, over and above the said 0.12% for cash market transactions and 0.05% of the value of trades of derivative market transactions may be charged to the scheme within the maximum limit of Total Expense Ratio (TER) as prescribed under Regulation 52 of the SEBI (MF) Regulations.

Illustration in returns between Regular and Direct Plan

Particulars	Regular Plan	Direct Plan
Amount invested at the beginning of the year (Rs.)	10,000	10,000
Returns before Expenses (Rs.)	1,500	1,500
Expenses other than Distribution Expenses (Rs.)	150	150
Distribution Expenses (Rs.)	50	-
Returns after Expenses at the end of the year (Rs.)	1,300	1,350
Returns (%)	13.00%	13.50%

The expense of 30 bps shall be charged if the new inflows from retail investors from B30 cities as specified from time to time are at least -

(i) 30% of gross new inflows from retail investors in the scheme, or; (ii) 15% of the average assets under management (year to date) of the scheme, whichever is higher:

Provided that if inflows from retail investors from B30 cities is less than the higher of subclause (i) or sub- clause (ii), such expenses on daily net assets of the scheme shall be charged on proportionate basis.

Provided further that expenses charged under this clause shall be utilized for distribution expenses incurred for bringing inflows from retail investors from B30 cities.

Provided further that amount incurred as expense on account of inflows from retail investors from B30 cities shall be credited back to the scheme in case the said inflows are redeemed within a period of one year from the date of investment.

In case inflows from retail investors from beyond top 30 cities is less than the higher of (i) or (ii) above, additional TER on daily net assets of the scheme shall be charged as follows:

Daily net assets X 30 basis points X new inflows from individuals beyond top 30 cities 365* X Higher of (i) or (ii) above

* 366, wherever applicable.

For the above purposes, 'B30 cities' shall be beyond Top 30 cities as at the end of previous financial year as communicated by AMFI. Retail investors would mean individual investors from whom inflows into the scheme would amount upto Rs. 2,00,000/- per transaction.

Direct Plan shall have a lower expense ratio excluding distribution expenses, commission, etc and no commission for distribution of units will be paid / charged under Direct Plan. All fees and expenses charged in a Direct Plan (in percentage terms) under various heads including the investment and advisory fee shall not exceed the fees and expenses charged under such heads in other than Direct Plan.

The AMC shall adhere provisions of SEBI Master Circular for Mutual Funds dated June 27, 2024 and various guidelines specified by SEBI as amended from time to time, with reference to charging of fees and expenses. Accordingly:

- a. All scheme related expenses including commission paid to distributors, shall be paid from the scheme only within the regulatory limits and not from the books of the AMC, its associates, sponsor, trustee or any other entity through any route. Provided that, such expenses that are not specifically covered in terms of Regulation 52 (4) can be paid out of AMC books at actual or not exceeding 2 bps of the Scheme AUM, whichever is lower.
- b. The Mutual Fund shall adopt full trail model of commission in the scheme, without payment of any upfront commission or upfronting of any trail commission, directly or indirectly, in cash or kind, through sponsorships, or any other route.
- c. All fees and expenses charged in a Direct Plan (in percentage terms) under various heads including the investment and advisory fee shall not exceed the fees and expenses charged under such heads in Regular Plan.
- d. No pass back, either directly or indirectly, shall be given by the Fund / the AMC / Distributors to the investors.

Disclosure on Goods & Services Tax:

Goods & Services Tax on investment management and advisory fees shall be in addition to the above expense.

Further, with respect to Goods & Services Tax on other than management and advisory fees:

- Goods & Services Tax on other than investment and advisory fees, if any, shall be borne by the scheme within the maximum limit of TER as per regulation 52 of the Regulations.
- Goods & Services Tax on exit load, if any, shall be paid out of the exit load proceeds and exit load net of Goods & Services Tax, if any, shall be credited to the scheme.
- Goods & Services Tax on brokerage and transaction cost paid for asset purchases, if any, shall be within the limit prescribed under regulation 52 of the Regulations.

For the actual current expenses being charged to the scheme, investors should refer to the website of the mutual fund at link: https://bajajamc.com/downloads?ter=.Any change proposed to the current expense ratio will be updated on the website at least three working days prior to the change.

As per the Regulations, the total recurring expenses that can be charged to the scheme shall be subject to the applicable guidelines. The total recurring expenses of the scheme will however be limited to the ceilings as prescribed under Regulation 52(6) of the Regulations.

Tax treatment for the Investors (unitholders)

Investor will be advised to refer to the details in the Statement of Additional Information and also independently refer to his tax advisor.

Daily Net Asset Value (NAV) Publication	NAV shall be calculated and disclosed on all business days, except under special circumstances. NAV shall be disclosed on AMC website (<u>www.bajajamc.com</u>) and on AMFI website (<u>www.amfiindia.com</u>). NAV shall be available on all centers for acceptance of transactions. NAV shall also be made available at all Investor Service Centres and the Toll free number of the AMC i.e. 18003093900.
	NAV will be calculated upto three decimal places and shall be disclosed before 11.00 p.m. on all business days. In case NAV is not uploaded within the stipulated timing of 11.00 p.m. on any business day, explanation shall be provided to AMFI for non adherence of time limit. If the NAV is not available before the commencement of business hours on the following day due to any reason, the Mutual Fund shall issue a press release giving reasons for the delay and explaining when the Mutual Fund shall Fund shall issue a press release giving reasons for the delay and explaining when the Mutual Fund would be able to publish the NAV.
	The first NAV shall be calculated and disclosed within 5 business days of allotment.
For Investor Grievances please contact	Name & Address of Registrar: KFIN Technologies Limited SEBI Registration - INR000000221 Address - Selenium Building, Tower-B, Plot No. 31 & 32, Financial District, Nanakramguda, Serilingampally, Hyderabad, R. R. District, Telangana India - 500 032 Contact no 040-67162222/ 040-79611000 Website - www.kfintech.com
	Contact details for general service requests: You may call on Toll Free: 1800-309-3900 (Monday to Friday 9:00 am to 6:00 pm) or write us on email id: <u>service@bajajamc.com</u> or raise a service ticket on our website at link: <u>https://bajajfinservasset.my.site.com/Web2Case/s/</u>
	Contact details for complaint resolution: Ms. Priya Singh
	Investor Service Officer Bajaj Finserv Asset Management Limited, 8th Floor, E-Core, Solitaire Business Park (formerly Marvel Edge), Viman Nagar, Pune – 411014 Tel No: 020 67672500 Fax No: 020 67672550 Email: <u>service@bajajamc.com</u>
Unitholders' Information	The AMC shall send an allotment confirmation specifying the units allotted by way of email and/or SMS within 5 working days of receipt of valid application/transaction to the Unit holders registered e-mail address and/ or mobile number (whether units are held in demat mode or in account statement form).
	A Consolidated Account Statement (CAS) detailing all the transactions across all mutual funds (including transaction charges paid to the distributor) and holding at the end of the month shall be sent to the Unit holders in whose folio(s) transaction(s) have taken place during the month by mail or email on or before 15th of the succeeding month.
	Half-yearly CAS shall be issued at the end of every six months (i.e. September/ March) on or before 21st day of succeeding month. to all investors providing the prescribed details across all schemes of mutual funds and securities held in dematerialized form across demat accounts, if applicable
	For further details, refer SAI.
	Portfolio Disclosure:
	Portfolio shall be disclosed as on last day of the month/half year within 10 days from the end of month/half year. Portfolio shall be disclosed on AMC website at link: https://www.bajajamc.com/downloads?portfolio and on AMFI website www.amfiindia.com. Portfolio shall be disclosed in a user-friendly and downloadable spreadsheet format. Portfolio shall also be sent by e-mail to all unitholders by the AMC/Mutual Fund. The Mutual Fund shall publish an advertisement disclosing uploading of half year scheme portfolio shall be provided to unitholders on receipt of specific request from the unitholder, without charging any cost.
	Half Yearly Financial Results:
	The Mutual Fund shall within one month from the close of each half year, that is on March 31 and on September 30, host a soft copy of its unaudited financial results on the AMC website <u>www.bajajamc.com</u> and shall publish an advertisement disclosing the hosting of financial results on the AMC website, in atleast one English daily newspaper having nationwide circulation and in a newspaper having wide circulation published in the language of the region where the Head Office of the mutual fund is situated. The unaudited financial results would be displayed on AMC website <u>www.bajajamc.com</u> and AMFI website <u>www.amfindia.com</u> .
	Annual Report:
	Scheme wise Annual Report or an abridged summary thereof shall be mailed to all unitholders within four months from the date of closure of the relevant financial year i.e. 31st March each year as under:
	 by email to the unitholders whose email address is available with the Mutual Fund. in physical form to the unitholders whose email address is not available with the Fund and/or to those Unit holders who have opted / requested for the same.
	An advertisement shall also be published in all India edition of at least two daily newspapers, one each in English and Hindi, disclosing the hosting of the scheme wise annual report on the website of the AMC www.bajajamc.com and AMFI website www.amfiindia.com. The physical copy of the scheme wise annual report or abridged summary shall be made available to the investors at the registered office of the AMC.
	The AMC shall also provide a physical copy of abridged summary of the annual report without charging any cost, on specific request received from the unithold- er. A copy of scheme wise annual report shall also be made available to unitholders on payment of nominal fees.

Please refer to the Statement of Additional Information and Scheme Information Document for any further details.

Note: The Trustees have ensured that the Scheme approved by them is a new product offered by Bajaj Finserv Mutual Fund and is not a minor modification of an existing scheme / fund / product.

For Bajaj Finserv Asset Management Limited

Sd/-Ganesh Mohan Chief Executive Officer

Place: Pune Date: October 24, 2024. this page is interiorally letter to an

BAJAJ FINSERV HEALTHCARE FUND					
An onen ended equity scheme following pherma, healthears and allied theme					

An open ended equity scheme following pharma, healthcare and allied theme NEW FUND OFFER APPLICATION FORM

Mutual Fund investments are subject to market risks, read all scheme related documents carefully.



Application No. Offer of Units of Rs. 10/- each during the New Fu	Ind Offer NFO Start Date : 6th December	2024; NFO Closure Date: 2	0th December 2024		
Scheme Name & Type of the Scheme	Product I This product is suitable for investo	, in the second s		Scheme Risk-	o-meter [#] Benchmark Risk-o-meter
Bajaj Finserv Healthcare Fund An open ended equity scheme following oharma, healthcare and allied theme	 wealth creation over long term to invest predominantly in equilallied companies. 	ty and equity related inst		S RISKOME	TER RISKOMETER
The product labelling assigned during the New Fu	*Investors should consult their fina for them		-	that their p	rincipal Return Index (TRI)
ost NFO when actual investments are made.	Ind Uπer is based on internal assessment (of the Scheme Characteristic	cs or model portfolio and the same	will be at very	•
I. DISTRIBUTOR INFORMATION	Outh Dustrees (A negative		Internal Code for		(Please Refer instruction no.
Broker Code/ ARN / RIA** / PMRN** Code	Sub Broker /Agent's ARN Code	Bank Branch Code	Sub - Agent / Employee	EUIN*	ISC Date Timestamp Reference No.
**By mentioning RIA/PMRN code, I/We auth applicable) *In case the EUIN box has been le the AMFI registered distributor, based on the	eft blank, please refer the point related	d to EUIN in the Declaratio	on & Signatures section overlea		
2. UNIT HOLDING OPTION 📃 PH	YSICAL MODE (Default)	DEMAT MODE*			(Please refer instruction no. 7
Demat Account details are mandatory if the etails. In case of any ambiguity or validatior				as given in the order of the ap	plicants matches as per the Deposito
National Se	curities Depository Limited		Cent	ral Depository Services (Ir	ıdia) Limited
DP Name -		c	P Name -		
DPID I N B	Beneficiary A/c No.	C)P ID	Beneficiary A/c	No.
nclosures - Please (✓) □ Client N	Aasters List (CML) 🗌 Transac	ction cum Holding Sta	tement 🗌 Delivery Ins	truction Slip (DIS)	
3. MODE OF HOLDING					(Please refer instruction no.
n case of Demat Purchase, Mode of	FHolding should be same as in	Demat Account)	Single] Joint 🔄 Anyo	one or Survivor (Default)
4. APPLICANT'S NAME AND INFO	RMATION (Mandatory) to be fi	lled in block letters. (N	lame and DOB shall be as p	per Income Tax Records)	(Please refer instruction no.
Folio No.	(For Exis	ting unit holders)	Gender	Male 🗌 Female 🗌 01	thers
lame of Sole / 1st Applicant Mr. Name as per IT Records)	/ Ms. / M/s. First		Middle		Last
PAN/PEKRN Annual Mandatory)	CKYC No.			Date of Bir (Mandatory)	h D D M M Y Y Y
1obile No.		Email ID			
he Email ID belongs to (Mandatory Please , he Mobile No. belongs to (Mandatory Please					
ne default Communication mode is E-mail onl Ve would recommend you to choose an o	ly, if you wish to receive following docu	ment(s) via physical mode	e: (please√here) □Account Stat	tement 🗆 Annual Report/Abrid nt)	
.EI Code			Valid upto D D M		action value of INR 50 crore and above ndividual investors. Refer instruction no.
Tax Status	ividual NRI-Repatriation	n 🗌 NRI-Non Repa	atriation 🗌 Partnership	Trust 🗌 HU	IF AOP
Mandatory, Please \checkmark) \Box Minor through	Jh guardian 🗌 Company	Fils	PIO	Body Corporate So	ciety/Club 🗌 Sole Proprietorsł
🗌 Non Profit Or	ganisation 🗌 Financial Institut	tion 🗌 NBFC	Bank	Others	(Please Specify)
on Profit Orgnization [NPO] e are falling under "Non-Profit Organizatio gistered as a trust or a society under the S	n" [NPO] which has been constituted				
yes, please quote the Registration No. pr not, please register immediately and con TA to register your entity name in the abc nder the respective statutory requiremen	nfirm with the above information. Fa ove portal and may report to the rele	ailure to get above conf evant authorities as app	licable. We am/are aware tha	t we may be liable for it for a	iny fines or consequences as requir
. , .	·	· · ·			5
GUARDIAN DETAILS (In case First / Sol r. / Ms.		ERSON-DESIGNATI		or Non- Individual Investors)	
ame as per IT Records)			Middle		Last
AN andatory)	CKYC No.			Gender	Male Female Othe
obile No.	Email ID			inth /Data of Income	
esignation/Relationship with Mir	nor		(Mandatory)	irth/Date of Incorporatio	
Date of Birth Proof for minors (A	ny One)				
] Birth Certificate 🗌 Marks She	eet (HSC/ICSE/CBSE)	•		Others	
⊶	/ the Investor)				Bajaj Finserv Healthcare Fund
eceived from Mr. / Ms		-	, .	·	Collection Centre / Bajaj AMC Stamp & Signature
Application No.					

BAJAJ FINSERV ASSET MANAGEMENT LIMITED

ou. MAIEINO ADDIN					
Local Address of 1st A	Applicant				
				City	
State	Pin (Code	Tel. Resi.	-	Геl. Off.
5b. OVERSEAS COR	RESPONDENCE ADDRESS (Man	datory for NRI / FII Applicai	nt)		
[Please provide Full /	Address. P. O. Box address is no	t sufficient]			
Zip Code:	Tel. Resi	Tel.	Off	Mobile No	
6a. SECOND APPLIC	CANT'S DETAILS* (In case of Mir	nor, there shall be no joint h	olders) [Name and DOB s	hall be as per Income Tax Rec	cords]
Name Mr. / Ms.	First		Middle		Last
(Name as per IT Records)		CKYC No.		Gen	der 🗌 Male 🗌 Female 🗌 Others
Mobile No.		Email ID		Date (Manda	of Birth D D M M Y Y Y Y
The Email ID belongs to (I The Mobile No. belongs to					Guardian 🗌 PMS 🗌 Custodian 🗌 POA Guardian 🗌 PMS 🗌 Custodian 🗌 POA
Tax Status (Mandatory, Please√)	🗌 Resident Individual 🛛 🗌 N	IRI-Repatriation 🗌 NRI-N	Non Repatriation		
6b. THIRD APPLICA	ANT'S DETAILS* (In case of Min	or, there shall be no joint ho	olders) [Name and DOB sh	nall be as per Income Tax Rec	ords]
Name Mr. / Ms. (Name as per IT Records)	First		Middle		Last
PAN (Mandatory)		CKYC No.		Gen	der 🗌 Male 🗌 Female 🗌 Others
Mobile No.		Email ID		Date (Manda	of Birth tory) D D M M Y Y Y Y
The Email ID belongs to(I The Mobile No. belongs to					Guardian 🗌 PMS 🗌 Custodian 🗌 POA Guardian 🗌 PMS 🗌 Custodian 🗌 POA
Tax Status		_	Non Repatriation		
7. KYC Details (Man	datory)				(Please refer instruction no. 3e)
First Applicant:			_	Business Professiona	I Agriculturist Retired
Second Applicant:	 Private Sector Service Housewife 			Business Professiona Others (please specify)	I Agriculturist CRetired
Third Applicant:	 Private Sector Service Housewife 	Public Sector Service Student		Business Professiona	Agriculturist CRetired
Gross Annual Incon	ne				
First Applicant:	□ Below 1 Lac □ 1-5 OR Net worth* (for Non-Ind		cs 🗌 10-25 Lacs	as on D M M	re
Second Applicant:	Below 1 Lac DR Net worth* (for Non-Ind		cs 🗌 10-25 Lacs	as on D D M M	re □ >1 crore
Third Applicant:	Below 1 Lac DR Net worth* (for Non-Ind		cs 🗌 10-25 Lacs	as on D D M M	re Store Store (Not older than 1 year)
For Individuals					(Please refer instruction no. 3d)
First Applicant:	I am Politically Exposed Pers	son (PEP)	🗌 I am Related to Politi	cally Exposed Person (RPEP)	
Second Applicant:	I am Politically Exposed Pers	son (PEP)	I am Related to Politi	cally Exposed Person (RPEP)	Not applicable
Third Applicant:	I am Politically Exposed Pers	son (PEP)	I am Related to Politi	cally Exposed Person (RPEP)	Not applicable
For Non Individuals	, if involved in any of the below	mentioned services, plea	se (√) the appropriate o	option :	
(i) Foreign Exchange	e / Money Changer Services 🗌 Ye	es 🗌 No (ii) Gaming / Ga	mbling / Lottery / Casino	Services 🗌 Yes 🗌 No (iii)	Money Lending / Pawning 🗌 Yes 🗌 No
				Pa	yment Details
Sr. No. Scheme	Name /Plan	Option	Net Amount Paid (₹)		

5	Sr.	_			Payment Details			
	lo.	Scheme Name /Plan	Option	Net Amount Paid (₹)	Cheque/DD No./UTR No. (in case of NEFT/RTGS)	Bank and Branch		
	1	Bajaj Finserv Healthcare Fund	Growth IDCW Payout IDCW Reinvestment					

8. BANK ACCOUNT DETA	ILS FOR PAYOUT (Please attach	copy of cancelled o	cheque)			(Please refe	er instructio	n no. 4)
Name of the Bank									
Account No.				Accou	nt Type 🗌	SB CA SB-	NRE 🗌 SB-NRO 🗌	Others	
Bank Branch			Address						
		Bank City		Sta	ite		Pincod	e	
MICR Code (9 digits)			^{\$} IFSC Code f	for NEFT / RTGS			^{\$} This is an 11 Digi from your chequ		
9. INVESTMENT & PAYM	ENT DETAILS* The	e name of the f	irst/ sole applicant	must be pre-printed	on the cheq	ue.	(Please ref	er instructic	on no. 6)
Scheme Nai	me	Р	lan			Option			
Bajaj Finserv Healthcare Fund Regular Plan Direct Plan Direct Plan IDCW Reinvestment (Default for IDCW) IDCW Frequency - (Please refer to SID for the IDCW Frequency & O							v & Option)		
Payment Type (Please	 ✓) 		Non-	Third Party		🗌 Third Party F	Payment (PIs fill third pa	arty declaratio	on form)
Transaction Type			Lum	npsum			SIP*		
Amount (INR)									
Mode of Payment (Please • Cheque / DD NEFT / OTM (One Time Mandate) Existing Investors who have an existing 01	RTGS) (This facility is only applicable	for	Cheque / D	D No. / UTR No.			Cheque / DD No. / UTR N	0.	
Drawn on Bank									
A/c Number									
Date									
Cheque/DD should be dr *If you wish to register SIF Reason for investment Investment horizon Plea	P, kindly fill the relevent to	vant SIP Regist ildren's Educat	tration & OTM Debit	t Mandate Form. Marriage □Car [Retiremen	t 🗌 Others (plea	se specify)		
Investment horizon Please (✓) anyone 5 Years 10 Years 15 Years 20 Years 25 Years									
10. FATCA AND CRS DET	AILS FOR INDIVID	UALS (Inclu	Iding Sole Proprie	etor)			(Please ref	er instructio	on no. 8)
10. FATCA AND CRS DET Non-Individual investors s					(UBO) Form.	The below informa		er instructic applicants/g	
Non-Individual investors s		fill separate FA	TCA and Ultimate B	Beneficial Ownership ((UBO) Form.			applicants/g	
	should mandatorily	fill separate FA	TCA and Ultimate B				ation is required for all a	applicants/g	
Non-Individual investors s	should mandatorily	fill separate FA	TCA and Ultimate B	Beneficial Ownership (India	Country of	ation is required for all a Citizenship / Nation Prs (Please specify)	applicants/g	
Non-Individual investors s Particulars First Applicant / Guardian Second Applicant Third Applicant	Place/Cit	fill separate FA	TCA and Ultimate B	Beneficial Ownership (try of Birth	India	Country of an U.S. Othe an U.S. Othe an U.S. Othe	tion is required for all contract of the second sec	applicants/g	
Non-Individual investors s Particulars First Applicant / Guardian Second Applicant	Place/Cit	fill separate FA	TCA and Ultimate B	Beneficial Ownership (try of Birth	India	Country of an U.S. Othe an U.S. Othe an U.S. Othe	tion is required for all contract of the second sec	applicants/g	
Non-Individual investors s Particulars First Applicant / Guardian Second Applicant Third Applicant	Place/Cit	fill separate FA y of Birth	TCA and Ultimate B	Beneficial Ownership (try of Birth de India? Yes	India India India No [Please	Country of an U.S. Othe an U.S. Othe an U.S. Othe tick ()] Othe	ation is required for all f Citizenship / Nation ers (Please specify) ers (Please specify) ers (Please specify) ers (Please specify)	applicants/g	guardian
Non-Individual investors s Particulars First Applicant / Guardian Second Applicant Third Applicant Are you a tax resident (i.e., If 'YES' please fill for ALL cc	Place/Cit	fill separate FA y of Birth for Tax) in any o n India) in whic	TCA and Ultimate B Count Other country outsid h you are a Resider	Beneficial Ownership (try of Birth de India? Yes	India India India India No [Please where you ar Iden	Country of an U.S. Othe an U.S. Othe an U.S. Othe tick ()] Othe	tion is required for all Citizenship / Nation ers (Please specify) ers (Please specify) ers (Please specify) t/Green Card Holder/T. If TIN is not avail	applicants/g ality ax Resident i able please	juardian
Non-Individual investors s Particulars First Applicant / Guardian Second Applicant Third Applicant Are you a tax resident (i.e., If 'YES' please fill for ALL c respective countries.	Place/Cit Place/Cit	fill separate FA y of Birth for Tax) in any o n India) in whic	TCA and Ultimate B Count Other country outsid h you are a Resider	Beneficial Ownership (try of Birth de India? Yes nt for tax purpose i.e. cation Number or	India India India India No [Please where you ar Iden	Country of an U.S. Other an U.S. Other an U.S. Other an U.S. Other tick ()] e a Citizen/Resident tification Type Itick (tion is required for all Citizenship / Nation ers (Please specify) ers (Please specify) ers (Please specify) t/Green Card Holder/T. If TIN is not avail	applicants/g ality ax Resident i able please	juardian
Non-Individual investors s Particulars First Applicant / Guardian Second Applicant Third Applicant Are you a tax resident (i.e., If 'YES' please fill for ALL corespective countries. Particulars Particulars	Place/Cit Place/Cit	fill separate FA y of Birth for Tax) in any o n India) in whic	TCA and Ultimate B Count Other country outsid h you are a Resider	Beneficial Ownership (try of Birth de India? Yes nt for tax purpose i.e. cation Number or	India India India India No [Please where you ar Iden	Country of an U.S. Other an U.S. Other an U.S. Other an U.S. Other tick ()] e a Citizen/Resident tification Type Itick (vition is required for all f Citizenship / Nation ers (Please specify) t/Green Card Holder/T. /) If TIN is not avail the reason A, B or	applicants/g ality ax Resident able please C (as define	in the tick ()<br d below)
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TOLL FREE NUMBER: 1800 309 3900 | EMAIL: service@bajajamc.com | WEBSITE: https://www.bajajamc.com

11. NOMINATION DETAILS* (To be filled in by individuals singly or jointly. Mandatory only for Investors who opt to hold units in Non-Demat) (Please refer instruction no. 9) 0R

I/We do hereby nominate the person(s) more particularly described here under to receive the Units held in my/our Folio in the event of my/our death. (Please fill the nominee details in the table given below)

□ I/We hereby confirm that I/We do not wish to appoint any nominee(s) for my mutual fund units held in my/our mutual fund folio. I/We understand the implications/issues involved in non-appointment of any nominee(s) and am/are further aware that in case of my demise/ death of all the unit holders in the folio, my/our legal heir(s) would need to submit all the requisite documents issued by the Court or such other competent authority, as may be required by the Mutual Fund/AMC for settlement of death claim/transmission of units in favour of the legal heir(s), based on the value of the units held in the mutual fund folio.

If,	/ou do not wish to nominate (Ont Out of Nomination) it is mandatory to a	aion ao nartha mada af ha	Iding in gignoture encoger	vrovidod bolow i o in Nor	aination Dataila agation
11.3	/ou do not wish to nominate (Opt out of Normination), It is manualory to s	sign as per the mode of no	iung in signature space p	Diovided below i.e. in Nor	mination Details section

ame and PAN of Nominee(s)	Relationship with Applicant	Date of Birth	Guardian Name	Guardian's relationship with nominee	Signature of Nominee/ Guardian of Nominee (Optional)	Proportion (%) in which the units will be shared by each Nominee (should aggregate to 100%)	
	(Mandatory)	(Mandatorily to b	e furnished in case the No	ninee is a minor)		(Mandatory)	
Nominee 1		DD/MM/YYYY					
Nominee 2		DD/MM/YYYY					
Nominee 3		DD/MM/YYYY					
ature(s) All Unit holders to man	datorily sign irresp	pective of the mode	e of holding.				
Sign of 1st Applicant / Guard	lian		Sign of 2nd Applicant		Sign of 3rd	Applicant	
						Аррионте	

13. DECLARATION AND SIGNATURES

Mutual Fund investments are subject to market risks, read all scheme related documents carefully d

I/We hereby confirm and declare as under:- I/We have read and understood the contents of the Statement of Additional Information of Baiai Finsery Mutual Fund and the Scheme Information Document(s)/Key ndum of Bajaj Finserv Healthcare Fund and Addenda thereto, issued from time to time and the Instructions. I/We, hereby apply to the Trustee of Bajaj Finserv Mutual Fund for allotment of units of the Scheme(s) of Bajai Finsery Mutual Fund, as indicated above and agree to abide by the terms, conditions, rules and regulations of the relevant Scheme(s). I/We have neither received nor been induced by any rebate or gifts, directly or indirectly in making this investment. I/We declare that I am/We are authorised to make this investment and the amount invested in the Scheme is through legitimate sources only and is not designed for the purpose of contravention or evasion of any Act, Regulation, Rule, Notification, Directions or any other applicable laws enacted by the Government of India or any Statutory Authority. 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(s) is/are being recommended to me/us. I/We declare that the information given in this application form is correct, complete and truly stated. In the event of my/our not fulfilling the KYC process to the satisfaction of the AMC/Bajaj Finserv Mutual Fund, I/We hereby authorise the AMC/Bajaj Finserv Mutual Fund to redeem the units against the funds invested by me/us at the applicable NAV as on the date of such redemption. I/We agree to notify Bajaj Finserv Asset Management Limited immediately in the event the information in the self-certification changes. For investors investing in Direct Plan: I/We hereby agree that the AMC has not recommended or advised me/us regarding the suitability or appropriateness of the product/scheme/plan. Applicable to Micro Investors: I/We hereby declare that I/We do not have any existing Micro investments which together with the current application will result in aggregate investments exceeding Rs. 50,000 in a year. Applicable to Nirs I/We confirm that I am/We are Non-Resident(s) 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 (s). FATCA and CRS Declaration: I/We hereby acknowledge and confirm that the information provided in this form is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/We shall be liable for it. I/We also undertake to keep you informed in writing about any changes/modification to the above information in future and also undertake to provide any other additional information as may be required at your end. I/We hereby authorise you to disclose, share, remit in any form, mode or manner, all/any of the information provided by me/us, including all changes, updates to such information as and when provided by me/us to Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees ('the Authorised Parties') or any Indian or foreign governmental or statutory or judicial authorities/agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax /revenue authorities and other investigation agencies without any obligation of advising me/us of the same.

- Please 🗸 : if the EUIN space is left blank: 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.
- sign.

Sign of 1st Applicant / Guardian / Authorised Signatory / POA	Sign of 2nd Applicant / Authorised Signatory / POA				Sign of 3rd Applicant / Authorised Signatory / POA						
	Points to reme	mber									
Please ensure that:	Documents	Individuals	Companies	Societies	Partnership Firms	Investments through PoA		NRI		Sole Proprietor	. Min
1. Your Application Form is complete in all respects & signed by all applicants.	Resolution / Authorisation to invest		1	√	√		1		✓		-
Name, Address and Contact Details are mentioned in full. Email id & Mobile number should be provided along with the declaration whether it belongs to Self or a Family	HUF / Trust Deed		•				· •		-		+
member.	Bye - Laws			1							+
3. Bank Account Details are entered completely and correctly. IFSC Code & 9 digit MICR	Partnership Deed			-	~						\square
Code of your Bank is mentioned in the Application Form. 4. Permanent Account Number (PAN) Mandatory for all Investors (including guardians,	SEBI Registration / Designated Depository Participant Registration Certificate 2								✓		
joint holders, NRIs and POA holders) irrespective of the investment amount.									<u> </u>	t	+

Notarised Power of Attorney Foreign Inward Remittance Certificate

FCNR a/c, where applicable

KYC Acknowledgement

Demat Account Details

ase payment is made by DD from NRE /

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- Know Your Client (KYC) Mandatory for irrespective of the amount of investment (please refer the guideline 4(e) for more information)
- 6. Your Investment Cheque / DD is drawn in favour of < Scheme Name > dated and signed. For e.g "Bajaj Finserv Healthcare Fund
- 7. Application Number is mentioned on the reverse of the cheque.
- 8. A cancelled cheque leaf of your Bank is enclosed in case your investment cheque is not from the bank account that you have furnished in the Application Form
- (Client Master List Copy)3 9. Documents as listed are submitted along with the Application form (as applicable to FATCA CRS/UB0 Declaration your specific case). PAN

1. Self attestation is mandatory 2. Copy of SEBI registration certificate (for FII) or Designated Depository Participant registration certificate (for FPI) should be provided 3. In case Units are applied in Electronic (Demat) mode.

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(Please refer instruction no. 10)

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GENERAL GUIDELINES FOR NFO APPLICATION FORM

- Please read the Scheme Information Document/Key Information Memorandum of Bajaj Finserv Healthcare Fund carefully before investing.
- Please furnish all information marked as 'MANDATORY'. In the absence of any mandatory information, the application would be rejected.
- c. The application form should be completed in ENGLISH and in BLOCK LETTERS.
- d. All cheques, demand drafts and pay orders should be crossed "Account Payee only" and made in favour of "Scheme Name" - E.g. Bajaj Finserv Healthcare Fund.
- e. If the Scheme name on the application form and on the payment instrument are different, the application may be processed and units allotted at applicable NAV of the scheme mentioned in he application / transaction slip duly signed by investor(s).
- f. Any over-writing / changes made while filling the form must be authenticated by canceling the original entry, re-entering correct details and ensuring that all applicants counter-sign against each correction.
- g. Investors must write the application form number / folio number / PAN number on the reverse of the cheque / demand draft.

INSTRUCTIONS FOR NFO APPLICATION FORM

1. DISTRIBUTOR INFORMATION

- a. Commission (if any) 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.
- b. Pease mention 'DIRECT' in case the application is not routed through any distributor.
 c. Pursuant to SEBI circular dated September 13, 2012, mutual funds have created a unique
- c. Pursuant to SEBI circular dated September 13, 2012, mutual funds have created a unique identity number of the employee/ relationship manager/ sales person of the distributor interacting with the investor for the sale of mutual fund products, in addition to the AMFI Registration Number (ARN) of the distributor. This Employee Unique Identification Number is referred as "EUIN". EUIN aims to assist in tackling the problem of mis-selling even if the employee/relationship manager/sales person leaves the employment of the distributor or his/her sub broker. Quoting of EUIN is mandatory in case of advisory transactions.
- d. Distributors are advised to ensure that the sub broker affixes his/her ARN code in the column "Sub broker ARN code" separately provided, in addition to the current practice of affixing the internal code issued by the main ARN holder in the "Sub broker code (as allotted by ARN holder)" column and the EUIN of the Sales Person (if any) in the "EUIN" column.
- e. Distributor are advised to ensure that they fill in the RIA/PMRN code, in case they are a Registered Investment Advisor / Portfolio Manager.
- f. Investors are requested to note that EUIN is applicable for transactions such as Purchases, Switches, Registrations of SIP / STP and EUIN is not applicable for transactions such as Installments under SIP/STP / SWP, Redemption, SWP Registration.
- g. Investors are requested to note that EUIN is largely applicable to sales persons of non individual ARN holders only (whether acting in the capacity of the main distributor or sub broker). Further, EUIN will not be applicable for overseas distributors who comply with the requirements as per AMFI circular.

2. EXISTING INVESTORS OF BAJAJ FINSERV MUTUAL FUND

If you are an existing investor please mention your existing folio number, so the unit will be allotted in the same folio. If it left blank, then new folio number will be generated.

3. SOLE/ FIRST APPLICANT'S DETAILS

- a. Please furnish names of all applicants. The name of the Sole /First Applicant should be mentioned in the same manner in which it appears in the Income Tax PAN card. Please note the following:
- In case the applicant is a Non individual Investor (including HUF), then Legal Entity Identifier(LEI) Number is mandatory to be mentioned in the space provided. As per the RBI circular No. RBI/2020-21/82 - DPSS.CO.OD No.901/06.24.001/2020-21 dated January 05, 2021, it is mandatory for all Non-individuals to obtain Legal Entity Identifier(LEI) and quote the same for any transactions beyond ₹ 50 crore routed through RTGS / NEFT w.e.f 1st April'21. Further , the Contact person's name to be stated in the space provided (Name of [Guardian/Contact Person)
- In case the applicant is a minor, the Guardian's name should be stated in the space provided (Name of Guardian / Contact Person). It is mandatory to provide the minor's date of birth in the space provided.
- In case the application is being made on behalf of a minor, he / she shall be the Sole Holder/Beneficiary. There shall be no joint account with a minor unitholder.
- b. Please indicate the tax status of the sole/1 applicant at the time of investment. The abbrevations used in this section are: NRI: Non-Resident Indian Individual, PIO: Person of Indian Origin, FII: Foreign Institutional
- Investor, NGO: Non Government Organization, AOP: Association of Persons, BOI: Body of Individuals, HUF : Hindu Undivided Family.
 c. Where the investment is on behalf of a Minor by the Guardian:
- The Minor shall be the first and sole holder in the account.
- No Joint holders are allowed. In case an investor provides joint holder details, these shall be ignored.
- Guardian should be either a natural guardian (i.e. father or mother) or a court appointed aa legal guardian.
- Guardian should mention the relationship with Minor and date of birth of the Minor on the application form.
- A document evidencing the relationship and date of birth of the Minor should be submitted along with the application form. Photo copy of any one of the following documents can be submitted a) Birth certificate of the minor or b) school leaving certificate/ mark sheet of Higher Secondary board of respective states, ICSE, CBSE etc. c) Passport of the minor d) Any other suitable proof evidencing the relationship.
- Where the guardian is not a natural guardian (father or mother) and is a court appointed legal guardian, suitable supporting documentary evidence should be provided.
- Payment for investment by any mode shall be accepted from the bank account of the minor, parent or legal guardian of the minor or from the joint account of the minor with parent or legal guardian.
- If the mandatory details and/or documents are not provided, the application is liable to be rejected without any information to the applicant.

d. Politically Exposed Person (PEP)[^]

a. 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.

- h. FATCA Declaration: Individual investors, please fill in FATCA / CRS annexure and attach along with Application form. Non-Individual investors, please fill in UBO form along with FATCA / CRS annexure and attach along with Application form available on our website
- In case of new individual investors who are not KYC compliant, please fill the CKYC form issued by Central KYC Registry (CKYC) appended in the form and also available on our website.
- In case of new non-individual investors, please fill the KYC application form issued by KYC Registration Agency available on our website https://www.bajajamc.com
- k. In case of existing individual and non individual investors who are KYC compliant, please provide the KYC acknowledgement issued by the KYC Registration Agency.
- I. Please strike off sections that are not applicable.
- m. This application form can be used during the New Fund Offer period and on a ongoing basis once basis once the scheme reopens for ongoing sale and repurchase till stock lasts.
 - b. Domestic PEPs: Individuals who are or have been entrusted domestically with prominent public functions within India, for example Heads of State or of Governments, senior
 - government, judicial or military officials, senior executives of state-owned corporations.c. Family members are individuals who are related to PEP either directly or through marriage or similar forms of partnership.

e. KYC Requirements and details:

Please furnish PAN & KYC details for each applicant/unit holder, including the Guardian and/or Power Of Attorney (POA) holders as explained in the below points.

PAN

It is mandatory for all investors (including guardians, joint holders, NRIs and power of attorney holders) to provide their Income Tax Permanent Account Number (PAN) and also submit a photo copy of the PAN card at the time of purchase of Units except for investors who are exempted from PAN requirement, please refer to KYC Form for exemption of PAN requirement.

KNOW YOUR CUSTOMER (KYC)

- a) Individual client who has registered under Central KYC Records Registry (CKYCR) has to fill the 14 digit KYC Identification Number (KIN) in application form as per AMFI circular 135/BP/68/2016-17. To download Common KYC Application Form, please visit our website https://www.bajajamc.com
- b) In accordance with the aforesaid SEBI circulars and AMFI best practice guidelines for implementation of CKYC norms with effect from February 1, 2017:
- c) Individual investors who have never done KYC process under KRA regime i.e. a new investor who is new to KRA system and whose KYC is not registered or verified in the KRA system shall be required to provide KYC details in the CKYC Form to the Mutual Fund/ AMC.
- d) Individual investor who fills old KRA KYC Form, should provide additional / missing information using Supplementary KYC Form or CKYC Form.
- e) Details of investors shall be uploaded on the system of CKYCR and a 14 digit unique KYC Identifier ('KIN') will be generated for such customer.
- f) New investors, who have completed CKYC process & have obtained KIN may quote their KIN in the application form instead of submitting CKYC Form/ Supplementary KYC Form.
- g) AMC/ Mutual Fund shall use the KIN of the investor to download the KYC information from CKYCR system and update its records.
- h) If the PAN of investor is not updated on CKYCR system, the investor should submit self certified copy of PAN card to the Mutual Fund/ AMC.
- In accordance with AMFI circular 35P/MEM-COR/54/2019-20 dated February 28, 2020, it is mandatory, KYC to be verified by KYC Registration Agency before processing redemption. Further, investor requested to complete KYC process before placing redemption request.

In accordance with AMFI circular - 35P/MEM-COR/54/2019-20 dated February 28, 2020, it is mandatory, KYC to be verified by KYC Registration Agency before processing redemption. Further, investor requested to complete KYC process before placing redemption request.

The CKYC Form and Supplementary KYC Form are available at Investor Service Centre (ISC) of Bajaj Finserv Mutual Fund and on website https://www.bajajamc.com The AMC reserves the right to reject transaction application in case the investor(s) fails to submit information and/or documentation as mentioned above. In the event of non compliance of KYC requirements, the Trustee / AMC reserves the right to freeze the folio of the investor(s).

Micro Investment

With effect from October 30, 2012, where the aggregate of the lump sum investment fresh purchase & additional purchase) and Micro SIP installments by an investor in a financial year i.e April to March does not exceed '50,000/- it shall be exempt from the requirement of PAN.

However, requirements of Know Your Customer (KYC) shall be mandatory. Accordingly, investors seeking the above exemption for PAN still need to submit the KYC Acknowedgement, irrespective of the amount of investment. This exemption will be available only to Micro investment made by the individuals being Indian citizens (including NRIs, Joint holders, minors acting through guardian and sole proprietary firms). PIOs, HUFs, QFIs and other categories of investors will not be eligible for this exemption.

f. Contact Information

- a. Please furnish the full postal address of the Sole/ First Applicant with PIN/Postal Code and complete contact details. (P.O. Box address is not sufficient).
- b. As per SEBI letter SEBI/H0/IMD/DoF4/0W/P/2018/0000019378/1 dated July 9, 2018 and jAMFI Best Practice Guidelines Circular No. 77 / 2018-19 the first/sole holder's own email address and mobile number should be provided for speed and ease of communication in a convenient and cost-effective manner, and to help prevent fraudulent transactions. Individual investors must declare whether the primary email address and mobile number being provided belongs to Self or a Family member and tick the relevant code in the application form.

The email id/ contact details mentioned on the application form should be the same as the ones provided in the KRA. If found different, the details mentioned on KRA records will be updated in the folio. Investor will need to update the email id/mobile number with the KRA incase of any change.

INSTRUCTIONS FOR NFO APPLICATION FORM (Cont'd.)

- c. Please note that all communication i.e. Account statement, Annual Report, News Letters will be sent via e-mail, if the e-mail id of the investor is provided in the application form. The Account statement will be encrypted with a password before sending the same to the registered email id. Should the unitholder face any difficulty in accessing/opening the Account Statements/ documents sent via email, the unitholder may call/write to the AMC/Registrar and ask for a physical copy. d. Overseas address is mandatory for NRI/FII investors.

4. BANK DETAILS

- a. Please furnish complete Bank Account Details of the Sole/First Applicant. This is a mandatory requirement and applications not carrying bank account details shall be rejected. Bank details redemption proceeds.
- Please provide your complete Core Banking Account Number, (if applicable), in your Bank Mandate in the Application Form. In case you are not aware of the Core Banking Account Number, kindly check the same with your bankers.
- Please attach a original cancelled cheque leaf if your investment instrument is not from C. the same bank account mentioned in the Application form.
- d. Bajaj Finserv Mutual Fund will endeavour to remit the Redemption through electronic mode, wherever sufficient bank account details of the unit holder are available.

5. MODE OF HOLDING

Please select mode of holding, if option left blank then default option of Anyone or Survivor will be considered.

6. INVESTMENT/PAYMENT DETAILS

Plans:

The AMC has introduced a separate plan for direct investments (i.e. investments not routed through an AMFI Registration Number (ARN) Holder ("Distributor") (hereinafter referred to as "Direct Plan").

- There shall be 2 Plans available for subscription under the Schemes viz., Regular Plan and Direct Plan
- Investors subscribing under Direct Plan of the Schemes should indicate the Scheme/Plan name in the application form as "Scheme Name - Direct Plan" e.g. "Bajaj Finserv Healthcare Fund". Investors should also indicate "Direct" in the ARN column of the application form. However, in case Distributor code is mentioned in the application form, but "Direct Plan" is indicated against the Scheme name, the Distributor code will be ignored and the application will be processed under Direct Plan.
- Please note, where application is received for Regular Plan without Distributor code or "Direct" mentioned in the ARN Column, the application will be processed under Direct Plan.
- Please indicate the Plan under which you wish to invest. Also indicate your choice for IDCW payout or re-investment. If any information is left blank, the default option will be available.
- Payment may be made only by Cheque or Bank Draft or Electronic Fund Transfer. Cheque/Draft should be drawn in favour of the "Scheme name" - e.g. "Bajaj Finserv Healthcare Fund" and crossed "Account Payee only".
- Please refer to Scheme Information Document, Statement of Additional Information and Key Information Memorandum of the scheme for the Minimum amount criteria of the scheme.
- Please note that third party payments shall not be accepted.
- Third Party Payment shall mean payment made through an instrument issued from an account other than that of the beneficiary investor. In case of payment instruments issued from a joint bank account, the first named applicant/investor must be one of the joint holders of the bank account from which the payment instrument is issued. 'Related person/s' means such persons as may be specified by the AMC from time to time. Exceptions: MF will accept subscriptions to schemes of Bajaj Finserv MF accompanied by Third- Party Payment Instruments only in the following exceptional cases:
- Payment by Employer on behalf of employee under Systematic Investment Plans or lumpsum/one time subscription, through Payroll deductions or deductions out of expense reimbursements.
- Custodian on behalf of a Foreign Portfolio Investors (FPIs) or a client. b.
- Payment by an AMC to an empanelled Distributor on account of commission/incentive etc. in the form of the Mutual Fund units of the schemes managed by such AMC through SIP or lump sum/ one-time subscription, subject to compliance with SEBI Regulations and Guidelines issued by AMFI, from time to time.
- d. Payment by a Corporate to its Agent/Distributor/Dealer (similar arrangement with Principal-agent relationship), on account of commission or incentive payable for sale of its goods/services, in the form of the Mutual Fund Units through SIP or lump sum/one-time subscription, subject to compliance with SEBI Regulations and Guidelines issued by AMFI, from time to time.
- e. Payment by registered Stock brokers of recognized stock exchanges for their clientsjhaving demat accounts. The investors making an application under the above mentioned exceptional cases are required to comply with the following, without which their applications for subscriptions for units will be rejected / not processed.
- Mandatory KYC compliance of the investor and the person making the payment, in order to determine the identity of the investor and the person issuing the payment instrument.
- Submit a separate, prescribed, 'Third Party Payment Declaration Form' from the beneficiary applicant/s and the person making the payment i.e., the Third Party, giving details of the bank account from which the payment is made and the relationship of the Third Party with the beneficiary. (The declaration form is available at https:///www.bajajamc.com
- Submit a cancelled cheque leaf or copy of bank statement /pass book mentioning bank account number, account holders' name and address or such other document as the AMC may require for verifying the source of funds to ascertain that funds have been remitted from the drawer's account only

For identifying Third Party Payments, investors are required to comply with the requirements specified below :

a. Payment by Cheque:

An investor at the time of his/her purchase must provid the details of pay-in bank account (i.e. account from which a subscription payment is made) and pay-out bank account (i.e. account into which redemption are to be paid). Identification of third party cheques by the AMC / Registrars will be on the basis of either matching of pay-in bank account details with registered/pay-out bank account details or by matching the bank account

number/name/signature of the first named investor with the name/account number/signature available on the cheque. If the name/bank account number is not pre-printed on the cheque and signature on the cheque does not match with signature on the application, then the first named applicant/investor should submit any one of the following documents:

- (1) a copy of the bank passbook or a statement of bank account having the name and address of the account holder and account number.
- (2) a letter* (in original) from the bank on the bank's letterhead certifying that the investor maintains an account with the bank, along with information like bank account number, bank branch, account type, the MICR code of the branch & IFSC Code (where available). In respect of (ii) above, it should be certified by the bank manager with his/her full signature, name, employee code, bank seal and contact number. Investors should note that where the bank account numbers have changed on account of the implementation of core banking system at their banks, any related communication from the bank towards a change in bank account number should accompany the application form for subscription of units.

b. Payment by Prefunded Instrument:

- (1) If the subscription is settled with pre-funded instruments such as Pay Order, Demand Draft, Banker 's cheque, etc., a certificate (in original) from the Issuing banker must accompany the purchase application, stating the Account holder's name and the Account number which has been debited for issue of the instrument. The account number mentioned in the Certificate should be a registered bank account or the first named unitholder should be one of the account holders to the bank account debited for issue of such instruments.
- (2) A pre-funded instrument issued against cash shall not be accepted, except in case of payment made by Parents/Grandparents/related persons on behalf of a minor in consideration of natural love and affection or as gift for a value not exceeding `50,000/-. This also should be accompanied by a certificate from the banker giving name, address and PAN of the person who has procured the payment instrument. The Certificate(s) mentioned in (i) and (ii) above should be duly certified by the bank manager with his/her full signature, name, employee code, bank seal and contact number.

Payment by RTGS, NEFT, ECS, Bank transfer, etc: c.

A copy of the instruction to the bank stating the account number debited must accompany the purchase application. The account number mentioned on the transfer Instruction copy should be a registered bank account or the first named unitholder should be one of the account holders to the bank account. The above broadly covers the various modes of payment for mutual fund subscriptions. The above list is only indicative not exhaustive list and any other mode of payment as introduced from time to time will also be covered accordingly. In case the application for subscription does not comply with the above provisions, the AMC / Registrars retains the Sole and absolute discretion to reject/not process such application and refund the subscription money and shall not be liable for any such rejection.

d. Lumpsum Investment

If you are from a city where there is no designated Investor Service Centre of Bajaj Finserv MF you may make a payment by a Demand Draft for the investment amount. Please enter the cheque or DD amount, DD Charges (if applicable) and the investment amount. The AMC shall bear the DD Charges incurred by an applicant as per demand draft charges prescribed by State Bank of India. The AMC shall, however, not refund any DD charges to the investor under any circumstances.

NRI investors

NRI Investors and FPIs- NRIs and PIOs may purchase units of the scheme(s) on a repatriation and non-repatriation basis, while FPIs (erstwhile known as FIIs) may purchase units only on a repatriation basis and subject to applicable laws. They shall attach a copy of the cheque used for payment or a Foreign Inward Remittance Certificate (FIRC) or an Account Debit Certificate from the bankers along with the application form to enable the AMC to ascertain the repatriation status of the amount invested. The account type shall be clearly ticked as NRE or NRO or FCNR, to enable the AMC determine the repatriation status of the investment amount. The AMC and the Registrar may rely on the repatriation status of the investment purely based on the details provided in the application form.

Repatriation basis.

NRIs and PIOs may pay their subscription amounts by way of Demand draft, cheques drawn on Non-Resident External (NRE) Accounts or Indian Rupee drafts payable at par at any of the centres where the AMC has a designated ISC and purchased out of funds held in NRE Accounts / FCNR (B) Accounts, FPIs may pay their subscription amounts either by way of inward remittance through normal banking channels or out of funds held in NRE Accounts / FCNR (B) maintained in accordance with Foreign Exchange Management (Deposit) Regulations, 2016.

Non-Repatriation basis

Non-Repatriation basis - NRIs and PIOs may pay their subscription amounts by way of inward remittance through normal banking channels or out of funds held in NRE/FCNR (B)/ NRO account maintained in accordance with Foreign Exchange Management (Deposit) Regulations, 2016.

e. Systematic Investment Plan (SIP)

Please read Scheme Information Document, Statement of Additional Information and Key Information Memorandum Bajaj Finserv Healthcare Fund for the applicability/ availability of Special Features Bajaj Finserv Healthcare Fund.

- Incase the investor opts for Normal SIPs the payment details of first installment needs to be provided.
- . If you wish to register SIP ,kindly fill the relevant SIP Registration & OTM Debit Mandate Form.

7. UNIT HOLDING OPTION (Demat / Non - Demat Mode)

- a. Investors can hold units in demat / non-demat mode. In case demat account details are not provided or details of DP ID / BO ID, provided are incorrect or demat account is not activated or not in active status, the units would be allotted in non-demat mode.
- b. Statement of Accounts would be sent to Investors who are allotted units in non-demat mode.
- c. Units held in dematerialized form are freely transferable with effect from October 01, 2011, except units held in Equity Link Savings Scheme during the lock-in period.a

8. FOREIGN ACCOUNT TAX COMPLIANCE (FATCA) FATCA & CRS TERMS & CONDITIONS:

Details under FATCA & CRS: The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income- tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities / appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.Please note that you may receive more than one request for information if you have multiple relationships with Bajaj Finserv Mutual Fund or its group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information

FATCA & CRS INSTRUCTIONS: If you have any questions about your tax residency, please contact your tax advisor. If you are a US citizen or resident or greencard holder, please include United States in the foreign country information field along with your US Tax Identification Number.

It is mandatory to supply a TIN or functional equivalent if the country in which you are tax

resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

SEBI issued its circular no. CIR/MIRSD/2/2015 dated August 26, 2015 interalia advising intermediaries to take necessary steps to ensure compliance with the requirements specified in the rules and guidelines specified by the Government of India. AMFI also issued its best practices guidelines circular no. 135/BP/63/2015-16 dated September 18,2015 on this matter. The AMC and the Mutual Fund are required to adhere to various requirements interalia including submission of various information / details relating to the investors in the schemes of the mutual fund, to authorities, as specified under the applicable laws. Accordingly, the following aspects need to be adhered to :

All investors will have to mandatorily provide the information and declarations pertaining to FATCA/CRS for all new accounts opened, failing which the application / transaction request shall be liable to be rejected.

Investors are requested to provide all the necessary information / declarations to facilitate compliance, considering India's commitment to implement CRS and FATCA under the relevant international treaties. Please consult your professional tax advisor for further guidance on your tax residency, if required. In case customer has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, customer to provide relevant Curing Documents as mentioned below:

FATCA & CRS Indicia observed (ticked)	Documentation required for Cure of FATCA/ CRS Indicia
U.S. place of birth	 Self-certification that the account holder is neither a citizen of United States of America nor a resident for tax purposes; Non-US passport or any non-US government issued document evidencing nationality or citizenship; AND Any one of the following documents: Certified Copy of "Certificate of Loss of Nationality or Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; or Reason the customer did not obtain U.S. citizenship at birth
Residence/mailing address in a country other than India	 Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and Documentary evidence
Telephone number in a country other than India	 If no Indian telephone number is provided 1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and 2. Documentary evidence If Indian telephone number is provided along with a foreign country telephone number 1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident for tax purposes of any country other than India; OR 2. Documentary evidence
Telephone number in a country other than India	 Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and Documentary evidence

9. NOMINATION DETAILS

- The nomination can be made only by individuals applying for/holding units on their own behalf singly or jointly.
- 2 Non-individuals including a Society, Trust, Body Corporate, Partnership Firm, Karta of Hindu undivided family, a Power of Attorney holder and/or Guardian of Minor unitholder cannot nominate.
- Nomination is not allowed in a folio of a Minor unitholder. 3
- If the units are held jointly (i.e., in case of multiple unitholders in the folio), all joint 4. holders need to sign the Nomination Form (even if the mode of holding/operation is on ("Anyone or Survivor" basis). A minor may be nominated. In that event, the name and address of the Guardian of
- 5. the minor nominee needs to be provided.
- 6. Nomination can also be in favour of the Central Government, State Government, a local authority, any person designated by virtue of his office or a religious or charitable trust.
- The Nominee shall not be a trust (other than a religious or charitable trust), society, body corporate, partnership firm, Karta of Hindu Undivided Family, or a Power of 7. Attorney holder.
- 8. A Non-Resident Indian may be nominated subject to the applicable exchange control regulations.
- 9. Multiple Nominees: Nomination can be made in favour of multiple nominees, subject to a maximum of three nominees. In case of multiple nominees, the percentage of the allocation/share should be in whole numbers without any decimals, adding upto a total of 100%. If the total percentage of allocation amongst multiple nominees does not add up to 100%, the nomination request shall be treated as invalid and rejected. If the percentage of allocation/ share for each of the nominee is not mentioned, the allocation /claim settlement shall be made equally amongst all the nominee
- 10. Every new nomination for a folio/account shall overwrite the existing nomination, if any.
- 11. Nomination made by a unit holder shall be applicable for units held in all the schemes under the respective folio / account. Nomination shall stand rescinded upon the transfer of units.
- 12.
- 13. Death of Nominee/s: In the event of the nominee(s) pre-deceasing the unitholder(s), the unitholder/s is/are advised to make a fresh nomination soon after the demise of the nominee. The nomination will automatically stand cancelled in the event of the nominee(s) pre-deceasing the unitholder(s). In case of multiple nominations, if any of the nominee is deceased at the time of death claim settlement, the said nominee's share will be distributed equally amongst the surviving nominees.
- Transmission of units in favour of a Nominee shall be valid discharge by the asset management company/ Mutual Fund / Trustees against the legal heir(s).

- 15. The nomination will be registered only when this form is completed in all respects to the satisfaction of the AMC.
- 16. In respect of folios/accounts where the Nomination has been registered, the AMC will not entertain any request for transmission / claim settlement from any person other than the registered nominee(s), unless so directed by any competent court.

10. DECLARATION AND SIGNATURES

- Please tick the box provided for EUIN declaration in this section in case the ARN is mentioned in the distributor section and the EUIN is left blank.
- All signatures should be hand written in English or any Indian language. Thumb impressions should be from the left hand for males and the right hand for females and in both cases must be attested by a Judicial Magistrate or a Notary Public.
- If the application form is signed by a Power of Attorney (PoA) holder, the form should be accompanied by a notarised photocopy of the PoA. Alternatively, the original PoA may be submitted, which will be returned after verification. If the PoA is not submitted with the application, the Application Form will be rejected. The POAshould contain the signature of the investor (POA Donor) and the POA holder.
- In case of corporates or any non-individual investors, a list of authorised signatories should be submitted along with Application form or in case of any change in the authorised signatory list, the AMC / Registrar must be notified within 7 days.
- In case of application under POA or by a Non- Individual (i.e. Company, trust, society, partnership firm etc.) the relevant POA or the resolution should specifically provide for/ authorize the POA holder/ authorized signatory to make application/invest moneys on behalf of the investor.

11. GO GREEN INITIATIVE IN MUTUAL FUNDS

- With respect to the recent directives issued by SEBI via Gazette Notification SEBI/LAD-NRO/ GN/2018/14 & Circular SEBI / H0 / IMD / DF2 / CIR / P/2018/92 regarding Go Green Initiative in Mutual Funds regarding disclosing and providing information to investors through digital platform as a green initiative measure.
- In line with above initiative, Bajaj Finserv Mutual Fund has adopted `Go Green Initiative for Mutual Funds' and accordingly, the scheme Annual Reports /Abridged Summary will be hosted on our website https://www.bajajamc.com in downloadable format . Further, wherever email ids are registered in our records, the scheme Annual Reports / Abridged Summary will be sent via email.
- If you do not opt-in to receive a physical copy of the scheme Annual Report/Abridged Summary, you can view the same on our website or alternatively contact our registered office to get a physical copy of the Annual Report/Abridged Summary.

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SIP REGISTRATION & OTM DEBIT MANDATE FORM



	ARN Code	Bank Branch Code		Code for t / Employee	EUIN*			Timestamp ence No.	
* By mentioning RIA/PMRN code, I/We authorize yo seen left blank, please refer the point related to EUIN rious factors, including the service rendered by the	in the Declaration & Signatures sectior distributor.								
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ne Fixed TOP UP amount shall be for min	imum₹500/- and in multiples o	of ₹ 1/- thereafter.	^{\$} If the Variabl	e Top Up percer	ntage is not select				
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name of the first/ sole applicant mus				n cheque					
DECLARATION(S) & SIGNATURE(S) should be as it appears in the	Folio / on the Application	Form and in the	e same order. In c	ase the mode of hol	ding is ioint, a	Il Unit holders a	re required to s	
Ve hereby authorise Bajaj Finserv Mutual Fun ormation provided by me/us may be shared w clare that the particulars given above are corr ected at all for reasons of incomplete or inco	ith third parties for facilitating tran ect and complete and express my,	nsaction processing throug our willingness to make pa	h NACH/ Auto ayments referre	Debit Clearing or d above through	bit Clearing for colle for compliance with participation in NAC	ction of SIP p any legal or re H/ Auto Debit	ayments. I/We gulatory requir t. If the transact	understand tha ements. I/We he tion is delayed o	at the ereby or not
ormation provided by me/us may be shared w clare that the particulars given above are corr ected at all for reasons of incomplete or inco anges in my bank account immediately. I/We entioned overleaf. The ARN holder has disclos m amongst which the Scheme is being recon We acknowledge that the RIA has entered in gulatory action, damage or liability that they n Micro SIP only: I hereby declare that I do no	ith third parties for facilitating tran ect and complete and express my, orrect information, I/We will not h undertake to keep sufficient funds ed to me/us all he commissions (in mended to me/us. to an agreement with the AMC / M any suffer, incur or become subject	saction processing throug /our willingness to make pp old Bajaj Finserv AMC/MF in the funding account on n the form of trail commiss F for accepting transactio t to in connection therewil	ph NACH/ Auto ayments referre or their appoin the date of exe sion or any othe n feeds under t th or arising fro	Debit Clearing or d above through ted service provi cution of standir r mode), payable he code. I / We he m sharing, disclos	bit Clearing for colle for compliance with participation in NAC ders or representat g instruction. I/We to him for the differ ereby indemnify, def sing and transferring	ction of SIP p any legal or re H/ Auto Debii ves responsit have read and ent competin rend and hold g of the afores	ayments. I/We gulatory requir If the transact ole. I/We will als agreed to the t g Schemes of v harmless the A said informatior	understand tha ements. I/We he tion is delayed o so inform, abou erms and condi arious Mutual F MC / MF agains 1."	at the ereby or not it any itions unds t any
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Instructions for Systematic Investment Plan (SIP)

Please read Scheme Information Document along with Statement of Additional Information and addendum issued from time to time before filling this form. The Unitholders of the Scheme can benefit by investing specific amounts periodically, for a continuous period. At the time of registration, the SIP allows the investors to invest fixed equal amounts subject to minimum of Rs.500/- and multiples of Re.1/- every day/week/ fortnight/month/quarter for purchasing additional Units of the Scheme at NAV based prices. Investors can enrol themselves for SIP in the Scheme by ticking appropriate box on the application form or by subsequently making a written request to that effect to the Registrar & Transfer Agent. Minimum number of installments for daily/weekly/ fortnightly/monthly/quarterly frequency will be 6 for SIP amount of Rs.500 and above. Investors can choose any date of his/her preference to register any frequency available under the SIP facility. In case the date chosen for SIP falls on a Non-Business Day or on a date which is not available in a particular month, the SIP will be processed on the immediate next Business Day.

Investors can subscribe to SIP by using OTM. The cheques/Demand Draft should be in favour of the scheme and crossed "Account Payee Only", and the cheques must be payable at the centre where the applications are submitted to the Investor Service Centre. In case of fresh/additional purchases, if the name of the Scheme on the application form/transaction slip differs from the name on the Cheque/Demand Draft, then the AMC will allot units under the Scheme mentioned on the application form/transaction slip. Further, Investors/ unitholders subscribing for SIP are required to submit SIP request by filling SIP application form at least 21 working days prior to the date of first debit date and SIP start date shall not be beyond 100 days from the date of submission of request for SIP's

- 1. In case existing mandates are successfully registered, a new SIP registration will take upto five business days. The first debit may happen any time thereafter, based on the dates opted by the Unit holder(s).
- 2. In case of iSIP, the URN Registration must be done by the investor within 7 calendar days. The URN will be expired after 7 calendar days.

A fresh Account Statement / Transaction Confirmation will be mailed to the Unitholder, indicating the new balance to his/her credit in the Account. An investor will have the right to discontinue the SIP, subject to giving 10 calendar days prior notice in writing or by filling SIP cancellation form to the subsequent SIP date.

New Investor: Please fill NFO Application Form along with SIP Registration & OTM Debit Mandate Form. If the investor fails to mention the scheme name in the SIP Registration Form, then the Fund reserves the right to register the SIP as per the scheme name available in the NFO application. In case of any ambiguity in the form, Fund reserves the right to reject the SIP request.

Existing Investor: Please fill SIP Registration & OTM Debit Mandate Form and mention the existing folio number. If the investor fails to mention the scheme name in the SIP Registration Form, then the Fund reserves the right to register the SIP in the existing scheme (Eligible for SIP) available in the investor's Folio. In case Multiple Schemes are available in the folio then Fund reserves the right to reject the SIP request.

The Investor may select any date from 1st to 28th of the month. In case SIP date is not appropriately selected then the SIP will be registered on 10th (default date) of each Month/Quarter, as applicable. Investors can choose any day of the week from Monday to Friday to register under weekly frequency. In case Day is not specified by the investor transaction will be processed on Tuesday. For Fortnightly frequency, the transaction will be processed on 1st and 16th day of each month, as applicable. Further if multiple SIP dates are opted for or if the selection is not clear, then the SIP will be registered for 10th of each Month/Quarter, as applicable.

If the Investor has not mentioned the SIP start Month, SIP would commence from the next applicable month, subject to completion of 21 business days time from the receipt of SIP request.

In case the SIP 'End period' is incorrect or not mentioned by the investor in the SIP form, then SIP Period will be considered perpetual till further instructions are received from the investor.

As per NPCI Circular NPCI/NACH/OC No.012/2023-24, mandate can be registered for a maximum duration of 40 years. An investor has to mandatorily enter the 'End Date' of the mandate by filling the date for a maximum period of 40 years from the start date or less.

If the OTM end date is more than 40 years, then the OTM Mandate will be rejected.

After three consecutive SIP transaction failures for a Particular Scheme, the SIP for the scheme shall get auto-terminated.

Micro Systematic Investment Plan (Micro SIP)/PAN Exempt Investments:

In line with SEBI letter no. OW/16541/2012 dated July 24, 2012 addressed to AMFI, Investments in the mutual fund schemes including investments through Systematic Investment Plans (SIPs) up to ₹ 50,000/- per investor per year shall be exempted from the requirement of PAN.

The maximum installment amount in case of Micro SIP shall be as follows :

1.₹ 4,000 /- per month for Monthly frequency.

2. ₹ 12,000/- per guarter for Quarterly frequency.

Accordingly, for considering the investments made by an investor up to ₹ 50,000/-, an aggregate of all investments including SIPs made by an investor in rolling 12 months period, shall be considered and such investors shall be exempted from the requirement of PAN. However, requirements of Know Your Customer (KYC) shall be mandatory and investors seeking the above exemption of PAN will need to submit the PAN Exempt KYC Reference No (PEKRN) / KYC Identification No. (KIN) acknowledgement issued by KRA / (Central KYC Registry) along with the application form.

This exemption is applicable only for individuals including NRIs, minors acting through guardian, Sole proprietorship firms and joint holders*. Other categories of investors e.g. PIOs, HUFs, QFIs, non - individuals, etc. are not eligible for such exemption.

* In case of joint holders, first holder must not possess a PAN.

Investors are requested to note that, in case where a lump sum investment is made during the Investments for that financial year exceeds ₹ 50,000/-, such SIP application shall be rejected. In case where a SIP mandate is submitted during the financial year and subsequently a fresh lumpsum investment is being made provided where the total investments for that financial year exceeds ₹ 50,000/-, such lump sum application will be rejected.

Redemptions if any, in the Micro Investment folio, shall not be considered for calculating the exemption limit for such financial year. Consolidation of folio shall be allowed only if the PEKRN in all folios is same along with other investor details. The first SIP cheque/draft could be of any Business Day but subsequent Auto Debit mandate/ cheques should be for any date from 1st to 28th of a month and there should be a minimum gap of at least 21 business days between the 1st SIP transaction and the 2nd SIP. However, subsequent cheques/ Auto Debit transaction date should have a gap of 21 business days or a quarter depending upon the frequency chosen. In case the criteria is not met, the SIP would start on the same date from the next month. Units shall be allotted as per the realisation date. Investors can also start a SIP directly without any initial investment, however he has to submit the application for enrolment of SIP on any working day but the subsequent installment date of SIP shall be any date from 1st to 28th of a month with a minimum gap criteria of 21 business days between the submission of application form and the 1st SIP.

In the event if the investors want to discontinue the SIP, a written communication will be required from the investors to discontinue the same at least 10 calendar days before the next SIP due date.

SIP Top Up Facility:

- Investors can opt for SIP Top Up facility with Fixed Top Up option or Variable Top Up option, wherein the amount of the SIP can be increased at fixed intervals. In case the investor opts for both options, the Variable Top Up option shall be triggered. And the default Variable Top Up percentage shall be 5%.
- The Fixed TOP UP amount shall be for minimum ₹ 500/- and in multiples of ₹ 1/thereafter.
- Variable Top Up would be available at 5%, 10%, 15% and 20% and such other denominations (over and above 5%, 10%, 15% and 20%) as opted by the investor in multiples of 5%
- The frequency is fixed i.e. either at Yearly and Half Yearly basis. In case the SIP Top Up facility is not opted by ticking the appropriate box and frequency is not selected, the SIP Top Up may not be registered. In case of Quarterly SIP, only the Yearly frequency is available under SIP Top Up.
- SIP Top Up facility shall also be available only for the existing investors who have already registered for SIP facility without Top Up option.
- SIP Top-Up facility shall not be available in case of Micro SIP. Please view below illustration for Fixed Top Up:

SIP Tenure: 07 Jan 2023 to 07 Dec 2027

- Monthly SIP Installment ₹ 2000/-
- TopUp Amount: ₹1000/-
- TopUp Frequency: Yearly

Installment No(s)	From Date	To Date	Monthly SIP Installment	Top Up Amount (₹)	SIP Amount with Top Up (₹)
1 to12	7-Jan-23	7-Dec-23	2000	N.A	2000
13 to 24	7-Jan-24	7-Dec-24	2000	1000	3000
25 to 36	7-Jan-25	7-Dec-25	3000	1000	4000
37 to 48	7-Jan-26	7-Dec-26	4000	1000	5000
49 to 60	7-Jan-27	7-Dec-27	5000	1000	6000

Please view below illustration for Variable Top Up:

SIP Tenure: 07 Jan 2023 to 07 Dec 2027

- Monthly SIP Installment: ₹ 2000/-
- TopUp percentage: 10%
- TopUp Frequency: Yearly

Installment No(s)	From Date	To Date	Monthly SIP Installment Amount (₹)	Top Up Amount (10%) (₹)		SIP Amount with Top Up (₹)
1 to12	7-Jan-23	7-Dec-23	2000	N.A	N.A	2000
13 to 24	7-Jan-24	7-Dec-24	2000	200	200	2200
25 to 36	7-Jan-25	7-Dec-25	2200	220	220	2420
37 to 48	7-Jan-26	7-Dec-26	2420	242	240	2660
49 to 60	7-Jan-27	7-Dec-27	2660	266	270	2930

Top Up Cap Amount and Top Up Month-year:

Top Up Cap Amount: Investor has an option to freeze the Top Up amount once it reaches a fixed predefined amount. The fixed pre-defined amount should be lower than or equal to the maximum amount mentioned by the investor in the bank mandate. In case of difference between the Cap amount and the maximum amount mentioned on Bank mandate, then amount which is lower of the two amounts shall be considered as the default amount of SIP Cap amount.

Top Up Cap Month - Year: It is the date from which Top Up amount will cease and last SIP installment including Top Up amount will remain constant from Cap date till the end of SIP tenure.

Investor shall have flexibility to choose either Top Up Cap amount or Top Up Cap month - year. In case of multiple selection, Top Up Cap amount will be considered as a default selection. Top Up Cap is applicable for Fixed Top Up option as well as Variable Top Up option.

ASBA APPLICATION FORM



BAJAJ FINSERV HEALTHCARE FUND - APPLICATION SUPPORTED BY BLOCKED AMOUNT (ASBA)

Offer of Units of Rs. 10/- each during the New Fund Offer NFO Start Date : 6th December 2024; NFO Closure Date: 20th December 2024 APPLICATION NO.

BROKER/AGENT INFORMATION FOR OFFIC	CE USE ONLY					
roker Stamp & ARN Code Broker Stamp & ARN Code	Employee Unique ID No	D. SCSB	SCSB IFSC Co	de Syndicate Me	ember Stamp & Code	SCSB Branch Sr. No.
I/We confirm that the EUIN box is intentionally left blank by the distributor personnel concerned. Commission sh investors' assessment of various factors						pplicant's Signature Mandatory
ECLARATION						
ing read and understood the contents of the Scheme Information Docur w and agree to abide by the terms and conditions, rules and regulation ugh legitimate sources only and is not designed for the purpose of contr le/us all the commissions (in the form of trail commission or any other m /We are Non-Resident(s) of Indian Nationality / Origin and IWe hereby	is of the Scheme. I / We have neither ravention or evasion of any Act, Regul node), payable to him for the different	received nor been in lation, Rule, Notificat t competing Scheme	nduced by any rebate ion, Directions or any o es of various Mutual Fu	or gifts, directly or indirectly in ther applicable laws enacted l nds from amongst which the	n making this investment. I / ' by the Government of India or Scheme is being recommend	We declare that the amount invested in the Sch r any Statutory Authority. The ARN holder has dis led to me/us. Applicable to NRIs only: I/We confi
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We hereby under take that I/We am/are an ASBA investor as per the app SEBI Regulations and as disclosed in this application. I/We authorize (a) inblocking of funds in the bank account maintained with the SCSB speci he Units entiting me/us to receive Units on such transfer of funds, etc. Jistier money to the Scheme's account / Bank account of Bajj Finserv M inits, the SCSB shall reject the application. 4) If the DP1D, Beneficiary Acc Jiajj Finserv Asst Management Limited or SCSB shall not be liable for i licition Number, Depository Account details [If it has been provided]. An	the SCSB to do all necessary acts inc ified in this application form, transfer (b) Registrar and Transfer Agent to is futual Fund. 3) In case the amount a count No. or PAN furnished by me/us losses, if any. All future communicati	cluding blocking of a of funds to the Ban ssue instruction to the vailable in the bank a in the application is ion in connection wi	pplication money towa k account of the Scher he SCSB to remove the account specified in the incorrect or incomplet ith NFO should be add	rds the Subscription of Units me/Bajaj Finserv Mutual Func e block on the funds in the ba e application is insufficient for e or not matching with the de ressed to the SCSB/RTA/AMO	of the Scheme, to the extent I on receipt of instructions fro ink account specified in the a blocking the amount equivale pository records, the applica	mentioned above in the "SCSB/ASBA Account om its Registrar and Transfer Agent after the all upplication, upon allotment of Units and to trans ent to the application money towards the Subsu ation shall be rejected and Bajaj Finserv Mutus
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BAJAJ FINSERV ASSET MANAGEMENT LIMITED

ASBA Forms should be submitted only with an authorized branch of designated SCSBs.Not to be submitted at any offices of Bajaj Finserv Mutual Fund or its Registrar, KFin Technologies Limited (Formerly KFin Technologies Private Limited).

Application Supported by Blocked Amount (ASBA)

ASBA provides an alternative mode of payment whereby the application money remains in the investor's account till allotment of units. ASBA process facilitates investors to apply through Self Certified Syndicate Banks (SCSBs), in which the investors have their bank accounts. SCSBs are those banks which satisfy the conditions laid by SEBI. SCSBs would accept the applications, verify the application, block the fund to the extent of investment amount, unblock once the allotment is finalized and debit the investor's account.

Instructions and Terms and Conditions

Please read Scheme Information Document (SID), Statement of Additional Information (SAI), Key Information Memorandum (KIM), all relevant Addenda available with Bajaj Finserv Mutual Fund offices and instructions carefully before filling up the application form. Investors are deemed to have read, understood and accepted the terms subject to which these offers are being made and bind themselves to the terms upon signing the application form

- This application form may be used by both resident and non-resident investors. For more details, please read the Scheme Information Document, Statement of Additional Information, Key Information Memorandum, Notice and addenda issued in this reference.
- 2. ASBA facility is currently available only to those investors who wish to hold the units in dematerialized form.
- 3. An ASBA investor shall submit a duly filled up ASBA Application form, physically or electronically to the SCSB with whom the investors holds the bank account which is to be blocked
 - In case of ASBA application in physical mode, the investor shall submit the ASBA form at the bank branch of SCSB, which is designated for the purpose and the investor must be holding a bank account with such SCSB.
 - ii. In case of ASBA application in electronic form, the investor shall submit the ASBA form either through the internet banking facility available with the SCSB, or such other electronically enabled mechanism for subscribing to units of Mutual Fund schemes authorising to block the subscription money in a bank account.
- 4. The Bank Account Number in the form should necessarily be of the first applicant only. In case where the bank account is jointly held, the first applicant should be one of the joint holders.
- ASBA application form will not be accepted by any of the offices of Bajaj Finserv Mutual Fund or its Registrar & Transfer Agent, i. e KFin Technologies Limited (Formerly KFin Technologies Private Limited).
- Investors shall ensure that the bank account details mentioned in the ASBA application form is correct and the funds are available in the account for the SCSB to block the amount.
- Upon submission of an ASBA form with the SCSB, investor shall be deemed to have agreed to block the entire subscription amount specified and authorized the designated branch to block such amount in the Bank account.
- 8. The SCSBs shall block the subscription money based on the authorization given by the account holder in the ASBA application form. The subscription money shall remain blocked in the Bank account till allotment of units under the scheme or till rejection of the application, as the case may be.
- 9. The SCSBs may at any time before the closure of the NFO reject the ASBA application and inform the investor accordingly.
- 10. During processing of the application by the RTA, if the applications is found to be incomplete or incorrect, the SCSB will be informed on the same who will then unblock the investor account with appropriate remarks in the investor account
- 11. The names of the applicants, the manner of holding, the mode of holding in the application form should be exactly matching with the information available in the demat account. In case of any mismatch, incorrect or incomplete information, the application may be rejected by the SCSB or the Registrar & Transfer Agent.
- 12. All investor related details for allotment of units such as names of the applicants, manner of holding, mode of holding, bank account, etc will be updated as per the demat account.
- 13. The investors should check their demat account for allotment of units within 5 working days of the NFO closure. No physical account statement will be sent to the investors by Bajaj Finserv Mutual Fund or its registrar, KFin Technologies Limited (Formerly KFin Technologies Private Limited).

- 14. All grievances relating to the ASBA facility may be addressed to the AMC / RTA to the issue, with a copy to the SCSB, giving full details such as name, address of the applicants, subscription amount blocked on application, bank account number and the designated branch or the collection centre of the SCSB where the ASBA from was submitted by the investor.
- On the closure date of the NFO, the ASBA form should be submitted to the SCSBs before 3.00 p.m. or such other time as may be decided by respective SCSBs.
- Bajaj Finserv Mutual Fund or its Registrar, KFin Technologies Limited (Formerly KFin Technologies Private Limited) shall not be liable for any negligence or mistake committed by the SCSBs.
- 17. Further, Investors may please note that the Fund/ AMC and its empanelled brokers has not given and shall not give any indicative portfolio and indicative yield in any communication, in any manner whatsoever. Investors are advised not to rely on any communication regarding indicative yield/ portfolio with regard to the scheme.
- 18. Note on EUIN: Investors should mention the EUIN of the person who has advised the investor. If left blank, the fund will assume following declaration by the investor "I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this 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.
- Grounds for rejection of ASBA applications ASBA application forms can be rejected by the AMC/Registrar/SCSBs, on the following technical grounds:
 - i. Applications by persons not competent to contract under the Indian Contract Act, 1872, including but not limited to minors, insane persons etc.
 - ii. Mode of ASBA i.e. either Physical ASBA or Electronic ASBA, not selected or ticked.
 - iii. ASBA Application Form without the stamp of the SCSB.
 - iv. Application by any person outside India if not in compliance with applicable foreign and Indian laws.
 - v. Bank account details not given/incorrect details given.
 - vi. Duly certified Power of Attorney, if applicable, not submitted alongwith the ASBA application form.
 - vii. No corresponding records available with the Depositories matching the parameters namely (a) $% \left({{\mathbf{x}_{i}}} \right)$

Names of the ASBA applicants (including the order of names of joint holders) (b) DP ID (c)

Beneficiary account number or any other relevant details pertaining to the Depository Account.

- viii. Insufficient funds in the investor's account.
- ix. Application accepted by SCSB and not uploaded on/with the Exchange / Registrar.

Details of Ultimate Beneficial Owner / Controlling Persons including Additional FATCA & CRS Information



(Only for Non Individuals)

Please tick the applicable tax resident declaration:

Name of t	ne entity			
Type of a	ddress given at KRA 🗌 R "Addres			e ny change, please approach KRA & notify the changes"
PAN		Date of Incorp	oration D D / M M / Y Y	Y Y Y
City of In	corporation		Country of Incorporation	
		ip Firm	any Public Limited Company Religious Trust Trust created by] Unlisted Company 🗌 Society 🗌 AOP / BOI / a Will 🔲 Liquidator 🗌 Limited Liability Partnership
1. Is "E	ntity" a tax resident of	any country other than India	Yes No (If yes, please provide country/ies in which the	ne entity is a resident for tax purposes and the associated Tax ID number below.)
	Country		Tax Identification Number [%]	Identification Type (TIN or Other, please specify)
		is not available, kindly provide its t ent is not available, please provide	Functional equivalent. Company Identification number or Globa	I Entity Identification Number or GIIN, etc.
In case th	e Entity's Country of Inco	rporation / Tax residence is U.S. b	ut Entity is not a Specified U.S. Person, mo	ention Entity's exemption code here
	TIONAL KYC INFORMAT	ION		
Gross An	nual Income (₹)	Below 1 Lac 🗌 1 - 5 Lacs	🗌 5-10 Lacs 🗌 10 - 25 Lacs	>25 Lacs - 1 Crore >1 Crore
OR Net - wor	th* (for Non-Individual)	₹	as on D D /	M M / Y Y Y Y (Not older than 1 year)
	L			
	Exposed Person (PEP) Status (ity involved in any of the	mentioned services:	s/ Promoters/ Karta/ Trustee/ Whole time Directo	
(Please ti	ck as appropriate)		exchange/ Money changer 📋 Gaming/ ending/ Pawning 🗌 Not appli	Gambling/ Lottery (Casinos, betting syndicates) cable
				a foreign country, including the heads of States or of ned corporations and important political party officials.
FATO	A & CRS Declaration (Pl	ease consult your professional tax ad	visor for further guidance on FATCA & CRS cla	issification)
		tions or Direct Reporting NFEs)		
We are a Financia	, I institution⁵ []			
OR			t you are sponsored by another entity , please provid	e your sponsor's GIIN above and indicate your sponsor's name below
	porting NFE⁰□ ick as appropriate)	Name of sponsoring entity		
(please t	available ick as applicable) If the a financial institution,	Applied for D Not required	to apply for - please specify 2 digits sub-ca	tegory ⁷ Not obtained - Non-participating FI
		priate "to be filled by NFEs other t	nan Direct Reporting NFEs")	
1	Is the Entity a publicly	traded company ¹ (that is, a 🗌 No	Yes 🗌 (If yes, please specify any one	stock exchange on which the stock is regularly traded)
	company whose shares established securities ma	are regularly traded on an rket)	Name of stock exchange	
2	Is the Entity a related ent company²(a company wh		Yes 🗌 Security ISIN	
	traded on an established		Name of listed company	
			Nature of relation: 🗌 Subsidiary of t	he Listed Company or 🗌 Controlled by a Listed Company
			Name of stock exchange	
3	Is the Entity an active ³ NF	E 🗌 No	Yes 🗌	
			Nature of Business	
			Please specify the sub-category of Act	
4	Is the Entity a passive⁴NF	E 🗌 No	Yes 🗌	
			Nature of Business	
¹ Refer 2a	a of Page 4 ^{2.} Refer 2b of	Page 4 ^{3.} Refer 2c of Page 4 ^{4.} Re [.]	fer 3(ii) of Page 4 ^{5.} Refer 1 of Page 4 ^{6.} R	efer 3 (iv) of Page 4 ^{7.} Refer1A of Page 4

BAJAJ FINSERV ASSET MANAGEMENT LIMITED

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

Name of the Stock Exchange where it is listed.				
Security ISIN				
Name of the Listed Company (applicable if the inv	vestor is subsidiary/associate):			
Unlisted Company Dartnership Firm / LLP	Unincorporated association / body of individuals	Public Charitable Trust	🗌 Private Trust	🗌 Religious Trust
□ Trust created by a Will □ Others	(please specify)			

ULTIMATE BENEFICIARY OWNER (UBO) / CONTROLLING PERSON(S) / SENIOR MANAGING OFFICIAL DETAILS.

Does your company/entity have any individual person(s) who holds direct / indirect controlling ownership above the prescribed threshold limit?

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

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

	UB0-1 / Senior Managing Official (SMO)	UBO-2	UB0-3
Name of the UBO/SMO#			
UBO / SMO PAN # For Foreign National, TIN to be provided]			
UBO / SMO Country of Tax Residency #			
UBO / SMO Taxpayer Identification Number / Equivalent ID Number #			
UBO / SMO Identity Type			
UBO / SMO Place & Country of Birth #	Place of Birth Country of Birth	Place of Birth Country of Birth	Place of Birth Country of Birth
UBO / SMO Nationality			
UBO / SMO Date of Birth [dd-mm-yyyy] #			
UBO / SMO PEP # Please tick (⁄)	PEP Related to PEP Not a PEP	PEP Related to PEP Not a PEP	PEP Related to PEP Not a PEP
UBO / SMO Address Type Please tick (🗸)	Residence Business Registered Office	Residence Business Registered Office.	Residence Business Registered Office.
UBO / SMO Address [Include City, Pincode, State, Country]	Address: City: Pincode: State: Country:	Address: City: Pincode: State: Country:	Address: City: Pincode: State: Country:
UB0/SM0 Email ID			
UBO/SMO Mobile Number			

UBO/SMO Gender Please tick (√)	Male Female Others		Male Female Others		Male Female Others	
UBO/SMO Father's Name						
UBO / SMO Occupation Please tick (√)	Public Service Private Service Business Others (Please Specify)		Public Service Private Service Business Others (Please Specify)		Public Service Private Service Business Others (Please Specify)	
SMO Designation # UBO / SMO KYC Complied? Please tick (~)	☐ Yes / ☐ No. If 'Yes,' please attach acknowledgement. If 'No,' please complet independently and th the proof.	te KYC process	☐ Yes / ☐ No. If 'Yes,' please attach acknowledgement. If 'No,' please complet independently and the the proof.	e KYC process	☐ Yes / ☐ No. If 'Yes,' please attach acknowledgement. If 'No,' please complet independently and th the proof.	te KYC process

Mandatory column.

** In case of Foreign Nationals, who are not KYC complied, they need to attach the ID proof in English along with the Nationality proof, Address proof again in English. If the documentary proof is in Foreign Language, it should be translated in English and should be attested by Indian Embassy of that country.

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

Participating Mutual Fund(s) / RTA may call for additional information/documentation wherever required or if the given information is not clear / incomplete / correct and valid declaration should be submitted again with all the required information.

DECLARATION / SIGNATURE WITH RELEVANT SEAL:

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

Authorized Signatory	Authorized Signatory	Authorized Signatory	
Name:	Name:	Name:	
Designation:	Designation:	Designation:	
Date D / M M / Y Y Y P Place			

- Institution (FI) The term FI means any financial institution that is a Depository Institution, Custodial Institution, Investment Entity or Specified Insurance company, as defined.
- Depository institution: is an entity that accepts deposits in the ordinary course of banking or similar business.
- Custodial institution is an entity that holds as a substantial portion of its business, holds financial
 assets for the account of others and where it's income attributable to holding financial assets and
 related financial services equals or exceeds 20 percent of the entity's gross income during the
 shorter of

(i) The three financial years preceding the year in which determination is made; or
 (ii) The period during which the entity has been in existence, whichever is less.

- Investment entity is any entity:
- That primarily conducts a business or operates for or on behalf of a customer for any of the following activities or operations for or on behalf of a customer

(i) Trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading; or

(ii) Individual and collective portfolio management, or

(iii) Investing, administering or managing funds, money or financial asset or money on behalf of other persons;

or

The gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets, if the entity is managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity described above.

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

(i) The three-year period ending on 31 March of the year preceding the year in which the determination is made;

or

(ii) The period during which the entity has been in existence.

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

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

FI not required to apply for GIIN:

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

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

2. Non-financial entity (NFE)-Foreign entity that is not a financial institution Types of NFEs that are regarded as excluded NFE are:

a. Publicly traded company (listed company)

A company is publicly traded if its stock are regularly traded on one or more established securities markets

(Established securities market means an exchange that is officially recognized and supervised by a governmental authority in which the securities market is located and that has a meaningful annual value of shares traded on the exchange)

b. Related entity of a publicly traded company

The NFE is a related entity of an entity of which is regularly traded on an established securities market

C. Active NFE: (is any one of the following):

Code Sub-category

- 01 Less than 50 percent of the NFE's gross income for the preceding financial year is passive income and less than 50 percent of the assets held by the NFE during the preceding financial year are assets that produce or are held for the production of passive income;
- 02 The NFE is a Governmental Entity, an International Organization, a Central Bank, or an entity wholly owned by one or more of the foregoing;
- 03 Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding

stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an entity shall not qualify for this status if the entity functions as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;

- 04 The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFE;
- 05 The NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution;
- 06 The NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution;

07 Any NFE that fulfil all of the following requirements:

- It is established and operated in India exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in India and it is a professional organization, business league, chamber of commerce, labor organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare;
- It is exempt from income tax in India;
- It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;

The applicable laws of the NFE's country or territory of residence or the NFE's formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and

The applicable laws of the NFE's country or territory of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of the NFE's country or territory of residence or any political subdivision thereof.

Explanation.- For the purpose of this sub-clause, the following shall be treated as fulfilling the criteria provided in the said sub-clause, namely:

- (I) an Investor Protection Fund referred to in clause (23EA);
- (II) a Credit Guarantee Fund Trust for Small Industries referred to in clause 23EB; and
- (III) an Investor Protection Fund referred to in clause (23EC), of section 10 of the Act;

3. Other definitions

(i) Related entity

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

(ii) Passive NFE

The term passive NFE means

- (i) any non-financial entity which is not an active non-financial entity including a publicly traded corporation or related entity of a publicly traded company; or
- (ii) an investment entity defined in clause (b) of these instructions
- (ii) a withholding foreign partnership or withholding foreign trust;
- (Note: Foreign persons having controlling interest in a passive NFE are liable to be reported for tax information compliance purposes)

(iii) Passive income

The term passive income includes income by way of:

(1) Dividends,

- (1) Dividend (2) Interest
- (3) Income equivalent to interest,
- (4) Rents and royalties, other than rents and royalties derived in the active conduct of a business conducted, at least in part, by employees of the NFE
- (5) Annuities
- (6) The excess of gains over losses from the sale or exchange of financial assets that gives rise to passive income
- (7) The excess of gains over losses from transactions (including futures, forwards, options and similar transactions) in any financial assets,
- (8) The excess of foreign currency gains over foreign currency losses

(9) Net income from swaps

(10) Amounts received under cash value insurance contracts

- But passive income will not include, in case of a non-financial entity that regularly acts as a dealer in financial assets, any income from any transaction entered into in the ordinary course of such dealer's business as such a dealer.
- (iv) Instructions on Controlling Persons / Ultimate Beneficial Owner

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

A. For Investors other than individuals or trusts:

(i) The identity of the natural person, who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest. Controlling ownership interest means ownership of/entitlement to:

Instructions for FATCA & UBO (Contd.)

- more than 10% of shares or capital or profits of the juridical person, where the juridical person is a company.

- more than 10% of the capital or profits of the juridical person, where the juridical person is a partnership or or who exercises control through other means.

For the purpose of this clause, "Control" shall include the right to control the management or policy decision.

- more than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.

(ii) In cases where there exists doubt under clause (i) above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity of the natural person exercising control over the juridical person through other means like through voting rights, agreement, arrangements or in any other manner.
 (iii) Where no natural person is identified under clauses (i) or (ii) above, the identity of the relevant natural person who holds the position of senior managing official.

B. For Investors which is a trust:

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

Provided that in case of a trust, the reporting entity shall ensure that trustees disclose their status at the time of commencement of an account-based relationship or when carrying out transactions as specified in clause (b) of sub-rule (1) rule 9.

C. Exemption in case of listed companies / foreign investors

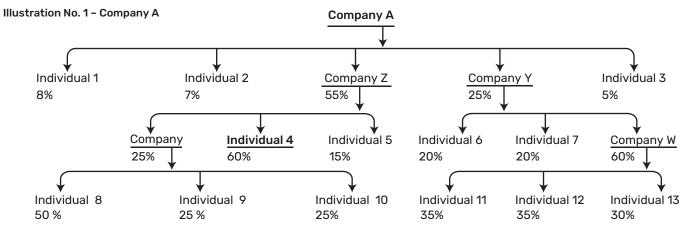
The client or the owner of the controlling interest is a company listed on a stock exchange or is a majority-owned subsidiary of such a company, there is no need for identification and verification of the identity of any shareholder or beneficial owner of such companies and hence exempted from UBO declaration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

D. KYC requirements

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

In case of Foreign Nationals, who are not KYC complied, they need to attach the ID proof in English along with the Nationality proof, Address proof again in English. If the documentary proof is in Foreign Language, it should be translated in English and should be attested by Indian Embassy of that country.

Sample Illustrations for ascertaining beneficial ownership:



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

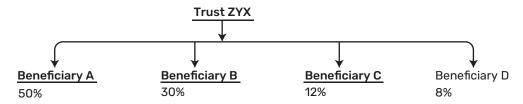


Illustration No. 2 - Partner ABC



For Partnership Firm ABC, Partners 1, 2, 3 and 4 are considered as UBO as each of them holds >=10% of capital. KYC proof of these partners needs to be submitted including shareholding.

Illustration No. 3 - Trustee ZYX



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

this page is interiorally letter to an