

|                                                                                                                                                                                                                                                                                                                                                        |                                                                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                           |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>This product is suitable for investors who are seeking*:</b> <ul style="list-style-type: none"> <li>Long term capital appreciation along with income generation</li> <li>An Interval investment strategy investing predominantly in equity and debt securities, including limited short exposure in equity and debt through derivatives.</li> </ul> | <b>Risk Band of the Strategy^</b><br><br><div> <div>LOWER RISK</div> <div> <div>RISK BAND</div> <div> <div>1</div> <div>2</div> <div>3</div> <div>4</div> <div>5</div> </div> <div>HIGHER RISK</div> </div> <div>RISK-LEVEL 2</div> </div> | <b>Benchmark of the Investment Strategy</b><br><b>NIFTY 50 Hybrid Composite Debt 50:50 Index</b><br><br><div> <div>LOWER RISK</div> <div> <div>RISK BAND</div> <div> <div>1</div> <div>2</div> <div>3</div> <div>4</div> <div>5</div> </div> <div>HIGHER RISK</div> </div> <div>RISK-LEVEL 2</div> </div> |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

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

^The Risk Band shall be as specified by AMFI.

The above product labelling assigned during the New Fund Offer (NFO) is based on an internal assessment of the characteristics of the investment strategy or model portfolio and the same may vary post NFO when the actual investments are made

|                                    |                     |                 |                                     |                 |
|------------------------------------|---------------------|-----------------|-------------------------------------|-----------------|
| Name & ARN Code / RIA Code# / PMRN | Sub-Broker ARN Code | Sub-Broker Code | Employee Unique Identification No.* | TIME STAMP HERE |
|------------------------------------|---------------------|-----------------|-------------------------------------|-----------------|

\*Purpose of EUIN is to capture the identification of the sales person/employee/relationship manager of the distributor interacting with the investor, irrespective of whether the transaction is "Execution only" or "Advisory". However, in case of any exceptional cases where there is no such interaction, the investor can keep EUIN box blank and sign the following declaration; I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this transaction is executed without any interaction or advice by the employee/relationship manager/sales person of the above distributor/sub broker or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor/sub broker. #I/ We hereby give my/ our consent to share/ provide transaction data feed/ unit holding in respect of my/ our investments under Direct Plan to the above mentioned RIA.

1st Holder/Guardian/POA Holder  
Authorised Signatory

**Existing Investor Details : Folio No.**  **Name**

**1. Accredited Investor :** ☐ Yes ☐ No (Minimum investment: Accredited Investor - Rs. 1 Lakh and Others - Rs. 10 Lakh)

**Accreditation Certificate No.**  **Validity**          (Attach Accreditation Certificate - Mandatory)

**Application for** ☐ Lumpsum ☐ Lumpsum with SIP

**2. APPLICANT DETAILS** (Name should be as per PAN / Income Tax Department)

**Are you already an investor with JioBlackRock Mutual Fund?** If yes, please specify your folio number:

(Investor Information required in Section 2, 3, 4, 5, 7, 8, 9, and 12 will be retrieved from the folio details provided above.)

**1st Applicant Name**

PAN / PEKRN  CKYC KIN No.  (If Available) DOB / DOI

Name of Guardian (if 1st Applicant is minor) / POA Holder / Name of Contact Person (in case of Non-Individual Investors)

PAN / PEKRN  CKYC KIN No.  (If Available) DOB

**Relationship with Minor** ☐ Natural guardian ☐ Court appointed guardian (Attach Relationship proof with Minor)

**Mobile No.**  **Email ID**

Mobile No. provided pertains to: Please tick (✓)

☐ Self ☐ Spouse ☐ Dependent Children ☐ Dependent Siblings  
☐ Dependent Parents ☐ Guardian ☐ PMS ☐ Custodian ☐ POA

Email ID provided pertains to: Please tick (✓)

☐ Self ☐ Spouse ☐ Dependent Children ☐ Dependent Siblings ☐ Dependent Parents  
☐ Guardian ☐ PMS ☐ Custodian ☐ POA

**3. STATUS OF 1st APPLICANT (Please tick ✓)**

☐ Resident Individual ☐ Minor ☐ NRI-NRE ☐ Public Ltd. Co. ☐ Sole Proprietor ☐ Insurance Co. ☐ Govt. Body  
☐ Partnership Firm ☐ LLP ☐ NRI-NRO ☐ Mutual Fund ☐ Private Ltd. Co. ☐ AOP / BOI ☐ Banks  
☐ Provident Fund ☐ Superannuation / Pension Fund ☐ Gratuity Fund ☐ Financial Institution ☐ FPI ☐ HUF  
☐ NPS Trust ☐ Defence Establishment ☐ FPI Category - I / II / III ☐ PIO ☐ Others

☐ Trust ☐ Society ☐ Section 8 company
 

Are you a Non-Profit Organization constituted for religious or charitable purpose as referred to in Clause (15) of Section 2 of the Income Tax Act, 1961 that is registered as a trust or a society under the Societies Registration Act, 1860 or any similar State legislation or a company registered under Section 8 of the Companies Act, 2013

☐ No ☐ Yes, NPO Reg. No.

**4. ADDRESS OF 1st APPLICANT##** (As per KYC records) (NRI Investors should mention their overseas address)

**Correspondence Address**

City/Town   
 State   
 Country  Pincode

**Overseas Address** (Mandatory for NRI Applicants)

City/Town   
 State   
 Country  Pincode

##Please note that your address details will be updated as per your KYC records with CKYC / KRA

**Type of address given at KRA** ☐ Residential ☐ Business ☐ Registered Office

5. BANK ACCOUNT (PAY-OUT) DETAILS OF 1st APPLICANT

Bank NamePlease provide proof of Bank Account.

Account No.Account Type

☐ Savings

☐ Current

☐ NRE

☐ NRO

☐ FCNR

☐ Others

11 Digit IFSCBranch City

6. INVESTMENT AND PAYMENT DETAILS (Cheque should be drawn in favour of 'Prism SIF')

Investment Strategy Name

Prism Hybrid Long-Short Fund

PlanOptionInvestment Amount (₹)

₹

Payment Mode

☐ Cheque

☐ Fund Transfer

☐ NEFT / RTGS

Cheque / UTR No.Cheque / Payment Date

D

D

M

M

Y

Y

Y

Y

If the investment is made through a bank other than the payout bank, please attach the payment / bank proof and fill in the details below.

Bank NamePlease provide Bank Account details proof.

Account No.Account Type

☐ Savings

☐ Current

☐ NRE

☐ NRO

☐ FCNR

☐ Others

11 Digit IFSCBranch City

7. MODE OF OPERATION Please tick (✓) 

☐ Single

☐ Joint

☐ Anyone or Survivor (Default)

JOINT APPLICANT DETAILS (Name should be as per PAN / Income Tax Department)

2nd Applicant Name

PAN / PEKRNCKYC KIN No.(If Available)DOB

D

D

M

M

Y

Y

Y

Y

Mobile No.Email ID

Mobile No. provided pertains to: Please tick (✓)

☐ Self

☐ Spouse

☐ Dependent Children

☐ Dependent Siblings

☐ Dependent Parents

☐ Guardian

☐ PMS

☐ Custodian

☐ POA

Email ID provided pertains to: Please tick (✓)

☐ Self

☐ Spouse

☐ Dependent Children

☐ Dependent Siblings

☐ Dependent Parents

☐ Guardian

☐ PMS

☐ Custodian

☐ POA

3rd Applicant Name

PAN / PEKRNCKYC KIN No.(If Available)DOB

D

D

M

M

Y

Y

Y

Y

Mobile No.Email ID

Mobile No. provided pertains to: Please tick (✓)

☐ Self

☐ Spouse

☐ Dependent Children

☐ Dependent Siblings

☐ Dependent Parents

☐ Guardian

☐ PMS

☐ Custodian

☐ POA

Email ID provided pertains to: Please tick (✓)

☐ Self

☐ Spouse

☐ Dependent Children

☐ Dependent Siblings

☐ Dependent Parents

☐ Guardian

☐ PMS

☐ Custodian

☐ POA

8. OTHER INFORMATION Please tick (✓)

|                                          | 1st Applicant / Guardian                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | 2nd Applicant                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | 3rd Applicant                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
|------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Politically Exposed Person [PEP]         | <div><input type="checkbox"/> Yes</div> <div><input type="checkbox"/> No</div> <div><input type="checkbox"/> Related to PEP</div>                                                                                                                                                                                                                                                                                                                                                                                                                             | <div><input type="checkbox"/> Yes</div> <div><input type="checkbox"/> No</div> <div><input type="checkbox"/> Related to PEP</div>                                                                                                                                                                                                                                                                                                                                                                                                                             | <div><input type="checkbox"/> Yes</div> <div><input type="checkbox"/> No</div> <div><input type="checkbox"/> Related to PEP</div>                                                                                                                                                                                                                                                                                                                                                                                                                             |
| Occupation (Please ✓)                    | <div><input type="checkbox"/> Private Sector Service</div> <div><input type="checkbox"/> Student</div> <div><input type="checkbox"/> Public Sector Service</div> <div><input type="checkbox"/> Agriculturist</div> <div><input type="checkbox"/> Government Service</div> <div><input type="checkbox"/> Retired</div> <div><input type="checkbox"/> Business</div> <div><input type="checkbox"/> Housewife</div> <div><input type="checkbox"/> Professional</div> <div><input type="checkbox"/> Forex Dealer</div> <div><input type="checkbox"/> Others</div> | <div><input type="checkbox"/> Private Sector Service</div> <div><input type="checkbox"/> Student</div> <div><input type="checkbox"/> Public Sector Service</div> <div><input type="checkbox"/> Agriculturist</div> <div><input type="checkbox"/> Government Service</div> <div><input type="checkbox"/> Retired</div> <div><input type="checkbox"/> Business</div> <div><input type="checkbox"/> Housewife</div> <div><input type="checkbox"/> Professional</div> <div><input type="checkbox"/> Forex Dealer</div> <div><input type="checkbox"/> Others</div> | <div><input type="checkbox"/> Private Sector Service</div> <div><input type="checkbox"/> Student</div> <div><input type="checkbox"/> Public Sector Service</div> <div><input type="checkbox"/> Agriculturist</div> <div><input type="checkbox"/> Government Service</div> <div><input type="checkbox"/> Retired</div> <div><input type="checkbox"/> Business</div> <div><input type="checkbox"/> Housewife</div> <div><input type="checkbox"/> Professional</div> <div><input type="checkbox"/> Forex Dealer</div> <div><input type="checkbox"/> Others</div> |
| Gross Annual Income in ₹ (Please ✓)      | <div><input type="checkbox"/> Below 1 Lac</div> <div><input type="checkbox"/> 10-25 Lacs</div> <div><input type="checkbox"/> 1-5 Lacs</div> <div><input type="checkbox"/> 25 Lacs - 1 Cr.</div> <div><input type="checkbox"/> 5-10 Lacs</div> <div><input type="checkbox"/> &gt; 1 Cr.</div>                                                                                                                                                                                                                                                                  | <div><input type="checkbox"/> Below 1 Lac</div> <div><input type="checkbox"/> 10-25 Lacs</div> <div><input type="checkbox"/> 1-5 Lacs</div> <div><input type="checkbox"/> 25 Lacs - 1 Cr.</div> <div><input type="checkbox"/> 5-10 Lacs</div> <div><input type="checkbox"/> &gt; 1 Cr.</div>                                                                                                                                                                                                                                                                  | <div><input type="checkbox"/> Below 1 Lac</div> <div><input type="checkbox"/> 10-25 Lacs</div> <div><input type="checkbox"/> 1-5 Lacs</div> <div><input type="checkbox"/> 25 Lacs - 1 Cr.</div> <div><input type="checkbox"/> 5-10 Lacs</div> <div><input type="checkbox"/> &gt; 1 Cr.</div>                                                                                                                                                                                                                                                                  |
| Networth in ₹ (For Non-Individuals only) |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | Networth as of date (Not older than 1 year)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | <div><div>D</div><div>D</div><div>M</div><div>M</div><div>Y</div><div>Y</div><div>Y</div><div>Y</div></div>                                                                                                                                                                                                                                                                                                                                                                                                                                                   |

9. FATCA & CRS DETAILS FOR INDIVIDUALS (Including Sole Proprietor)

Non-Individual investors should mandatorily fill separate FATCA & UBO form.

|                                                            | 1st Applicant / Guardian                                                       | 2nd Applicant                                                                  | 3rd Applicant                                                                  |
|------------------------------------------------------------|--------------------------------------------------------------------------------|--------------------------------------------------------------------------------|--------------------------------------------------------------------------------|
| Place / City of Birth                                      |                                                                                |                                                                                |                                                                                |
| Country of Birth                                           |                                                                                |                                                                                |                                                                                |
| Nationality                                                |                                                                                |                                                                                |                                                                                |
| Are you a tax resident in any other country outside India? | <div><input type="checkbox"/> Yes</div> <div><input type="checkbox"/> No</div> | <div><input type="checkbox"/> Yes</div> <div><input type="checkbox"/> No</div> | <div><input type="checkbox"/> Yes</div> <div><input type="checkbox"/> No</div> |

If 'YES' please fill for ALL countries (other than India) in which you are a Resident for tax purpose i.e. where you are a Citizen / Resident / Green Card Holder / Tax Resident in the respective countries



13. DECLARATION & SIGNATURE(S)

☐ I/We hereby consent for providing transactions data feed, portfolio holdings, NAV etc. in respect of my/our transactions under Direct Plan/Regular Plan to the RIA/Distributors/Portfolio Managers/ Stockbroker registered in the concerned folio, as applicable. Investors providing Email Id would mandatorily receive E - Statement of Accounts in lieu of physical Statement of Accounts and the annual report or abridged summary on email.

I / We have read, understood and agree to abide with the contents of Investment Strategy Information Document (ISID), Key Information Memorandum (KIM) of the above-mentioned Strategy and Statement of Additional Information (SAI) of Prism SIF provided by Jio BlackRock and the addendums issued thereto till date ('Investment Strategy Related Documents'). I/We confirm my / our eligibility to invest in the investment Strategy as per the Investment Strategy Related Documents and confirm that I / We are not barred by any legal authority. I / We confirm that all information provided is true and complete and will promptly inform the AMC/Prism SIF/RTA of any change and provide additional details, if required. I/WE HEREBY CONFIRM THAT I/WE HAVE NOT BEEN OFFERED/ COMMUNICATED ANY INDICATIVE PORTFOLIO AND/ OR ANY INDICATIVE YIELD BY THE PRISM SIF/AMC FOR THIS INVESTMENT. I/We accept full responsibility for any loss caused to AMC/SIF/Trustee/ Sponsors and their officers, directors and employees due to false or incomplete information provided by me/us and agree to indemnify against all related claims, losses or disputes regarding my/our transactions. I/We have not received nor been induced by any rebate or gifts, directly or indirectly, in making this investment. I/We hereby provide consent for uploading/updating/fetching CKYC record from Central KYC Records Registry. I/We authorize sharing of my/our aforementioned information, including updates, with the SIF, AMC, RTA, SEBI registered intermediaries, third party service providers and Indian or foreign authorities, subject to applicable laws, without prior notice to me / us. I/We acknowledge and accept the FATCA/CRS declarations and undertake to comply with applicable tax and regulatory obligations. 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 Investment Strategies of various SIFs from amongst which the Investment Strategy is being recommended to me/us.

I/ We give my consent to the AMC / RTA to contact me over phone, SMS, email or any other mode to address my investment related queries and/or receive communication pertaining to transactions/ non-commercial transactions/ promotional/ potential investments and other communication/ material irrespective of my blocking preferences with the Customer Preference Registration Facility.

I/We consent to the AMC/RTA for collecting, storing, and using my/our personal information for processing this application, delivering subscribed services and fulfilling legal and regulatory obligations.

I/We hereby confirm to have read, understood and agree to the terms of Privacy Policy (available on [www.jioblackrockamc.com/prismsif](http://www.jioblackrockamc.com/prismsif))

I/We hereby accord my/our consent to the AMC/Prism SIF for collecting, receiving, possessing, storing, dealing, handling or disclosure of my/ our Personal Data and hereby authorize to disclose it to the third party or any person acting under a lawful contract with the AMC, in accordance with the Privacy Policy

**APPLICABLE FOR NRIs/PIOs/FPIs/OCIs INVESTING ON REPATRIATION BASIS ONLY:** I/We confirm that I am/we are Non-Resident(s) of Indian Nationality/Origin and that I/We have remitted funds from abroad through approved banking channels or from funds in my/our NRE/NRO/FCNR Account. I/We undertake that all additional purchases made under this folio will also be from funds received from abroad through approved banking channels or from funds in my/our NRE/NRO/FCNR Account.

Sign below as per mode of holding

1st Holder/Guardian/  
Authorised Signatory

2nd Holder/Authorised Signatory

3rd Holder/Authorised Signatory

POA Holder

This section shall be completed only in the event that the investor has affixed a thumb impression in place of a signature:

| Signature(s) – As per mode of holding in demat accounts / MF Folio(s). |                           |                           |                                                                |
|------------------------------------------------------------------------|---------------------------|---------------------------|----------------------------------------------------------------|
|                                                                        | Name of the Holder        |                           | Signature / Thumb Impression*                                  |
| Sole / First Holder / Guardian (Mr./Ms.)                               | Name:                     |                           | Signature /Thumb Impression:                                   |
|                                                                        | Witness 1 Name & Address: | Witness 2 Name & Address: | Witness 1 Signature:                      Witness 2 Signature: |
| Second Holder (Mr./Ms.)                                                | Name:                     |                           | Signature /Thumb Impression:                                   |
|                                                                        | Witness 1 Name & Address: | Witness 2 Name & Address: | Witness 1 Signature:                      Witness 2 Signature: |
| Third Holder (Mr./Ms.)                                                 | Name:                     |                           | Signature /Thumb Impression:                                   |
|                                                                        | Witness 1 Name & Address: | Witness 2 Name & Address: | Witness 1 Signature:                      Witness 2 Signature: |

\* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature.

## CHECKLIST

Please ensure that your Application Form is complete in all respect and signed by all applicants. Documents as listed below are submitted along with the Application Form (as applicable to your specific case).

| Sr. No. | Documents                                                                                  | Individuals/<br>Sole Proprietary<br>Firms | HUF | Companies / Trusts/<br>Societies / Partnership<br>Firms / LLP | FPI ^ | NRI/<br>OCI/<br>PIO | Minor | Investments<br>through Constituted<br>Attorney |
|---------|--------------------------------------------------------------------------------------------|-------------------------------------------|-----|---------------------------------------------------------------|-------|---------------------|-------|------------------------------------------------|
| 1       | Valid KYC status of Investor / Guardian                                                    | ●                                         | ●   | ●                                                             | ●     | ●                   | ●     | ●                                              |
| 2       | FATCA & CRS                                                                                | ●                                         | ●   | ●                                                             | ●     | ●                   | ●     |                                                |
| 3       | Ultimate Beneficial Owner (UBO) with their valid KYC status                                |                                           | ●   | ●                                                             |       |                     |       |                                                |
| 4       | List of Authorised Signatories with Specimen Signature(s) @                                |                                           |     | ●                                                             | ●     |                     |       | ●                                              |
| 5       | Board / Committee Resolution / Authority Letter                                            |                                           |     | ●                                                             | ●     |                     |       |                                                |
| 6       | NPO Declaration for Trust, Society and Section 8 Company                                   |                                           |     | ●                                                             |       |                     |       |                                                |
| 7       | Certificate of registration granted by Designated Depository Participant on behalf of SEBI |                                           |     |                                                               | ●     |                     |       |                                                |
| 8       | PIO / OCI Card (as applicable)                                                             |                                           |     |                                                               |       | ●                   |       |                                                |
| 9       | Date of Birth proof of Minor*                                                              |                                           |     |                                                               |       |                     | ●     |                                                |
| 10      | Relationship proof with Guardian                                                           |                                           |     |                                                               |       |                     | ●     |                                                |
| 11      | Notarised copy of POA                                                                      |                                           |     |                                                               | ●     |                     |       | ●                                              |
| 12      | Nomination                                                                                 | ●                                         |     |                                                               |       | ●                   |       |                                                |
| 13      | Documentary proof evidencing the sole proprietary firm and proprietor                      | ●                                         |     |                                                               |       |                     |       |                                                |
| 14      | Accreditation Certificate (mandatory for Accredited Investors for SIF)                     | ●                                         | ●   | ●                                                             |       | ●                   |       | ●                                              |

@Should be original or true copy certified by the Director / Trustee / Company Secretary / Authorised Signatory / Notary Public, as applicable.

^ As per prevailing SEBI (FPI) Regulations, 2019, FPIs can invest in Indian Securities only through Stock Broker and in demat mode only.

\*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.

### Additional documents required from FPI :

- 1) Certified true copy of BR and ASL of Custodian
- 2) Certificate form Bank for fund transfer from Special Non Resident Rupee Account.
- 3) KYC of Custodian.

## Instructions / Terms and Conditions

### 1. General Instructions

- Investments in Specialized Investment Fund involves relatively higher risk including potential loss of capital, liquidity risk and market volatility. Please read all investment strategy related documents carefully before making the investment decision. Investors are requested to read the Investment Strategy Information Document (ISID), Key Information Memorandum (KIM) of the respective investment strategy and, Statement of Additional Information (SAI) of Prism SIF provided by Jio BlackRock ("Prism SIF/SIF/Fund"), and any addenda issued from time to time (collectively referred to as the Investment strategy related Documents) carefully before investing in the investment strategy.
- Application Forms complete in all respects, may be submitted at any Official Points of Acceptance (OPA) of Prism SIF. For locations, please visit [www.jioblackrockamc.com/prismsif](http://www.jioblackrockamc.com/prismsif).
- The Application Form should be completed in **ENGLISH** and in **BLOCK LETTERS** only. Please tick the relevant options wherever applicable. Do not overwrite. Any correction or change made in the Application Form should be countersigned by the investor(s).
- Investors may write their PAN / Folio Number on the reverse side of the accompanying cheques.
- Applications incomplete in any respect are liable to be rejected. Jio BlackRock Asset Management Private Limited (the AMC) / Jio BlackRock Trustee Private Limited (Trustee) have absolute discretion to reject any such Application Forms.
- Copies of the documents submitted should be accompanied by originals for verification. In case originals are not produced, the AMC/Prism SIF reserves the right to seek attested copies of the relevant documents.
- Investors should retain the acknowledgement evidencing submission of the transaction till they receive a confirmation of acceptance or rejection of transaction. In case of difference of details in acknowledgement vis-à-vis actual transaction document, the details as mentioned on transaction document will prevail.
- Investors should retain the acknowledgement evidencing submission of the transaction till they receive a confirmation of acceptance or rejection of transaction. In case of difference of details in acknowledgement vis-à-vis actual transaction document, the details as mentioned on transaction document will prevail.

### 2. Existing Unit holders

- Unit holders already holding a folio in Jio BlackRock Mutual Fund can quote their existing Folio Number and Name corresponding to that folio. The personal details and Bank Account details as per the existing folio would apply to the said investment and would prevail over any conflicting information furnished in this form.
- In case the name and signature of the Unit holder as provided in this application does not correspond with details in the existing folio, the application form may be rejected, at the discretion of the AMC/Prism SIF.

### 3. New Investors

- Name should be given in full without any abbreviations as per PAN only, for the First, Second, Third Holder(s), POA, Nominee and Guardian.
- Please provide a valid email ID & mobile number along with family declaration. This will enable effective communication regarding investment-related updates and help resolve queries promptly.
- For applications submitted by Companies, Bodies Corporate, Trusts, Societies, FPIs, and other non-individual entities, the Name of the Contact Person, along with Email ID and Telephone Number, must be mentioned.
- As mandated by SEBI, investors are required to provide the following information viz. Occupation details, Gross Annual Income / Net worth and Politically Exposed Person (PEP)\*

status. Also, the detail of nature of services viz. Foreign Exchange/Gaming/Money Lending, etc., (applicable for first/sole investor) is required to be provided as part of Client Due Diligence (CDD) process of the Fund. These details are mandatory for both Individual and Non-Individual investors.

\*Politically Exposed Persons" (PEPs) are individuals who have been entrusted with prominent public functions by a foreign country, including the heads of States or Governments, senior politicians, senior government or judicial or military officers, senior executives of state-owned corporations and important political party officials. PEPs shall include the family members or close relatives / associates of PEPs.

- In the event the application has more than one investor, the mode of holding should be specified. In case it is not mentioned, the default mode for holding will be "Anyone or Survivor".
- Investors must indicate their tax status by ticking the appropriate checkbox. For new investments, if no status is selected or an incorrect status is provided, the AMC / Prism SIF reserves the right to determine the correct status based on available information such as PAN or bank account details or such other information of the investor available with the AMC/ Prism SIF . The AMC / Prism SIF shall not be responsible for any claims made by the investor/third party on account of updation of tax status. If "Others" is selected, the specific nature of the status must be clearly mentioned in the space provided.

### 4. Permanent Account Number (PAN)

- SEBI has made it mandatory for all investors (including joint holders) to mention the PAN details irrespective of the amount of investment, except the following categories:
- Where the investor is a minor, PAN details of parent / legal guardian, as the case may be must be submitted.
- The requirement to provide PAN is exempt for the following categories of investors, subject to fulfilment of prescribed conditions and submission of requisite documents:
  - Residents of the State of Sikkim are also exempt from the requirement of PAN for investing in mutual funds, subject to submission of proof of address evidencing their status as a Sikkim resident and fulfilment of KYC documentation requirements as prescribed by SEBI/AMFI.
  - Investments by Central and State Government Officials Appointed by Courts: Includes entities such as Official Liquidators, Court Appointed Receivers, etc., investing on behalf of Government or under directions of the Court. These entities must submit valid identity and address proof along with documentary evidence of such appointment.

Transactions by UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India, subject to submission of valid documentation evidencing the nature of the entity and the purpose of investment.

The AMC / Prism SIF 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. No Redemption and related transaction(s) will be processed.

### 5. Who cannot invest?

- Overseas Corporate Bodies, as defined under the Foreign Exchange Management Act, 1999.
- Investor residing in any Financial Action Task Force (FATF) designated High Risk jurisdiction.
- United States Person (U.S. person\*) as defined under the extant laws of the United States of America, except the following:
  - a. NRIs/PIOs may invest/transact, in the Investment strategy, when physically present in India, as lump sum subscription, redemption and/or switch transaction, including registration of systematic transactions upon submission of such additional documents/undertakings, etc., as may be stipulated by AMC/Trustee from time to time and subject to compliance with all applicable laws and regulations.

- b. FPIs may invest in the Investment strategy as lump sum subscription and/or switch transaction through submission of physical form in India, subject to compliance with all applicable laws and regulations and the terms, conditions, and documentation requirements stipulated by the AMC/Trustee from time to time and subject to compliance with all applicable laws and regulations.

The Trustee/AMC reserves the right to put the transaction requests received from such U.S. person on hold or reject the transaction request and redeem the units, if allotted, as the case may be, as and when identified by the Trustee / AMC that the same is not in compliance with the applicable laws and/or not fulfilled the terms and conditions stipulated by Trustee/AMC from time to time. Such redemptions will be subject to applicable taxes and exit load, if any.

The application form(s) for transactions (in non-demat mode) from such U.S. person will be accepted ONLY at the Investor Service Centres (ISCs) of Jio BlackRock Asset Management Private Limited.

- A person who is resident of Canada

\*The term "U.S. person" means any person that is a U.S. person within the meaning of Regulations under the Securities Act of 1933 of U.S. or as defined by the U.S. Commodity Futures Trading Commission or as per such further amended definitions, interpretations, legislations, rules etc, as may be in force from time to time.

The Fund reserves the right to include / exclude new / existing categories of investors who can invest in the Investment strategy from time to time, subject to SEBI Regulations and other prevailing statutory regulations, as applicable.

The AMC/ Trustee / Fund shall not be liable for any loss or expenses incurred in respect of those transaction requests/allotted units which have been kept on hold or rejected or reversed.

## 6. Investment on behalf of Minors

- The minor shall only be the sole Unit holder in a folio. Joint holding is not allowed.
- Details of the parent viz., father or mother or legal Guardian must be mentioned for investments made on behalf of a minor.
- A valid birth certificate or passport or School Leaving Certificate or any other valid document issued by a Government authority evidencing the date of birth of the minor.
- In case of a court-appointed legal guardian, a notarized or attested copy of the court order must also be submitted.
- If the submitted date of birth proof contains details establishing relationship between the guardian and the minor, the same shall be accepted. In the absence of such details, appropriate documents evidencing the relationship must be provided.
- Investments in the name of minors shall be permitted only from bank account of the minor, parent or legal guardian of the minor or from a joint account of the minor with the parent or legal guardian. Redemption proceeds for investments held in the name of Minor shall be transferred to the verified bank account of the minor (i.e. account the minor may hold with the parent/legal guardian)) only.
- The standing instruction including SIP, STP and SWP will be registered only till the date of minor attaining majority, though the instructions may be for a period beyond that date.
- The Folio will be frozen for operation from the date of beneficiary child completing 18 years of age, till the status of the minor is changed to major. Upon attaining the status of major, the minor in whose name the investment was made, shall be required to submit an application along with prescribed documents for changing the status in the Fund's records from 'Minor' to 'Major'.

For more details, please refer to SAI.

## 7. Bank Details

- If the investor wishes to invest directly, i.e. without involving the services of any agent or broker, "DIRECT" should be mentioned in the space provided for "ARN Number" in the application form. Any subsequent change/update/removal of broker code will be based on the written request/authentication from the Unit holder and will be on a prospective basis only from the date when the Registrar executes such written instruction.
- Investor/s also have the provision to specify in the application / transaction form the unique identity number (EUIIN) of the employee/relationship manager/ salesperson of the distributor interacting with the investor/s for the sale of Specialized Investment Funds products, along with AMFI Registration Number (ARN) of the distributor and sub-distributor ARN (if applicable). Investors are hereby requested to note the following with respect to EUIIN and ARN:
  - a. AMFI has allotted EUIIN to all the salesperson of AMFI registered distributors.
  - b. Investor/s shall ask and specify the valid ARN code, sub-distributor ARN (if applicable) and the valid EUIIN of the sub-distributor /salesperson in the application/transaction form. This will assist in handling the complaints of mis-selling if any, even if the salesperson on whose advice the transaction was executed leaves the employment of the distributor.
  - c. Investors are requested to use the new application /transaction forms which have space for sub-broker ARN code and EUIIN.
  - d. If EUIIN is not mentioned in the application form, it will be assumed as Execution Only transaction.
- e. In cases of wrong/ invalid/ incomplete ARN, any purchase or switch-in or SIP & STP registration shall be processed under Direct Plan or rejected depending on the mode of the transaction. "Invalid ARNs" shall include ARN validity period expired, ARN cancelled /terminated, ARN suspended, ARN Holder deceased, Nomenclature change, as required pursuant to IA Regulations, not complied by the MFD, MFD is debarred by SEBI, ARN not present in AMFI ARN database, ARN not empanelled with AMC.

The distributor of a product under a SIF shall also have to pass such other certification as may be directed by SEBI/AMFI from time to time.

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

In case of wrong/invalid/incomplete ARN code mentioned on the application form, the application will be processed under Direct Plan. In case of transactions received from the stock exchange platforms or through any other online platforms with invalid ARN, then the transaction shall be rejected instead of processing under Direct Plan. In case the EUIIN is invalid / missing, the transaction shall be processed in Regular / Existing plan and the distributor / investor shall be given the period of 30 days from the date of transaction for remediation of EUIIN and investor shall provide either different EUIIN linked to the ARN or switch to Direct Plan.

\*Invalid ARN has been defined to include ARN validity period expired, ARN cancelled /terminated, ARN suspended, ARN Holder deceased, Nomenclature change (as required pursuant to SEBI (Investment Advisers) Regulations, 2013) and not complied by the Mutual Fund Distributor ('MFD'), MFD is debarred by SEBI, ARN not present in AMFI ARN database, ARN not empanelled with AMC.

## Investment in Direct plan through stockbroker/non-individual IA/PMS:

In case SEBI Registered stockbrokers/non-individual Investment Advisors/Portfolio Managers are offering advisory service to their clients, they can execute/invest only in direct plans of Prism SIF for that client using their SEBI Registration Numbers as Broker/RIA/PMS code. Accordingly, they will have visibility of their client's transaction data feeds only for such plans

### Overseas Distributors

For, overseas Distributors, the ARN Code provided by AMFI is required to be incorporated in the space provided. Overseas Distributors are required to comply with the laws, rules and regulations of jurisdictions where they carry out their operations in the capacity of distributors

## 8. Investment Details

### i. Bank Account Details (For redemption if any):

- Investors must provide the details of the pay-out bank account held in India (i.e. account into which redemptions are to be paid), including the 11-digit Indian Financial System Code (IFSC), in the application form at the time of purchase of units. The same is mandated to be provided under SEBI Regulations.
- In case pay-out bank account is different from pay-in bank account (i.e., bank account from which subscription payment is being made), the investor is required to submit any one of the following as documentary proof along with the application form validating that pay-out bank account pertain to the sole / first holder.
  - Cancelled **original** cheque leaf of the pay-out bank account (where the account number and first holder name are printed on the face of the cheque). Investors should without fail cancel the cheque and write 'Cancelled' on the face of it to prevent any possible misuse.
  - Self-attested copy of the bank passbook or a statement of bank account with current entries not older than 3 months having the name and address of the first holder and account number.
  - A letter from the bank on its letterhead certifying that the investor maintains an account with the bank, the bank account information like bank account number, bank branch, account type, & IFSC.

*Note: The above documents shall be submitted in Original. If copies are furnished, the same must be submitted at any Official Points of Acceptance (OPA) of Prism SIF provided by JioBlackRock ("Prism SIF").*

- Documents submitted will be verified with the original documents to the satisfaction of the Fund. The original documents will be returned across the counter to the investor after due verification. In case the original of any document is not produced for verification, then the copies should be attested by the bank manager with his / her full signature, name, employee code, bank seal and contact number.
- Further, in exceptional cases where Third Party Payments are accepted, the investor is required to submit any one of the documentary proofs as stated in a, b and c above for the pay-out bank account.
- Once the bank account is registered in the folio, it can be used for both pay-out and pay-in purposes.
- Investors are requested to note that applications for new folio creation submitted (wherein pay-out bank details are different from pay-in bank details) without any of the above-mentioned documents relating to pay-out bank account details will be treated as invalid and liable to be rejected.

### ii. Multiple Bank Account Registration:

- An investor may register multiple bank accounts (currently upto 5 for Individuals and 10 for Non – Individuals) in a folio for receiving redemption. To register multiple bank accounts,

investors are required to submit a duly filled Multiple Bank Accounts Registration form along with necessary supporting documents for each bank account.

- The form can be downloaded from our website - [www.jioblackrockamc.com/prismsif](http://www.jioblackrockamc.com/prismsif).

## 9. Mode of Payment for Subscription :

- Investors are required to clearly indicate the name of investment strategy for which subscription is made at the time of filling up the Application Form.
- Subscription(s) in the investment strategy (s) should meet the minimum amount requirements specified for the respective investment strategy (s).

## 10. Mode of Payment of Redemption

### Pay-In Bank Account

- Investor must provide the details of the pay-in bank account (i.e. account from which a subscription payment is being made) in the application form.
- Cheques drawn should be in favour of Name of the Investment Strategy and crossed "A/c Payee only" and made payable at the location where the application form is submitted to the designated Investor Service Centre / Collection Centre.

*Non MICR / outstation post-dated cheques/demand drafts/ money orders/ postal orders will not be accepted.*

- Subscriptions can also be made through various electronic modes such as Real Time Gross Settlement (RTGS) / National Electronic Fund Transfer (NEFT) / Direct Credit (DC) / National Automated Clearing House (NACH) / Net banking / Unified Payment Interface (UPI) / Immediate Payment Service (IMPS) or such other modes as may be introduced by RBI from time to time and made available by the AMC. The investor should place a RTGS / NEFT / Fund Transfer request with their bank from where the funds are to be paid and submit the bank acknowledged copy of request letter with the application form by mentioning the Unique Transaction Reference (UTR) Number / Transaction reference number which is generated for their request by the bank.

RTGS / NEFT request is subject to the RBI regulations and guidelines governing the same. The AMC/Fund shall not be liable for any loss arising or resulting from delay in credit of funds in the Fund/Investment strategycollection account.

### NRIs, PIOs, OCIs

- Repatriation basis: Payments by NRIs/PIOs/OCIs may be made by way of cheques drawn on Non-Resident External (NRE) account payable at par and payable at the cities where the Investor Service Centres are located.
- Non-Repatriation basis: NRIs investing on a non-repatriable basis may do so by issuing cheques drawn on Non-Resident Ordinary (NRO) account payable at the cities where the Investor Service Centres are located.

## 11. Mode of Payment of Redemption

### i. Unit holders holding Units in Physical (Non-Demat) mode

- Real Time Gross Settlement (RTGS) / National Electronic Funds Transfer (NEFT): The AMC utilises the facility of 'RTGS' and 'NEFT' offered by Reserve Bank of India (RBI), to facilitate credit of redemption proceeds directly into the bank account of the Unit holder maintained with the banks participating in the RTGS / NEFT Settlement systems.
- In the absence of a specific request from the Unit holder exercising their choice of mode of payment offered by the Fund from time to time, the redemption proceeds shall be processed via the RTGS / NEFT / DC mechanism only. Where this payment mode is not feasible / available, the payment of such proceeds will be made through cheque / demand draft.
- The AMC / Fund shall not be held liable for any losses/ claims, etc. arising on account of processing the direct credit or credit via RTGS / NEFT / cheque / demand draft of redemption / proceeds on the basis of Bank Account details as provided by the Unit holder in the Application Form.

- In case of unforeseen circumstances, the AMC / Fund reserves the right to issue a cheque / demand draft, if relevant details are available in investor's folio / KYC records.
- Any charge levied by the investor's bank for receiving payment through electronic mode will be borne by the investor. The AMC / Fund will not accept any request for refund of such bank charges. The AMC / Fund reserves the rights to change the payout mode from cheque / demand draft to electronic credit OR vice versa in case such a situation arises requiring the need for this conversion in payout mode to ensure faster payment/safety/risk mitigation.

## ii. Unit holders holding Units in Demat mode

Investors will receive their redemption payout directly into their bank accounts linked to the demat accounts. For investors, who have invested through the offline mode and subsequently dematerialized the units, investors will receive their redemption proceeds directly into the bank account registered with their demat account ONLY irrespective of the account registered in the folio at the time of offline application.

## 12. Communication

- Investors should ensure that the email address and mobile number provided is that of First / Sole holder or of their Family member. Family means spouse, dependent children, Dependant Sibling or dependent parents and a guardian in case of a minor. Option to indicate if the contact information belongs to PMS, Custodian and Power Of Attorney has also been provided.
- The email address and mobile number provided shall be registered in the folio for all official communications from the AMC / RTA.
- If this section is left blank, the email address and mobile number of the First / Sole Holder, as available in the KYC records, shall be registered in the folio.
- If the AMC / RTA finds the provided contact details to be incorrect, doubtful, or not belonging to the investor / family member, the AMC / RTA may not capture / update these details in the folio. In such case AMC / RTA will intimate the investor to provide the correct details by submitting the request at any Official Point of Acceptance (OPA) or through a KYC change request form or other permissible mode.
- Submission of an email address and mobile number shall be treated as the investor's consent to receive allotment confirmations, consolidated account statement/account statement, annual report/abridged summary and any statutory / other information as permitted via electronic mode. These documents shall be sent physically in case the Unit holder opts/request for the same.
- Should the Unit holder experience any difficulty in accessing the electronically delivered documents, the Unit holder shall promptly intimate the Fund about the same to enable the Fund to make the delivery through alternate means.

*It is deemed that the investor is aware of all security risks including possible third-party interception of the documents and contents of the documents becoming known to third parties. Subject to Regulations, The AMC / Trustee/ Prism SIF reserves the right to send any communication in physical mode.*

## 13. Unit Holding Option

Investors are provided two options to hold their Units viz. Physical mode and Demat mode.

### i. Physical mode (non-demat)

- Units will be held in account statement mode and a Statement of Account (SOA) will be issued to the investors by the AMC / RTA.
- Investors who wish to convert their holdings to Demat at a later stage may do so by submitting a Dematerialisation Request Form (DRF) through their DP.

### ii. Demat mode

- Investors opting to hold Units in dematerialised (Demat) mode must provide valid DP ID and Client ID details of their Depository Participant (DP) account with NSDL or CDSL.
- The names of the investors must match with those in the Demat account.
- Investors wanting to transact through exchange will need to opt for units in demat mode.
- Units shall be directly credited to the investor's demat account after the realization of payment funds and depositories will issue a statement.

*Please attach a copy of the Client Master Form / DP statement showing active demat account details for verification.*

- Upon units being allotted in demat mode, 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. Account statement (CAS) for units held in demat mode will be issued only by NSDL / CDSL.
- 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. Once the units are allotted in demat mode, no account statement / capital gain statement/or any other statements can be issued from Prism SIF provided by JioBlackRock / RTA to the investors.
- 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 mode i.e. in physical mode if the application is otherwise valid and a Statement of Account (SOA) will be issued.

## 14. Nomination

- As per SEBI guidelines, it is mandatory for individual investors, except jointly held folios to either:
  - o Provide nominee details, or
  - o Opt out of nomination by submitting a duly signed declaration.
- The signatories for this nomination, shall be as per the mode of holding in the folio i.e.
  - o 'Either or Survivor' Folios - any one of the holders can sign
  - o 'Jointly' Folios – all holders have to sign
  - o 'First holder' Folios – only First holder to sign
- A minor may be nominated. In that event, the name and address of the Guardian of the minor nominee may be provided.
- Investors shall mandatorily provide the following:
  - o any one of the following personal identifiers of the nominee – PAN or Driving Licence number or last 4 digits of Aadhaar (only the document number is required to be provided; not the document). However, in case of NRI / OCI / PIO, Passport number is acceptable
  - o full contact details of nominee(s) such residential address, e-mail
  - o address, telephone / mobile number
  - o relationship of nominee(s) with the investor
  - o Date of birth of nominee(s) (if nominee is a minor)
- Thumb impression, if affixed on the nomination form, shall be witnessed by two persons and details of such witnesses shall be duly captured in the form.

For complete details about nomination, please refer to SAI.

[www.jioblackrockamc.com/prismsif/prismsif](http://www.jioblackrockamc.com/prismsif/prismsif).

#### 15. Power of Attorney (POA)

- In case of application under POA by an Individual or by a Non-Individual (i.e. Company, trust, society, partnership firm etc.) the relevant POA or the resolution should specifically provide for / authorize the POA holder / authorized signatory to make application/ invest on behalf of the investor.
- The application form must be accompanied by the original or a certified true copy/duly notarized copy of Power of Attorney.

#### 16. Signatures

- Signature(s) should be in English or in any Indian Language specified in the eighth schedule of the constitution of India.
- If the application has more than one holder, all holders are required to sign the application form, regardless of the mode of holding (e.g., "Anyone or Survivor" or "Joint"). Applications that are not signed by all holders are liable to be rejected.
- Thumb impressions must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate under his/her official seal.
- Applications on behalf of minors should be signed by their parent/legal Guardian. In case of a HUF, the Karta should sign the Application Form on behalf of the HUF.
- In case of an application through a constituted Attorney, the Power of Attorney should be signed by the investor and the constituted Attorney. The Application Form should be signed in such cases by such constituted Attorney.
- In the case of company or other non-individual entities, the Authorized officials should sign the form under their official designation and affix the seal of the entity. The signatures should match with the authorised signatory list (ASL).

#### 17. Prevention of Money Laundering

- SEBI vide its Master circular on Guidelines on Anti-Money Laundering (AML) Standards and Combating the Financing of Terrorism (CFT) / Obligations of Securities Market Intermediaries under the Prevention of Money Laundering Act, 2002 and Rules framed there under dated June 6, 2024, as amended from time to time, has mandated that all intermediaries including SIFs should formulate and implement a proper policy framework 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 Investment strategy 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, the AMC/ Prism SIF 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.
- The Fund, AMC, 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 circular(s) and reporting the same to FIU-IND.
- For further details, please refer Section 'Prevention of Money Laundering' under the Statement of Additional Information available on our website

#### 18. Know Your Customer (KYC) Compliance

##### i. KYC Registration Agency (KRA):

##### Units held in account statement (non-demat) mode

- KYC (Know Your Customer) norms are mandatory for ALL holders including Guardian and POA for making investments in Mutual Funds including SIFs, irrespective of the amount of investment. In case of non-individuals, each Ultimate Beneficial Owner (UBO) must be KYC compliant.
- 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. The KYC Application Forms are also available on our website [www.jioblackrockamc.com/prismsif](http://www.jioblackrockamc.com/prismsif).
- Existing KYC compliant investors need not undergo the same process again with the Fund, subject to validation of KYC compliance status. However, the AMC/Prism SIF reserves the right to carry out new KYC of the investor at its discretion.
- In case of non-compliance with KYC requirements or if the KYC status is found to be invalid, the Fund/AMC reserves the right to reject/reverse the transaction and refund the investment amount, without any interest.

##### Units held in demat mode

- For units held in demat mode, the KYC performed by the Depository Participant of the investors 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 reject the application and refund the subscription amount / effect mandatory redemption of unit holdings of the investors at the applicable NAV, subject to payment of exit load, if any and freeze the folio of the investor(s).
- For further details, please refer Section 'Know Your Customer (KYC) Compliance' under Statement of Additional Information available on our website [www.jioblackrockamc.com/prismsif](http://www.jioblackrockamc.com/prismsif)

##### ii. Central KYC Records Registry (CKYCR):

- Investors, who have already completed CKYC process & have obtained KIN can quote their 14-digit unique KYC identifier KIN in the application form. For more details about CKYCR, please refer to SAI.

#### 19. Details under Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standards (CRS)

- The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income tax Rules, 1962, which require Indian financial institutions to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all investors. In relevant cases, information will have to be reported to tax authorities / appointed agencies.
- Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the folio(s) or any proceeds in relation thereto.
- Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.
- Please note that you may receive more than one request for information if you have multiple relationships with us or our group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.
- If you have any questions about your tax residency, please contact your tax advisor.
- Further, if you are a Citizen or resident or green card holder or tax resident other than India, please include all such countries in the tax resident country information field along with your Tax Identification Number (TIN) or any other relevant reference ID/ Number. If no TIN is yet available or has not yet been issued,

please provide an explanation and attach this to the form.

## 20. Ultimate Beneficial Owners(s) (UBO)

- Pursuant to SEBI Master Circular dated June 6, 2024 on 'Guidelines on Anti-Money Laundering (AML) Standards and Combating the Financing of Terrorism (CFT) / Obligations of Securities Market Intermediaries under the Prevention of Money Laundering Act, 2002 and Rules framed there under', , as amended from time to time, investors (other than Individuals) are required to provide details of 'Ultimate Beneficial Owner(s) (UBO(s))'. For complete details on UBO, please refer SAI.
- Non-individual investors are mandated to provide the details on 'Ultimate Beneficial Owner(s) (UBO(s))' by filling up the declaration form for 'Ultimate Beneficial Ownership'.
- All the UBOs should be KYC compliant.
- Please visit our website [www.jioblackrockamc.com/prismsif](http://www.jioblackrockamc.com/prismsif) to download the UBO Form.

## 21. Third Party Payments

"Third party Payments" for this purpose are defined as:

- Investment made through instruments issued from an account other than that of the beneficiary investor.
- Investment made from a joint bank account, where the first holder of the SIF folio is not one of the holders of the bank account from which payment is made.

Investments made through Third Party payments will not be accepted, except in the following cases, subject to submission of valid documentation and compliance with the Fund/AMC policies:

- Payment in respect of investments for minor investors from the bank account of the minor, or parent or legal guardian of the minor, or from a joint account of the minor with parent or legal guardian.
- Payment by Employer on behalf of employee under Systematic Investment Plans (SIPs) or lumpsum / one time subscription, through Payroll deductions or deductions out of expense reimbursements.
- Custodian on behalf of a Foreign Portfolio Investors (FPIs) or a client.
- Payment by a Corporate to its Agent/Distributor/Dealer (similar arrangement with Principal agent relationship), on account of commission or incentive payable for sale of its goods / services, in the form of the SIF Units through SIP or lump sum / one-time subscription, subject to compliance with SEBI Regulations and Guidelines issued by AMFI, from time to time.

The above-mentioned exception cases will be processed after carrying out necessary checks and 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.

The AMC/ Prism SIF reserves the right to accept applications, over and above the circumstances listed above, subject to completion of requisite documentation and additional checks and verification as stipulated by the AMC/the Fund.

In case of investment / subscriptions via RTGS, NEFT, bank transfer, net banking or any similar electronic modes, the AMC/ Prism SIF may seek a copy of the bank instruction provided to the drawer's bank, clearly reflecting the account holder's name and the bank account number debited or any other proof evidencing the source of funds.

Investors are requested to note that AMC/ Prism SIF reserves right to have additional checks of verification for any mode of payment received. AMC / Fund reserves the right to reject the transaction in case the payment is received an account not belonging to the first unit holder of the Prism SIF.

## Debit Mandate Checklist:

- Bank Account Number, Bank Name, IFSC or MICR Code • Write Amount in words and in Figures (maximum limit) • Your Name and Signature as in your bank account

| Name & ARN Code / RIA Code# / PMRN | Sub-Broker ARN Code | Sub-Broker Code | Employee Unique Identification No.* | TIME STAMP HERE |
|------------------------------------|---------------------|-----------------|-------------------------------------|-----------------|
|                                    |                     |                 |                                     |                 |

\*Purpose of EUIN is to capture the identification of the sales person/employee/relationship manager of the distributor interacting with the investor, irrespective of whether the transaction is "Execution only" or "Advisory". However, in case of any exceptional cases where there is no such interaction, the investor can keep EUIN box blank and sign the following declaration; I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this transaction is executed without any interaction or advice by the employee/relationship manager/sales person of the above distributor/sub broker or notwithstanding the advice of in-inappropriateness, if any, provided by the employee/relationship manager/sales person of the distributor/sub broker. #I/ We hereby give my/ our consent to share/ provide transaction data feed/ unit holding in respect of my/ our investments under Direct Plan to the above mentioned RIA.

1st Holder/Guardian/POA Holder  
Authorised Signatory

### Please tick (✓) as applicable:

- ☐ OTM Debit Mandate is already registered in the folio. ☐ OTM Debit Mandate is attached and to be registered in the folio.

Investor Name: Folio No.

## 1. INVESTMENT DETAILS FOR SIP (Please refer instructions for more details) PAN / PEKRN

| Investment Strategy Name                                                                                   | Prism                                                                                                                                                     | Prism                                                                                                                                                     | Prism                                                                                                                                                     |
|------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------|
| Frequency                                                                                                  | <input type="checkbox"/> Weekly _____<br>(Any day between Monday* to Friday)<br><input type="checkbox"/> Monthly* <input type="checkbox"/> Quarterly      | <input type="checkbox"/> Weekly _____<br>(Any day between Monday* to Friday)<br><input type="checkbox"/> Monthly* <input type="checkbox"/> Quarterly      | <input type="checkbox"/> Weekly _____<br>(Any day between Monday* to Friday)<br><input type="checkbox"/> Monthly* <input type="checkbox"/> Quarterly      |
| SIP Date (For Monthly & Quarterly) (1st*– 31st)                                                            |                                                                                                                                                           |                                                                                                                                                           |                                                                                                                                                           |
| Enrolment Period (MM/YY)<br>(^If end period is not given, the end period of OTM Debit Mandate will apply.) | From<br>To^<br><b>OR</b><br><input type="checkbox"/> 40 yrs <input type="checkbox"/> 10 yrs <input type="checkbox"/> 7 yrs <input type="checkbox"/> 5 yrs | From<br>To^<br><b>OR</b><br><input type="checkbox"/> 40 yrs <input type="checkbox"/> 10 yrs <input type="checkbox"/> 7 yrs <input type="checkbox"/> 5 yrs | From<br>To^<br><b>OR</b><br><input type="checkbox"/> 40 yrs <input type="checkbox"/> 10 yrs <input type="checkbox"/> 7 yrs <input type="checkbox"/> 5 yrs |
| SIP Amount in ₹                                                                                            |                                                                                                                                                           |                                                                                                                                                           |                                                                                                                                                           |

## SIP TOP-UP DETAILS (Please refer instructions for more details)

|                                     |                                                                      |                                                                      |                                                                      |
|-------------------------------------|----------------------------------------------------------------------|----------------------------------------------------------------------|----------------------------------------------------------------------|
| Frequency                           | <input type="checkbox"/> Half Yearly <input type="checkbox"/> Yearly | <input type="checkbox"/> Half Yearly <input type="checkbox"/> Yearly | <input type="checkbox"/> Half Yearly <input type="checkbox"/> Yearly |
| Amount in ₹<br>OR<br>Percentage (%) |                                                                      |                                                                      |                                                                      |
| SIP Top-Up Cap Amount in ₹          |                                                                      |                                                                      |                                                                      |

(\* Default Option / Date)

## OTM Debit Mandate Form NACH

[Applicable for Lumpsum, Additional Purchases as well as SIP Registrations]

UMRN Office use only Date

Utility Code Office use only Tick (✓) ☒ CREATE ☐ MODIFY ☐ CANCEL

Sponsor Bank Code Office use only I/We hereby authorize: **Prism SIF**

to debit (tick ✓) ☐ SB ☐ CA ☐ CC ☐ SB-NRE ☐ SB-NRO ☐ Other Account No.

With Bank Bank Name & Branch IFSC / MICR

an amount of Rupees In Words ₹ In Figures

**Debit Type** ☒ Fixed Amount ☒ Maximum Amount **FREQUENCY** ☒ Monthly ☒ Quarterly ☒ Half Yearly ☒ Yearly ☒ As & when presented

PAN / PEKRN

I agree for the debit of mandate processing charges by the bank whom I am authorising to debit my account as per latest schedule of charges of the bank. This is to confirm that the Declaration has been carefully read, understood and made by me / us. I / We have understood that I / we are authorised to cancel / amend this mandate by appropriately communicating the cancellation / amendment request to the User entity or the bank where I have authorised the debit and express my willingness and authorize to make payments through participation in NACH / Direct Debit. I / We hereby confirm adherence to the terms of OTM Facility and as amended from time to time and of NACH / (Debits) / Direct Debits. Authorisation to Bank: This is to inform that I / We have registered for NACH (Debit Clearing) / Direct Debit facility and that my / our payment towards my / our investment in Prism SIF provided by JioBlackRock shall be made from my / our above mentioned bank account with your Bank. I / We authorize the representatives of Prism SIF provided by JioBlackRock carrying this mandate form to get it verified and executed.

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

1. Signature of Primary Account Holder  
Name as in bank records

2. Signature of Account Holder  
Name as in bank records

3. Signature of Account Holder  
Name as in bank records

P.T.O

## ACKNOWLEDGEMENT SLIP - SIP APPLICATION

Received, subject to verification and conditions.

Prism SIF provided by JioBlackRock

Folio No. PAN / PEKRN TIME STAMP HERE

Name of Investor

Investment Strategy Name

First SIP transaction via single cheque no.  favouring 'Prism SIF' Dated

☐ Use existing One Time Mandate (To be filled in case of more than one OTM registration)

Bank Name:

Account No.

## 2. UNIT HOLDING OPTION: (Enclose Latest Client Master / Demat Account Statement)

To transfer units in Demat mode, please fill in the details below; otherwise, units will be in physical mode by default.

Demat Account details are mandatory for (i) FPIs and (ii) investors who wish to hold the units in Demat Mode (Account statement (CAS) for units held in demat mode will be issued only by NSDL / CDSL) Please ensure that the sequence of names as mentioned in the application form matches with that of the A/c. held with the demat account.

|      |                                              |   |   |                         |                      |                      |
|------|----------------------------------------------|---|---|-------------------------|----------------------|----------------------|
| NSDL | DP ID                                        | I | N | Beneficiary Account No. | <input type="text"/> | <input type="text"/> |
| CDSL | Beneficiary Account No. <input type="text"/> |   |   |                         |                      |                      |

## 3. DECLARATION AND SIGNATURES

I/We hereby consent for providing transactions data feed, portfolio holdings, NAV etc. in respect of my/our transactions under Direct Plan to the RIA/Portfolio Managers/ Stockbroker registered in the concerned folio, as applicable.

I / We have read, understood and agree to abide with the contents of Investment Strategy Information Document (ISID), Key Information Memorandum (KIM) of the above-mentioned Strategy and Statement of Additional Information (SAI) of Prism SIF provided by Jio BlackRock ("PRISM SIF") and the addendums issued thereto till date ('Investment Strategy Related Documents'), I hereby declare that the particulars given by me/us are correct and complete.

I/WE HEREBY CONFIRM THAT I/WE HAVE NOT BEEN OFFERED/ COMMUNICATED ANY INDICATIVE PORTFOLIO AND/ OR ANY INDICATIVE YIELD BY PRISM SIF/ JIO BLACKROCK ASSET MANAGEMENT PRIVATE LIMITED ('AMC')

Sign below as per mode of holding

|                                                                      |                                                         |                                                         |                                    |
|----------------------------------------------------------------------|---------------------------------------------------------|---------------------------------------------------------|------------------------------------|
| <input type="text"/><br>1st Holder/Guardian/<br>Authorised Signatory | <input type="text"/><br>2nd Holder/Authorised Signatory | <input type="text"/><br>3rd Holder/Authorised Signatory | <input type="text"/><br>POA Holder |
|----------------------------------------------------------------------|---------------------------------------------------------|---------------------------------------------------------|------------------------------------|

## INSTRUCTIONS FOR ONE TIME MANDATE (NACH) FORM

- Please fill the OTM form in **English**, using **BLOCK LETTERS** only. If you already have a registered OTM, you do not need to submit the form again.
- Investors who have not registered for the OTM facility can submit the form with a cancelled cheque (original or copy) with the investor's name and account number pre-printed, or a bank verification letter on the bank's letterhead with complete account details. Incomplete or unverifiable documentation may lead to rejection.
- Provide the full bank account number and bank name. The first holder in the folio must be one of the holders in the bank account. The form must be signed by all bank account holders as per the mode of operation in the bank records. Signatures must match those recorded with the bank.
- Please mention the mandate amount in both words and figures.
- Mention the start date of the mandate and the end date. As per NPCI guidelines, the end date cannot exceed 40 years from the start date.
- The 9-digit MICR or the 11-digit IFSC is a mandatory requirement without which OTM will be rejected.
- The UMRN, the Sponsor Bank Code and the Utility Code are for official use only and need not be filled by the investors.
- Investors should retain the acknowledgement evidencing submission of the transaction till they receive a confirmation of acceptance or rejection of transaction. In case of difference of details in acknowledgement vis-à-vis actual transaction document, the details as mentioned on transaction document will prevail.
- Investor can transact using this mandate, within the limit of maximum amount and tenure specified.
- Amount payable for service or maximum amount per transaction that could be processed in words. The amount in figures should be same as the amount mentioned in words, in case of ambiguity the mandate will be rejected.

## SIP INSTRUCTIONS / TERMS & CONDITIONS

- Existing investors need not submit a new Common Application Form and may register for SIP by mentioning their existing folio number.
- Please fill the form in English and in block letters. Tick the relevant boxes wherever applicable.
- The completed SIP form should be submitted at any Official Points of Acceptance (OPA) of AMC/ RTA
- Investors should clearly mention the preferred SIP frequency (weekly, monthly, or quarterly) in the form.
- Minimum investment for Accredited Investor is 1 Lakh and Others is 10 Lakh.  
If the minimum investment threshold of Rs.10 lakh at a PAN level across all investment strategies of Prism SIF is met, then the minimum amount for Systematic Investment Plan (SIP): Rs.10,000 and in multiples of Re. 1/- thereafter. Please refer ISID for minimum SIP investment amount under each investment strategy.
- SIP can be started without an accompanying purchase.
- For registration of a SIP, the duly completed SIP form must be submitted at least 21 calendar days prior to the desired start date if a One Time Mandate (OTM) is not registered, and at least 10 calendar days prior in case an OTM is already registered. If the selected start date does not meet the mentioned timelines, the AMC will make reasonable efforts to process the SIP as per the investor's request. However, if that is not possible, the SIP will begin from the subsequent instalment date as per the selected frequency.
- The initial / first SIP investment amount, if provided, can be different from the subsequent SIP amount provided the initial / first SIP investment amount also confirms to the minimum SIP amount criteria of the respective investment strategy.
- Cheques should be drawn payable at locations of Jio BlackRock Asset Management Private Limited branches & authorised centres / RTA locations. Non MICR / outstation post-dated cheques will not be accepted for SIP.
- The units shall be allotted based on the day on which funds are credited to Prism SIF collection account by the service provider/ bank.
- The investor has the right to discontinue SIP at any time by submitting a request at least 2 business days prior to next instalment date to any of the offices of Jio BlackRock Asset Management Private Limited or its Authorized Centres.
- SIP registration will be discontinued if three consecutive instalments fail in case of Weekly or Monthly SIPs, or two consecutive instalments fail in case of Quarterly SIPs, due to any reason.
- In case any details are left blank/illegible in the SIP form, the AMC may register the SIP using the applicable default options as specified in the Statement of Additional Information (SAI).
- In case of investments on behalf of a minor, guardian details must be provided. The SIP will be registered only up to the date the minor attains majority, irrespective of the end date mentioned. For complete details, investors are requested to refer to the section 'Investments on behalf of Minor' in SAI.
- If multiple bank accounts are registered under the OTM facility, the investor must clearly specify the bank name and account number from which the debit is to be initiated for the SIP. In the absence of such specification, or if a valid OTM is not available for the mentioned bank account, the AMC reserves the right to initiate the debit from any of the registered OTMs or reject the request.

### SIP Top-Up Facility:

- Top-Up Options:** Investors can opt for SIP Top-Up either in terms of a fixed amount or a percentage increase to the SIP instalment.
  - Minimum of Rs. 1,000 and in multiples of Rs. 1,000
  - Minimum in Percentage: 10%, and in multiples of 5% thereafter.
- Top-Up Frequency:**
  - Half-Yearly: SIP instalment amount will increase by the specified amount or percentage after every 6th instalment.
  - Yearly: SIP instalment amount will increase by the specified amount or percentage after every 12th instalment.

Note: For Quarterly SIPs, only the Yearly Top-Up option is available.
- Default:**
  - If frequency or amount is not specified, the Top-Up will default to Yearly and Rs. 1,000.
  - If both frequency and amount are not specified, the SIP will be treated as a normal SIP (without Top-Up), subject to the form being otherwise complete.
  - If both percentage and amount are specified, then percentage will be considered for SIP Top-Up.
- Maximum Cap Amount:**
  - Top-Up will continue until each SIP instalment reaches the stated Maximum Cap Amount, after which the SIP amount remains constant until the end date.
  - If the Maximum Cap Amount is not mentioned, Top-Up will continue as per the selected frequency/amount, subject to the OTM limit.
  - If there's a mismatch between the OTM maximum amount and the Cap Amount, the lower of the two will be considered as the Cap Amount.

Investors should retain the acknowledgement evidencing submission of the transaction till they receive a confirmation of acceptance or rejection of transaction. In case of difference of details in acknowledgement vis-à-vis actual transaction document, the details as mentioned on transaction document will prevail.

|                                    |                     |                 |                                     |                 |
|------------------------------------|---------------------|-----------------|-------------------------------------|-----------------|
| Name & ARN Code / RIA Code# / PMRN | Sub-Broker ARN Code | Sub-Broker Code | Employee Unique Identification No.* | TIME STAMP HERE |
|------------------------------------|---------------------|-----------------|-------------------------------------|-----------------|

\*Purpose of EUIN is to capture the identification of the sales person/employee/relationship manager of the distributor interacting with the investor, irrespective of whether the transaction is "Execution only" or "Advisory". However, in case of any exceptional cases where there is no such interaction, the investor can keep EUIN box blank and sign the following declaration; I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this transaction is executed without any interaction or advice by the employee/relationship manager/sales person of the above distributor/sub broker or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor/sub broker. #/ We hereby give my/ our consent to share/ provide transaction data feed/ unit holding in respect of my/ our investments under Direct Plan to the above mentioned RIA.

1st Holder/Guardian/POA Holder  
Authorised Signatory

### 1. APPLICANT DETAILS (As available in Demat Account)

|                    |     |
|--------------------|-----|
| 1st Applicant Name | PAN |
| 2nd Applicant Name | PAN |
| 3rd Applicant Name | PAN |
| Folio No. if any   |     |

### 2. DEPOSITORY ACCOUNT DETAILS

☐ Physical Mode (Default) ☐ Demat Mode (Enclose Latest Client Master / Demat Account Statement)

Demat Account details are mandatory for (i) FPIs and (ii) investors who wish to hold the units in Demat Mode (Account statement (CAS) for units held in demat mode will be issued only by NSDL / CDSL) Please ensure that the sequence of names as mentioned in the application form matches with that of the A/c. held with the depository participant.

|      |                         |   |   |                         |
|------|-------------------------|---|---|-------------------------|
| NSDL | DP ID                   | I | N | Beneficiary Account No. |
| CDSL | Beneficiary Account No. |   |   |                         |

### 3. BANK ACCOUNT FOR BLOCKING OF FUNDS [Bank Account should be in the name of 1st Applicant only]

|               |                                            |                                                                                                                                                                                           |  |
|---------------|--------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| Bank Name     | Please provide Bank Account details proof. |                                                                                                                                                                                           |  |
| Account No    | Account Type                               | <input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> NRE <input type="checkbox"/> NRO <input type="checkbox"/> FCNR <input type="checkbox"/> Others |  |
| 11 Digit IFSC | Branch City                                |                                                                                                                                                                                           |  |

Total Amount to be blocked (₹) in Figures

Attention: NRI Investors: Payment should be made through their NRE / FCNR accounts.

### UNDERTAKING BY ASBA INVESTOR

I/ We hereby undertake that, I/we have read and understood the instructions mentioned in this Form and Terms and Conditions concerning ASBA as mentioned in the Investment Strategy Information Document (ISID), Key Information Memorandum (KIM) of the above-mentioned investment Strategy and Statement of Additional Information (SAI) of Prism SIF provided by Jio BlackRock ("Prism SIF") and the addendums issued thereto till date.

I/We hereby undertake that I/We am/are an ASBA Investor as per the applicable provisions of SEBI (Issue of Capital and Disclosure Requirements) Regulations, 2018 ('SEBI ICDR Regulations') as amended from time to time.

In accordance with ASBA process provided in the SEBI ICDR Regulations

(a) I/We authorize (a) the Self Certified Syndicate Bank (SCSB) to do all necessary acts including blocking of application money towards the Subscription of Units of the investment Strategy, 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 above mentioned investment Strategy/Prism SIF provided by Jio BlackRock on receipt of instructions from its Registrar and Transfer Agent after finalisation of basis of allotment entitling me/us to receive Units on such transfer of funds, etc.

(b) RTA / Prism SIF to issue instructions to the SCSB on or before allotment date, to remove the block on the funds in the bank account specified in the application and to transfer the requisite money to the investment Strategy's account / Bank account of Prism SIF.

In case the amount available in the bank account specified in this application is insufficient for blocking the amount equivalent to the application money towards the Subscription of Units, the SCSB shall reject the application.

If the DP ID, Beneficiary Account No. or PAN furnished by me/us in the application is incorrect, incomplete or not matching with the depository records, the application shall be rejected and Prism SIF or Jio BlackRock Asset Management Private Limited or R&TA or SCSBs shall not be liable for losses, if any.

I / We confirm that details provided by me / us are true and correct.

**APPLICABLE FOR NRIs/PIOs/ /FPIs INVESTING ON REPATRIATION BASIS ONLY:** I/We confirm that I am/we are Non-Resident(s) of Indian Nationality/Origin and that I/We have remitted funds from abroad through approved banking channels or from funds in my/our NRE/NRO/FCNR Account. I/We undertake that all additional purchases made under this folio will also be from funds received from abroad through approved banking channels or from funds in my/our NRE/NRO/FCNR Account.

### CONTACT DETAILS OF 1st APPLICANT

|            |  |
|------------|--|
| Mobile No. |  |
| Email ID   |  |

### SIGNATURE OF BANK ACCOUNT HOLDERS

|               |               |               |
|---------------|---------------|---------------|
| 1st Applicant | 2nd Applicant | 3rd Applicant |
|---------------|---------------|---------------|

**This page is intentionally left blank**

## TERMS & CONDITIONS AND INSTRUCTIONS

1. An ASBA investor, intending to subscribe to a public, shall submit a completed ASBA form to a Self Certified Syndicate Bank (SCSB), with whom the bank account to be blocked, is maintained, through one of the following modes :
  - (i) Submit the form physically with the Designated Branches (DBs) of the SCSB ("Physical ASBA");
  - (ii) Submit the form electronically through the internet banking facility offered by the SCSB ("Electronic ASBA").
2. ASBA Application Form will not be accepted by any of the offices of Prism SIF provided by JioBlackRock or its Registrar & Transfer Agent.
3. From one bank account more than five applications will not be allowed.
4. Investors shall note that the NFO units will be credited in the demat account specified in the ASBA cum application form.
5. To ensure that NFO units are allotted, Investors to ensure that their demat accounts are active i.e. not frozen or suspended.
6. Investors to note that if the DP-ID, beneficiary account and the PAN provided in the form are incomplete, incorrect or do not match with the depository records of NSDL or CDSL, the application shall be rejected.
7. Bank account details provided in the application will be the bank account number from where the NFO application amount is authorized to be blocked, Bid amount, bank and branch name shall be given in this block.
8. Investors will ensure that sufficient balance is maintained in the bank account mentioned in the form, else the application shall be liable to be rejected.
9. In case an ASBA investor wants to withdraw his/her ASBA during the bidding / offer period, he/ she shall submit his/ her withdrawal request to the SCSB, which shall do the necessary, including deletion of details of the withdrawn ASBA from the electronic bidding system of the Stock Exchange(s) and unblocking of funds in the relevant bank account.
10. Demat/Non-Demat Mode:
  1. Investor can hold units in demat/non-demat mode. In case investor did not provide demat account details or details of DP ID/BO ID, provided by the investor, is incorrect or demat account is not activated or not in active status, the units would be allotted in non demat mode.
  2. The investor can dematerialize his/her holdings in non demat mode. Similarly, investor can rematerialize holdings in demat mode. All expenses in connection with conversion from demat to remat mode or remat to demat mode will have to be incurred by the investors.
  3. Allotment letters would be sent to investors who are allotted units in demat mode and Statement of Accounts would be sent to investors who are allotted units in non demat mode.
11. SCSB means Self Certified Syndicate Bank registered with the SEBI, which offers the facility of ASBA.  
Please visit <https://www.sebi.gov.in/sebiweb/other/OtherAction.do?doRecognisedFpi=yes&intmId=34> or [www.nseindia.com](http://www.nseindia.com) for list of currently available Self Certified Syndicate Banks (SCSB) offering ASBA facility with their designated branches
12. The investor is required to submit a copy of the acknowledgement receipt of the ASBA Form (as submitted with SCSB) along with the NFO application form to be furnished to Prism SIF provided by Jio BlackRock.
13. Prism SIF provided by Jio BlackRock or its Registrar, shall not be liable for any negligence or mistake committed by the SCSBs



### ACKNOWLEDGEMENT FOR SCSB

|                                                                                                                                                             |                                     |     |                         |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------|-----|-------------------------|
| Received from 1st Applicant                                                                                                                                 |                                     | PAN |                         |
| Investment Strategy Name                                                                                                                                    | <b>Prism Hybrid Long-Short Fund</b> |     |                         |
| Depository Name [Please ✓] <input type="checkbox"/> National Securities Depository Ltd <input type="checkbox"/> Central Depository Services [India] Limited |                                     |     |                         |
| NSDL                                                                                                                                                        | DP ID                               | I N | Beneficiary Account No. |
| CDSL                                                                                                                                                        | Beneficiary Account No.             |     |                         |
| <b>SCSB ACCOUNT DETAILS:</b> Bank A/c No                                                                                                                    |                                     |     |                         |
| Bank Name & Branch                                                                                                                                          |                                     |     |                         |



### ACKNOWLEDGEMENT FOR INVESTOR

|                                       |                                     |
|---------------------------------------|-------------------------------------|
| Received from Mr. / Ms. / Mrs. / M/s. |                                     |
| Investment Strategy Name              | <b>Prism Hybrid Long-Short Fund</b> |
| <b>SCSB Account details</b>           |                                     |
| Bank Name                             | A/c No.                             |
| Branch Name                           |                                     |
| <b>Total Amount to be Blocked</b>     |                                     |
| ₹ in figures                          |                                     |
| <b>For Office use only</b>            |                                     |
| SCSB (Name & Code)                    | SCSB IFSC Code                      |
| Syndicate Member Code                 | SCSB Branch SL No                   |

SCSB, Stamp, Signature  
Date & Time of receipt

|                                    |                     |                 |                                     |                 |
|------------------------------------|---------------------|-----------------|-------------------------------------|-----------------|
| Name & ARN Code / RIA Code# / PMRN | Sub-Broker ARN Code | Sub-Broker Code | Employee Unique Identification No.* | TIME STAMP HERE |
|------------------------------------|---------------------|-----------------|-------------------------------------|-----------------|

\*Purpose of EUIN is to capture the identification of the sales person/employee/relationship manager of the distributor interacting with the investor, irrespective of whether the transaction is "Execution only" or "Advisory". However, in case of any exceptional cases where there is no such interaction, the investor can keep EUIN box blank and sign the following declaration; I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this transaction is executed without any interaction or advice by the employee/relationship manager/sales person of the above distributor/sub broker or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor/sub broker. #/ We hereby give my/ our consent to share/ provide transaction data feed/ unit holding in respect of my/ our investments under Direct Plan to the above mentioned RIA.

1st Holder/Guardian/POA Holder  
Authorised Signatory

(Please consult your professional tax advisor for further guidance on FATCA & CRS classification)

Name of the entity

Type of address given at KRA ☐ Residential or Business ☐ Residential ☐ Business ☐ Registered Office

PAN Date of Incorporation D D M M Y Y Y Y

City of incorporation Country of incorporation

## Additional KYC Information

Gross Annual Income (Rs.) [Please tick (✓)] ☐ Below 1 lac ☐ 1 - 5 Lacs ☐ 5 - 10 Lacs ☐ 10 - 25 Lacs ☐ 25 Lacs - 1 Crore ☐ >1 Crore

Net-worth ₹ as on D D M M Y Y Y Y (Not older than 1 year)

Non-Individual Investors involved/providing any of the mentioned services

☐ Foreign Exchange / Money Changer Services ☐ Gaming / Gambling / Lottery / Casino Services ☐ Money Lending / Pawning

☐ None of the above

## FATCA & CRS Declaration

Please tick the applicable tax resident declaration -

1. Is "Entity" a tax resident of any country other than India ☐ Yes ☐ No

(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

| Sr. No. | Country | Tax Identification Number* | Identification Type (TIN or Other*, please specify) |
|---------|---------|----------------------------|-----------------------------------------------------|
|         |         |                            |                                                     |
|         |         |                            |                                                     |
|         |         |                            |                                                     |

\* In case Tax Identification Number is not available, kindly provide its functional equivalent.

In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc.

In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here

## PART A (to be filled by Financial Institutions or Direct Reporting NFEs)

☐ We are a Financial institution (Refer 1 of Part C) ☐ or Direct reporting NFE (Refer 3(vii) of Part C) (please tick (✓) as appropriate)

GIIN Name of sponsoring entity

Note: If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below  
GIIN not available (please tick as applicable)

☐ Applied for ☐ Not obtained – Non-participating FI ☐ Not required to apply for - please specify 2 digits sub-category (Refer 1 A of Part C)

## PART B (please fill any one as appropriate "to be filled by NFEs other than Direct Reporting NFEs")

Is the Entity a publicly traded company (that is, a company whose shares are regularly traded on an established securities market) (Refer 2a of Part C) ☐ Yes (If yes, please specify any one stock exchange on which the stock is regularly traded)

Security ISIN

Name of stock exchange

Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market) (Refer 2b of Part C) ☐ (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded)

Name of listed company

Nature of relation: ☐ Subsidiary of the Listed Company or ☐ Controlled by a Listed Company

Security ISIN

Name of stock exchange

Is the Entity an active NFE (Refer 2c of Part C) ☐ Yes Nature of Business

Nature of relation: ☐ Subsidiary of the Listed Company or ☐ Controlled by a Listed Company

Please specify the sub-category of Active NFE (Mention code – refer 2c of Part C)

Is the Entity a passive NFE (Refer 3(ii) of Part C) ☐ Yes Nature of Business

UBO Declaration (Mandatory for all entities except, a Publicly Traded Company or a related entity of Publicly Traded Company)

Category (Please tick applicable category): ☐ Unlisted Company ☐ Partnership Firm / LLP ☐ Unincorporated association / body of individuals  
☐ Public Charitable Trust ☐ Private Trust ☐ Religious Trust ☐ Trust created by a Will ☐ Others (please specify \_\_\_\_\_ )

Does your company/entity have any individual person(s) who holds direct / indirect controlling ownership above the prescribed threshold limit?  
☐ Yes ☐ No

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

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

Please list below the details of controlling person(s), confirming ALL countries of tax residency/permanent residency/citizenship and ALL Tax Identification Numbers for EACH controlling person(s). (Please attached additional sheets if necessary).

Owner-documented FI's should provide FI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E (Refer 3(vi) of Part C)

|                                                                                                                           | UBO-1 / Senior Managing Official (SMO)                                                                                                                                                            | UBO-2                                                                                                                                                                                             | UBO-3                                                                                                                                                                                             |
|---------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Name                                                                                                                      |                                                                                                                                                                                                   |                                                                                                                                                                                                   |                                                                                                                                                                                                   |
| PAN<br>(For Foreign National, TIN to be provided)                                                                         |                                                                                                                                                                                                   |                                                                                                                                                                                                   |                                                                                                                                                                                                   |
| % of beneficial interest.                                                                                                 | <input type="checkbox"/> >10% controlling interest.<br><input type="checkbox"/> >15% controlling interest.<br><input type="checkbox"/> >25% controlling interest.<br><input type="checkbox"/> NA. | <input type="checkbox"/> >10% controlling interest.<br><input type="checkbox"/> >15% controlling interest.<br><input type="checkbox"/> >25% controlling interest.<br><input type="checkbox"/> NA. | <input type="checkbox"/> >10% controlling interest.<br><input type="checkbox"/> >15% controlling interest.<br><input type="checkbox"/> >25% controlling interest.<br><input type="checkbox"/> NA. |
| Country of Tax Residency.                                                                                                 |                                                                                                                                                                                                   |                                                                                                                                                                                                   |                                                                                                                                                                                                   |
| Taxpayer Identification Number / Equivalent ID Number<br>(Mandatory if country of tax residency is also other than India) |                                                                                                                                                                                                   |                                                                                                                                                                                                   |                                                                                                                                                                                                   |
| Identity Type                                                                                                             |                                                                                                                                                                                                   |                                                                                                                                                                                                   |                                                                                                                                                                                                   |
| Place & Country of Birth                                                                                                  | Place of Birth _____<br>Country of Birth _____                                                                                                                                                    | Place of Birth _____<br>Country of Birth _____                                                                                                                                                    | Place of Birth _____<br>Country of Birth _____                                                                                                                                                    |
| Nationality                                                                                                               |                                                                                                                                                                                                   |                                                                                                                                                                                                   |                                                                                                                                                                                                   |
| Date of Birth<br>[dd-mm-yyyy]                                                                                             |                                                                                                                                                                                                   |                                                                                                                                                                                                   |                                                                                                                                                                                                   |
| PEP                                                                                                                       | <input type="checkbox"/> Yes – PEP.<br><input type="checkbox"/> Yes – Related to PEP.<br><input type="checkbox"/> N – Not a PEP.                                                                  | <input type="checkbox"/> Yes – PEP.<br><input type="checkbox"/> Yes – Related to PEP.<br><input type="checkbox"/> N – Not a PEP.                                                                  | <input type="checkbox"/> Yes – PEP.<br><input type="checkbox"/> Yes – Related to PEP.<br><input type="checkbox"/> N – Not a PEP.                                                                  |
| Address<br>(include City, Pincode, State, Country)                                                                        | Address:<br><br>City:<br>Pincode:<br>State:<br>Country:                                                                                                                                           | Address:<br><br>City:<br>Pincode:<br>State:<br>Country:                                                                                                                                           | Address:<br><br>City:<br>Pincode:<br>State:<br>Country:                                                                                                                                           |
| Address Type                                                                                                              | <input type="checkbox"/> Residence<br><input type="checkbox"/> Business<br><input type="checkbox"/> Registered Office                                                                             | <input type="checkbox"/> Residence<br><input type="checkbox"/> Business<br><input type="checkbox"/> Registered Office                                                                             | <input type="checkbox"/> Residence<br><input type="checkbox"/> Business<br><input type="checkbox"/> Registered Office                                                                             |
| Email ID                                                                                                                  |                                                                                                                                                                                                   |                                                                                                                                                                                                   |                                                                                                                                                                                                   |
| Mobile                                                                                                                    |                                                                                                                                                                                                   |                                                                                                                                                                                                   |                                                                                                                                                                                                   |
| Gender                                                                                                                    | <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others                                                                                                     | <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others                                                                                                     | <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others                                                                                                     |
| Father's Name                                                                                                             |                                                                                                                                                                                                   |                                                                                                                                                                                                   |                                                                                                                                                                                                   |
| Occupation                                                                                                                | <input type="checkbox"/> Public Service <input type="checkbox"/> Private Service<br><input type="checkbox"/> Business <input type="checkbox"/> Others                                             | <input type="checkbox"/> Public Service <input type="checkbox"/> Private Service<br><input type="checkbox"/> Business <input type="checkbox"/> Others                                             | <input type="checkbox"/> Public Service <input type="checkbox"/> Private Service<br><input type="checkbox"/> Business <input type="checkbox"/> Others                                             |
| Designation                                                                                                               |                                                                                                                                                                                                   |                                                                                                                                                                                                   |                                                                                                                                                                                                   |

|                                                                      |                                                                                                                                                                                               |                                                                                                                                                                                               |                                                                                                                                                                                               |
|----------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| KYC Complied?                                                        | <div><input type="checkbox"/> Yes <input type="checkbox"/> No.</div> <div>If 'Yes,' please attach the KYC acknowledgement.</div> <div>If 'No,' complete the KYC and confirm the status.</div> | <div><input type="checkbox"/> Yes <input type="checkbox"/> No.</div> <div>If 'Yes,' please attach the KYC acknowledgement.</div> <div>If 'No,' complete the KYC and confirm the status.</div> | <div><input type="checkbox"/> Yes <input type="checkbox"/> No.</div> <div>If 'Yes,' please attach the KYC acknowledgement.</div> <div>If 'No,' complete the KYC and confirm the status.</div> |
| BEN2 Form or any other relevant supporting documents as applicable** | <div><input type="checkbox"/> Attached</div>                                                                                                                                                  | <div><input type="checkbox"/> Attached</div>                                                                                                                                                  | <div><input type="checkbox"/> Attached</div>                                                                                                                                                  |

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

\*\* Documentary proof for UBO.

FATCA - CRS Terms and Conditions

The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which require Indian financial institutions to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our unit holders. In relevant cases, information will have to be reported to tax authorities/ appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.

Please note that you may receive more than one request for information if you have multiple relationships with us or our group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

If you have any questions about your tax residency, please contact your tax advisor. If any controlling person of the entity is a US citizen or resident or green card holder, please include United States in the foreign country information field along with the US Tax Identification Number.

It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

Declaration

I/We have read and understood and agree to abide with terms and conditions of the Investment Strategy Information Document (ISID), Key Information Memorandum (KIM) and Statement of Additional Information (SAI) of Prism SIF provided by Jio BlackRock and the addendums issued thereto till date. I/We acknowledge and confirm that the information provided above is true and correct. In case any of the above specified information is found to be false, untrue, misleading, or misrepresenting, I/We am/are aware that I/We may be liable for it including any penalty levied by the statutory/legal/regulatory authority. I/We hereby confirm that the above beneficial interest after perusing all applicable shareholding pattern and Jio BlackRock Asset Management Private Limited ('AMC')/RTA/other registered intermediaries can make reliance on the same. I/We hereby authorize you [RTA/Prism SIF/AMC/Other participating entities] to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to any of SIF, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me/us of the same. Further, I/We authorize to share the given information to other SEBI Registered Intermediaries /or any regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA or any such regulatory authority to facilitate single submission / update & for other relevant purposes. I/We also undertake to keep you promptly inform in writing about any changes / modifications to the above information in future. I/We authorize Prism SIF/AMC/RTA to provide relevant information to upstream payors to enable withholding to occur and pay out any sums from my account or close or suspend my account(s) without any obligation of advising me of the same. I also confirm that I have read and understood the FATCA & CRS Terms and Conditions given below and hereby accept the same.

Name

Designation

Place

Date

D D M M Y Y Y Y

Sign of Authorised Signatory/ies & Seal of Entity

|                                              |                                 |                                 |            |
|----------------------------------------------|---------------------------------|---------------------------------|------------|
| 1st Holder/Guardian/<br>Authorised Signatory | 2nd Holder/Authorised Signatory | 3rd Holder/Authorised Signatory | POA Holder |
|----------------------------------------------|---------------------------------|---------------------------------|------------|

PART C FATCA Instructions & Definitions

1. Financial Institution (FI)

The term FI means any financial institution that is a Depository Institution, Custodial Institution, Investment Entity or Specified Insurance company, as defined.

- Depository institution: is an entity that accepts deposits in the ordinary course of banking or similar business.
- Custodial institution: is an entity that holds as a substantial portion of its business, holds financial assets for the account of others and where it's income attributable to holding financial assets and related financial services equals or exceeds 20 percent of the entity's gross income during the shorter of:
  - (i) The three financial years preceding the year in which determination is made; or
  - (ii) The period during which the entity has been in existence, whichever is less.
- Investment entity is any entity:
  - ✓ That primarily conducts a business or operates for or on behalf of a customer for any of the following activities or operations for or on behalf of a customer
    - (i) Trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading; or
    - (ii) Individual and collective portfolio management; or
    - (iii) Investing, administering or managing funds, money or financial asset or money on behalf of other persons;or
  - ✓ The gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets, if the entity is managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity described above.

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

    - (i) The three-year period ending on 31 March of the year preceding the year in which the determination is made; or
    - (ii) The period during which the entity has been in existence. The term "Investment Entity" does not include an entity that is an active non-financial entity as per codes 03, 04, 05 and 06 (refer point 2c.)
- Specified Insurance Company: Entity that is an insurance company (or the holding company of an insurance company) that issues, or is obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract.

|                                                   |                                                                                                                                                                                                         |
|---------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| • FI not required to apply for GIIN:              |                                                                                                                                                                                                         |
| A. Reasons why FI not required to apply for GIIN: |                                                                                                                                                                                                         |
| Code                                              | Sub-category                                                                                                                                                                                            |
| 01                                                | Governmental Entity, International Organization or Central Bank                                                                                                                                         |
| 02                                                | Treaty Qualified Retirement Fund; a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; or a Pension Fund of a Governmental Entity, International Organization or Central Bank |
| 03                                                | Non-public fund of the armed forces, an employees' state insurance fund, a gratuity fund or a provident fund                                                                                            |
| 04                                                | Entity is an Indian FI solely because it is an investment entity                                                                                                                                        |
| 05                                                | Qualified credit card issuer                                                                                                                                                                            |
| 06                                                | Investment Advisors, Investment Managers& Executing Brokers                                                                                                                                             |
| 07                                                | Exempt collective investment vehicle                                                                                                                                                                    |
| 08                                                | Trustee of an Indian Trust                                                                                                                                                                              |
| 09                                                | FI with a local client base                                                                                                                                                                             |
| 10                                                | Non-registering local banks                                                                                                                                                                             |
| 11                                                | FFI with only Low-Value Accounts                                                                                                                                                                        |
| 12                                                | Sponsored investment entity and controlled foreign corporation                                                                                                                                          |
| 13                                                | Sponsored, Closely Held Investment Vehicle                                                                                                                                                              |
| 14                                                | Owner Documented FFI                                                                                                                                                                                    |

2. Non-financial entity (NFE) - Entity that is not a financial institution

Types of NFEs that are regarded as excluded NFE are:

|                                                                                                                                                                                                                                                                                                                                                                                                             |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| a. Publicly traded company (listed company)<br>A company is publicly traded if its stock are regularly traded on one or more established securities markets<br>(Established securities market means an exchange that is officially recognized and supervised by a governmental authority in which the securities market is located and that has a meaningful annual value of shares traded on the exchange) |
| b. Related entity of a publicly traded company<br>The NFE is a related entity of an entity of which is regularly traded on an established securities market;                                                                                                                                                                                                                                                |

| c. Active NFE : (is any one of the following): |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
|------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Code                                           | Sub-category                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| 01                                             | Less than 50 percent of the NFE's gross income for the preceding financial year is passive income and less than 50 percent of the assets held by the NFE during the preceding financial year are assets that produce or are held for the production of passive income;                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| 02                                             | The NFE is a Governmental Entity, an International Organization, a Central Bank, or an entity wholly owned by one or more of the foregoing;                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| 03                                             | Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an entity shall not qualify for this status if the entity functions as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| 04                                             | The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFE;                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| 05                                             | The NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution;                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| 06                                             | The NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution;                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| 07                                             | Any NFE that fulfills all of the following requirements:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
|                                                | <ul style="list-style-type: none"> <li>It is established and operated in India exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in India and it is a professional organization, business league, chamber of commerce, labor organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare;</li> <li>It is exempt from income tax in India;</li> <li>It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;</li> </ul> <p>The applicable laws of the NFE's country or territory of residence or the NFE's formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and The applicable laws of the NFE's country or territory of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of the NFE's country or territory of residence or any political subdivision thereof.</p> <p>Explanation.- For the purpose of this sub-clause, the following shall be treated as fulfilling the criteria provided in the said sub-clause, namely:-</p> <p>(I) an Investor Protection Fund referred to in clause (23EA);</p> <p>(II) a Credit Guarantee Fund Trust for Small Industries referred to in clause 23EB; and</p> <p>(III) an Investor Protection Fund referred to in clause (23EC), of section 10 of the Act;</p> |

### 3. Other definitions

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>(i) Related entity</p> <p>An entity is a 'related entity' of another entity if either entity controls the other entity, or the two entities are under common control For this purpose, control includes direct or indirect ownership of more than 50% of the votes and value in an entity.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| <p>(ii) Passive NFE</p> <p>The term passive NFE means</p> <p>(1) any non-financial entity which is not an active non-financial entity including a publicly traded corporation or related entity of a publicly traded company; or</p> <p>(2) an investment entity defined in clause (1) of these instructions</p> <p>(3) a withholding foreign partnership or withholding foreign trust; (Note: Foreign persons having controlling interest in a passive NFE are liable to be reported for tax information compliance purposes)</p> <p>(Note: Foreign persons having controlling interest in a passive NFE are liable to be reported for tax information compliance purposes)</p>                                                                                                                                                                                                                                                                                                                                                                                                                 |
| <p>(iii) Passive income The term passive income includes income by way of :</p> <ol style="list-style-type: none"> <li>Dividends,</li> <li>Interest</li> <li>Income equivalent to interest,</li> <li>Rents and royalties, other than rents and royalties derived in the active conduct of a business conducted, at least in part, by employees of the NFE</li> <li>Annuities</li> <li>The excess of gains over losses from the sale or exchange of financial assets that gives rise to passive income</li> <li>The excess of gains over losses from transactions (including futures, forwards, options and similar transactions) in any financial assets,</li> <li>The excess of foreign currency gains over foreign currency losses</li> <li>Net income from swaps</li> <li>Amounts received under cash value insurance contracts</li> </ol> <p>But passive income will not include, in case of a non-financial entity that regularly acts as a dealer in financial assets, any income from any transaction entered into in the ordinary course of such dealer's business as such a dealer.</p> |

(iv) Controlling persons

Controlling persons are natural persons who exercise control over an entity and includes a beneficial owner under sub-rule (3) of rule 9 of the Prevention of Money-Laundering (Maintenance of Records) Rules, 2005. In the case of a trust, the controlling person means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust. In the case of a legal arrangement other than a trust, controlling person means persons in equivalent or similar positions.

Pursuant to guidelines on identification of Beneficial Ownership issued vide SEBI circular no. CIR/MIRSD/2/2013 dated January 24, 2013, persons (other than Individuals) are required to provide details of Beneficial Owner(s) ('BO'). Accordingly, the Beneficial Owner means 'Natural Person', who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest of / entitlements to:

- (1) More than 10% of shares or capital or profits of the juridical person, where the juridical person is a company;
- (2) More than 15% of the capital or profits of the juridical person, where the juridical person is a partnership; or
- (3) More than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.

Where the client is a trust, the financial institution shall identify the beneficial owners of the client and take reasonable measures to verify the identity of such persons, through the identity of the settlor of the trust, the trustee, the protector, the beneficiaries with 10% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership. Provided that in case of a trust, the reporting entity shall ensure that trustees disclose their status at the time of commencement of an account- based relationship or when carrying out transactions as specified in clause (b) of sub-rule (1) rule 9.

Where no natural person is identified the identity of the relevant natural person who holds the position of senior managing official.

(A) Controlling Person Type (UBO):

| UBO Code | Sub-category                                         |
|----------|------------------------------------------------------|
| 01       | CP of legal person-ownership                         |
| 02       | CP of legal person-other means                       |
| 03       | CP of legal person-senior managing official          |
| 04       | CP of legal arrangement-trust-settlor                |
| 05       | CP of legal arrangement-trust-trustee                |
| 06       | CP of legal arrangement-trust-protector              |
| 07       | CP of legal arrangement-trust-beneficiary            |
| 08       | CP of legal arrangement-trust-other                  |
| 09       | CP of legal arrangement-Other-settlor equivalent     |
| 10       | CP of legal arrangement-Other-trustee equivalent     |
| 11       | CP of legal arrangement-Other-protector equivalent   |
| 12       | CP of legal arrangement-Other-beneficiary equivalent |
| 13       | CP of legal arrangement-Other-other equivalent       |
| 14       | Owner Documented FFI                                 |

(v) Specified U.S. person – A U.S. person other than the following:

- (1) a corporation the stock of which is regularly traded on one or more established securities markets;
- (2) any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described in clause (i);
- (3) the United States or any wholly owned agency or instrumentality thereof;
- (4) any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing;
- (5) any organization exempt from taxation under section 501(a) of the U.S. Internal Revenue Code or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code;
- (6) any bank as defined in section 581 of the U.S. Internal Revenue Code;
- (7) any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code;
- (8) any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64);
- (9) any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code;
- (10) any trust that is exempt from tax under section 664(c) of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code;
- (11) a dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State;
- (12) a broker as defined in section 6045(c) of the U.S. Internal Revenue Code; or
- (13) any tax-exempt trust under a plan that is described in section 403(b) or section 457(g) of the U.S. Internal Revenue Code.

(vi) Owner documented FI An FI meets the following requirements:

- (a) The FI is an FI solely because it is an investment entity;
- (b) The FI is not owned by or related to any FI that is a depository institution, custodial institution, or specified insurance company;
- (c) The FI does not maintain a financial account for any non participating FI;
- (d) The FI provides the designated withholding agent with all of the documentation and agrees to notify the withholding agent if there is a change in circumstances; and
- (e) The designated withholding agent agrees to report to the IRS (or, in the case of a reporting Model 1 IGA, to the relevant foreign government or agency thereof) all of the information described in or (as appropriate) with respect to any specified U.S. persons and (2). Notwithstanding the previous sentence, the designated withholding agent is not required to report information with respect to an indirect owner of the FI that holds its interest through a participating FI, a deemed-compliant FI (other than an owner-documented FI), an entity that is a U.S. person, an exempt beneficial owner, or an excepted NFE.

(vii) Direct reporting NFE

A direct reporting NFE means a NFE that elects to report information about its direct or indirect substantial U.S. owners to the IRS.

| (viii) Exemption code for U.S. persons |                                                                                                                                                                                                                               |
|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Code                                   | Sub-category                                                                                                                                                                                                                  |
| A                                      | An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)                                                                                                      |
| B                                      | The United States or any of its agencies or instrumentalities                                                                                                                                                                 |
| C                                      | A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities                                                                                             |
| D                                      | A corporation the stock of which is regularly traded on one or more established securities markets, as described in Reg. section 1.1472-1(c)(1)(i)                                                                            |
| E                                      | A corporation that is a member of the same expanded affiliated group as a corporation described in Reg. section 1.1472-1(c)(1)(i)                                                                                             |
| F                                      | A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state |
| G                                      | A real estate investment trust                                                                                                                                                                                                |
| H                                      | A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940                                                                    |
| I                                      | A common trust fund as defined in section 584(a)                                                                                                                                                                              |
| J                                      | A bank as defined in section 581                                                                                                                                                                                              |
| K                                      | A broker                                                                                                                                                                                                                      |
| L                                      | A trust exempt from tax under section 664 or described in section 4947(a)(1)                                                                                                                                                  |
| M                                      | A tax exempt trust under a section 403(b) plan or section 457(g) plan                                                                                                                                                         |

|                                    |                     |                 |                                     |                 |
|------------------------------------|---------------------|-----------------|-------------------------------------|-----------------|
| Name & ARN Code / RIA Code# / PMRN | Sub-Broker ARN Code | Sub-Broker Code | Employee Unique Identification No.* | TIME STAMP HERE |
|------------------------------------|---------------------|-----------------|-------------------------------------|-----------------|

\*Purpose of EUIN is to capture the identification of the sales person/employee/relationship manager of the distributor interacting with the investor, irrespective of whether the transaction is "Execution only" or "Advisory". However, in case of any exceptional cases where there is no such interaction, the investor can keep EUIN box blank and sign the following declaration; I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this transaction is executed without any interaction or advice by the employee/relationship manager/sales person of the above distributor/sub broker or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor/sub broker. #I/ We hereby give my/ our consent to share/ provide transaction data feed/ unit holding in respect of my/ our investments under Direct Plan to the above mentioned RIA.

1st Holder/Guardian/POA Holder  
Authorised Signatory

Folio No.

**NAME OF 1ST APPLICANT** (Beneficial Investor)

Mr. / Ms. / M/s.

## 2. THIRD PARTY INFORMATION

**Name Of Third Party** (Person making the payment)

Mr. / Ms. / M/s

Nationality  PAN / PEKRN

**Name of Contact Person & Designation** (In case of non-individual third party)

Mr. / Ms.

Designation

**Mailing Address**

City  State

Country  Pincode

**Contact Details**

Mobile No.  Email ID

**RELATIONSHIP OF THIRD PARTY WITH THE BENEFICIAL INVESTOR** [Please tick (✓) as applicable]

| Status of the Beneficial Investor                               | <input type="checkbox"/> Minor                                                                                                            | <input type="checkbox"/> FPI <input type="checkbox"/> Client                                                                               | <input type="checkbox"/> Employee(s)                                                                                                                                   |
|-----------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Relationship of Third Party with the Beneficial Investor</b> | <input type="checkbox"/> Father / Mother / Court appointed Legal Guardian (Please attach proof of relationship, if not already submitted) | Custodian - SEBI Registration No. of Custodian _____<br><br>Registration Valid Till _____                                                  | Employer                                                                                                                                                               |
| <b>Declaration by Third Party</b>                               | I / We declare that the payment made on behalf of minor is in consideration of natural love and affection or as a gift.                   | I / We declare that the payment is made on behalf of FPI/Client and the source of this payment is from funds provided to us by FPI/Client. | I / We declare that the payment is made on behalf of employee(s) under Systematic Investment Plans or as lump sum / one-time subscription, through Payroll Deductions. |

## 3. THIRD PARTY OTHER DETAILS

**3a. Status of Third Party Applicant [Please tick (✓)]** ☐ Individual ☐ Non - Individual

☐ Resident Individual ☐ Minor ☐ NRI-NRE ☐ Public Ltd. Co. ☐ Sole Proprietor ☐ Insurance Co. ☐ Govt. Body  
☐ Partnership Firm ☐ LLP ☐ NRI-NRO ☐ Mutual Fund ☐ Private Ltd. Co. ☐ AOP / BOI ☐ Banks  
☐ Provident Fund ☐ Superannuation / Pension Fund ☐ Gratuity Fund ☐ Financial Institution ☐ FPI ☐ HUF  
☐ NPS Trust ☐ Defence Establishment ☐ FPI Category -I / II / III ☐ PIO ☐ Others \_\_\_\_\_

**3b. Occupation Details [Please tick (✓)]** ☐ Service ☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Student ☐ Professional

☐ Housewife ☐ Business ☐ Retired ☐ Agriculture ☐ Proprietorship ☐ Others \_\_\_\_\_

**3c. Gross Annual Income (₹) [Please tick (✓)]** ☐ Below 1 Lac ☐ 1-5 Lacs ☐ 5-10 Lacs ☐ 10- 25 Lacs ☐ >25 Lacs-1 Crore ☐ >1 Crore

**c. Net-worth** (Mandatory for Non-Individuals) ₹ \_\_\_\_\_ as on

(Not older than 1 year)

3d. Politically Exposed Person (PEP) Status (Also applicable for authorised signatories / Promoters / Karta / Trustee / Whole time Directors)

☐ I am PEP ☐ I am Related to PEP ☐ Not Applicable

3e. Non-Individual Investors involved / providing any of the mentioned services

☐ Foreign Exchange / Money Changer Services ☐ Gaming / Gambling / Lottery / Casino Services  
☐ Money Lending / Pawning ☐ None of the above

4. THIRD PARTY PAYMENT DETAILS

| Mode of Payment [Please (✓)]                                                                             | Mandatory Enclosure(s)*                                                                                                                                                                                                                               |
|----------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Cheque <input type="checkbox"/>                                                                          | In case the account number and account holder name of the third party is not pre-printed on the cheque then a copy of the bank passbook / statement of bank account or letter from the bank certifying that the third party maintains a bank account. |
| RTGS <input type="checkbox"/><br>NEFT <input type="checkbox"/><br>Fund Transfer <input type="checkbox"/> | Copy of the Instruction to the Bank stating the Bank Account Number which has been debited.                                                                                                                                                           |

\* Prism SIF by JioBlackRock / Jio BlackRock Asset Management Private Limited (JioBlackRock AMC) reserves the right to seek information and / or obtain such other additional documents / information from the Third Party for establishing the identity of the Third Party.

Amount in figures ₹

Cheque / UTR No. Cheque / RTGS Date

Pay- in Bank Account No.

Name of the Bank

Bank Branch Bank City

Account Type [Please tick (✓)] ☐ SAVINGS ☐ CURRENT ☐ NRE ☐ NRO ☐ FCNR ☐ OTHERS  (please specify)

5. DECLARATIONS & SIGNATURE / S

I / We hereby confirm and declare as under: -

I/We have read and understood the Third-Party Payment rules and guidelines, as given below and mentioned in Statement of Additional Information (SAI) of Prism SIF provided by Jio BlackRock (“Prism SIF”) and agree to comply and be bound by the same.

The information provided is true and correct and Prism SIF / Jio BlackRock Asset Management Private Limited (‘AMC’) is entitled to verify the same. I/We agree to furnish such further information as Prism SIF /AMC may require from me/us. I/We agree that if any of the declarations furnished by me/us are found to be incorrect or incomplete, the Prism SIF/AMC shall have the absolute discretion to reject / not process the Application Form received from the Beneficial Investor(s) and refund the subscription monies without any interest or compensation. I/We hereby declare that the proposed investments in the investment Strategy(s) is through legitimate sources only and is not for the purpose of contravention or evasion of any act, rules, regulations, notifications or directions issued by any regulatory authority. I/We shall be solely liable/responsible for any claim, loss and/ or damage of whatsoever nature that the Prism SIF/ AMC may suffer as a result of accepting the aforesaid payment from me/us towards processing the transaction in favour of the Beneficial Investor(s) as detailed in the Application Form. I/We am/are not prohibited from accessing capital markets under any order/ruling/judgment etc. of any regulation, including SEBI. I/We confirm that my application is in compliance with applicable Indian and foreign laws.

Applicable to NRIs / PIO / OCIs only:

I / We am / are not prohibited from accessing capital markets under any order / ruling / judgment etc. of any regulation, including SEBI. I / We confirm that my application is in compliance with applicable Indian and foreign laws.

Please (✓) ☐ Yes ☐ No

If yes, (✓) ☐ Repatriation basis  
☐ Non-repatriation basis

Signature of the Third Party

BENEFICIAL INVESTOR(S) DECLARATION

I / We hereby confirm that the information provided herein by the Third Party is true and correct.

Applicable to Guardian receiving funds on behalf of Minor only:

I / We confirm that I / We are the guardian of the Minor registered in folio and have no objection to the funds received towards Subscription of Units in this Investment Strategy(s) on behalf of the minor.

Sign below as per mode of holding

1st Holder/Guardian/  
Authorised Signatory

2nd Holder/Authorised Signatory

3rd Holder/Authorised Signatory

POA Holder

### THIRD PARTY PAYMENT RULES

- a. In order to enhance compliance with Know your Customer (KYC) norms under the Prevention of Money Laundering Act, 2002 (PMLA) and to mitigate the risks associated with acceptance of third-party payments, Association of Mutual Funds of India (AMFI) issued best practice guidelines on "risk mitigation process against third party instruments and other payment modes for mutual fund subscriptions". AMFI has issued the said best practice guidelines requiring mutual funds/asset management companies to ensure that Third-Party payments are not used for mutual fund subscriptions.
- b. Prism SIF provided by Jio BlackRock / Jio BlackRock AMC will not accept subscriptions with Third Party payments except in the following exceptional cases, which is subject to submission of requisite documentation/ declarations:
- a. Payment in respect of investments for minor investors from the bank account of the minor, parent or legal guardian of the minor, or from a joint account of the minor with parent or legal guardian.
  - b. Payment by Employer on behalf of employee under Systematic Investment Plans or lumpsum/ one time subscription, through Payroll deductions or deductions out of expense reimbursements.
  - c. Custodian on behalf of a Foreign Portfolio Investors (FPIs) or a client.
  - d. Payment by a Corporate to its Agent /Dealer (similar arrangement with Principal agent relationship), on account of commission or incentive payable for sale of its goods/services, in the form of the Mutual Fund Units through SIP or lump sum/one-time subscription, subject to compliance with SEBI Regulations and Guidelines issued by AMFI, from time to time.
- e. Applications submitted through the above mentioned 'exceptional cases' are required to comply with the following, without which applications for subscriptions for units will be rejected / not processed / refunded.
- i. Mandatory KYC for all investors (guardian in case of minor) and the person making the payment i.e. Third party.
  - ii. Submission of a complete and valid 'Third Party Payment Declaration Form' from the investors (guardian in case of minor) and the person making the payment i.e. Third party.
  - iii. Verifying the source of funds to ensure that funds have come from the drawer's account only.
- f. In accordance with SEBI Circular No. CIR/MIRSD/13/2013 dated December 26, 2013, additional details such as Occupation, Gross Annual Income/Net Worth, and Politically Exposed Person (PEP) status, which were previously part of the uniform KYC form, will now be included in the Prism SIF provided by JioBlackRock application form. Additionally, details regarding the nature of services (e.g., Foreign Exchange, Gaming, Money Lending) for the first/sole applicant must be provided as part of the Client Due Diligence (CDD) process for Prism SIF provided by JioBlackRock.
- The said details are mandatory for both Individual and Non-Individual applicants. \*PEP is defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/ judicial/ military officers, senior executives of state-owned corporations, important political party officials, etc.
- g. Investors are advised that any application for subscription to Units of the Prism SIF provided by JioBlackRock Investment Strategies, accompanied by Third Party payments (except for the exceptional cases as described in Rule (b) above, is subject to rejection. This rejection will occur without any recourse to the Third Party or the applicant investor(s).

The above-mentioned Third-Party Payment Rules are subject to change from time to time. Please contact any of the Investor Service Centres of Jio BlackRock AMC or visit our website [www.jioblackrockamc.com](http://www.jioblackrockamc.com) for any further information or updates on the same.

|                                    |                     |                 |                                     |                 |
|------------------------------------|---------------------|-----------------|-------------------------------------|-----------------|
| Name & ARN Code / RIA Code# / PMRN | Sub-Broker ARN Code | Sub-Broker Code | Employee Unique Identification No.* | TIME STAMP HERE |
|------------------------------------|---------------------|-----------------|-------------------------------------|-----------------|

\*Purpose of EUIN is to capture the identification of the sales person/employee/relationship manager of the distributor interacting with the investor, irrespective of whether the transaction is "Execution only" or "Advisory". However, in case of any exceptional cases where there is no such interaction, the investor can keep EUIN box blank and sign the following declaration; I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this transaction is executed without any interaction or advice by the employee/relationship manager/sales person of the above distributor/sub broker or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor/sub broker. #I/ We hereby give my/ our consent to share/ provide transaction data feed/ unit holding in respect of my/ our investments under Direct Plan to the above mentioned RIA.

1st Holder/Guardian/POA Holder  
Authorised Signatory

Investor Name

PAN

- ☐ I / We hereby confirm that the above stated entity / organization is **NOT** falling under Non-profit organization as defined above or in PMLA Act / Rules thereof.
- ☐ I/We hereby confirm that above stated entity / organization is falling under "Non-profit organization" [NPO] which has been constituted for religious or charitable purposes referred to in clause (15) of section 2 of the Income-tax Act, 1961 (43 of 1961), and is registered as a trust or a society under the Societies Registration Act, 1860 (21 of 1860) or any similar State legislation or a Company registered under the section 8 of the Companies Act, 2013 (18 of 2013).

We further confirm that we have registered with DARPAN Portal of NITI Aayog as NPO and registration details are as follows:

Registration Number of DARPAN portal

If not, please register immediately and confirm with the above information.

## Declaration & Signature(s)

☐ I/We hereby confirm that above stated entity / organization is falling under "Non-profit organization" [NPO] which has been constituted for religious or charitable purposes referred to in clause (15) of section 2 of the Income-tax Act, 1961 (43 of 1961), and is registered as a trust or a society under the Societies Registration Act, 1860 (21 of 1860) or any similar State legislation or a Company registered under the section 8 of the Companies Act, 2013 (18 of 2013).

OR

☐ I/We hereby confirm that the above stated entity / organization is NOT falling under Non-profit organization as defined above or in PMLA Act/Rules thereof and pay out any sums from my account or close or suspend my account(s) without any obligation of advising me of the same. I also confirm that I have read and understood the FATCA & CRS Terms and Conditions given below and hereby accept the same.

I/We acknowledge and confirm that the information provided above is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/We may be liable for it for any fines or consequences as required under the respective statutory requirements and authorize you to deduct such fines/charges under intimation to me/us or collect such fines/charges in any other manner as might be applicable. I/We hereby authorize you [Prism SIF provided by Jio BlackRock (Prism SIF)/ Jio BlackRock Asset Management Private Limited ('AMC')/its RTA/Other participating entities] to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to any of the SIF, its Sponsors, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me/us of the same. Further, I/We authorize to share the given information to other SEBI Registered Intermediaries or any other statutory authorities to facilitate single submission / update & for regulatory purposes. I/We also undertake to keep you informed in writing about any changes / modification to the above information in future within 30 days of such changes and undertake to provide any other additional information as may be required at AMC / SIF's end or by domestic or overseas regulators/ tax authorities

Signature with relevant seal:

|                      |                      |                      |
|----------------------|----------------------|----------------------|
| Authorized Signatory | Authorized Signatory | Authorized Signatory |
|----------------------|----------------------|----------------------|

Place:

Date:

D D M M Y Y Y Y

Version 1.0

PAN

Name of Investor

TIME STAMP HERE