COMMON APPLICATION FORM

PLEASE READ THE INSTRUCTIONS BEFORE FILLING UP THE FORM.
All sections to be completed in ENGLISH in BLACK / BLUE COLOURED INK and in BLOCK LETTERS.



	Sub Broker ARN	Sub Broker/Branch/RM In	iternal Code EUIN (Refe	er note below)	For Office use only
ARN-183038					
I/We confirm that the EUIN box is intentionally le Commission shall be paid directly by the investor to case the subscription amount is Rs 10,000/- or mo than first time mutual fund investor) will be deducted	o the 'AMFI registered Dis re and your Distributor ha	tributors based on the investors' s opted to receive Transaction C	assessment of various factors of Charges, Rs 150/- (for first time	ncluding the service nutual fund investor	rendered by the distributor. In or Rs 100/- (for investor othe
x	x		x		
First/Sole Applicant/Guardian Signature Mand I am a First Time Investor in Mutual Fu		2nd Applicant's Signature am an Existing Investor in		3rd Applical	nt's Signature
1. APPLICANT'S DETAILS	and industry.	an an existing investor in	i wataan ana maasiiy.		
Name of Sole / First Applicant (As per First Name Name of Guardian (if minor) / POA / Conta PAN (1st Applicant/Guardian)	Middle Name	fer Instructions) CKYC -KIN	Last Name	(in case	of Birth (As per PAN) e of Minor) of Birth (Guardian) M M Y Y Y Y OF BIRTH (Guardian) KYC Attached
Guardian Relationship with Minor		Proof of Guardian Relati	ionship with Minor		<u> </u>
	Appointed		Passport Other		
2nd Applicant Details (As per PAN) (R	efer Instructions)				
PAN Applicant Datails (Acceptable)	CKYC -KIN		Last Name	Date of Birth	M M Y Y Y Y KYC Attached
3rd Applicant Details (As per PAN) (Re	Middle Name	:	Last Name	_	
PAN	CKYC -KIN			Date of Birth	KYC Attached
2. INVESTMENT AND PAYMENT		PLAN/OPTION WILL BE APPL	JED IN CASE OF NO INFORM	MATION AMBIGUIT	
Cheque/DD should be in favour of : NJ One time Lumpsum Investment	Balanced Advantage	Fund			
Scheme Name: NJ Balanced Adva	antage Fund	P	Plan: Regular Direct	Option: Gr	owth IDCW Payout
Amount (₹)in FiguresAn	nount(₹)	in \	Words		
SIP: Systematic Investment Plan.	Mandatory Att	ach OTM form			
SIP: Systematic Investment Plan. Scheme Name: NJ Balanced Adva			Plan: Regular Direct	Option: Gr	owth IDCW Payout
Scheme Name: NJ Balanced Adva		P	Plan: ☐ Regular ☐ Direct		owth DCW Payout
Scheme Name: NJ Balanced Adva	antage Fund nount(₹)	In Mark To Date	Words	Free OR Perpe	quency: Monthly
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Ban	nk A/C No.			A/C Type:	Savings Cu	urrent NRE NR	O FCNR	Others
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Website: www.njmutualfund.com

Email: customercare@njmutualfund.com

Contact Center: 18605002888 / 040-49763510

ONE TIME DEBIT MANDATE (NACH/Dir	rect Debit Mandate Form) (Application for Lu	mpsum Addition Purchas	es as well as SIP Registation)
NACH/ECS/AUTO DEBIT UMRN			Date D D M M Y Y Y
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Reference 1 (Folio no. / Application no.)		Phone No.	
Reference 2 (PAN no.)		Email ID	
I agree for the debit of mandate processing charges by the PERIOD	he bank whom I am authorizing to debit my accor	ınt as per latest schedule of	charges of the bank.
From D D M M Y Y Y Y To D D M M Y Y Y Y —	Signature of First Holder Signature	ature of Second Holder	Signature of Third Holder
Or Until Cancelled 1.	Name as in Bank record 2. Na	me as in Bank record	3Name as in Bank record
- This is to confirm that the declaration has been carefully read, under - I have understood that I am authorised to cancel/amend this manda			

SPECIFIC TERMS & CONDITIONS FOR SIP AND BANK MANDATE

- The SIP (Systematic Investment Plan) and Bank mandate form should be completed in English and in Block letters only.
 Please tick () in the appropriate box (), where boxes have been provided. The SIP and Bank mandate form, complete in all respects, should be submitted to any of the Official Points of Acceptance of Transactions.
- New Investors who wish to enroll for SIP are required to fill the Application form and one time Bank mandate form. New
 investors are advised to read the Statement of Additional Information (SAI), Scheme Information Document (SID) and
 Key Information Memorandum (KIM) carefully before investing.
- This mandate registration form will be submitted through National Automated Clearing House (NACH).
- This facility is offered to investors having Bank accounts in select banks mentioned in the link http://www.npci.org.in/. The Banks in the list may be modified/updated/changed/removed at any time in future entirely at the discretion of National Payments Corporation of India (NPCI) without assigning any reasons or prior notice. Standing instructions for investors in such Banks will be discontinued. The investor consents to agree to abide by the terms and conditions of NACH facility of NPCI. By signing this Systematic Investment Plan Application form, the Applicant(s) hereby authorises NJ Asset Management Private Limited (NJAMC), Investment manager to NJ Mutual Fund (NJMF) acting through their authorised service providers to debit the mentioned Bank A/c provided by NACH / ECS/Direct Debit Facility or any other facility for collection of SIP payments. •
- Applicant acknowledges that NJ Mutual Fund, NJAMC or any of its associate / subsidiary / Sponsor /Directors/ Employees will not be liable in any manner whatsoever, for any transaction failures due to rejection by the investor's bank/branch, which is due to technical reasons or due to delay in registration of the NACH mandate.
- Investors are required to submit One Time Bank Mandate Form and SIP Enrollment Form along with a cancelled original
 cheque / self certified copy of blank cheque of Debit Bank Account (as mentioned on the One Time Bank Mandate
 Form) at least 30 calendar days before the first SIP Installment date for NACH Debit & Clearing. In case One time Bank
 Mandate form is already registered in the folio then the subsequent SIP registration request provided in the same folio
 will be processed within 12 calendar days.
- An investor can opt any day between 1 to 28 under Monthly frequency for SIP. If an investor does not mention SIP start date appropriately, the SIP will by default start from the subsequent month after meeting the minimum registration requirement of 30 calendar days or 12 calendar days as applicable. If an investor does not mention SIP end date appropriately or mention end date and also select the perpetual option, tenure of SIP will be treated as perpetual i.e. the end date shall be considered as December 2099. In case an investor, who has opted for Perpetual SIP, subsequently intends to discontinue the same, a written communication thereof will be required to be furnished to the NJAMC / Official points of acceptance.
- An investor shall also have the option to enroll for more than 1 SIP in the same scheme, same plan and in the same month. Investors are requested to submit a separate form for each SIP enrollment. The investor can choose the SIP dates from 1 to 28 of any given month for SIP registered through One Time Bank Mandate. Please note that investors can opt for more than one SIP debit on the same day. If an investor does not mention SIP Date in the application form or multiple SIP dates are mentioned in the SIP Mandate or the SIP Date is unclear in the application form / SIP Mandate, the default SIP date shall be treated as 7th.
- In One time Bank mandate Investor's Signature must be as per bank records. Signature of all bank account holders required if the mode of holding in the bank account is "Joint".
- In case of minor application, NJMF / NJAMC will register standing instructions till the date of the minor attaining majority, though the instructions may be for a period beyond that date. Prior to minor attaining majority, NJMF /NJAMC shall send advance notice to the registered correspondence address advising the guardian and the minor to submit an application form along with prescribed documents to change the status of the account to "major". The account shall be frozen for operation by the guardian on the day the minor attains the age of majority and no fresh transactions shall be permitted till the documents for changing the status are received.
- Investor's Bank may charge the Investor's bank account for registration/ modification/ cancellation of bank mandate
 and/or SIP installment debit processing/rejection or any such services. NJMF/NJAMC or its service provider shall not
 be held responsible or bear any such charges.
- For details about the Scheme and its facility please refer to the SID, SAI & KIM of the respective schemes/Addendum issued from time to time carefully before investing.
- In case of insufficient balance in the investor's account on the date of SIP, the transaction shall be rejected and the NJMF / NJAMC / Bank will not retry further to debit the amount from the investor's bank account. NJMF / NJAMC or its service provider shall not be held responsible or bear any such charges.
- In case of three consecutive failures due to insufficient balance in bank account while processing a request for SIP,
 NJMF / NJAMC shall reserve the right to terminate the SIP without any written request from the investor.
- In case the SIP date falls on a non-business day, the immediate next business day would be considered as the date of SIP, subject to fund realisation. SIP installment will be processed only after the funds are received by the NJMF / NJAMC. If the transaction(s) are delayed / not processed due to any reason including delay / non realization of the funds to the NJMF /NJAMC from the investor's bank account, then in no circumstances, NJMF /NJAMC / its service providers shall be held liable or responsible to the investor or any third party, whatsoever. In case of rejection of SIP form for any reason whatsoever, the NJMF / NJAMC will not accept/entertain any request for refund of proceeds of first cheque that would have been processed.
- Investors are requested to note that in case they wish to change their bank account details for any of their ongoing SIP, the following documents should be submitted at-least 30 days in advance of the next SIP debit date:

- (a) A request letter to change the existing bank account details for SIP transaction mentioning old and new bank account details and details of ongoing SIP transaction.
- (b) New SIP Auto Debit Facility Form with new bank account details
- Investors are requested to note that post the registration of a change in bank account, all other details of the existing SIP registration will continue to remain the same.
- Investors wishing to cancel / discontinue the SIP would need to give a written request to the Bank / NJAMC / NJMF / RTA stating that they wish to discontinue the SIP and request the Bank not to deduct any further amount from their account atleast 15 working days prior to the next execution date. Such a request shall be submitted at any official point of acceptance of the transactions. In case of One Time Mandate cancellation, all the SIPs mapped under respective One Time Bank Mandate which is cancelled automatically. The One Time Bank Mandate which is cancelled will not be available for any modes for transactions in future.
- NJMF/ NJAMC reserves the right to reject any application without assigning any reason thereof. NJMF/NJAMC in
 consultation with Trustees reserves the right to withdraw these offerings, modify the procedure, frequency, dates, load
 structure in accordance with the SEBI Regulations.
- Entry load is Not Applicable. Exit Load as applicable in the respective Scheme at the time of enrolment of SIP will be applicable.
- NJMF / NJAMC, its Sponsor / Associate / subsidiary / Directors/ Employees / its registrars and other service providers
 shall not be held responsible or will not be liable for any damages and will not compensate for any loss, damage etc.
 incurred to the investor. The investor assumes the entire risk of using this facility and takes full responsibility. Investors
 will not hold NJMF / NJAMC, its Sponsor / Associate / subsidiary / Directors/ Employees / its registrars and other
 service providers responsible if the transaction is delayed or not effected or the investor bank account is debited in
 advance or after the specific SIP date due to various clearing cycles of NACH Debit / local holidays / any other reason
 beyond the control of NJMF / NJAMC and its Service Providers.
- The NJMF/ NJAMC reserves all the rights to change these terms and conditions from time to time.
- · Any dispute shall be subject to jurisdiction of Courts at Surat only.

IP Top- up Facility

It is a facility wherein an investor who is enrolling for SIP has an option to increase the amount of the SIP installment by a fixed amount at pre-defined intervals. Thus, an investor can progressively start increasing the amount invested, allowing them to gradually increase the investment corpus in a systematic manner.

- Top-up SIP facility can be availed by the investors, at the time of registration / renewal of SIP/ any time during the continuation of existing SIP by submitting the specified form in this regard. The SIP Top-up request shall be registered within 15 business days.
- 3. SIP Top-up facility can be availed at half yearly and yearly frequencies
- 4. Default Top-up SIP Frequency and amount:
- Frequency : Yearly frequency
- \bullet Default Amount: Rs. 100 and in multiples of Rs. 1/-
- In case the investor fails to specify both, i.e. the frequency for Top- Up SIP and amount for Top-up SIP, the application form may be processed as conventional SIP, subject to it being complete in all other aspects.
- 6. SIP Top-up will start with a gap of 6 months or 12 months from 1st SIP installment for half yearly or yearly frequency respectively. If the end-date of the Top-up facility is not mentioned the Top-up facility will be continued up till the tenure of the SIP. For example, if the SIP is registered up till 2099, and the end date of the Top-up facility is not mentioned; then the Top-up will continue till 2099.
- 7. SIP Top-up facility can be availed by the existing investors having SIP investment by providing a separate Top-up registration request. The First SIP Top-up installment shall start from the next SIP installment date post SIP Top-up registration subject to completion of 6 SIP installments.
- The Top-up details cannot be modified once enrolled. In order to make any changes, the investor must cancel the existing SIP with Top-up option and enroll for fresh SIP with modified Top up facility details.
- The Load structure prevailing at the time of submission of the SIP application (whether fresh or extension) will apply for all the installments indicated in such application.
- 10. SIP Top-up facility shall be available for SIP Investments through One time Debit Mandate (OTM). The amount of each such SIP installment cannot exceed the Daily One Time Mandate (OTM) limit for purchases in scheme(s) of NJ Mutual Fund from all modes (lump sum as well as SIP).
- 11. The initial investment under the SIP Top-up will be subject to minimum SIP investment requirement applicable from time to time.
- 12. All other terms & conditions applicable for regular SIP will also be applicable to Top-up SIP.
- The Trustee / AMC reserves the right to change / modify the terms of the SIP from time to time on a prospective basis.

INSTRUCTIONS TO INVESTORS FOR FILLING UP THE COMMON APPLICATION FORM

amount of the unitholder and paid to the distributor and the balance shall be invested.

14. Investors already holding a folio in NJ Mutual Fund can provide their existing Folio Number and Name of applicants(s) corresponding to the said folio. It is the responsibility of the Investor to ensure correctness of such details provided. The personal details and Bank Account details as registered in the existing folio number as provided would apply to the said investment and the registered details would prevail over any conflicting information furnished in this form. NJ Asset Management Private Limited reserves the right to assign any of the existing Folio Number of the investor against multiple applications and / or subsequent purchases under this new application form lodged, with identical mode of holding and address and such other criterions and integrity checks as may be determined by the NJ Asset Management Private Limited from time to time.

15. 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. 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 EUIN of the Sales Person (if any) in the EUIN space.

16. BENEFICIAL OWNERSHIP DETAILS:

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. SEBI circular dated January 24, 2013 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 18. Central KYC Records Registry (CKYCR): 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.

17. FATCA DETAILS:

FATCA and CRS requirements may require disclosure regarding your investment in the units of the Scheme. The Foreign Accounts Tax Compliance Act is a United States ("US") law aimed at prevention of tax evasion by US citizens and residents ("US Persons") through use of offshore accounts. The FATCA provisions were included in the Hiring Incentive to Restore Employment (HIRE) Act, enacted by the US legislature. FATCA is designed toincrease compliance by US taxpayers and is intended to bolster efforts to prevent tax evasion by the US taxpayers with offshore investments.

The Government of India and the United States of America (USA) have reached an agreement in substance on the terms of an Inter Governmental Agreement (IGA) to implement FATCA and India is now treated as having an IGA in effect from April 11, 2014. On similar lines the Organization of Economic Development (OECD) along with G-20 countries has released a

'Standard for Automatic Exchange of Financial Account Information in Tax Matters' commonly known as Common Reporting Standard ('CRS'). India is signatory to the Multilateral Competent Authority Agreement (MCAA) for the purposes of CRS. Under FATCA/CRS provisions, Financial Institutions are obligated to obtain information about the financial accounts maintained by investors and report to the local Government/ notified tax authorities. In accordance with FATCA and CRS provisions, the AMC / Mutual Fund is required to undertake due diligence process and identify foreign reportable accounts and collect such information / documentary evidences of the FATCA/CRS status of its investors / Unit holders and disclose such information (through its agents or service providers) as far as may be legally permitted about the holdings/ investment returns to US Internal Revenue Service (IRS)/any other foreign government or the Indian Tax Authorities, as the case may be for the purpose of onward transmission to the IRS/ any other foreign government pursuant to the new reporting regime under FATCA/CRS.

FATCA/CRS due diligence will be directed at each investor / Unit holder (including joint investor/Unitholder) and on being identified as a reportable person, all the folios will be reported. In case of folios with joint holders, the entire account value of the investment portfolio will be attributable under each such reportable person. An investor / Unit holder will therefore be required to comply with the request of the AMC / Mutual Fund to furnish such information as and when sought by the AMC for the AMC / Mutual Fund to comply with the information reporting requirements stated in IGA/MCAA and circulars issued by SEBI / AMFI in this regard. The information disclosed may include (but is not limited to) the identity of the investors/Unitholder(s) and their direct or indirect beneficiaries, beneficial owners and controlling persons. Investors / Unitholders should consult their own tax advisors regarding FATCA/ CRS requirements with respect to their own status.

The AMC/Mutual Fund reserves the right to reject any application/ freeze any folio(s) held directly or beneficially for transactions in the event the applicant/Unitholder(s) fail to furnish the relevant information and/or documentation in accordance with FATCA/CRS provisions and as requested by the AMC/Mutual Fund.

The application form for FATCA/CRS self-declaration is also available on our website (www.njmutualfund.com)

The Government of India vide their Notification dated November 26, 2015 authorised the Central Registry of Securitisation Asset Reconstruction and Security Interest of India (CERSAI) to act as and to perform the functions of the Central KYC Records Registry under the said rules, including receiving, storing, safeguarding and retrieving the KYC records under the Prevention of MoneyLaundering Act, 2002. SEBI required all the market intermediaries to update/upload KYC details of the new customer/investors (not KYC-KRA compliant) on CERSAl's online platform. CERSAl is a centralized repository of KYC records of customers/investors in the financial sector with uniform KYC norms and inter-usability of the KYC records across the sector with an objective to reduce the burden of producing KYC documents and getting those verified every time when the customer/investors creates a new relationship with a financial entity. Central KYC (CKYC) will store all the customer/investor information at one central server that is accessible to all the financial institutions. After opening a KYC account under the CKYC, customer/investor will get a 14-digit identification number ("KYC Number") and that the same may be quoted by the investor who wish to invest in mutual funds. Further, the Mutual Fund/AMC is required to check whether the PAN of the investor has been updated in CKYCR. In case the PAN has not been updated, the Mutual Fund/AMC shall collect a self certified copy of the investor's PAN card and update/upload the same in CKYCR. In case the Investor uses the old KRA KYC form for updating of any KYC information, such investor shall be required to provide additional/missing information only by using the supplementary CKYC form or fill the new "CKYC form".

DOCUMENT CH	ECKLIST	FOR NJ I	MUTUAL	FUND (P	HYSICAL	INVESTM	IENT)		
Documents	Individual	Companies	Society	Trusts	Partnership Firms / LLP	Investments through POA	Fils	NRI	PIO
Board Resolution / Authorisation letter to invest on letterhead	-	1	1	1	1	1	✓	-	-
List of Authorised Signatories with Specimen signature(s)	-	✓	1	✓	✓	1	✓	-	-
Copy of MOA / AOA attested by Authorised signatory	-	1	-	-	-	-	-	-	-
Copy of Trust Deed attested by authorised signatory	-	-	-	1	-	-	-	-	-
Copy of By-laws attested by authorised signatory	-	-	/	-	-	-	-	-	-
Copy of Partnership Deed attested by authorised signatory	-	-		-	1	-	-	-	-
Proof of bank account: - Investment cheque having preprinted name and bank details OR - In case of online payment-Proof of bank account of the HUF (copy of cancelled cheque leaf/Bank statement/Bank passbook/Letter from bank); [bank passbook, statement should not be older than 3 months].	1	✓	✓	✓	/	✓	✓	/	/
Overseas Auditor's certificate	-	-	-	-	-	-	1	-	-
Notarised Power of Attorney*	-	-	-	-	-	1	-	-	-
Foreign Inward Remittance Certificate (FIRC) in case payment is made by DD from NRE/FCNR bank a/c where applicable	-	-	-	-	-	-	-	1	1
Proof of Address attested by authorised signatory	-	-	-	-	-	-	-	-	1
Know Your Customer (KYC) and related proofs - If KYC non compliant* refer KYC form	1	1	1	/	/	1	1	1	1
Certificate of registration with SEBI (for FIIs)	-	-	-	-	-	-	/	-	-
FATCA & UBO declaration (part of application form for Inidvidual and NRI)	1	/	1	1	1	1	1	/	/
PIO / OCI Card	-	-	-	-	-	-	-	-	/