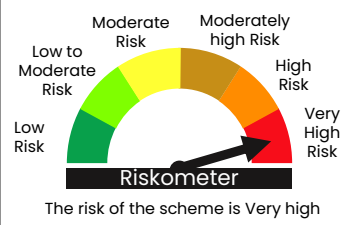
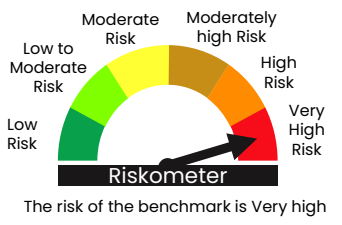
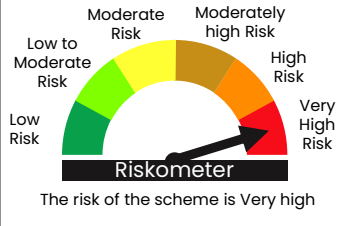
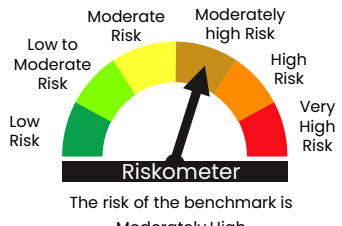
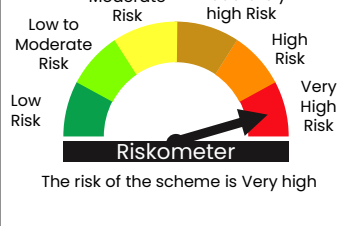
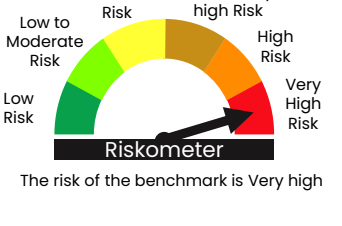
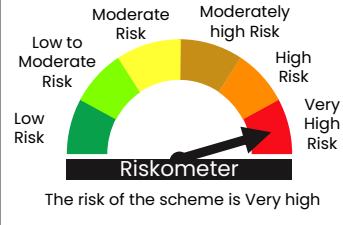
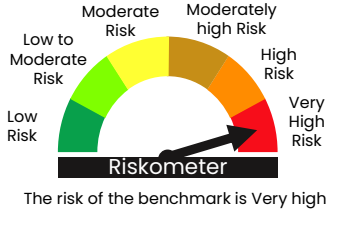
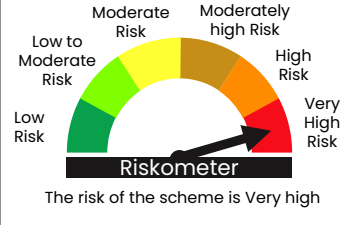
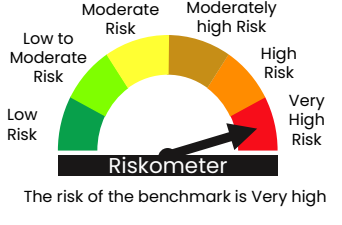
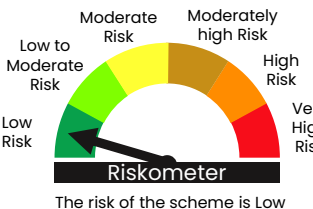
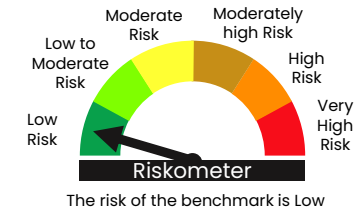


APPLICATION FORM FOR HELIOS MUTUAL FUND SCHEMES

Product Labelling: To provide investors an easy understanding of the kind of product/scheme they are investing in and its suitability to them, the product labelling is as under:

Name of the Scheme & Benchmark	This product is suitable for investors who are seeking*:	Scheme Risk-O-meter #	Benchmark Risk-O-meter#
Helios Flexi Cap Fund (Flexi Cap Fund – An open ended dynamic equity scheme investing across large cap, mid cap & small cap stocks.) Benchmark: As per AMFI Tier I Benchmark i.e. Nifty 500 Total Return Index (TRI)	- Long term Wealth creation - Investment predominantly in equity and equity related instruments across large cap, mid cap and small cap stocks	 The risk of the scheme is Very high	 The risk of the benchmark is Very high
Helios Balanced Advantage Fund (An open-ended dynamic asset allocation fund) Benchmark: As per AMFI Tier I Benchmark i.e. CRISIL Hybrid 50+50 – Moderate Total Return Index (TRI)	- Long term wealth creation - Investment in a dynamically managed portfolio of equity & equity related instruments and debt & money market securities	 The risk of the scheme is Very high	 The risk of the benchmark is Moderately High
Helios Financial Services Fund (An open-ended equity scheme investing in financial service sector) Benchmark: As per AMFI Tier I Benchmark i.e. NIFTY Financial Services Total Return Index (TRI)	- Long term wealth creation - Investment in equity and equity related securities of companies engaged in financial services	 The risk of the scheme is Very high	 The risk of the benchmark is Very high
Helios Large & Mid Cap Fund (Large & Mid Cap Fund – An open-ended equity scheme investing in both large cap and mid cap stocks) Benchmark: As per AMFI Tier I Benchmark i.e. NIFTY Large Midcap 250 Total Return Index (TRI)	- Long term wealth creation - Investment in a diversified portfolio of large and mid cap companies.	 The risk of the scheme is Very high	 The risk of the benchmark is Very high
Helios Mid Cap Fund (Mid Cap Fund – An open-ended equity scheme predominantly investing in mid cap stocks) Benchmark: As per AMFI Tier I Benchmark i.e., NIFTY Midcap 150 Total Return Index (TRI)	- Long-term wealth creation - Investment in equity and equity related securities predominantly of mid-cap companies	 The risk of the scheme is Very high	 The risk of the benchmark is Very high

Helios Overnight Fund (An open ended debt scheme investing in overnight securities. Relatively Low Interest Rate Risk and Relatively Low Credit Risk.) Benchmark: As per AMFI Tier I Benchmark i.e. CRISIL Liquid Overnight Index	- Income over short term and high liquidity - Investment in debt & money market instruments with overnight maturity	 The risk of the scheme is Low	 The risk of the benchmark is Low		
Potential Risk Class (Helios Overnight Fund)		(Maximum risk the Scheme can take)			
		Credit Risk ↓	Relatively Low (Class A)	Moderate (Class B)	Relatively High (Class C)
		Interest Rate Risk →			
		Relatively Low (Class I)	A-I		
		Moderate (Class II)			
		Relatively High (Class III)			
		A-I - A Scheme with Relatively Low Interest Rate Risk and Relatively Low Credit Risk.			

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

Above risk-o-meters are as on 31 July, 2025. For latest risk-o-meter(s), investors are requested to refer periodical portfolio disclosure(s) available on the website of the Fund viz. www.heliosmf.in

KEY PARTNER/AGENT INFORMATION (Investors Applying under direct plan should mention "DIRECT" in ARN Column)

Distributor/ RIA Code	Sub Agent ARN	Sub Agent Code/Bank Branch Code/ Internal Code	*Employee Unique Identification Number (EUIN)
ARN-			

* EUIN Declaration (Only where EUIN box is left blank) - EUIN Declaration: I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this transaction is executed without any interaction or advice by the employee/relationship manager/sales person of the above distributor/sub broker or notwithstanding the advice of in-appropriateness, if any, provided by the employee/ relationship manager/sales person of the distributor/sub broker and the distributor has not charged any advisory fees on this transaction. (Refer Instruction No XI)

Signature of Sole/First Applicant/Guardian	Signature of Second Applicant	Signature of Third Applicant
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1. EXISTING INVESTOR FOLIO NUMBER

2. MODE OF HOLDING [Please tick (✓)]

☐ Single ☐ Joint (Default) ☐ Any one or Survivor

3. APPLICANT DETAILS (Mention name as per your PAN / Income Tax Department (ITD)) (Mandatory to mention Date of Birth for all holders)

Sole/First Applicant	Mr. /Ms./M/s	DOB	D	D	M	M	Y	Y	Y	Y
Name of Guardian if first applicant is minor/ Contact Person for non individuals Mr. /Ms./M/s										
Date of Birth of Guardian	D	D	M	M	Y	Y	Y	Y	Y	Y
Guardian's Relationship with Minor			Proof of Date of Birth and Guardian's Relationship with Minor							
☐ Father ☐ Mother ☐ Court Appointed Guardian			☐ Birth Certificate ☐ Passport ☐ Others (Please specify)							
PAN / PEKRN		CKYC ID (CKIN)								
LEI No.:		Valid upto:								
STATUS	☐ Resident Individual ☐ Sole Proprietor ☐ Public Limited Company ☐ FPI Category I ☐ Banks ☐ Body Corporate ☐ Trust/Society/ NGOs* (Enter Registration No. of Darpan Portal)									
	☐ NRI ☐ HUF ☐ Private Limited Company ☐ FPI Category II ☐ Defence Establishment ☐ AOP/BOI ☐ Non Profit Organization/Charities* (Enter Registration No. of Darpan Portal)									
	☐ On Behalf of Minor ☐ Financial Institutions ☐ Partnership Firm/LLP ☐ FPI Category III ☐ Government Body ☐ Mutual Fund FOF Schemes ☐ Others (Please specify)									
	☐ Foreign Exchange/ Money Changer Services ☐ Gaming / Gambling / Lottery / Casino Services									
Are you involved / providing any of the mentioned services : (Applicable only for Non Individuals) ☐ Money Lending / Pawning ☐ None of the above										
Correspondence Address (Address details will be updated as per your KYC records with CKYC / KRA)										
Overseas Address (Mandatory for NRI / FPI Applicants & PIO's)										
House/Flat No.										
Street Address										
City/Town		State		City/Town		State		City/Town		State
Country		Pin Code		Country		ZIP Code		Country		ZIP Code
Tel. (Res.)	(STD Code)			Tel. (Off.)	(Country Code)			Fax	(Country Code)	
Mobile No.				Email ID (CAPITAL Letters Only)						
Email ID belongs to ☐ Self ☐ Spouse ☐ Dependent Children ☐ Dependent Siblings ☐ Dependent Parents ☐ Guardian in case of minor ☐ Others										
Mobile No. belongs to ☐ Self ☐ Spouse ☐ Dependent Children ☐ Dependent Siblings ☐ Dependent Parents ☐ Guardian in case of minor ☐ Others										
Investors providing Email Id would mandatorily receive Statement of Accounts/ Annual Report / Abridged Summary/ Statutory & other documents on email. Please register your Mobile No & Email Id with us to get transaction alerts via SMS & Email, respectively. I hereby declare that I shall immediately update any change in Mobile Number/Email ID. ☐ I wish to receive scheme wise annual report or abridged summary through Physical mode (Applicable only for investors who have not specified the Email ID).										

Second Applicant	Mr. /Ms./M/s	DOB	D	D	M	M	Y	Y	Y	Y
PAN / PEKRN		CKYC ID (CKIN)								
Relationship with 1st Holder ☐ Spouse ☐ Father ☐ Mother ☐ Daughter ☐ Son ☐ Others										
Mobile No.				Email ID (CAPITAL Letters Only)						
Email ID belongs to ☐ Self ☐ Spouse ☐ Dependent Children ☐ Dependent Siblings ☐ Dependent Parents ☐ Guardian in case of minor ☐ Others										
Mobile No. belongs to ☐ Self ☐ Spouse ☐ Dependent Children ☐ Dependent Siblings ☐ Dependent Parents ☐ Guardian in case of minor ☐ Others										

Third Applicant	Mr. /Ms./M/s	DOB	D	D	M	M	Y	Y	Y	Y
PAN / PEKRN		CKYC ID (CKIN)								
Relationship with 1st Holder ☐ Spouse ☐ Father ☐ Mother ☐ Daughter ☐ Son ☐ Others										
Mobile No.				Email ID (CAPITAL Letters Only)						
Email ID belongs to ☐ Self ☐ Spouse ☐ Dependent Children ☐ Dependent Siblings ☐ Dependent Parents ☐ Guardian in case of minor ☐ Others										
Mobile No. belongs to ☐ Self ☐ Spouse ☐ Dependent Children ☐ Dependent Siblings ☐ Dependent Parents ☐ Guardian in case of minor ☐ Others										

HELIOS MUTUAL FUND - ACKNOWLEDGEMENT SLIP

Name of the Investor Mr/Ms/M/s : _____ Plan: _____ Option: _____

Scheme Name, Plan & Option: _____

Amount (₹) : _____

All purchases are subject to realization of payment instrument. Please retain this slip, duly acknowledged by the official collection center till you received your account statement.

FOLIO NO. _____

PAN NO. _____

APPLICATION NO. _____

If you wish to hold your investment in dematerialised mode please furnish the below details and enclose a copy of the Client Master/Transaction Cum Holding Statement/ Cancelled delivery instruction slip.

NSDL	☐	DP Name _____	DP ID	I	N					Beneficiary Account No.									
CDSL	☐	DP Name _____	Beneficiary Account No.																

Account No.

						M	a	n	d	a	t	o	r	y					
--	--	--	--	--	--	---	---	---	---	---	---	---	---	---	--	--	--	--	--

A/c. Type (✓) ☐ SB ☐ Current ☐ NRO ☐ NRE ☐ FCNR

Name of Bank		M a n d a t o r y										Bank Branch											
Branch City				PIN								IFSC Code		F o r C r e d i t v i a R T G S		MICR Code							

Please ensure the name on this application form and in your bank, account is the same. Mandatory to attach proof in case the pay-out bank account is different from the bank account from where investment is made.

Scheme: Helios **Plan** (Select any one) ☐ Direct ☐ Regular

Option	☐ Growth (default)		☐ Income Distribution Cum Capital Withdrawal option (IDCW)		Frequency (if any) _____		
	☐ IDCW Payout		☐ IDCW Reinvestment		(Wherever applicable)		
Mode of Payment ☐ Cheque ☐ DD ☐ Funds Transfer ☐ OTBM Facility (One Time Bank Mandate) ☐ RTGS / NEFT							
Investment Amount (₹)	DD Charges (₹)	Net Amount (₹)	Instrument No/TR No.	Date	Drawn on Bank	Bank Branch	City
				D D M M Y Y Y Y			

Please indicate all Countries in which you are a resident for tax purpose, associated Taxpayer Identification Number and it's Identification type eg. TIN etc.

Sole/First Applicant/Guardian			Second Applicant			Third Applicant		
Country	Tax Payer Ref. ID No	Identification Type	Country	Tax Payer Ref. ID No	Identification Type	Country	Tax Payer Ref. ID No	Identification Type
1								
2								
3								
Country of Birth			Country of Birth			Country of Birth		
Country of Nationality			Country of Nationality			Country of Nationality		

In case Country of Tax Residence is only India then details of Country of Birth & Nationality need not be provided. In case Tax Identification Number is not available, kindly provide its functional equivalent.

OCCUPATION	Government Service/ Public Sector	Private Sector Service	Professional	Business	Housewife	Retired	Student	Agriculturist	Forex Dealer	Others
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[illegible]

GROSS ANNUAL INCOME DETAILS	Below ₹1 Lac	₹1-5 Lacs	₹5-10 Lacs	₹10-25 Lacs	₹25 Lacs-1 Crore	>₹1 Crore	NET-WORTH (in ₹)	Date
1 st Applicant	☐	☐	☐	☐	☐	☐	(Net worth should	D D M M Y Y Y Y
2 nd Applicant	☐	☐	☐	☐	☐	☐	not be older	D D M M Y Y Y Y
3 rd Applicant	☐	☐	☐	☐	☐	☐	than 1 year)	D D M M Y Y Y Y
Guardian	☐	☐	☐	☐	☐	☐		D D M M Y Y Y Y

PEP DETAILS	1st Applicant	2nd Applicant	3rd Applicant	Guardian
Are you a Politically Exposed Person (PEP)	Yes ☐ No ☐	Yes ☐ No ☐	Yes ☐ No ☐	Yes ☐ No ☐
Are you related to a Politically Exposed Person (PEP)	Yes ☐ No ☐	Yes ☐ No ☐	Yes ☐ No ☐	Yes ☐ No ☐

First Applicant POA Name	Mr. /Ms./M/s	DOB	D	D	M	M	Y	Y	Y	Y
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[illegible]

Original POA document or notarized copy of POA needs to be submitted in case of Investment through POA. In case each applicant wants to provide separate POA, the same can be provided by the way of letter.

☒ We are falling under "Non-Profit Organization" (NPO) which has been constituted for religious or charitable purposes referred to in clause (15) of section 2 of the Income-tax Act ☐ Yes

1961 (43 of 1961), and is registered as a trust or a society under the Societies Registration Act, 1860 (21 of 1860) or any similar State legislation or a Company registered under the section 8 of the Companies Act, 2013 (18 of 2013).	☐ Yes ☐ No
If yes, please quote Registration No. of Darpan portal of Niti Aayog	
If not, please register immediately and confirm with the above information. Failure to get above confirmation or registration with the portal as mandated, wherever applicable will force MF / AMC to register your entity name in the above portal and may report to the relevant authorities as applicable. We am/are aware that we may be liable for it for any fines or consequences as required under the respective statutory requirements and authorize you to deduct such fines/charges under intimation to me/us or collect such fines/charges in any other manner as might be applicable.	

11. NOMINATION - Nomination shall be optional for jointly held Mutual Fund folios. Details for Nominee OPT-IN/Declaration of Nominee OPT-OUT to be mandatorily filled in for processing the application as per the below selected Option A or B (Refer instruction V)

☐ A) **Nomination OPT- IN** - I/ we wish to Nominate the following person(s) in the above specified folio(s) who shall receive all the assets held in my / our account in the event of my / our death. This nomination shall supersede any prior nomination made by us/me if any.

Mandatory Information							Non-mandatory Information
Name of Nominee(s) (IN CAPITALS) (Mandatory)	Share of each Nominee#	Date of Birth (for Minor)	Relationship with the Applicant (select one)	Nominee/ Guardian (in case of Minor) Identification details <i>[Please tick any one of the following and provide ID Number and no copies required].</i>	Address of Nominee(s)/ Guardian in case of Minor City / Place: State & Country	Mobile & Email of nominee(s)/ Guardian in case of Minor (Mandatory)	Nominee Guardian Name (in case Nominee is Minor)
Mr./Ms. Details of 1st Nominee	%	DD MM YYYY	☐ Spouse ☐ Father ☐ Mother ☐ Daughter ☐ Son ☐ Others (please specify)	☐ PAN ☐ Aadhaar (masked last 4 digits) **** * ☐ Passport (for NRI/OCIs/PIOs) ☐ Driving Lincense	Pin Code:		
Mr./Ms. Details of 2nd Nominee	%	DD MM YYYY	☐ Spouse ☐ Father ☐ Mother ☐ Daughter ☐ Son ☐ Others (please specify)	☐ PAN ☐ Aadhaar (masked last 4 digits) **** * ☐ Passport (for NRI/OCIs/PIOs) ☐ Driving Lincense	Pin Code:		
Mr./Ms. Details of 3rd Nominee	%	DD MM YYYY	☐ Spouse ☐ Father ☐ Mother ☐ Daughter ☐ Son ☐ Others (please specify)	☐ PAN ☐ Aadhaar (masked last 4 digits) **** * ☐ Passport (for NRI/OCIs/PIOs) ☐ Driving Lincense	Pin Code:		

Nomination can be made upto three nominees in the account in case the above percentages do not total upto 100 %. # Any odd lot after division shall be assigned / transferred to the first nominee mentioned in the form.

I / We want the details of my / our nominee to be printed in the statement of holding, provided to me/ us by the AMC / DP as follows; (please tick, as appropriate)

☐ Name of nominee(s) with % (Default) ☐ Nomination: Yes / No (Only status of nomination to be displayed)

☐ B) **Nomination OPT- OUT** - (Signature Mandatory, in case investor(s) decide not to nominate)

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 and 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/s.

Signature of 1st Unit Holder

Signature of 2nd Unit Holder

Signature of 3rd Unit Holder

Rights, Entitlement and Obligation of the investor and nominee / Instructions

- If you are opening a new demat account / MF folio, you have to provide nomination. Otherwise, you have to follow the specified procedure for Opt-out
- The nomination can be made only by individuals applying for/holding units on their own behalf singly or jointly.
- You can make nomination or change nominee any number of times without any restriction.
- You are entitled to receive acknowledgement from the AMC / DP for each instance of providing or changing nomination.
- 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 where Minor is the unitholder.
- The signatories for this nomination form in joint folios / account, shall be the same as that of your joint MF folio / demat account. i.e.
 - 'Either or Survivor' Folios / Accounts - any one of the holders can sign.
 - 'First holder Folios / Accounts - only First Holder can sign.
 - 'Jointly' Folios / Accounts - both holders have to sign
- A minor may be nominated. In that event, the name and address of the Guardian of the minor nominee is to be provided optionally.
- 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 Attorney holder.
- A Non-Resident Indian may be nominated subject to the applicable exchange control regulations.
- 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 percentage of allocation/share for each of the nominee is not mentioned, the

allocation / claim settlement shall be made equally amongst all the nominees. Any odd lot after division shall be assigned / transferred to the first nominee mentioned in the form.

- In case of demise of the investor and any one of the nominees, the regulated entities shall distribute the assets pro-rata to the remaining nominees
- Every new nomination for a folio/account shall overwrite the existing nomination, if any.
- 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.
- 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).
- The nomination will be registered only when this form is completed in all respects to the satisfaction of the AMC.
- 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.

Transmission aspects

- Upon demise of the investor, the nominees shall have the option to either continue as joint holders with other nominees or for each nominee(s) to open separate single account / folio.
- In case all your nominees do not claim the assets from the AMC / DP, then the residual unclaimed asset shall continue to be with the AMC in case of MF units and with the concerned Depository in case of Demat account.
- Nominee(s) shall extend all possible co-operation to transfer the assets to the legal heir(s) of the deceased investor. In this regard, no dispute shall lie against the AMC / DP.
- 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 on pro-rata basis (as illustrated below) amongst the surviving nominees. Nominee's legal heir cannot claim the assets on behalf of deceased Nominee(s).

% share as specified by investor at the time of nomination		% assets to be apportioned to surviving nominees upon demise of investor and nominee 'A'			
Nominee	% share	Nominee	% Initial share	% of A's share to be apportioned	Total % share
A	60%	A	0	0	0
B	30%	B	30%	45%	75%
C	10%	C	10%	15%	25%
Total	100%	-	40%	60%	100%

12. RESOLUTION OF DISPUTES (For Institutional or Corporate Clients) (Refer instruction No.XVI)

☐ Smart ODR **OR** ☐ By harnessing any independent institutional mediation, conciliation and/or online arbitration institution in India.

13. DECLARATION AND SIGNATURE^

I/We have read, understood the terms and conditions of the SID/KIM/SAI and the addendums issued thereto till date, as well as the rules and regulations of SEBI, AMFI, Prevention of Money Laundering Act, 2002, Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standards (CRS) under FATCA & CRS provision of the Central Board of Direct Taxes notified Rules 114 F to 114H, as part of the Income-tax Rules, 1962, and such other regulations as may be applicable to me/us from time to time and agree to comply with the same as a Unitholder. I /We hereby apply to the Trustees for allotment of Units of the Scheme(s) of Helios Mutual Fund ('Fund') and confirm and declare as follows: I/We am/are eligible Investor(s) as per the scheme related documents and not prohibited from accessing capital markets by any order/ruling /Judgment etc. passed by SEBI/Statutory Authority or Courts in India and Foreign laws. I/We am/are authorised to make this investment as per the Constitutive documents/ authorization(s). I/We have not received nor been induced by any rebate or gifts, directly or indirectly, in making this investment. I/We declare that 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 / Regulations / Rules / Notifications / Directions or any other Applicable Laws enacted by the Government of India or any Statutory Authority. RIA Declaration: I/We hereby give you my/our consent to share/provide the transactions data feed/portfolio holdings/NAV etc. in respect of my/our investments under Direct Plan of all Schemes managed by you, to the above-mentioned SEBI-Registered Investment Adviser/RIA. The ARN holder has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us. I/We hereby declare that the above information is given by the undersigned and the particulars given by me/us are correct and complete. I/We hereby agree and authorize you to disclose, share, remit in any form/manner/mode the above information and/or any part of it including the changes/up- dates that may be provided by me/us to the Fund, its Sponsor/s, Trustees, Asset Management Company, its employees, agents and third party service providers, SEBI registered intermediaries for single updation / submission, any Indian or foreign statutory, regulatory, judicial, quasi-judicial authorities/agencies including but not limited to Financial Intelligence Unit-India (FIU-IND) etc without any intimation/advice to me/us. I/We have read and understood the purpose(s), as described under the Privacy Policy of the AMC, for which my/our details can be shared with various entities/people/authorities indicated in foregoing Para and I/We hereby consent to the same. I/we hereby confirm that I/we have not been offered/ communicated any indicative portfolio and/or any indicative yield by the Fund/AMC/its distributor for this investment. I/We hereby authorize the representatives of the Fund/AMC and its Associates to contact me through any mode of communication. This will override the registry on DND / DNDC, as the case may be.

Signature of Sole/First Applicant/Guardian	Signature of Second Applicant	Signature of Third Applicant
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^Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature

Name of the Holder		Signature of two witness(es) along with name & address are required, if the account holder affixes thumb impression instead of signature	
		Name & Address of Witness	Witness Signature
Sole / 1st Holder (Mr./Ms.)		Witness 1 - Name: Address:	Witness 1
		Witness 2 - Name: Address:	Witness 2
2nd Holder (Mr./Ms.)		Witness 1 - Name: Address:	Witness 1
		Witness 2 - Name: Address:	Witness 2
3rd Holder (Mr./Ms.)		Witness 1 - Name: Address:	Witness 1
		Witness 2 - Name: Address:	Witness 2

Please submit the following documents with your application (where applicable)

SR.No.	Documents	Individuals	NRI/ PIO/ OCI	Minors	Companies / Body Corporates	Trusts	Societies	HUF	Partnership Firms / LLP	FPIs	Investments through Constituted Attorney
1	Signed A/c Payee cheque/draft favouring the scheme	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
2	Copy of cancelled cheque (Required where pay out bank details are different from the instrument bank)	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
3	Resolution / Authorisation to invest				✓	✓	✓		✓	✓	
4	List of Authorised Signatories with Specimen Signature(s)				✓	✓	✓		✓	✓	✓
5	Memorandum & Articles of Association				✓						
6	Trust Deed					✓					
7	Bye-Laws						✓				
8	Partnership Deed / Deed of Declaration							✓	✓		
9	Proof of PAN & KYC / CKYC - KIN number (including for guardian)	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
10	Foreign Inward Remittance Certificate		✓							✓	
11	Date of Birth Certificate or School Living Certificate or Passport of Minor evidencing relationship with Guardian			✓							
12	Declaration for Identification of Beneficial ownership				✓	✓	✓	✓	✓	✓	✓
13	FATCA / CRS	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
14	PIO/OCI (As applicable)		✓								

All documents for entities above should be originals / true copies certified by the Director / Trustee / Company Secretary / Authorised Signatory / Notary Public, as applicable.

INSTRUCTIONS TO HELP YOU COMPLETE THE APPLICATION FORM

I. GENERAL INSTRUCTION:

- Please read the Key Information Memorandum (KIM), Statement of Additional Information (SAI) and the Scheme Information Document (SID) carefully before investing. All applicants are deemed to have read, understood and accepted the terms subject to which this offer is being made and bind themselves to the terms upon signing the Application Form and tendering payment.
- The application form must be filled in English in BLOCK letters using Black or Dark Blue colored ink. Incomplete applications are liable to be rejected. Please ensure that the requisite details and documents have been provided. This will help in avoiding processing delays and / or rejection of your Application Form. All subscription application forms should be submitted only at the designated Investor Service Center of Helios Mutual Fund or CAMS.
- The Applicant's name and address must be given in full (P.O. Box No. alone is not sufficient). In case of multiple applicants, all communication and payments towards redemption will be made in the name of / favoring first applicant only. If the first applicant is a minor, the name of the Guardian who will sign on behalf of the minor should be filled in the space provided. Please fill in your date of birth as this may be required for validating your identity for certain transactions/ communication. Also, please provide Mobile No./E-mail Id. of the first applicant, so as to facilitate faster and efficient communication.
- All applicants must sign the form, (quoting existing folio no, if any). Thumb impressions must be attested by a Judicial Magistrate/Notary Public under his/ her official seal. In the case of HUF, the Karta should sign on behalf of the HUF. Authorised signatories, signing on behalf of a Company/Body Corporate/Society/ Trust etc should sign under their official seal, designation. A list of Authorised Signatories (POA/Board Resolution) with their names & designations duly certified/ attested by the bankers should be attached with the application form.
- Please note that if no Option is ticked/indicated in the application form, the units will by default be allotted under the Growth Option of the Scheme. Similarly, Reinvestment of Income Distribution cum capital withdrawal Option of the Income Distribution cum capital withdrawal shall be the default sub-options.
- If Mode of Holding is not mentioned for Joint Holders, the default mode of holding would be Joint.
- If the investment is done on behalf of the minor, then the minor shall be the sole holder in the folio/account. Joint holding will not be allowed in the folio/account opened on behalf of the minor.
- Guardian in the folio on behalf of the minor should either be a natural guardian (i.e., father or mother) or a court appointed Guardian.
- If you have invested through a distributor kindly specify the Name and ARN Code of the distributor else for Direct Investment, please Mention "Direct" in the Column "Name & Broker Code/ARN". In case nothing is specified then by default the Broker Code will be treated as Direct.
- Investors are required to clearly indicate the plan/option in the application form of the scheme. Investors may note that the following shall be applicable for the default plan.

Scenario	Broker Code mentioned by the investor	Plan mentioned by the investor	Default Plan to be captured
1	Not mentioned	Not mentioned	Direct Plan
2	Not mentioned	Direct Plan	Direct Plan
3	Not mentioned	Regular Plan/Other than Direct Plan	Direct Plan
4	Mentioned	Direct Plan	Direct Plan
5	Direct	Not Mentioned	Direct Plan
6	Direct	Regular Plan/Other than Direct Plan	Direct Plan
7	Mentioned	Regular Plan/Other than Direct Plan	Regular Plan/ Other than Direct Plan
8	Mentioned	Not Mentioned	Regular Plan/ Other than Direct Plan

In cases of wrong/ invalid/ incomplete ARN/ Unempanelled ARN codes mentioned on the application form, the application shall be processed under Direct Plan. Similarly, in the absence of clear indication as to the choice of option (Growth or Payout of Income Distribution cum capital withdrawal option), by default, the units will be allotted under the Growth Option of the default /selected plan of the scheme.

Treatment of transactions received under Regular Plan with invalid ARN

In accordance with AMFI circular no. 135/BP/ 111 /2023-24 dated February 2, 2024, transactions received in Regular Plan with Invalid ARN shall be processed in Direct Plan of the same Scheme (even if reported in Regular Plan), applying the below logic:

Transaction Type	Primary ARN			SUB distributor ARN		EUIN*	Execution Only Mentioned	Regular Plan / Direct Plan
	Valid	Invalid	Empanelled	Valid	Invalid	Valid	Yes	
Lump Sum/ Systematic Registration	Y		Y				Y	Regular
	Y		N					Direct
	Y		Y	N.A.	N.A.	N.A.	N	Regular
	Y		Y	Y		Y		Regular*
		Y						Direct
	Y		Y	Y			Y	Regular
	Y		Y		Y			Direct

Trigger	Y			Not applicable	Regular
		Y		Not applicable	Direct

*If the EUIN is invalid/missing, the transactions will be processed in regular plan and the distributor/investor shall be given 30-day period from the date of the transaction for remediation of the EUIN. In such cases, the commission for that particular transaction shall not be paid to the ARN holder if the fresh valid EUIN is not provided within 30 days.

- Investors can opt for Special facilities like Systematic Investment Plan (SIP), SIP Top UP, Systematic Transfer Plan (STP), Value STP, Systematic Withdrawal Plan (SWP).
- The guardian cannot undertake any financial and non-financial transactions including fresh registration of Systematic Transfer Plan (STP), Systematic Investment Plan (SIP) and Systematic Withdrawal Plan (SWP) after the date of the minor attaining majority till the time requisite documents evidencing change of status from 'minor' Unit holder are received.
- Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state-owned corporations, important political party officials, etc.
- 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 the application/transaction slip duly signed by investor(s), given that the same constitutes a valid legal document between the investor and the AMC.
- If the Name given in the application form does not match the name as appearing on the PAN Card, authentication, application may be liable to get rejected or further transactions may be liable to get rejected.
- If the Purchase/SIP transaction of any of the specific scheme(s) cannot be processed, then the entire application is liable for rejection and the Purchase/ SIP proceeds if any debited from the investor's account will be refunded back to the investor's bank account.

II. APPLICANT'S INFORMATION:

- In case of application(s) made by individual investors under a Power of Attorney, the original Power of Attorney or a duly notarized copy should be submitted along with the subscription application form. In case of applications made by non- individual investors, the authorized signatories of such non-individual investors should sign the application form in terms of the authority granted to them under the Constitutional Documents/Board resolutions/Power of Attorneys, etc. A list of specimen signatures of the authorized signatories duly certified/attested should also be attached to the application form. The Mutual Fund/AMC/Trustee shall deem that the investments made by such non-individual investors are not prohibited by any law/constitutional documents governing them and they possess the necessary authority to invest.
- Application made by a limited company or by a body corporate or a registered society or a trust, should be accompanied by a copy of the relevant resolution or authority to make the application along with a certified copy of the Memorandum and Articles of Association or Trust Deed / Bye Laws / Partnership Deed, whichever is applicable.
- In the case of non-individual applicants, i.e. HUF / Companies/AOP / BOI / Trusts / Societies / FIs etc. the name, email-ID and telephone number of the contact person to should be provided.
- Date of Birth of the minor is mandatory while opening the account/folio.
- In case the investment is done on behalf of the minor the relationship/ status of the guardian as father, mother or legal guardian and Date of birth of the minor shall be specified in the application form and following documents shall be submitted along with the application form as evidence:
 - Birth certificate of the minor, or
 - School leaving certificate/Mark sheet issued by Higher Secondary Board of respective states, ICSE, CBSE etc., or
 - Passport of the minor, or
 - Any other suitable proof evidencing the date of birth of the minor.
 - In the case of court appointed legal guardian, supporting documentary evidence shall be provided.
 - In case of natural guardian, a document evidencing the relationship if the same is not available as
 - Part of the documents submitted as per point. i-iv above.

6. Permanent Account Number (PAN):

SEBI has made it mandatory for all applicants (in the case of application in joint names, each of the applicants) to mention his her permanent account number (PAN) irrespective of the amount of purchase. *Where the applicant is a minor, and does not possess his / her own PAN, he/ she shall quote the PAN of his/ her father or mother or the guardian, signing on behalf of the minor, as the case may be. In order to verify that the PAN of the applicants (in case of application in joint names, each of the applicants) has been duly and correctly quoted therein, the applicants shall attach along with the purchase application, a photocopy of the PAN card duly self-certified along with the original PAN Card. The original PAN Card will be returned immediately across the counter after verification *includes fresh/ additional purchase, Systematic Investment. Micro investment (including lumpsum & Micro SIP) & Investors residing in the state of Sikkim are exempt from the mandatory requirement of PAN proof submission however they are required to mandatorily submit PAN Exempt KYC Reference No (PEKRN) to Helios Mutual Fund. Applications not complying with the above requirement may not be accepted/ processed. Additionally, in the event of any Application Form being subsequently rejected for mismatch / non-verification of applicant's PAN details with the details on the website of the Income Tax Department, the investment transaction will be cancelled and the amount may be redeemed at the applicable NAV, subject to payment of exit load, if any.

Please contact any of the Investor Service Centres/ CAMS/ Distributors or visit our website www.heliosmf.in for further details.

7. Prevention of Money Laundering and Know Your Client (KYC):

In order to reduce hardship and help investors dealing with SEBI intermediaries, SEBI issued three circulars - MIRSD/SE/Cir-21/2011 dated October 05, 2011, MIRSD/Cir-23/2011 dated December 02, 2011 and MIRSD/Cir-26/2011 dated December 23, 2011 informing SEBI registered intermediaries as mentioned therein to follow, with effect from January 01, 2012, a uniform KYC compliance procedure for all the investors dealing with them on or after that date. SEBI also issued KYC Registration Agency ("KRA") Regulations 2011 and the guidelines in pursuance of the said Regulations and for In-Person Verification ("IPV").

All investors (individual and non- individual) are required for KYC compliance. However, applications should note that minors cannot apply for KYC compliance and any investment in the Name of minors should be through a Guardian, who should be KYC compliant for the purpose of investing with a Mutual Fund. Also applicants/ unit holders intending, to apply for units currently holding units and operating their Mutual Fund folios through a Power of Attorney (PoA) must ensure that the issue of PoA and the holder of the PoA must mention their KYC compliance status at the time of investment. PoA holders are not permitted to apply for KYC compliance on behalf of the issuer of the PoA, Separate procedures are prescribed for change in name, address, and other KYC related details, should the applicant desire to change such information, POS will extend the services of effecting such changes.

- 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 www.heliosmf.in
- In accordance with the aforesaid SEBI circulars and AMFI best practice guidelines for implementation of CKYC norms with effect from February 1, 2017:
- 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.
- Individual investor who fills old KRA KYC Form, should provide additional / missing information using Supplementary KYC Form or CKYC Form.
- 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.
- 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.
- AMC/ Mutual Fund shall use the KIN of the investor to download the KYC information from CKYCR system and update its records.

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 Helios Mutual Fund and on website www.heliosmf.in

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).

8. In case of NRI/FII investors the Account Statements / Redemption Cheques / Other correspondence will be sent to the mailing address mentioned.
9. All applications are accepted subject to detailed scrutiny and verification. Applications which are not complete in all respects are liable for rejection, either at the collection point itself or subsequently after detail scrutiny/verification at the back office of the registrars.

III. BANK DETAILS:

1. As per the SEBI guidelines, it is mandatory for investors to mention their bank account details in the application form. In the absence of the bank details the application form will be rejected.
2. Purchase Application requests should necessarily mention the pay- in bank account details i.e bank name, bank account number, bank branch used for issuing the payments to the fund. The first unit holder has to ensure that the subscription payment has to be made through his own bank account or through any of the bank accounts wherein he is one of the joint bank account holders. If this is not evidenced on the payment cheque/funds transfer/RTGS/NEFT request, demand draft etc given by the investor at the time of subscription then unit holder should attach necessary supporting documents as required by the fund like bank certificate, bank passbook copy, bank statement etc to prove that the funds are from a bank account held by the first unit holder only. If the documents are not submitted with the application the fund reserves the right to reject the application or call for additional details. In specific exceptional situations where Third-Party payment is permitted like i.e (i) Payment by employer on behalf of employee under Systematic Investment Plan (SIP) facility, or lump sum / one time subscription, through payroll deductions or deductions of expense reimbursements (ii) Payment by Corporate to its Agent/Distributor/Dealer (similar arrangement with principal-agent relationship), on account of commission/incentive payable for sale of its goods/ services, in the form of the Mutual Fund Units through Systematic Investment Plans or lump sum / one-time subscription (iii) Custodian on behalf of an FII or a client. For the above-mentioned cases KYC of the investor and the KYC of the person making the payment is mandatory irrespective of the amount. Additionally, a declaration by the person making the payment giving details of the bank account from which the payment is being made and the relationship with the beneficiary is also required to be submitted.
3. Direct Credit of Redemption / IDCW Proceeds / Refund if any - Helios MF will endeavor to provide direct / electronic credit for IDCW / redemption payments into the investors bank account directly. In case the direct credit is not affected by the

unitholder's banker for any reason then Helios MF reserves the right to make the payment to the investor by a cheque / DD. If the electronic credit is delayed or not affected or credited to a wrong account, on account of incomplete or incorrect information, Helios MF will not be held responsible. Please provide the MICR Code/ IFSC code on the right bottom of your Cheque for us to help you in future for ECS/ NEFT credit of IDCW and redemption payout.

4. Helios MF offers facility to register multiple bank accounts in the folio and designate one of the bank account as "Default Bank Account". Default bank account will be used for all IDCW and redemption payouts unless investor specifies one of the existing registered bank accounts in the redemption request for receiving redemption proceeds. A new non – registered bank account specified in the redemption request for receiving redemption proceeds will not be considered and the redemption proceeds will by default be credited into the default bank account. The investor will have to initially get the non-registered bank account registered in the folio and then apply for the redemption request.
5. Also, if no registered bank account is mentioned at the time of redemption, then by default the redemption proceeds will be credited into the default Bank account.
6. In accordance with the AMFI Best Practice Guideline Circular No. 17/2010-11 dated October 22, 2010 and Circular No. 39/ 2013-14 dated August 23, 2013 and to reduce operational risk. Investor(s) are requested to note that any one of the following documents shall be required to submit as a proof of Bank Account Details (for Redemption/ IDCW), in case the cheque provided along with fresh subscription/new folio creation does not belong to the Bank Account Details specified in the application form for redemption / IDCW payments w.e.f. March 1, 2014.
 - (a) Cancelled original cheque of the Bank Account Details with first unit holder name and bank account number printed on the face of the cheque; (or)
 - (b) Self attested copy of bank statement with current entries not older than 3 months; (or)
 - (c) Self attested copy of bank passbook with current entries not older than 3 months; (or)
 - (d) Bank Letter duly signed by branch manager authorized personnel.

IV. INVESTMENT & PAYMENT DETAILS:

1. Payment should be made by Crossed Cheques/Demand Draft/ Payorder, favouring to "Helios Mutual Fund Scheme Name" and marked "Account Payee" payable locally in the city where the application is submitted. Post dated or outstation cheques/draft are not permitted. Application received with outstation Cheque/ Demand Draft shall be rejected.

Investors from such centers, who do not have a facility to pay by local cheque, as there are no Collection Centres of Helios MF, will be permitted to deduct the actual DD commission's charges. document tary proof, thereof is to be attached, if not attached the AMC reserves the right to call for the same at a later date. The amount of the DD commission charges will be limited to the actual charges paid or DD charges of State Bank of India, whichever is lower.

2. Please mention the application serial no. on the reverse of the cheque/ demand draft tendered with the application.
3. In case the payment is made through Demand Draft or Bankers Cheque or Indian Rupee draft purchased abroad or from FCNR or NRE A/c, an Account Debit Certificate from the Bank issuing the draft, confirming the debit should be submitted. For subscription made by NRE / FCNR Account cheques, the application forms must be accompanied with a photocopy of the cheque or Account Debit Letter / Certificate from the bankers.
4. One time Bank mandate (OTBM) facilitates the investor to register a debit Mandate with his banker which will contain a pre-defined upper limit for the amount to be debited from his bank account for every Purchase Transaction done.

V. NOMINATION FOR UNITS HELD IN PHYSICAL MODE:

1. Nomination facility is available to individuals applying on their own behalf i.e. singly or jointly. Nomination is mandatory for folios opened by individuals with single mode of holding.
2. If the investor does not fill in the nomination details under Point no - 11 (A) of the Application form, then he needs to select nomination OPT-OUT section -11 (B) with declaration & to be duly signed by the unit holder.
3. Applications where details of nomination/intention to opt out of nomination, has not been provided, are liable to be rejected. Nomination shall be optional for jointly held Mutual Fund folios.
4. Multiple nominees (Resident, NRI, Including Minor) can be nominated. Nomination can also be in favor of the Central Government, State Government, a local authority, any person designated by virtue of his office or a religious or charitable trust.
5. Maximum of 3 Nominee can be nominated by investor.
6. Investor can define the Percentage of allocation for respective nominee such that the total of the same is equal to 100%. In case no percentage is defined by investor, it will be treated as equal.
7. Nomination of an NRI is subject to requirements, if any, prescribed by RBI and SEBI from time to time.
8. Nomination can be changed at any time during the currency of the investment by the same persons who have made the nominations.
9. Unitholders being either parent or lawful guardian on behalf of a minor and an eligible institution, societies, bodies corporate, HUF, AoPs, BOLS and partnership firms shall have no right to make any nomination.
10. The nominee shall not be a trust (other than a religious or charitable trust), society, body corporate, partnership firm, karta of HUF or power of attorney holder.

11. On registration of nomination a suitable endorsement shall be made on the statement of account or in the form of a separate letter.
12. The facility of nomination is available to a unitholder under SEBI (MFs) Regulations and guidelines issued by SEBI from time to time.
13. Nomination in respect of units stands rescinded, upon the transfer of units.
14. On cancellation of nominations, the nomination shall stand rescinded, and Helios MF shall not be under any obligation to transfer the units in favor of the nominee.
15. Where a nomination in respect of any unit has been made, the units shall, on the death of the unitholder(s), vest in the nominee and on compliance of necessary formalities the nominee shall be issued a SOA in respect of the units so vested subject to any charge or encumbrance over the said units. The nominee would be able to hold the units provided he is otherwise eligible to become a unitholder of the scheme.
16. Where there are two or more unitholders, one of whom has expired the title to units shall vest in the surviving unitholder(s) who may retain the nomination or change or cancel the same. However, non-expression of desire to change or substitute the nominee by surviving unitholder shall be deemed to be the consent of surviving unitholder for the existing nomination.
17. Transmission made by the AMC as aforesaid, shall be a full discharge to the AMC from all liabilities in respect of the said units. For further details please refer to SAI.
18. In case of a Zero Balance Folio Holder, nomination mentioned in Zero Balance Folio form shall be taken as default unless Scheme specific nomination has been made.
19. Where a folio has joint holders, all joint holders should sign the request for Nomination/ cancellation of nomination, even if the mode of holding is not "joint."
20. Power of Attorney (POA) holder cannot sign the Nomination form.
21. Nomination is not allowed in a folio held on behalf of a minor.
22. Nomination is maintained at the folio level and not at the scheme level. If the investor fills in a fresh application form with a new Nominee name then the same shall supersede the existing nominee details in the folio.

VI. Communication for the investors:

- a) In accordance with SEBI Circular No. Cir/ IMD/ DF/16/ 2011 dated September 8, 2011 and SEBI Circular no. CIR/MRD/DP/31/2014 dated November 12, 2014 the investor whose transaction has been accepted by the Helios MF shall receive a confirmation by way of email and/or SMS within 5 Business Days from the date of receipt of transaction request, same will be sent to the Unit holders registered e-mail address and/or mobile number.
- b) In case mobile no. & email ID not provided on the application form then, it will be captured as per KYC records.

Thereafter, a Consolidated Account Statement ("CAS") shall be issued in line with the following procedure:

1. Consolidation of account statement shall be done based on PAN. In case of multiple holding, it shall be PAN of the first holder and pattern of holding.
2. The CAS shall be generated on a monthly basis and shall be issued on or before 10th of the immediately succeeding month to the unit holder(s) in whose folio(s) transaction(s) has/ have taken place during the month.
3. In case there is no transaction in any of the mutual fund folios then CAS detailing holding of investments across all schemes of all Mutual Funds will be issued on half yearly basis [at the end of every six months (i.e., September/ March)]
4. Investors having MF investments and holding securities in Demat account shall receive a Consolidated Account Statement containing details of transactions across all Mutual Fund schemes and securities from the Depository by email / physical mode
5. Investors having MF investments and not having Demat account shall receive a Consolidated Account Statement from the MF Industry containing details of transactions across all Mutual Fund schemes by email / physical mode.

The word 'transaction' shall include purchase, redemption, switch, Payout of Income Distribution cum capital withdrawal option, Reinvestment of Income Distribution cum capital withdrawal option, systematic investment plan, systematic withdrawal plan and systematic transfer plan transactions. CAS shall not be received by the Unit holders for the folio(s) wherein the PAN details are not updated. The Unit holders are therefore requested to ensure that the folio(s) are updated with their PAN. For Micro SIP and Sikkim based investors whose PAN details are not mandatorily required to be updated Account Statement will be dispatched by Helios Mutual Fund for each calendar month on or before 10th of the immediately succeeding month.

In case of a specific request received from the Unit holders, Helios Mutual Fund will provide the account statement to the investors within 5 Business Days of the receipt of such request.

VII. SEBI circular of June 30, 2009 on removal of entry load:

In terms of SEBI circular no. SEBI/IMD/CIR No.4/ 168230/09 dated June 30, 2009, no entry load will be charged by the Scheme to the investor effective August 1, 2009. Upfront commission shall be paid directly by the investor to the AMFI registered Distributors based on the investors' assessment of various factors including the service rendered by the distributor.

VIII. Benefits:

1. Mobile No.: Get alerts on the move for Purchase, IDCW or Redemption, SIP Debit alert after it reflects in your account or two days prior to SIP debit.
2. E-Mail ID: The Account Statement will be e-mailed instantly to your registered email address as and when you transact with Helios Mutual Fund.
3. IFSC/MICR Code: With Helio E-IDCW you can have your IDCW credited in your

account through the Electronic Clearing Service (ECS)/ National Electronic Fund Transfer (NEFT).

IX. MICRO investment (including lumpsum & Micro SIP):

1. 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 Rs. 50,000/- per investor per year shall be exempted from the requirement of PAN.

Accordingly, for considering the investments made by an investor up to Rs. 50,000/-, an aggregate of all investments including SIPs made by an investor in a Financial Year i.e. from April to March, 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) acknowledgement issued by KRA 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 the 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 financial year and subsequently a fresh SIP mandate request is given where the total investment for that financial year exceeds Rs. 50,000/-, such SIP application shall be rejected. In the case where a SIP mandate is submitted during the financial year and subsequently a fresh lumpsum investment is being made provided where the total investment for that financial year exceeds Rs. 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.

2. In case the first Micro SIP installment is processed, and the application is found to be defective, the Micro SIP registration will be ceased for future installments. No refunds to be made for the units already allotted. Investors will be sent a communication to this effect. However, redemptions shall be allowed.

X. Units held in the dematerialised form:

1. With effect from October 1, 2011, in accordance with SEBI Circular No. IMD/ DF/9/2011 dated May 19, 2011, an option to subscribe/hold the units of the Scheme(s)/ Plan(s) of Helios in dematerialized (demat) form is being provided to the investors in terms of the guidelines/ procedural requirements as laid by the Depositories (NSDL/ CDSL) / Stock Exchanges (NSE / BSE) from time to time.
2. The Unit holders are given an Option to hold the units by way of an Account Statement (Physical form) or in Dematerialized ('Demat') form. Unit holders opting to hold the units in demat form must provide their Demat Account details in the specified section of the application form. The Unit holder intending to hold the units in Demat form are required to have a beneficiary account with the Depository Participant (DP) (registered with NSDL / CDSL as may be indicated by Helios) and will be required to indicate in the application the DP's name, DP ID Number and the beneficiary account number of the applicant with the DP. Applicants must ensure that the sequence of names and other details like Client ID, Address and PAN details as mentioned in the application form matches that of the account held with the Depository Participant. Only those applications where the details are matched with the depository data will be treated as valid applications. If the details mentioned in the application are incomplete/ incorrect, not matched with the depository data, then units will be allotted in the physical mode and an Account Statement shall be sent to them. Such investors will not be able to trade on the stock exchange till the holdings are converted into demat form.
3. Unit Holders opting the units in the demat mode, can submit redemption/switch only through DP or through stock exchange platform.
4. Unit holders opting for investment in demat mode cannot opt for facilities like STP, SWP & Top Up.
5. In case, the Unit holder desires to hold the Units in a Dematerialized / Rematerialized form at a later date, the request for conversion of units held in non-demat form into Demat (electronic) form or vice-versa should be submitted along with a Demat/Remat Request Form to their Depository Participants.
6. Units held in demat form will be transferable.

- XI. **Employee Unique Identification Number (EUIIN)** would assist in tackling the problem of mis-selling even if the employee/relationship manager/ salesperson leave the employment of the distributor.

Distributors are advised to ensure that the sub broker affixes his/her ARN code in the column separately provided in addition to the current practice of affixing the internal code issued by the main ARN holder and the EUIIN of the Sales Person (if any) in the EUIIN space. Investors are requested to note that EUIIN is applicable for transactions such as Purchases, Switches, Registrations of SIP/STP/Trigger/Transfer of Income Distribution cum Capital Withdrawal Plan and EUIIN is not applicable for transactions such as Installments under SIP/STP/SWP, Income Distribution cum Capital Withdrawal option Reinvestments, Redemption, SWP Registration, Zero Balance Folio creation and installments under Income Distribution cum Capital Withdrawal option Transfer Plans. Investors are requested to note that EUIIN is largely applicable to sales persons of non individual ARN holders (whether acting in the capacity of the main distributor or sub broker). Further, EUIIN will not be applicable for overseas distributors who comply with the requirements as per AMFI circular CIR/ ARN-14/12-13 dated July 13, 2012.

- XII. **Ultimate Beneficial Owners(s):** Pursuant to SEBI Master Circular No. CIR/ISD/ AML/3/2010 dated December 31, 2010 on Anti Money Laundering Standards and Guidelines on identification of Beneficial Ownership issued by SEBI vide its Circular No. CIR/MIRSD/2/2013 dated January 24, 2013, investors (other than Individuals) are required to provide details of 'Ultimate Beneficial Owner(s) (UBO(s))' and submit proof of identity (viz. PAN with photograph or any other acceptable proof of identity prescribed in common KYC form) of UBO(s). Further, the Prevention of Money Laundering Rules, 2005 also require that every banking company, financial institution (including Mutual Funds) and intermediary shall identify the beneficial owner. In case

the investor or owner of the controlling interest is a company listed on a stock exchange or is a majority owned subsidiary of such a company, the details of shareholders or beneficial owners are not required to be provided. Non-individual applicants/investors are mandated to provide the details on 'Ultimate Beneficial Owner(s) (UBO(s))' by filling in the declaration form for 'Ultimate Beneficial Ownership'.

Providing information about beneficial ownership will be applicable to the subscriptions received from all categories of investors except Individuals and a Company listed on a stock exchange or is a majority owned subsidiary of such a Company. Proof of Identity of the UBO such as Name/s, Address & PAN/Passport together with self-attested copy* along with the declaration form for 'Ultimate Beneficial Ownership' are required submitted to Helios AMC/its RTA. (*Original to be shown for verification and immediate return). In case of any change in the beneficial ownership, the investor should immediately inform Helios MF / its Registrar / KRA, as may be applicable, about such changes. Please contact the nearest Investor Service Centre (ISC) of Helios Mutual Fund or log on to our website www.heliosmf.in for the Declaration Form.

XIII. Foreign Account Tax Compliance Act ("FATCA"):

- a) The Central Board of Direct Taxes (CBDT) has notified Rules 114F to 114H, as part of the Income Tax Rules, 1962, which require Indian financial institutions to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all account holders and/or applicants.
- b) Applicants/Unit holders are required to mandatorily provide the relevant information for FATCA and CRS, including Ultimate Beneficial Ownership (UBO) details. In case of any change in any information provided, Unit holders should ensure to advise the Fund/RTA promptly i.e within a period of 30 days.
- c) All Applicants/Unit holders, individuals and non-individuals, must be aware that the failure to providing all relevant details in relevant section and/or relevant forms will result in rejection of their investment application form, refund of application money, reversal of units allotted and the Fund will not be liable for any consequent loss to the Applicants/ Unit holders.
- d) Applicants like Individuals (including in the name of sole proprietorship firm), joint applicants, HUF, are required to provide details, as mentioned in this section, like Place and Country of birth, Country of Citizenship/Nationality mandatorily. If the applicant/s have any countries of tax residency other than India, details of all such countries and relevant tax identification number needs to be provided. If the space in the form is not adequate, applicants are required to attach additional sheets with information duly signed.
- e) If you have any questions about your tax residency or other definitions or terms used, 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.
- f) 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 to the form.
- g) Applicant/unit holder should note that they also specifically authorize to disclose, share, remit in any form, mode or manner, all or any of the information provided by, including all changes, updates to such information as and when provided, to the Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / associated parties / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities
- h) Agencies including but not limited to the Financial Intelligence Unit- India (FIU- IND), the tax / revenue authorities in India or outside India and other investigation agencies

without any obligation of advising me/us of the same. Further, applicant/ unit holder also authorizes to share the given information to other SEBI Registered Intermediaries to facilitate single submission / updation and for other relevant purposes.

- i) Applicant/unit holder also undertakes to keep the Mutual Fund informed in writing about any changes / modification to the above information in future and also undertake to provide any other additional information/ documentary proof as may be required.
- j) Please note that applicants/unit holders may receive more than one request for information if you have multiple relationships/accounts/ folios with us. Therefore, it is important that you respond to each of our request, even if you believe you have already supplied any previously requested information.
- k) In case any of the specified information provided by the applicant/unit holder is found to be false or untrue or misleading or misrepresenting, applicant/unit holder will be solely liable and will indemnify the Mutual Fund, its Sponsor, Asset Management Company, Trustees, their employees / associated parties and the RTAs.
- l) In case applicant/unit holder has any of the Indicia, pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, customer to provide relevant details as may be asked for.

XIV. Legal Entity Identifier: As per the RBI circular "Introduction of Legal Entity Identifier for Large Value Transactions in Centralised Payment Systems" vide notification RBI/2020-21/82 DPSS.CO.ODNo.901/06.24.001/2020-21 dated 5th January 2021. RBI vide this notification has decided to introduce the LEI system for all payment transactions of value INR 50 crore and above undertaken by entities (non-individuals) using Reserve Bank-run Centralised Payment Systems viz. Real Time Gross Settlement (RTGS) and National Electronic Funds Transfer (NEFT). From April 1, 2021, 20-digit Legal Entity Identifier (LEI) information included while initiating any transaction of value INR 50 crore and above by entities (non-Individual).

XV. Non-Profit Organization (NPO): As per Prevention of Money-laundering (Maintenance of Records) Amendment Rules, 2023 dated 7th March 2023, definition of Non-Profit Organization (NPO) has been revised. "Nonprofit organization" means any entity or organisation, constituted for religious or charitable purposes referred to in clause (15) of section 2 of the Income-tax Act, 1961 (43 of 1961), that is registered as a trust or a society under the Societies Registration Act, 1860 (21 of 1860) or any similar State legislation or a Company registered under the section 8 of the Companies Act, 2013 (18 of 2013)".

All NPOs should register themselves in DARPAN portal of NITI Aayog <https://ngodarpan.gov.in/>. In case of non-registration, the AMC shall register the details of such NPO investors on the DARPAN Portal of NITI Aayog and maintain such registration records for a period of five years after the business relationship between the AMC and the investor has ended or the account has been closed, whichever is later.

XVI. ONLINE DISPUTE REDRESSAL MECHANISM:

In accordance with SEBI Circular No. SEBI/HO/OIAE/OIAE_IAD-1/P/CIR/2023/145 dated July 31, 2023 (updated on August 4, 2023) ("the Circular"), all disputes between institutional or corporate clients and AMC can be resolved, at the option of the institutional or corporate clients:

- a. in accordance with the circular and by harnessing online conciliation and/or online arbitration as specified in this circular, OR
- b. by harnessing any independent institutional mediation, conciliation and/or online arbitration institution in India.

Thus, institutional/corporate clients have to exercise their option under Section 13.

POINTS TO REMEMBER

Please ensure that:

1. Your Application Form is complete in all respect, Name, Address & contact details are mentioned in full, signed by all applicants.
2. Bank Account Details are entered completely and correctly. Permanent Account Number (PAN) of all the applicants are mandatory. (Refer instruction no. II-6)
3. For KYC please Refer instruction no. II-7 & for PAN Exempt KYC Refer instruction no. X
4. Appropriate Scheme Name, Plan & Option is mentioned in the Payment & Investment details Tab, along with investment amount per scheme with the total amount matching the cheque amount.
5. The Cheque / DD is drawn in favor of "Helios Mutual Fund Scheme name", dated and duly signed.
6. Application Number is mentioned on the reverse of the Cheque / DD.
7. Documents as listed alongside are submitted along with the Application (as applicable to your specific case).
8. Your email id or mobile number is updated.
9. Your IFSC code / MICR code is updated in order to get electronic payouts in to your bank account.