

1. REGISTRATION RELATED FORMS

A. APPLICATION FOR THE GRANT OF REGISTRATION OF MUTUAL FUND

Securities and Exchange Board of India (Mutual Funds) Regulations, 2026

(Regulation 3(a))

Name of applicant	
Contact person	
Name of the Compliance officer	
Telephone No.	
Fax No.	

Instruction for filling up form:

1. Applicants must submit a completed application form together with appropriate supporting documents to the Board.
2. It is important that this application form shall be filled in accordance with the regulations.
3. An application which is not complete is liable to be rejected.
4. Answers must be typed and legible.
5. Information which needs to be supplied in more details may be given on separate sheets which should be attached to the application form.
6. The application must be signed by the competent person having authority to do so and all signatures must be in original.

APPLICATION BY SPONSOR OF THE MUTUAL FUND FOR REGISTRATION

Sr. No.	Particulars	Details
1.	Name of the sponsor	

2.	Address of the registered office/correspondence address Telephone Nos. Telex Nos. Fax Nos.	
3.	Name of the contact person	
4.	Date and place of incorporation of the sponsor (enclose a copy of certificate of incorporation)	
5.	Objects of the sponsor (enclose copy of the Memorandum and Articles of Association) Main objects Ancillary objects	
6.	Capital structure and shareholding pattern	
7.	Present line of business activities Number of years in that line	
8.	Condensed financial information (enclose balance sheets and profit and loss account for five years)	
9.	Latest networth certificate from the statutory auditor	
10.	Accounting policies (furnish description of significant accounting policies)	
11.	Systems and procedures (furnish description of systems and procedures in the company and essential internal controls in order to carry on the business of the company)	

12.	Names of the associate organisations / group companies/subsidiaries, etc.	
13.	Management of the sponsor Board of the company with names, experience, qualification, and profession of the Directors Names of key personnel Organisational structure Board of Directors of associate organisations, companies and subsidiaries	
14.	Names and addresses of the bankers of the sponsor	
15.	Names and addresses of the auditors of the sponsor	
16.	Court cases/litigations in which the sponsor may have been involved in the last three years	
17.	An application for registration of mutual fund shall be accompanied by a copy each of (A) Draft trust deed; (B) Draft investment management agreement; and (C) Draft custodian agreement	

CONDENSED FINANCIAL INFORMATION

(A) Income statement		
	Years	(Rs.)
	(1 2 3 4 5)	
<i>Income:</i>		
Dividend		
Trading		

Management Fee		
Other income		
Total		
<i>Expenses:</i>		
Director's remuneration		
Trusteeship fees		
Custodian fees		
Registrar's fees		
Other expenses		
Total		
Gross Profit		
Depreciation		
Net profit before tax		
Tax		
Profit after tax		
Dividends		
Retained earnings		

(B) Assets and liabilities		
	Years	(Rs.)
	(1 2 3 4 5)	
<i>Assets:</i>		
Fixed Assets		

Gross		
Depreciation		
Net value		
Current assets		
Investments*		
Others (please specify)		
Cash and bank balances		
<i>Less:</i>		
Current liabilities and		
Provisions		
Net worth		
<i>Represented by:</i>		
Issued and paid up capital		
Free reserves		
(excluding revaluation reserves)		
Total		

**Provide full particulars of investments*