



# NFO APPLICATION FORM FOR LIC MF TECHNOLOGY FUND

An open-ended equity scheme investing in technology & technology-related companies

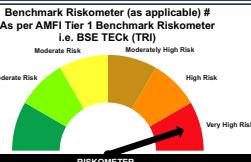
This product is suitable for investors who are seeking\*:

- Capital appreciation over long term
- Investment in equity and equity related instruments of technology and technology related companies.

\*Investors should consult their financial advisor if in doubt about whether the product is suitable for them.  
#The above product labelling assigned during the New Fund Offer (NFO) is based on initial assessment of the scheme characteristics or model portfolio and the same may vary post NFO when the actual investments are made. The Benchmark Riskometer is based on the evaluation of constituents of the Benchmark as on 31st January 2026.



The risk of the scheme is Very High



The risk of the benchmark is Very High

Investors must read the Key Information Memorandum, the instructions and product labeling on cover page before completing this Form. The Application Form should be completed in English and in BLOCK LETTERS only.

## KEY PARTNER / ARN HOLDER INFORMATION

(Investors applying under Direct Plan must mention "Direct" in ARN Code column.) \*Mandatory

## Application No.

ARN* / RIA Code	Sub-broker ARN Code	Employee Unique Identification Number (EUIN)	Sub-broker code	RM Code
ARN-	ARN-			INTERNAL

Declaration for "execution-only" transaction (only where EUIN box is left blank)

Please tick (✓) and sign "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 inappropriateness, if any, provided by the employee/relationship manager/sales person of the above distributor/sub broker".

#By mentioning RIA code (Registered Investment Adviser), I/we authorize you to share with the Investment Adviser the details of my/our transactions in the scheme(s) of LIC Mutual Fund.

<input checked="" type="checkbox"/> SIGN HERE First/Sole Applicant/Guardian/POA	<input checked="" type="checkbox"/> SIGN HERE Second Applicant	<input checked="" type="checkbox"/> SIGN HERE Third Applicant
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## 01. EXISTING UNIT HOLDER INFORMATION (If you have existing folio, with PAN & KYC validation please fill in section 1 and proceed to section 13.)

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

## 02. INVESTMENT DETAILS

Application for  Lumpsum  SIP with cheque  SIP without Cheque

Unit Holding Option  Physical Mode  Demat Mode The Depository Participant (DP) details are compulsory if the investor wishes to hold the units in DEMAT mode.

Mode of Holding  Single  Joint (Default\*)  Anyone or Survivor

(In case of Demat Purchase Mode of Holding should be same as in Demat Account)

\*In the case of applications made in joint names without specifying the mode of holding, it will be deemed as 'Joint' and processed accordingly.

Please ensure that the sequence of names as mentioned in the application form matches with that of the account held with any one of the Depository Participant.

NSDL DP ID No. Beneficiary Account No.  CDSL Target ID No.

Enclosures (Please tick any one box) :  Client Master List (CML)  Transaction cum Holding Statement  Cancelled Delivery Instruction Slips (DIS)

## 03. APPLICANT(S) DETAILS (In case of Minor, there shall be no joint holders) (Mandatory information - If left blank the application is liable to be rejected.)

First Applicant's Name (as per PAN (Mandatory))

FIRST

MIDDLE

LAST

New KYC

PAN / PEKRN

Date of Birth/ Incorporation (mandatory) (As per PAN)

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

FIRST

MIDDLE

LAST

New KYC

PAN / PEKRN

Date of Birth (mandatory) (As per PAN)

Relationship with minor Please (✓)

Father

Mother

Court Appointed Legal Guardian

If the investor is minor then kindly submit the relevant relationship proof (mandatory).

Second Applicant's Name (as per PAN (Mandatory))

FIRST

MIDDLE

LAST

New KYC

PAN / PEKRN

Date of Birth (mandatory) (As per PAN)

Third Applicant's Name (as per PAN (Mandatory))

FIRST

MIDDLE

LAST

New KYC

PAN / PEKRN

Date of Birth (mandatory) (As per PAN)

## 04. POA (Power of Attorney) REGISTRATION DETAILS (Refer Instruction 5b)

Name of the POA holder

PAN of the POA holder

Attached  KYC (Mandatory)

Notarized copy of POA

## 05. ADDITIONAL KYC DETAILS (Please tick ✓) (mandatory)

Tax Status details for **	1st Applicant	2nd Applicant	3rd Applicant	Guardian
Resident Individual	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
NRI/PIO/OCI	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sole Proprietorship	<input type="checkbox"/>			
Minor through Guardian	<input type="checkbox"/>			
Non Individual	<input type="checkbox"/> Company <input type="checkbox"/> Trust <input type="checkbox"/> AOP <input type="checkbox"/> QFI	<input type="checkbox"/> Body Corporate <input type="checkbox"/> Society <input type="checkbox"/> FI <input type="checkbox"/> Government Body <input type="checkbox"/> Private Sector	<input type="checkbox"/> Partnership <input type="checkbox"/> HUF <input type="checkbox"/> FII <input type="checkbox"/> FPI <input type="checkbox"/> Public Sector	
Others (Please specify)	<input type="text"/>			

Occupation details for**	1st Applicant	2nd Applicant	3rd Applicant	Guardian
Private Sector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Public Sector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Government Service	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Business	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Professional	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agriculturist	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Retired	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Housewife	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Student	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Others (Please specify)	<input type="text"/>			

Gross Annual Income Range (in ₹) **	1st Applicant	2nd Applicant	3rd Applicant	Guardian
Below 1 Lac	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1 - 5 lac	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5 - 10 lac	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10 - 25 lac	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
25 lac - 1cr	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1 - 5 cr	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5 - 10 cr	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
> 10 cr	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
OR Networth in ₹ (Mandatory for Non Individual)(not older than 1 Year)	as on <input type="text" value="DD MM YY"/>			

(\*\* Mandatory)

Politically Exposed Person (PEP) details **	is a PEP	Related to PEP	Not Applicable
1st Applicant	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2nd Applicant	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3rd Applicant	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Guardian	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

#### 06. MAILING ADDRESS OF FIRST / SOLE APPLICANT (MANDATORY)

Landmark      City      State      Pincode  Country

#### 07. Overseas address (Overseas address is mandatory for NRI/OCI/PIO / FII applicants in addition to mailing address in India)

For Seafarer Please (✓)  CDC document (Mandatory)

Landmark      City      State      Country (Mandatory)

(OR) PO Box No.  Country (Mandatory)

#### 08. GO GREEN INITIATIVE (Mandatory) [Please tick (✓) the mode for receiving the copy of Annual Report/Abridged Summary] (Refer instruction 10)

As part of Go-Green initiative, investors are encouraged to register/update their email ID and Mobile Number with LICMF to support paper-less communication. Default communication mode is E-mail only, if you wish to receive following document(s) via physical mode : [Please tick (✓)]

Account Statement     Annual Report

#### 09. CONTACT DETAILS OF APPLICANT (Mandatory) (Mobile No. and Email Id. Refer Instruction No. 10) (EMAIL Id to be written in BLOCK letters)

Please note all kinds of investor communication will be sent through email/SMS to first holder only.

First Applicant	Mobile No. <input type="text" value="          "/>	Office <input type="text" value="          "/>	Residence <input type="text" value="          "/>
	Mobile No. provided pertains to: <input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent children <input type="checkbox"/> Dependent sibling <input type="checkbox"/> Dependent Parents <input type="checkbox"/> A Guardian in case of a minor <input type="checkbox"/> POA <input type="checkbox"/> Custodian <input type="checkbox"/> PMS		
Second Applicant	Mobile No. <input type="text" value="          "/>	Office <input type="text" value="          "/>	Residence <input type="text" value="          "/>
	Mobile No. provided pertains to: <input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent children <input type="checkbox"/> Dependent sibling <input type="checkbox"/> Dependent Parents <input type="checkbox"/> A Guardian in case of a minor <input type="checkbox"/> POA <input type="checkbox"/> Custodian <input type="checkbox"/> PMS		
Third Applicant	Mobile No. <input type="text" value="          "/>	Office <input type="text" value="          "/>	Residence <input type="text" value="          "/>
	Mobile No. provided pertains to: <input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent children <input type="checkbox"/> Dependent sibling <input type="checkbox"/> Dependent Parents <input type="checkbox"/> A Guardian in case of a minor <input type="checkbox"/> POA <input type="checkbox"/> Custodian <input type="checkbox"/> PMS		

#### 10. BANK ACCOUNT DETAILS OF THE FIRST APPLICANT (refer instruction 7) As per SEBI Regulations it's mandatory for investors to provide bank account details

Account No.  Name of the Bank

Type of A/c  SB  Current  NRE  NRO  FCNR  Others Please specify

Bank City  IFSC code\*\*  MICR No.

Name as per bank

Mode of holding as per bank  Single  Joint  Anyone or Survivor

(Refer Instruction 7 (Mandatory to attach proof, in case the pay-out bank account is different from the bank account where the investment is made) For unit holders opting to hold units in demat form, please ensure that the bank account is mentioned here.) (\*Mandatory to credit via NEFT/RTGS)

## 11. LEGAL ENTITY IDENTIFIER DETAILS

LEI No: Validity Period of LEI:  D  D  M  M  Y  Y  Y  Y

Legal Entity Identifier is mandatory for all non-individuals and it should be quoted in any financial transactions of Rs.50 Crores and above routed through RTGS/NEFT w.e.f 1st April 2021.

## 12. FATCA AND CRS INFORMATION (for Individual including Sole Proprietor) (Self Certification) (Refer instruction 19)

The below information is required for all applicant(s)/guardian

Address Type:  Residential or Business  Residential  Business  Registered Office (for address mentioned in form/existing address appearing in Folio)

Category	First Applicant/Guardian in case of Minor	Second Applicant	Third Applicant
Place/City of Birth			
Country of Birth			
Is the applicant(s)/guardian's Country of Birth/Citizenship/ Nationality/Tax Residency other than India? Please indicate all countries in which you are resident for tax purposes and the associated Tax Reference Numbers below*.	<input type="checkbox"/> First Applicant/Guardian in case of Minor <input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Second Applicant/Guardian <input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Third Applicant <input type="checkbox"/> Yes <input type="checkbox"/> No

If Yes, please provide the following information [mandatory]

Category	First Applicant/Guardian in case of Minor	Second Applicant	Third Applicant
Country of Tax Residency1			
Tax Payer Ref. ID No^			
Identification Type [TIN or other, please specify]			
Country of Tax Residency 2			
Tax Payer Ref. ID No^			
Identification Type [TIN or other, please specify]			
Country of Tax Residency 3			
Tax Payer Ref. ID No^			
Identification Type [TIN or other, please specify]			

\*If tax residency is a country other than India, TIN or TIN equivalent is mandatory. In case TIN is not available, please provide functional equivalent along with supporting document.

## 13. INVESTMENT DETAILS [Please tick (✓)] (Refer Instruction No. 8)

Scheme: **LIC MF TECHNOLOGY FUND**

Plan:  Regular  Direct      Option:  Growth (Default)  \*\*IDCW-Reinvestment  \*\*IDCW-Payout

\*In the absence of a specified investment plan/option in the applications, the default frequency as per the SID will be applied.

\*\* IDCW - Income Distribution cum capital withdrawal option

## 14. PAYMENT DETAILS [Please tick (✓)] (Refer Instruction 8)

The cheque should be drawn in favour of "**LIC MF TECHNOLOGY FUND**", you may refer the SID for additional information.

Mode of Payment [Please (✓)]  RTGS / NEFT / Fund Transfer / Others \_\_\_\_\_  DD  Cheque  
(Non MICR or Outstation  
Cheque will not be accepted)  OTM\*

Cheque/UTR/RTGS No. \_\_\_\_\_ Date  D  D  M  M  Y  Y  Y

UMRN No.  Mandatory if investment payment is through OTM

Gross Amount (₹)

Bank Details:  Same as above (Please tick (✓) if yes)  Different from above (Please tick (✓) if it is different from above and fill in the details below)

Drawn on Bank / Branch & City

Account No.  Account Type [Please (✓)]  SB  Current  NRO  NRE  FCNR

First Applicant Name as per bank

Mode of holding as per bank  Single  Joint  Anyone or Survivor \*Please note that the OTM can be selected as mode of payment provided OTM is already registered. In case OTM is not registered please submit the filled in standalone OTM form to enable future transaction through OTM.

**15.A. NOMINATION DETAILS (Please note that where the sole/1st applicant is a minor, no nomination is allowed)**

**PLEASE REGISTER MY/OUR NOMINEE AS PER BELOW DETAILS** (If the nominee is minor then kindly submit the relevant relationship proof (mandatory)).

Particulars	1st Nominee	2nd Nominee	3rd Nominee
<b>Name</b> (mandatory)			
<b>Share of Nominee (%)</b> (mandatory)			
<b>Relationship with Applicant</b> (mandatory) Please tick (✓)	(Mandatory to Specify)	(Mandatory to Specify)	(Mandatory to Specify)
<b>Address of Nominee(s)/Guardian in case of Nominee is Minor</b> (mandatory)			
<b>Mobile/Telephone No. of Nominee(s)/Guardian in case of Minor Nominee</b> (mandatory)			
<b>Email ID of Nominee(s)/Guardian in case of Minor Nominee</b> (mandatory)			
<b>Nominee/Guardian (in case of Minor) identity details (Please provide details of any one)</b> (mandatory)	<ul style="list-style-type: none"> <li>• PAN _____</li> <li>• Driving Licence _____</li> <li>• Aadhaar (Last 4 Digit) _____</li> <li>• Passport No (in case of NRI/OCI/PIO) _____</li> </ul>	<ul style="list-style-type: none"> <li>• PAN _____</li> <li>• Driving Licence _____</li> <li>• Aadhaar (Last 4 Digit) _____</li> <li>• Passport No (in case of NRI/OCI/PIO) _____</li> </ul>	<ul style="list-style-type: none"> <li>• PAN _____</li> <li>• Driving Licence _____</li> <li>• Aadhaar (Last 4 Digit) _____</li> <li>• Passport No (in case of NRI/OCI/PIO) _____</li> </ul>
<b>Date of Birth</b> (in case nominee is a minor) (mandatory)	D D M M Y Y Y Y	D D M M Y Y Y Y	D D M M Y Y Y Y
<b>Guardian Name</b> (in case nominee is a minor)			

## 15 B. NOMINEE INFORMATION ON STATEMENT OF HOLDING (MANDATORY)

I / we want the details of my / our nominee to be printed in the statement of account, provided to me/us by the AMC as follows: Please tick (✓)

Name of nominee(s)      **OR**       Nomination: Yes/No

I/WE DO NOT WISH TO NOMINATE

**FOR OPTING OUT:** I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our MF Folio and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our MF Folio, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the MF Folio.

**15 C. SIGNATURES (MANDATORY) (FOR NOMINATION SECTION)**

Name(s) of holder(s)	Name	Signature as per mode of holding/ Thumb Impression	Signature of Two Witness*	Name of witness & Address (Wherever applicable)*
Sole/First Applicant (Mr./Ms.)		⊗	⊗	
Second Applicant (Mr./Ms.)		⊗	⊗	
Third Applicant (Mr./Ms.)		⊗	⊗	

**\*(Required if the account holder uses a thumb impression instead of a wet signature)**

**15 D. ADDITIONAL CONDITIONS (IF APPLICABLE)**

### Joint Accounts - Transmission of Assets

Scenario	Description
Transmission of Account / Folio to Demise of One or More Joint Holders	Surviving holder(s) through name deletion: The surviving holder(s) shall inherit the assets as owners.
Demise of All Joint Holders Simultaneously - Having Nominee	Nominee: The Nominee will receive the assets.
Demise of All Joint Holders Simultaneously - Not Having Nominee	Legal heir(s) of the youngest holder: The assets will be inherited by the legal heir(s) of the youngest holder

**16. DECLARATION & SIGNATURE/S**

a) Having read & understood the contents of the Scheme Information Document of the Scheme, I/We hereby apply for units of the scheme & agree to abide by the terms, conditions, rules & regulations governing the scheme. I/We hereby declare that the amount invested in the scheme is through legitimate sources only & does not involve & is not designed for the purpose of the contravention of any Act, Rules, Regulations, Notifications or Directions of the provisions of the Income Tax Act, Anti Money Laundering Laws, Anti Corruption Laws or any other applicable laws enacted by the Govt. of India from time to time. I/We have understood the details of the scheme & I/We have neither received nor have been induced by any rebate or gifts, directly or indirectly in making this investment. I/We confirm that the funds invested in the Scheme, legally belong to me/us. In the event "Know Your Customer" process is not completed by me/us to the satisfaction of the AMC, I/We hereby authorised the AMC, to redeem the funds invested in the Scheme, in favour of the applicant at the applicable NAV prevailing on the date of such redemption & undertaking such other action with such funds that may be required by the Law.

b) For NRIs: I/We confirm that I am/we are Non Resident of Indian Nationality / Origin & that I/we have remitted funds from abroad through approved banking channels or from funds in my/our Non-Resident External / Non-Resident Ordinary Account. I/We confirm that details provided by me/us are true & correct.

c) The ARN holder has disclosed to me/us all the commissions (in the form of trail commission or any other mode) payable to him for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us.

d) I/We have read & understood the extant regulatory provisions regarding mandatory requirement of PAN. I/We confirm that I/we are holding valid PAN card / have applied for PAN.

e) I/We hereby provide my/our consent in accordance with Aadhaar Act, 2016 and regulations made thereunder, for (i) collecting, storing and usage (ii) validating/authenticating and (iii) updating my/our Aadhaar number(s) (if provided) in accordance with the Aadhaar Act, 2016 (and regulations made thereunder) and PMLA. I/We hereby provide my/our consent for sharing/disclosing of the Aadhaar number(s) including demographic information with the asset management companies of SEBI registered mutual fund(s) and their Registrar and Transfer Agent (RTA) for the purpose of updating the same in my/our folios with my PAN.

I/We hereby accord my/our consent to LIC MF for receiving the promotional information/ material via email, SMS, telemarketing calls etc. on the mobile number and email provided by me/us in this Application Form.

I/We hereby give consent to the Company or its Authorized Agents and third party service providers to use information/data provided by me to contact me through any channel of communication including but not limited to email, telephone, sms, etc. and further authorise the disclosure of the information contained herein to its affiliates/group companies or their Authorized Agents or Third Party Service Providers in order to provide information and updates to me on various financial and investment products and offering of other services. I/We agree that all personal or transactional related information collected/provided by me can be shared/transferred and disclosed with the above mentioned parties including with any regulatory, statutory or judicial authorities for compliance with any law or regulation in accordance with privacy policy as available at the website of the Company

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 investment

Date :	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Place :	SIGN HERE First/Sole Applicant/Guardian/POA Holder		SIGN HERE Second Applicant
			SIGN HERE Third Applicant

**ACKNOWLEDGMENT SLIP**

**Application No.**

**(TO BE FILLED IN BY THE INVESTOR)**



**Scheme Name: LIC MF TECHNOLOGY FUND**

**Cheque/Draft No./UMRN No.**

**Branch**

**Drawn on**

**Bank**

**For ₹**

**Date**  DD  MM  YY  YY

**ISC Signature, Stamp & Date**

# INSTRUCTIONS

1. Please read Scheme Information Document and Key Information Memorandum, terms of the respective LIC MF Technology Fund(s) and Statement of Additional Information of LIC Mutual Fund and addendums issued thereto carefully before filling the Application Form. Investors should apprise themselves of the prevailing Load structure on the date of submitting the Application Form. Investors are deemed to have accepted the terms subject to which these offers are being made and bind themselves to the terms upon signing the Application Form and tendering payment. New investors wishing to make SIP investment will need to complete and submit both the Application Form and the SIP Enrolment Form (for Post Dated Cheques or for Auto Debit/Standing Instruction as applicable). The Application Form should be completed in ENGLISH and in BLOCK LETTERS only. Please tick in the appropriate box for relevant options wherever applicable. Please do not overwrite. For any correction / changes (if any) made, the sole / all applicants are requested to authenticate the same by canceling and re-writing the correct details and counter-signing the same. Applications complete in all respects, may be submitted at the designated Official Points of Acceptance of LIC Mutual Fund. Investors must write the Application Form number / Folio number on the reverse of the cheques and bank drafts accompanying the Application Form.

Applications incomplete in any respect are liable to be rejected.

Please note that if no Option is ticked / indicated in the Application form, the units will be allotted under the Growth Option of the Scheme. Similarly, IDCW Reinvestment of income distribution cum capital withdrawal option shall be the default sub-option.

2. **Direct Investments:** Investors applying under Direct Plan must mention "Direct" in ARN column. 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. In case of valid application received without indicating "Direct Plan" against the Scheme / Plan name and without any Distributor Code mentioned on the form, the application will be processed under "Direct Plan".

## 3. Investments through distributors

- a. As per directions of Securities and Exchange Board of India (SEBI), the distributors, agents or any persons employed or engaged or to be employed or engaged in the sale and/or distribution of mutual fund products are required to have a valid certification from the National Institute of Securities Markets (NISM) by passing the certification examination. Further, no agents / distributors are entitled to sell units of mutual funds unless the intermediary is registered with Association of Mutual Funds in India (AMFI). New cadre distributors: SEBI has introduced a new cadre of distributors such as postal agents; retired government and semi-government officials (class H1 and above or equivalent), retired teachers and retired bank officers (all such retired persons with at least 10 years of service) and other similar persons (such as Bank Correspondents) as may be notified by AMFI/AMC from time to time. Such New Cadre distributor can sell only 'Simple and performing Mutual Funds Schemes'.
- b. There is a pre-fix of "SD" before the ARN number of such distributors. They also hold an EUIN which must be quoted in the application form. In case your application for subscription is through such distributor is not for an eligible scheme, it is liable to be rejected.
- c. Employee Unique Identification Number (EUIN): SEBI has made it compulsory for every employee/relationship manager/ sales person of the distributor of mutual fund products to quote the EUIN obtained by him/her from AMFI in the Application Form. EUIN, particularly in advisory transactions, would assist in addressing any instance of mis-selling even if the employee/relationship manager/sales person later leaves the employment of the distributor. Individual ARN holders including senior citizens distributing mutual fund products are also required to obtain and quote EUIN in the Application Form. Hence, if your investments are routed through a distributor please ensure that the EUIN is correctly filled up in the Application Form. However, if your distributor has not given you any advice pertaining to the investment the EUIN box may be left blank. In this case, you are required to provide a duly signed declaration to this effect, as given in the Form.
- d. Overseas Distributors: Overseas Distributors are exempt from obtaining NISM certification and AMFI registration. However, such Overseas Distributors are required to comply with the guidelines/ requirements as may be issued by AMFI /SEBI from time to time and also comply with the laws, rules and regulations of jurisdictions where they carry out their operations in the capacity of distributors. Further, EUIN 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.

## 4. Existing Unit holder information

Investors already having an account in any of LIC Mutual Fund Schemes should provide their Folio Number & Name of the First Unit Holder in section 1 and proceed to section 13. The personal details and Bank Account details as they feature in the existing folio would apply to this investment as well and would prevail over any conflicting information furnished in this form. Unit holder's name should match with the details in the existing folio number, failing which the application form is liable to be rejected. In such case, if any other details are filled, the same shall be ignored.

## 5. Unit holder Information

- a. Name and address must be written in full. On successful validation of the investor's PAN for KYC, the address provided in the KYC form will override the address mentioned in this form. In case the Investor is an NRI/FII/OCI/QFII/FPI, an overseas address must be provided. A local address if available may also be mentioned in the Application Form.
- b. Applications under a Power of Attorney or by a limited company or a corporate body or an eligible institution or a registered society or a trust fund must be accompanied by the original Power of Attorney (or a certified true copy of the same duly notarised). Authorised officials should sign the Application Form under their official designation. A list of specimen signatures of the authorized officials, duly certified / attested should also be attached to the Application Form. Unit holders are advised to provide their contact details like telephone numbers, mobile numbers and email IDs to LIC Mutual Fund in writing.
- c. All communication and payments shall be made by the Mutual Fund in the name of and favouring the first/sole applicant. In case of applications made in joint names without indicating the mode of holding, mode of holding will be deemed as 'joint' and processed accordingly.
- d. In case of fresh/ additional purchases, if the name of a particular scheme on the application form / transaction slip differs with the name on the cheque, then LIC Mutual Fund Asset Management Ltd. (The AMC) will process the application and allot units at the applicable net asset value, under the scheme which is mentioned on the application form/ transaction slip duly signed by the investor(s). The AMC reserves the right to call for other additional documents as may be required, for processing such transactions. The AMC also reserves the right to reject such transactions.

The AMC thereafter shall not be responsible for any loss suffered by the investor(s) due to the discrepancy in the scheme name mentioned in the application form/ transaction slip and cheque / Demand Draft

6. Accounts of Minors: The minor shall only be the first and the sole holder in the folio. There shall not be any joint holders with the minor as the first holder.

Name of the Natural or Legal Guardian must be mentioned if the investments are being made on behalf of a minor. Guardian in the folio should either be a natural guardian (i.e. father or mother, as the case may be) or a court appointed legal guardian. Date of birth of the minor along with the attested copy of supporting documents

(i.e. Birth certificate, School leaving certificate / Mark sheet issued by Higher Secondary Board of respective states, ICSE, CBSE etc., Passport, or any other suitable proof evidencing the date of birth of the minor) should be provided while opening the folio.

In case of a natural guardian, document evidencing the relationship of the Guardian with the minor needs to be provided.

In case of court appointed legal guardian, supporting documentary evidence should be provided. Further, in case of SIP/STP/SWP registration requests received on/after April 1, 2011, the Mutual Fund/AMC will register SIP/STP/SWP in the folio held by a minor only till the date of the minor attaining majority, even though the instructions may be for a period beyond that date.

For folios where the units are held on behalf of the minor, the account shall be frozen for operation by the guardian on the day the minor attains majority and no transactions shall be permitted till the documents for changing the status of the account from 'minor' to 'major' as prescribed are received.

## 7. Bank Details

- a. **Pay - Out Bank Account Details:** An investor at the time of purchase of units must provide the details of his/her pay-out bank account (i.e. account into which redemption/dividend proceeds are to be paid) in Section 10 in the Application Form.

- b. **Multiple Bank Account Registration:** The AMC / Mutual Fund provides a facility to the investors to register multiple bank accounts (currently upto 5 for Individuals and 10 for Non - Individuals) for receiving redemption/dividend proceeds etc. by providing necessary documents. Investors must specify any one account as the "Default Bank Account". The investor, may however, specify any other registered bank account for credit of redemption proceeds at the time of requesting for the redemption. Investors holding units in non demat form are requested to avail the facility of registering multiple bank accounts by filling in the 'Multiple Bank Accounts Registration Form' available at our Investor Service Centres (ISCs) or on our website [www.licmf.com](http://www.licmf.com)

- c. **Indian Financial System Code (IFSC):** IFSC is a 11 digit number given banks on the cheques. IFSC will help to secure transfer of redemption and dividend payouts via the various electronic modes of transfers that are available with the banks.

## 8. Mode of Payment

Payment may be made by cheque or bank draft drawn on any bank, which is situated at and is a member of the Bankers' Clearing House, located at the place where the application is submitted. Cash investments are accepted in certain select Schemes of LIC Mutual Fund. For complete details, please refer the Statement of Additional Information, money orders, post-dated cheques [except through Systematic Investment Plan (SIP)] and postal orders will be accepted. Bank charges for outstation demand drafts will not be borne by the AMC. The AMC will not accept any request for refund of demand draft charges, in such cases.

### a. NRIs, FII, OCIs:

#### i) Repatriation Basis

- a. In the case of NRIs, payment may be made either by inward remittance through normal banking channels or out of funds held in his Non - Resident (External) Rupee Account (NRE) / Foreign Currency (Non-Resident) Account (FCNR). In case Indian rupee drafts are purchased abroad or from Foreign Currency Accounts or Non-resident Rupee Accounts an account debit certificate from the Bank issuing the draft confirming the debit shall also be enclosed.

- b. FII shall pay their subscription either by inward remittance through normal banking channels or out of funds held in Foreign Currency Account or Non - Resident Rupee Account maintained by the FII with a designated branch of an authorised dealer.

#### ii) Non-repatriation Basis

- a. In the case of NRIs/OCIs, payment may be made either by inward remittance through normal banking channels or out of funds held in his NRE / FCNR / Non-Resident Ordinary Rupee Account (NRO). In case Indian rupee drafts are purchased abroad or from Foreign Currency Accounts or Non-resident Rupee Accounts an account debit certificate from the Bank issuing the draft confirming the debit shall also be enclosed.

FPI shall pay their subscription either by inward remittance through normal banking channels or out of funds held in Foreign currency A/c or special Non-Resident Rupee A/c maintained by the FII with designated branch of an authorised dealer.

- b. In order to prevent frauds and misuse of payment instruments, the investors are mandated to make the payment instrument i.e. cheque, demand draft, pay order, etc. favouring either of the following given below and crossed "Account Payee only". Investors are urged to follow the order of preference in making the payment instrument favouring as: 'the Specific Scheme A/c Permanent Account Number' or 'the Specific Scheme A/c First Investor Name'.

## 9. Third Party Payments

Investment/subscription made through Third Party Cheque(s) will not be accepted. Third party cheque(s) for this purpose are defined as: (i) Investment made through instruments issued from an account other than that of the beneficiary investor (ii) in case the investment is made from a joint bank account, the first holder of the mutual fund folio is one of the joint holders of the bank account from which payment is made.

- a. Third party cheque(s) for investment/subscription shall be accepted, only in exceptional circumstances, as detailed below:

- i) Payment by Employer on behalf of employee under Systematic Investment Plans through Payroll deductions.

- ii) Custodian on behalf of a Foreign Institutional Investor (FII) or a client

The above mentioned exception cases will be processed after carrying out necessary checks & verification of documents attached along with the purchase transaction slip/application form, as stated below:

- Determining the identity of the Investor and the person making payment i.e. mandatory Know Your Client (KYC) for Investor and the person making the payment
- Obtaining necessary declaration from the Investor/unit holder and the person making the payment. Declaration by the person making the payment should give details of the bank account from which the payment is made and the relationship with the beneficiary
- Verifying the source of funds to ensure that funds have come from the drawer's account only.

- b. In case of investment/subscriptions made via Pay Order, Demand Draft, Banker's cheque, RTGS, NEFT, bank transfer, net banking etc. Following additional checks shall be carried out.

- i) If the investment/subscription is settled with pre-funded instruments such as Pay Order, Demand Draft, Banker's cheque, etc., a Certificate 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 funds should be debited from a pre-registered pay in account available in the records of the Mutual fund, or from the account of the first named unit holder. Additionally, if a pre-funded instrument

issued by the Bank against cash, it shall not be accepted for investments of Rs. 50,000/- or more. Such pre-funded instrument issued against cash payment of less than Rs. 50,000/- should be accompanied by a certificate from the banker giving name, address and PAN (if available) of the person who has requested for the demand draft.

ii) If payment is made by RTGS, NEFT, bank transfer, etc., 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 should be from pay in account available in the records, or from the account of the first named unit holder. Investors are requested to note that AMC reserves right to have additional checks of verification for any mode of payment received. AMC reserves the right to reject the transaction in case the payment is received in an account not belonging to the first unit holder of the mutual fund.

In case of investors with multiple accounts, in order to ensure smooth processing of investor transactions, it is advisable to register all such accounts, as the investments/subscriptions received from the said multiple accounts shall be treated as 1st party payments. Refer Third Party Payment Declaration form available in [www.licmf.com](http://www.licmf.com) or LIC Mutual Fund branch offices.

c. The Mutual Fund shall adopt the following procedures to ascertain whether payments are Third Party Payments and investors are therefore required to comply with the requirements specified herein below.

**d. Source of funds-if paid by cheque**

Identification of third party cheques by the AMC/Mutual Fund/ Registrar & Transfer Agent (R&TA) will be on the basis of matching the name / signature on the investment cheque with the name/ signature of the first named applicant available on the application or in our records for the said folio. If the name of the bank account holder is not preprinted on the investment cheque or the signature on the said cheque does not match with that of the first named applicant mentioned on the application / available in our records for the said folio, then the investor should submit any one of the following documents at the time of investment:

i) a copy# of the bank passbook or a statement of bank account having the name and address of the account holder and account number;

ii) a letter\* (in original) from the bank on its 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).

# Investors should also bring the original documents along with the documents mentioned in (a) above to the ISCs/Official Points of Acceptance of LIC Mutual Fund.

The copy of such documents will be verified with the original documents to the satisfaction of the AMC/ Mutual Fund/R&TA. The original documents will be returned across the counter to the investor after due verification.

\* In respect of (b) above, it should be certified by the bank manager with his / her full signature, name, employee code, bank seal, contact number and date. 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. However, for updation of the changed bank details in the folio, the investor should follow the change of bank details process.

The Mutual Fund has also provided a facility to the investors to register multiple bank accounts. Investors are requested to avail the facility of registering multiple bank accounts by fitting in the 'Multiple Bank Accounts Registration Form' available at our Investor Service Centres (ISCs) or on our website [www.licmf.com](http://www.licmf.com).

**iii) Source of funds - if funded by pre-funded instruments such as Pay Order, Demand Draft, Banker's cheque etc**

Investors should attach any one of the following supporting documents with the purchase application where subscription for units is vide a pre - funded instrument issued by way of debit to his / her bank account: (i) a Certificate (in original) from the issuing banker duly certified by the employee signing the pre-funded instrument with his / her full signature, name, employee code, bank seal and contact number, stating the Account holder's name, the Bank Account Number which has been debited for issue of the instrument (Mandatory) and PAN as per bank records, if available (ii) a copy of the acknowledgement from the bank, wherein the instructions to debit carry the bank account details and name of the investor as an account holder are available (iii) a copy of the passbook/ bank statement evidencing the debit for issuance of the instrument. The account number mentioned in the above supporting documents should be the same as / one of the registered bank account or the bank details mentioned in the application form.

**iv. Source of funds - if paid by RTGS, Bank Account-to-Account Transfer, NEFT, etc.**

Investors should attach to the purchase application form, an acknowledged copy of the instruction to the bank also stating the account number debited. The account number mentioned on the transfer instruction copy should be a registered bank account or the first named applicant/ investor should be one of the account holders to the bank account debited for such electronic transfer of funds.

**v. Source of funds - if paid by a pre-funded instrument issued by the Bank against Cash**

The AMC/Mutual Fund /R&TA will not accept any purchase applications from investors if accompanied by a pre-funded instrument issued by a bank (such as Pay Order, Demand Draft, Banker's cheque) against cash for investments of Rs. 50,000 or more. The investor should submit a Certificate (in original) obtained from the bank giving name, bank account number (Mandatory) and PAN as per the bank records, if available of the person who has requested for the payment instrument. The said Certificate should be duly certified by the employee signing the pre-funded instrument with his / her full signature, name, employee code, bank seal and contact number. The AMC / Mutual Fund / R&TA will check that the name mentioned in the Certificate matches with the first named investor. The account number mentioned in the Certificate should be the same as / one of the registered bank account or the bank

details mentioned in the application form. LIC Mutual Fund/LIC MF Asset Management Limited reserves the right to seek information and /or obtain such other additional documents/information from the investors for identifying whether it is a third party payment. In case the Third Party Declaration Form is not attached and the source of payment is not identified, LIC Mutual Fund / LIC MF Asset Management Limited retains the sole and absolute discretion to reject / not process such Application and refund the subscription money to the bank account from which the subscription amount was received and shall not be liable for any such rejection.

**10. Communication to investor**

If the investor(s) has/have provided his/their email address/mobile number in the application form or any subsequent communication in any of the folios belonging to the investors, LIC MF Asset Management Limited reserves the right to use Electronic Mail (email and/ mobile number as a default mode to send various communication which include account statements for transactions done by the investor(s).

The investor(s) may request for a physical account statement by writing or calling LIC MF Investor Service Centre/ Registrar & Transfer Agent. In case of specific request received from the investors, LIC MF shall endeavor to provide the account statement to the investors] within 5 working days from the receipt of such request.

It is deemed that the Unit holder is aware of all the security risks associated with online communication, including the possibility of third party interception of the documents sent via email/mobile number. The Mutual Fund / Registrars are not responsible for email/ SMS not reaching the investor and for all consequences thereof. Unit Holder need to specified by giving the declaration of the family code of whose email id and/mobile no are mentioned in the application. Please refer the below codes.

Incase the email id or mobile no are not mentioned in the application form, then the same will be captured from unit holder's KRA details (only for valid compiled investors).

The Investor shall from time to time intimate the Mutual Fund / its transfer agents about any changes in the email address/mobile number. In case of a large document, a suitable link would be provided and investor can download, save and print these documents. However, the investor always has a right to demand a physical copy of any or all the service deliverables, and the Fund would arrange to send the same to the investor.

If the units are held in Demat mode then the statement of holding of the beneficiary account holder for units held in Demat will be sent by the respective DPs periodically.

The investor(s) email address and mobile number should be provided in the application form for speed and ease of communication in a convenient and cost-effective manner and to help prevent fraudulent transactions.

**a. 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 / HO / IMD / DF2 / CIR / P/2018/92 regarding Go Green Initiative in Mutual Funds regarding disclosing and providing information to investors through a digital platform as a green initiative measure.
- In line with the above initiative, LIC Mutual Fund has adopted the 'Go Green Initiative for Mutual Funds' and accordingly, the scheme Annual Reports /Abridged Summary will be hosted on our website [www.licmf.com](http://www.licmf.com) in a 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.

**11. Mode of Payment of Redemption / Dividend Proceeds-via Direct Credit / NEFT / RTGS**

If the investor has provided sufficient details for electronic credit, the Fund will give direct credit for redemption/DCW proceeds into the investor's bank account and such instruction will be adequate discharge of the Fund towards the said payment. In case the credit is not effected by the Unit holder's banker for any reason, the Fund reserves the right to make the payment by a cheque/ Demand Draft. If the direct/ electronic credit is delayed or not affected or credited to a wrong account on account of incomplete / incorrect information, the Fund will not be held responsible. Physical dispatch of redemption or repurchase proceeds or dividend payments shall be carried out only in exceptional circumstances as defined in AMFI BPG Circular No. AMFI/ 35P/ MEM-COR/74 / 2022-23.

**12. Dematerialization**

- Investors have an option to hold the Units in de materialized form. Investors desiring to get allotment of units in demat mode must have a beneficiary account with a Depository Participant (DP) of the Depositories i.e. National Securities Depositories Limited (NSDL) / Central Depository Services Limited (CDSL).
- If PAN is not mentioned by applicants, the application is liable to be rejected. Investors may attach a copy of the Client Master Form/ DP statement showing active demat account details for verification. Names, mode of holding, PAN details, etc. of the Investor will be verified against the Depository data. The units will be credited to the beneficiary (demat) account only after successful verification with the depository records and realization of payment. In case the demat details mentioned in the application are incomplete/incorrect or do not match with the depository data, the application shall be treated as invalid for processing under demat mode and therefore may be considered for processing in non-demat form i.e. in physical mode if the application is otherwise valid.
- All details such as address, bank details, nomination etc. will be applicable as available in the depositories' records. For effecting any subsequent changes to such information, Investors should approach their DP. Redemption requests for units held in demat mode must be submitted to DP or through Stock Exchange Platform, as applicable.

Holding / transacting of units held in demat mode shall be in accordance with the procedures / requirements laid down by the Depositories, viz. NSDL/ CDSL in accordance with the provisions under the Depositories Act, 1996 and the regulations thereunder.

**13. Signatures**

- Signature(s) should be in English or in any Indian Language. Applications on behalf of minors should be signed by their Guardian, in case of a HUF, the Karta should sign the Application Form on behalf of the HUF.
- If you are investing through your Constituted Attorney, please ensure that the Power of Attorney is signed by you and your Constituted Attorney. The signature in the Application Form then needs to clearly indicate that the signature is on behalf of the applicant by the Constituted Attorney then 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.
- Thumb impressions must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate under his/her official seal.

**14. Nomination**

- Nomination ensures all rights and/or amount(s) payable in respect of the holdings in Schemes of LIC Mutual Fund would vest in and be transferred to the nominee upon death of the Unit holder. The nominee receives the units only as agent and trustee for the legal heirs or legatees as the case may be. Investors should opt for the nomination facility to avoid hassles and inconveniences in case of unforeseen events in future.
- Nomination by a unit holder shall be applicable for investments in all schemes in the folio or account
- Every new nomination for a folio/account will overwrite the existing nomination. Nomination will be subject to the provisions of the Scheme Information Document
- Nomination shall be mandatory for all new folio's/accounts except jointly held folio's. However, investors who do not wish to nominate must sign separately confirming their non intention to nominate. In case nomination/non-intention to nominate is not provided by individual (with sole holding), the application is liable to be rejected.
- The nomination can be made only by individuals applying for/ holding units on their own behalf singly or jointly. Karta of Hindu undivided family, holder of Power of Attorney cannot nominate.
- Nomination shall not be allowed in a folio held on behalf of a minor. In case 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".
- Minor(s) can be nominated and in that event, the name, address and signature of the guardian of the minor nominee(s) shall be provided by the unit holder. 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 nonresident Indian can be a Nominee subject to the exchange controls in force, from time to time.
- Nomination in respect of the units stands rescinded upon the transfer of units. Transfer of units in favour of Nominee(s) shall be valid discharge by the AMC against the legal heirs.
- Cancellation of nomination can be made only by those individuals who hold units on their own behalf singly or jointly and who made the original nomination.
- On cancellation of the nomination, the nomination shall stand rescinded and the AMC shall not be under any obligation to transfer the units in favour of the Nominee(s).
- Nomination can be made for maximum number of three nominees. In case of multiple nominees, the percentage of allocation/share in favour of each of the nominees should be indicated against their name and such allocation/share should be in whole numbers without any decimals making a total of 100 percent.
- In the event of the Unit holders not indicating the percentage of allocation/share for each of the nominees, LIC Mutual Fund/ LIC MF Asset Management Limited (AMC), by invoking default option shall settle the claim equally amongst all the nominees. Any odd lot after division / fraction of %, shall be transferred to the first nominee mentioned in the nomination form.
- Upon demise of one of the nominees prior to the demise of the investor and if no change is made in the nomination, then the assets shall be distributed to the surviving nominees on pro rata basis upon demise of the investor, as illustrated in Nomination Form.

% 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%
<b>Total</b>	<b>100%</b>	—	<b>40%</b>	<b>60%</b>	<b>100%</b>

## 15. Permanent Account Number

a. 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 [Except as given below]. 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, as the case may be. However, PAN is not mandatory in the case of Central Government, State Government entities and the officials appointed by the courts e.g. Official liquidator, Court receiver etc (under the category of Government) for transacting in the securities market as PAN card copy is not required separately if KYC acknowledgement letter is made available. LIC Mutual Fund reserves the right to ascertain the status of such entities with adequate supporting documents.

Applications not complying with the above requirement may not be accepted/ processed.

## b. PAN Exempt Investments:

SEBI vide its circular dated July 24, 2012 has clarified that investments in mutual funds schemes (including investments in SIPs) of upto Rs. 50,000 per investor per year across all schemes of the Fund shall be exempt from the requirement of PAN. Accordingly, individuals (including Joint Holders who are individuals, NRIs but not PIOs, Minors) and Sole proprietary firms who do not possess a PAN ("Eligible Investors")\* are exempt from submission of PAN for investments upto Rs. 50,000 in a rolling 12 month period or in a financial year i.e. April to March. However, eligible Investors are required to undergo Know Your Customer (KYC) procedure with any of the SEBI registered KYC Registration Authorities (KRA). Eligible Investors must quote PAN Exempt KYC Reference Number (PEKRN) issued by the KRA under the KYC acknowledgement letter in the application form and submit a copy thereof along with the application form. In case the applicant is a minor PAN/PEKRN details of the Guardian shall be submitted, as applicable. Eligible Investors (i.e. the First Holder) must not possess a PAN at the time of submission of application form. Eligible investors must hold only one PEKRN issued by any one of the KRAs. If an application for investment together within investments made in a rolling 12 month period or in a financial year exceeds Rs. 50,000, such an application will be rejected. Fresh/ Additional Purchase and Systematic Investment Plans will be covered in the limit of Rs. 50,000. Investors may switch their investments to other Schemes.

However, if the amount per switch transaction is Rs. 50,000 or more, in accordance with the extant Income Tax rules, investors will be required to furnish a copy of PAN to the Mutual Fund.

The detailed procedures / requirements for accepting applications shall be as specified by the AMC/Trustee from time to time and their decision in this behalf will be final and binding.

\* HUFs and other categories are not eligible for such investments.

## 16. Prevention of Money Laundering

SEBI vide its circular reference number 1SD/CIR/RR/AML/1/06 dated January 18, 2006 and other circulars issued from time to time, mandated that all intermediaries including Mutual Funds should formulate and implement a proper policy framework as per the guidelines on anti money laundering measures and also to adopt a Know Your Customer (KYC) policy.

The Investor(s) should ensure that the amount invested in the Scheme is through legitimate sources only and does not involve and is not designated for the purpose of any contravention or evasion of the provisions of the Income Tax Act, Prevention of Money Laundering Act (PMLA), Prevention of Corruption Act and / or any other applicable law in force and also any laws enacted by the Government of India from time to time or any rules, regulations, notifications or directions issued thereunder.

To ensure appropriate identification of the Investor(s) and with a view to monitor transactions for the prevention of money laundering, LIC MF Asset Management Limited (LIC MF AMC) / LIC Mutual Fund reserves the right to seek information, record investor's telephonic calls and or obtain and retain documentation for establishing the identity of the Investor(s), their beneficial ownership, proof of residence, source of funds, etc. It may re-verify identity and obtain any incomplete or additional information for this purpose, LIC Mutual Fund, LIC MF AMC, LIC MF Trustee Private Limited ("LIC MF Trustee") and their Directors, employees and agents shall not be liable in any manner for any claims arising whatsoever on account of freezing the folios/rejection of any application / allotment of Units or mandatory redemption of Units due to non compliance with the provisions of the PMLA, SEBI / AMFI circular (s) and KYC policy and / or where the AMC believes that transaction is suspicious in nature within the purview of the (PMLA and SEBI/AMFI circulars) and reporting the same to FIU-IND.

## 17. Know Your Customer (KYC) Compliance

### a. Units held in account statement (non-demat) form

Investors should note that it is mandatory for all purchases/ switches/ registrations for Systematic Investment Plan (SIP)/ Systematic Transfer Plan (STP)/ IDCW Transfer Facility to quote the KYC Compliance Status of each applicant (guardian in case of minor) in the application and attach proof of KYC Compliance viz. KYC Acknowledgement Letter. Applicants intending to apply for units through a Power of Attorney (PoA) must ensure that the issuer of the PoA and the holder of the PoA must mention their KYC Compliance Status and attach proof of KYC Compliance at the time of investment. With effect from January 1, 2012, SEBI has introduced a common KYC Application Form for all the SEBI registered intermediaries. New investors are therefore requested to use the common KYC Application Form and carry out the KYC process including In-Person Verification (IPV) with any SEBI registered intermediaries including mutual funds. The KYC Application Forms are also available on our website [www.licmf.com](http://www.licmf.com). Existing KYC compliant investors of LIC Mutual Fund can continue the practice of providing KYC Acknowledgement Letter/Printout of KYC Compliance Status downloaded from CDSL Ventures Ltd. (CVL) website ([www.cvlindia.com](http://www.cvlindia.com)) using the PAN at the time of investment. Once the investor has done KYC with any SEBI registered intermediary, the investor need not undergo the same process again with LIC Mutual Fund. However, the Mutual Fund reserves the right to carry out fresh KYC of the investor.

### b. Units held in electronic (demat) form

For units held in demat form, the KYC performed by the Depository Participant of the applicants will be considered as KYC verification done by the Trustee / AMC. In the event of non compliance of KYC requirements, the Trustee/AMC reserves the right to freeze the folio of the investors) and effect mandatory redemption of unit holdings of the investors at the applicable NAV, subject to payment of exit load, if any. on our website [www.licmf.com](http://www.licmf.com).

- LIC Mutual Fund / LIC MF Asset Management Limited reserves the right to change/modify the terms and conditions. For the updated terms and conditions, contact the nearest branch offices or visit our website [www.licmf.com](http://www.licmf.com).

## 18. Consent for Tele-Marketing:

- LIC MF shall treat this as an explicit consent by the Unit Holder(s) to send promotional information/ material to the mobile number(s)/ email id provided by the Unit Holder(s) in this Application Form and such consent shall supersede all the previous consents/ registrations by the Unit Holder(s) in this regard.
- If you do not wish to receive such promotional information/ materials, please write to us at [service@licmf.com](mailto:service@licmf.com) or submit a written application at any of the Investor Service Centres (ISC) of the Fund. Please quote your PAN and folio number(s) while communicating with us to help you serve better.

## 19. FATCA:

- 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 LIC Mutual Fund to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all over account holders. 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.
- Please note that you may receive more than one request for information if you have multiple relationships with LIC Mutual Fund. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.  
Certification Under penalty of perjury, I/we certify that:
- I/We understand that LIC Mutual Fund is relying on this information for the purpose of determining the status of the account holder named above in compliance with FATCA/CRS. LIC Mutual Fund is not able to offer any tax advice on FATCA/CRS or its impact on the account holder.
- I/we shall seek advice from professional tax advisor for any tax questions.
- I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
- I/We agree that as may be required by domestic regulators/tax authorities LIC Mutual Fund may also be required to report, reportable details to CBDT or close or suspend my account.
- If you have any questions about your tax residency, please contact your tax advisor.

## 20. KYC Details:

In accordance with SEBI Circular No. CIR/MIRSD/13/2013 dated December 26, 2013, the additional details viz. Occupation details, Gross Annual Income/networth and Politically Exposed Person (PEP)\* status mentioned under section 5 which was forming part of uniform KYC form will now be captured in the application form of the Fund. Also, the detail of nature of services viz. Foreign Exchange/Gaming/Money Lending, etc., (applicable for first/sole applicant) is required to be provided as part of Client Due Diligence (CDD) Process of the Fund. PEP is defined as an individuals who is or has 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.

## 21. BENEFICIAL OWNERSHIP DETAILS (UBO):

Under the Prevention of Money Laundering Act, 2005 ("PMLA"), all intermediaries including mutual funds are required to obtain sufficient information from their clients in order to identify and verify the persons who beneficially own or control the account. Master Circular for Mutual Funds dated May 19, 2023 on identification of Beneficial Ownership has prescribed a uniform approach to be followed for determination of beneficial owners. A 'Beneficial owner' is defined as a natural person/s who ultimately own, control or influence a client and/or persons on whose behalf a transaction is being conducted, which includes persons who exercise ultimate effective control over a legal person or arrangement. All categories of investors except individuals, company listed on a stock exchange or majority owned subsidiary of such company, are requested to provide details about beneficial ownership in the Application Forms for all their investments. The Fund reserves the right to reject applications/restrict further investments or seek additional information from investors who have not provided the requisite information on beneficial ownership. In the event of change in beneficial ownership, investors are requested to immediately update the details with the Fund/Registrar.

## 22. NPO INSTRUCTIONS:

- As per Prevention of Money-laundering (Maintenance of Records) Amendment Rules, 2023 dated Mar 07, 2023,
  - Definition of Non-Profit Organization (NPO) has been revised. "Non-profit organization" means any entity or organization, 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).
  - Controlling ownership interest % has been revised from 25%/15% to 10% for Corporate/ Trust respectively to consider as an Ultimate Beneficiary Owner (UBO).
- As per new PML amendment, every Banking Company or Financial Institution or intermediary has to ensure that the NPO, it is servicing gets registered on the DARPA Portal, if not already registered. New accounts / folios will not be created for NPOs by the Mutual Funds, without such registration. Visit NGO Darpan website - <https://ngodarpan.gov.in/> for DARPA registration.

## 23. Transaction Charges

No transaction charges shall be levied on the transaction in the Schemes of LIC Mutual Fund

### Corporate Office:

Industrial Assurance Building, 4th Floor, Opp. Churchgate Station, Mumbai - 400020.  
Tel.: 022-66016000 | Fax: 022-66016191 | Email ID: [service@licmf.com](mailto:service@licmf.com)  
Website: [www.licmf.com](http://www.licmf.com) | Toll Free: 1800-258-5678

### Register & Transfer Agents:

KFin Technologies Limited, Karvy Selenium Tower B, Plot Nos. 31 & 32 | Financial District  
Nanakramguda | Serilingampally Mandal | Hyderabad - 500032 .  
Tel.: 040-44677131-40 | Fax: 040-22388705 | Email ID: [service\\_licmf@kfinotech.com](mailto:service_licmf@kfinotech.com)  
Website: [www.kfinotech.com](http://www.kfinotech.com)

# ASBA (Application Support by Blocked Amount)



Investors must read the Key Information Memorandum, the instructions and product labeling on cover page before completing this Form. The Application Form should be completed in English and in BLOCK LETTERS only.

01. BROKER / AGENT INFORMATION		FOR OFFICE USE ONLY			
Name and AMFI Regn. No.	Sub Broker Name & Code	SCSB	SCSB IFSC Code	Syndicate Member Code	SL No.

02. APPLICANT(S) DETAILS (Mandatory information - If left blank the application is liable to be rejected.)					
First Applicant's Name/Minor Name	FIRST	MIDDLE	LAST	KYC	
Second Applicant's Name	FIRST	MIDDLE	LAST	KYC	
Third Applicant's Name	FIRST	MIDDLE	LAST	KYC	
First Applicant PAN		Second Applicant PAN		Third Applicant PAN	
Date of Birth	DD MM YYYY	(mandatory)	Date of Birth	DD MM YYYY	(mandatory)
Date of Birth	DD MM YYYY	(mandatory)	Date of Birth	DD MM YYYY	(mandatory)

03. EXISTING FOLIO NO. (If you have existing folio number, please mention here)		The details in our records under the folio number mentioned alongside will apply for this application			
Folio No.					

04. DEMAT ACCOUNT DETAILS					
		NSDL			CDSL
DP Name					
DP ID					
Beneficiary Account No					

05. INVESTMENT DETAILS (Please tick ✓) For default plans options please see SID.						
Scheme Name	LIC MF TECHNOLOGY FUND					
Plans	Regular	Direct				
Options	Growth	Income Distribution cum Capital Withdrawal (IDCW)				
IDCW Sub Options	Reinvestment of IDCW	Payout of IDCW				

06. DETAILS OF BANK ACCOUNT FOR BLOCKING OF FUNDS (Please tick ✓)						
Account No.	Name of the Bank					
Type of A/c	SB	Current	NRE	NRO	FCNR	Other .....
Branch	Bank City		IFSC code**		MICR No. .....	

Total Amount to be blocked: Amount (figures) ₹ ..... Amount (in words) .....

Note: AMC, reserves the right to use any mode of payment as deemed appropriate. AMC shall not be responsible if transaction through ECS / Direct Credit could not be carried out because of incorrect information provided by investor.

## 07. DECLARATION & SIGNATURE

1) I/We hereby undertake that I/We am/are an ASBA Investor as per the applicable provisions of the SEBI (Issue of Capital and Disclosure Requirements), Regulations 2009 ('SEBI Regulations') as amended from time to time. 2) In accordance with ASBA process provided in the SEBI Regulations and as disclosed in this application, I/We authorize (a) the SCSB to do all necessary acts including blocking of application money towards the Subscription of Units of the Scheme, to the extent mentioned above in the "SCSB / ASBA Account details" or unblocking of funds in the bank account maintained with the SCSB specified in this application form, transfer of funds to the Bank account of the Scheme/LIC Mutual Fund on receipt of instructions from the Registrar and Transfer Agent after the allotment of the Units entitling me/us to receive Units on such transfer of funds, etc. (b) Registrar and Transfer Agent to issue instructions to the SCSB to remove the block on the funds in the bank account specified in the application, upon allotment of Units and to transfer the requisite money to the Scheme's account / Bank account of LIC MF TECHNOLOGY FUND 3) In case the amount available in the bank account specified in the application is insufficient for blocking the amount equivalent to the application money towards the Subscription of Units, the SCSB shall reject the application 4) If the DP ID, Beneficiary Account No. or PAN furnished by me/us in the application is incorrect or incomplete or not matching with the depository records, the application shall be rejected and the LIC Mutual Fund or SCSBs shall not be liable for losses, if any. All future communication in connection with NFO should be addressed to the SCSB/RTA/AMC quoting the full name of the Sole/ First Applicant, NFO Application Number, ASBA Application Number, Despository Account details [if it has been provided], Amount applied for and the account number from where NFO amount was blocked.

Having read and understood the Scheme Information Document and conditions of LIC MF TECHNOLOGY FUND I/We hereby apply for its units and agree to abide by the terms and conditions of the Scheme and any amendments thereof. "I/We have understood the detail of the scheme and I/We have not received or being induced by any rebate or gifts, directly or indirectly, in making this investments". "I/We confirm that I/We have not received and will not receive any commission or brokerage or any other incentive in any form, directly for subscribing to the scheme"

(Non Residents Indians only) I/We confirm that I am/ We are Non-Residents of Indian Nationality/Origin and that I/We have remitted funds from abroad through approved banking channels or from funds in my/our Non-Resident External/ FCNR Account.

I undertake to comply with SEBI (Central Database of Market Participants) Regulation 2003 (MAPIN) and circulars and notifications issued thereunder and as may be amended from time to time by SEBI.

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

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

ASBA Application No.		Date DD MM YYYY
Received an application for purchase of units of LIC MF TECHNOLOGY FUND		
from Mr/Mrs/M/s. ....	(Name of the investor)	alongwith
Address: .....	.....	
SCSB Account Details: A/c No. ....	Branch Name .....	
Bank Name .....	.....	
Total Amount to be Blocked:	.....	
₹ in figures .....	₹ in words .....	
Date DD MM YYYY	Time: .....	
SCSB Stamp, Signature		

# SIP REGISTRATION CUM MANDATE FORM (OTM/PDC)



New Investors subscribing to the scheme through SIP must complete this form compulsorily alongwith NFO Application Form

\*Mandatory

ARN* / RIA Code	Sub-broker ARN Code	Employee Unique Identification Number (EUIN)	Sub-broker code	RM Code
ARN-	ARN-			INTERNAL

Declaration for "execution-only" transaction (only where EUIN box is left blank)

Please tick (✓) and sign "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 inappropriateness, if any, provided by the employee/relationship manager/sales person of the above distributor/sub broker". For Direct investments, please mention 'Direct' in the column 'Name & Distributor Code' #By mentioning RIA code (Registered Investment Adviser), I/we authorize you to share with the Investment Adviser the details of my/our transactions in the scheme(s) of LIC Mutual Fund.

⊗ SIGN HERE First/Sole Applicant/Guardian/POA	⊗ SIGN HERE Second Applicant	⊗ SIGN HERE Third Applicant
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All sections to be filled in English and BLOCK LETTERS. All columns marked\* are mandatory.

## 01. APPLICANT NAME AND DETAILS

Folio No.  Existing unit holders: Please mention your Folio Number.  
The details in our records under the folio number mentioned alongside will apply for this application

Applicant's Name/Minor Name FIRST MIDDLE LAST KYC

## 02. SIP DETAILS (Please ✓ any one)

SIP with first Cheque  SIP without Cheque  SIP through Post Dated Cheque  SIP through registered OTM

### SIP Initial payment details

Cheque No.	Cheque Date	Net Amount ₹	Bank Name	Branch	City

Scheme Name: LIC MF TECHNOLOGY FUND

Plan: Please tick(✓)  Direct  Regular Option: Please tick(✓)  Growth  IDCW Reinvestment  IDCW payout

SIP Instalment Amount ₹	SIP Date <input type="text"/> D D	Frequency <input type="checkbox"/> Daily <input type="checkbox"/> Monthly (Default) <input type="checkbox"/> Quarterly
(Any date from 1st to 28th of a given month, Default date is 10th)		

Installment Period: From Date  D D M M Y Y Y Y To Date  D D M M Y Y Y Y (SIP period should not exceed 40 years)

Please tick(✓), Default Option is Growth.

LIC MF STEP UP (Optional) (Please ✓ to avail this facility) STEP UP AMOUNT( ₹ )

Upto Date  D D M M Y Y Y Y SIP STEP UP Frequency:  Half Yearly  Yearly (Default)

## 03. SIP THROUGH POST DATED CHEQUES

No. of cheques enclosed including first cheque Drawn on Bank and Branch

Account type Cheque No. should be in continuous series From  To

## 04. UMRN DETAILS

OTM (Use Existing OTM)

UMRN No.

Bank Name Bank Account No.

## 05. DECLARATION AND SIGNATURE (To be signed by ALL UNIT HOLDERS if mode of holding is 'joint')\* DATE : / / PLACE :

I/We hereby declare that the particulars given in this mandate form are correct and express my/willingness to make payments towards investment in the schemes of LIC Mutual Fund. I/We are aware that LIC Mutual Fund and its service providers and bank are authorized to process transactions by debiting my/our bank account through Direct Debit / NACH facility. If the transaction is delayed or not effected for reasons of incomplete or incorrect information, I/We would not hold the user institution responsible. I/We will also inform LIC Mutual Fund/RTA about any changes in my/our bank account. I/We confirm that the aggregate of the lump sum investment (fresh purchase & additional purchase) and SIP installments in rolling 12 months period or financial year i.e. April to March does not exceed Rs. 50,000/- (Rupees Fifty Thousand) (applicable for "Micro investments" only). 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 compelling Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us. I/We have read, understood and agreed to the terms and conditions and contents of the SID, SAI, KIM and Addenda issued from time to time of the respective Scheme(s) of LIC Mutual Fund. I/We hereby authorize the bank to honour such payments for which I/We have signed and endorsed the Mandate Form. I/We hereby accord my/our consent to LIC MF for receiving the promotional information/ material via email, SMS, telemarketing calls etc. on the mobile number and email provided by me/us in this Application Form.

⊗ SIGN HERE First/Sole Applicant/Guardian/POA	⊗ SIGN HERE Second Applicant	⊗ SIGN HERE Third Applicant
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## One Time Mandate Registration Form/ Debit Mandate Form NACH/Direct Debit



UMRN  OFFICE USE ONLY  Date  D D M M Y Y Y Y

Utility Code  OFFICE USE ONLY  Create  Modify  Cancel

Sponsor Bank Code  OFFICE USE ONLY I/We authorize  LIC Mutual Fund

To debit (✓)  SB  CA  CC  NRE  NRO  Others  Bank A/c No.

With Bank  IFSC/MICR

an amount of Rupees  IN Words  ₹

Debit Type  Fixed Amount  Maximum Amount Frequency  Monthly  Quarterly  Half Yearly  Yearly  As & when presented

Reference Folio No./App No.  Reference 2  All Schemes of LIC Mutual Fund

1. I agree for the debit of mandate processing charges by the bank whom I am authorizing to debit my account as per latest schedule of charges of the bank. 2. This is to confirm that the declaration has been carefully read, understood & made by me/us. I am authorising the user entity/Corporate to debit my account, based on the instructions as agreed and signed by me. 3. I have understood that I am authorized to cancel/amend this mandate by appropriately communicating the cancellation/amendment request to the user entity/corporate or the bank where I have authorized the debit.

From <input type="text"/> D D M M Y Y Y Y
To <input type="text"/> D D M M Y Y Y Y

Maximum period of validity of this mandate is 40 years only.

Maximum period of validity of this mandate is 40 years only.

Phone No.  1. Name as in bank records  2. Name as in bank records  3. Name as in bank records

Signature of Primary Bank Account Holder  Signature of Account Holder  Signature of Account Holder