

Invesco India Smallcap Fund

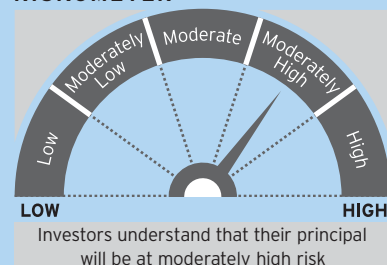
(Small Cap Fund - An open ended equity scheme predominantly investing in small cap stocks)

Suitable for investors who are seeking*

- capital appreciation over long term
- investments predominantly in equity and equity-related instruments of Smallcap companies

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

RISKOMETER



Offer for Units of Rs. 10/- each for cash during the New Fund Offer Period and Continuous Offer for Units at NAV based prices.

| | |
|---|---|
| New Fund Offer Opens on | October 10, 2018 |
| New Fund Offer Closes on | October 24, 2018 |
| Scheme re-opens for continuous sale and repurchase on | Within 5 Business Days from the date of allotment |

This Key Information Memorandum (KIM) sets forth the information, which a prospective investor ought to know before investing. For further details of the Scheme/Mutual Fund, due diligence certificate by the AMC, Key Personnel, investors' rights & services, risk factors, penalties & pending litigations etc. investors should, before investment, refer to the Scheme Information Document and Statement of Additional Information available free of cost at any of the Investor Service Centres or distributors or from the website www.invescomutualfund.com.

The Scheme particulars have been prepared in accordance with Securities and Exchange Board of India (Mutual Funds) Regulations, 1996, as amended till date, and filed with Securities and Exchange Board of India (SEBI). The units being offered for public subscription have not been approved or disapproved by SEBI, nor has SEBI certified the accuracy or adequacy of this KIM.

This KIM is dated September 17, 2018.

SPONSOR

Invesco Hong Kong Limited, 41/F, Champion Tower, 3 Garden Road, Central, Hong Kong.

INVESTMENT MANAGER

Invesco Asset Management (India) Private Limited
2101 - A, 21st Floor, A Wing, Marathon Futurex,
N. M. Joshi Marg, Lower Parel, Mumbai - 400013.

TRUSTEE

Invesco Trustee Private Limited
2101 - A, 21st Floor, A Wing, Marathon Futurex,
N. M. Joshi Marg, Lower Parel, Mumbai - 400013.

MUTUAL FUND

Invesco Mutual Fund, 2101 - A, 21st Floor, A Wing, Marathon Futurex, N. M. Joshi Marg, Lower Parel, Mumbai - 400013.

Invesco India Smallcap Fund

(Small Cap Fund – An open ended equity scheme predominantly investing in small cap stocks)

Investment Objective

To generate capital appreciation by investing predominantly in stocks of smallcap companies.

However, there is no assurance or guarantee that the investment objective of the Scheme will be achieved. The Scheme does not assure or guarantee any returns.

Asset Allocation Pattern of the Scheme

Under normal circumstances, the asset allocation of the Scheme would be as follows:

| Type of Instruments | Normal Allocation (% of Net Assets) | |
|--|--|---------|
| | Minimum | Maximum |
| Equity & Equity Related Instruments of Smallcap Companies | 65 | 100 |
| Equity & Equity Related Instruments of companies other than Smallcap Companies | 0 | 35 |
| Debt & Money Market Instruments | 0 | 35 |

As per SEBI Circular dated October 6, 2017, small cap companies means 251st company onwards in terms of full market capitalization or such other companies as may be specified by SEBI from time to time.

Debt instruments may include Government Securities. It may also include securitized debt (including pass through certificates (PTC)) up to 35% of the net assets of the Scheme.

The scheme will not invest in foreign securitized debt.

The Scheme may seek investment opportunity in foreign securities in accordance with the guidelines stipulated by SEBI and RBI from time to time. The exposure to foreign securities (including mutual fund and other approved securities) shall not exceed 50% of the net assets of the Scheme.

The scheme may use derivatives for purposes as may be permitted from time to time. The maximum derivative position will be restricted to 50% of the net assets of the Scheme. The cumulative gross exposure through equity, debt and derivative positions shall not exceed 100% of the net assets of the Scheme, subject to provisions of SEBI circular dated August 18, 2010 w.r.t. investment in derivatives.

The scheme may enter into repos/reverse repos other than repo in corporate debt securities as may be permitted by RBI. From time to time, the Scheme may hold cash. A part of the net assets may be invested in the Collateralized Borrowing & Lending Obligations (CBLO) or repo or in an alternative investment as may be provided by RBI to meet the liquidity requirements.

The Scheme may engage in short selling of securities in accordance with the framework relating to short selling and securities lending and borrowing, specified by SEBI from time to time.

The Scheme shall not deploy more than 50% of its net assets in securities lending. In addition to the above limit, in case of debt instruments, the Scheme shall not deploy more than 5% of the net assets in securities lending to any single counter party.

Pending deployment of funds in securities in terms of investment objective of the Scheme, the AMC may park the funds of the Scheme in short term deposits of the Scheduled Commercial Banks, subject to the guidelines issued by SEBI vide its circular dated April 16, 2007, as may be amended from time to time.

Subject to the Regulations, the asset allocation pattern indicated above may change from time to time, keeping in view the market conditions, market opportunities, applicable regulations and political and economic factors. It must be clearly understood that the percentages stated above are only indicative and not absolute and that they can vary substantially depending upon the perception of the Fund Manager, the intention being, at all times, to seek to protect the interests of the Unit holders. Such changes in the investment pattern will be for short term and defensive considerations. The Fund Manager will restore asset allocation in line with the asset allocation pattern within 1 month.

In case the portfolio is not re-balanced within 1 month, justification for the same shall be recorded in writing and will be placed before the investment committee. The investment committee will then decide on further course of action.

Investment Strategy of the Scheme

The fund will predominantly invest in smallcap companies with a view to generate capital appreciation over the long term. The fund will have a diversified portfolio of smallcap companies which will be selected based on bottom up investment approach. In addition, the stock selection of the fund will be guided by our internal proprietary stock categorization framework, which enables the fund management team in filtering the stock universe to identify the best investment opportunities.

Risk Profile of the Scheme

Mutual Fund Units involve investment risks including the possible loss of principal. Please read the SID carefully for details on risk factors before investment. Scheme specific Risk Factors are summarized below:

Risk Factors: The Smallcap stocks carry higher liquidity risk as they are less extensively researched compared to large cap stocks and mid cap stocks. This may lead to abnormal illiquidity and consequent higher impact cost.

Risk Mitigation Measures: Our investment process involves extensive in-house research on companies and we believe this mitigates the risk posed by lower liquidity of Smallcap companies.

Risks associated with Equity and Equity Related Instruments

- Equity and Equity Related Instruments by nature are volatile and prone to price fluctuations on a daily basis due to macro and micro economic factors. The value of Equity and Equity Related Instruments may fluctuate due to factors affecting the securities markets such as volume and volatility in the capital markets, interest rates, currency exchange rates, changes in law/policies of the Government, taxation laws, political, economic or other developments, general decline in the Indian markets, which may have an adverse impact on individual securities, a specific sector or all sectors. Consequently, the NAVs of the Units issued under the Scheme may be adversely affected.

Further, the Equity and Equity Related Instruments are risk capital and are subordinate in the right of payment to other securities, including debt securities.

Equity and Equity Related Instruments listed on the stock exchange carry lower liquidity risk; however the Scheme's ability to sell these investments is limited by the overall trading volume on the stock exchanges. In certain cases, settlement periods may be extended significantly by unforeseen circumstances. The inability of the Scheme to make intended securities purchases due to settlement problems could cause the Scheme to miss certain investment opportunities. Similarly, the inability to sell securities held in the Scheme's portfolio may result, at times, in potential losses to the Scheme, should there be a subsequent decline in the value of securities held in the Scheme's portfolio.

Further, the volatility of small - capitalization stocks may be higher in comparison to liquid large / medium capitalisation stocks.

The Scheme may invest in securities which are not listed on the stock exchanges. These securities may be illiquid in nature and carry a higher amount of liquidity risk, in comparison to securities that are listed on the stock exchanges or offer other exit options to the investor. The liquidity and valuation of the Scheme's investments due to its holdings of unlisted securities may be affected if they have to be sold prior to the target date of disinvestment.

- Risks associated with investing in fixed income and money market instruments involve interest - rate risk, credit risk, liquidity or marketability risk, re-investment risk, volatility risk etc.
- Risks associated with investing in ADR/GDR and foreign securities involve fluctuation in foreign exchange rates, restriction on repatriation of capital and earnings under the exchange control regulations and transaction procedure in overseas market. The exchange risk associated with a foreign denominated instrument is a key element in foreign investment.
- Risks associated with the use of derivatives are different from or possibly greater than, the risks associated with investing directly in securities and other traditional investments. Derivative products are leveraged instruments and can provide disproportionate gains as well as disproportionate losses to the investor. Other risks include risk of mispricing or improper valuation and the inability of the derivative to correlate perfectly with underlying assets, rates and indices, illiquidity risk whereby the Scheme may not be able to sell or purchase derivative quickly enough at a fair price.

Risks associated with Securitised Debt

Risk associated with investing in securitised debt involve interest rate risk, prepayment risk, credit or default risks. Further, Asset Backed Security has structure risk due to a unique characteristic known as early amortization or early payout risk.

• Risks associated with Securities Lending

For Equity Instruments: As with other modes of extensions of credit, there are risks inherent to securities lending. During the period the security is lent, the Scheme may not be able to sell such security and in turn cannot protect from the falling market price of the said security. Under the current securities lending and borrowing mechanism, the Scheme can call back the securities lent any time before the maturity date of securities lending contract. However this will be again the function of liquidity in the market and if there are no lenders in the specified security, the Scheme may not be able to call back the security and in the process, the Scheme will be exposed to price volatility. Moreover, the fees paid for calling back the security may be more than the lending fees earned by Scheme at the time of lending the said security and this could result in loss to the Scheme. Also, during the period the security is lent, the Fund will not be able to exercise the voting rights attached to the security as the security will not be registered in the name of the Scheme in the records of the Depository/ issuer.

For Debt Instruments: As with other modes of extensions of credit, there are risks inherent to securities lending, including the risk of failure of the other party, in this case the approved intermediary, to comply with the terms of the agreement entered into between the lender of securities i.e. the Scheme and the approved intermediary. Such failure can result in the possible loss of rights to the collateral put up by the borrower of the securities, the inability of the approved intermediary to return the securities deposited by the lender and the possible loss of any corporate benefits accruing to the lender from the securities deposited with the approved intermediary. The Fund may not be able to sell such lent securities and this can lead to temporary illiquidity.

• Risks associated with Short Selling

The Scheme may enter into short selling transactions, subject to SEBI and RBI Regulations. Short positions carry the risk of losing money and these losses may grow unlimited theoretically if the price of the stock increases without any limit. This may result in major loss to the Scheme. At times, the participants may not be able to cover their short positions, if the price increases substantially. If numbers of short sellers try to cover their position simultaneously, it may lead to disorderly trading in the stock and thereby can briskly escalate the price even further making it difficult or impossible to liquidate short position quickly at reasonable prices. In additions, short selling also carries the risk of inability to borrow the security by the participants thereby requiring the participants to purchase the securities sold short to cover the position even at unreasonable prices.

Risk Mitigation Measures

For Equity and Equity Related Instruments:

| Type of Risk | Risk Mitigation Measures |
|--------------------|--|
| Volatility Risk | By monitoring sector / company exposure at portfolio level. |
| Liquidity Risk | The fund manager will control the liquidity at portfolio construction level. |
| Concentration Risk | By diversifying across stocks / sectors, concentration risk can be reduced. The fund manager will endeavor to build well diversified portfolios within the overall fund specific investment strategy, which will help in controlling concentration risk. |

Plans and Options

Invesco India Smallcap Fund offers a separate Plan for investments directly with the Fund (i.e. application not routed through Distributor).

Thus, the Scheme offers two plans as follows:

- Invesco India Smallcap Fund - Regular Plan
- Invesco India Smallcap Fund - Direct Plan

Each of the above Plans under the Scheme offers following options:

- Growth option
- Dividend option
 - Payout facility
 - Reinvestment facility

Direct Plan will have a lower expense ratio excluding distribution expenses, commission for distribution of Units etc. Direct Plan is only for investors who purchase /subscribe Units directly with the Fund (i.e. application not routed through Distributor). Investments under Direct Plan can be made through various modes offered by the Fund for investing directly with the Fund (except Stock Exchange Platform(s) and all other Platform(s) where investors' applications for subscription of units are routed through Distributors). Further Registered Investment Advisors (RIAs) can also purchase units of Direct Plan on behalf of their clients through NMF-II platform of National Stock Exchange of India Ltd. and/or BSE STAR MF System of BSE Ltd. The portfolio of Direct Plan will form part of portfolio of the Scheme and there will be no separate portfolio for Direct Plan. Further, all the options i.e. Growth and Dividend will have common portfolio under the Scheme.

If dividend payable under dividend payout option is equal to or less than Rs. 500/-, then the dividend would be compulsorily reinvested in the option of the Scheme.

Default Plan / Option

Investors subscribing Units under Direct Plan of a Scheme should indicate "Direct Plan" against the Scheme name in the application form. Investors should also mention "Direct" in the ARN column of the application form.

The table showing various scenarios for treatment of application under "Direct/Regular" Plan is as follows:

| Scenario | Broker Code mentioned by the investor | Plan mentioned by the investor | Default Plan to be captured |
|----------|---------------------------------------|--------------------------------|-----------------------------|
| i | Not mentioned | Not mentioned | Direct |
| ii | Not mentioned | Direct | Direct |
| iii | Not mentioned | Regular | Direct |
| iv | Mentioned | Direct | Direct |
| v | Direct | Not Mentioned | Direct |
| vi | Direct | Regular | Direct |
| vii | Mentioned | Regular | Regular |
| viii | Mentioned | Not Mentioned | Regular |

In cases of wrong/ invalid/ incomplete ARN code mentioned on the application form, the application will be processed under Regular Plan. The AMC shall contact and obtain the correct ARN code within 30 calendar days of the receipt of application form from the investor/ distributor. In case, the correct code is not received within 30 calendar days, the AMC shall reprocess the transaction under Direct Plan from the date of application without any exit load.

Investors should indicate option for which subscription is made by indicating the choice in the appropriate box provided for this purpose in the application form. In case of valid application received without any choice of option, the following default option will be considered:

| Description | Default |
|----------------------|--------------|
| Growth/ Dividend | Growth |
| Reinvestment/ Payout | Reinvestment |

Minimum Target Amount

Rs. 10 Crores

Applicable NAV (after the Scheme opens for repurchase and sale)

For Subscriptions / Purchases / Switch- ins for amount less than Rs. 2 Lakh :

- In respect of valid application received upto 3.00 p.m. on a Business Day by the Fund along with a local cheque or a demand draft payable at par at the Official Points of Acceptance where the application is received, the closing NAV of the day on which application is received shall be applicable.
- In respect of valid application received after 3.00 p.m. on a Business Day by the Fund along with a local cheque or a demand draft payable at par at the Official Points of Acceptance where the application is received, the closing NAV of the next Business day shall be applicable.
- In respect of valid application with an outstation cheques or demand drafts not payable at par at the Official Points of Acceptance where the application is received, the closing NAV of day on which the cheque or demand draft is credited shall be applicable.

For Subscriptions / Purchases / Switch- ins for amount equal to or more than Rs. 2 Lakh :

- In respect of valid application received upto 3.00 p.m. on a Business Day at the Official Points of Acceptance and funds for the entire amount of subscription/purchase as per the application/switch-in request are available for utilization by the scheme before the cut off time i.e. funds are credited to the bank account of the Scheme before the cut off time, the closing NAV of day on which application is received shall be applicable.
- In respect of valid application received after 3.00 p.m. on a Business Day at the Official Points of Acceptance and funds for the entire amount of subscription/purchase as per the application/switch-in request are available for utilization by the scheme after the cut off time on the same day i.e. the funds are credited to the bank account of the Scheme after cut off time on the same day, the closing NAV of next Business Day shall be applicable.
- Irrespective of the time of receipt of application at the Official Point of Acceptance, where funds for the entire amount of subscription/purchase as per the application/switch-in request are available for utilization before the cut off time of any subsequent Business Day i.e. funds are credited to the bank account of the Scheme before the cut off time of any subsequent Business Day, the closing NAV of such Business Day on which the funds are available for utilization by the Scheme shall be applicable.
 - It is clarified that in case where more than one application is received for purchase / subscription in the Scheme (irrespective of the plan/option/ sub-option) of the Fund for an aggregate investment amount equal to or more than Rs. 2 Lakh on any business day (as per time stamping rule), then such applications shall be aggregated at Permanent Account Number (PAN) level of the investor / unit holder. In case of joint holding, transactions with similar holding structures will be aggregated similar to the principle applied for compilation of Consolidated Account Statements (CAS). Further the transactions will be aggregated where investor holding pattern is same irrespective of whether the amount of the individual transaction is above or below Rs. 2 Lakh.
 - For the purpose of aggregation of transactions Switches, Systematic Investment Plan, Systematic Transfer Plan, other triggered transactions will be excluded. Further, transactions in the name of minor received through guardian will not be aggregated with the transaction in the name of same guardian.
 - Such aggregation shall be done irrespective of the number of folios under which the investor is investing and irrespective of source of funds, mode of payment, location and time of application.
 - Accordingly, the applicable NAV for such transaction will be of the day on which funds are available for utilization before the cut off time in case of each application.
 - In case funds are received on separate days and are available for utilization on different Business Days before the cut off time, the applicable NAV shall be of the Business Days on which the cleared funds are available for utilization for the respective application amount.

Cut off timing for redemption / repurchases / switch-outs :

- In respect of valid applications received at the Official Points of Acceptance upto 3.00 p.m. on a Business Day by the Fund, the closing NAV of the day on which application is received shall be applicable.
- In respect of valid applications received at the Official Points of Acceptance after 3.00 p.m. on a Business Day by the Fund, the closing NAV of the next Business day shall be applicable.

For Switches

Valid applications for 'switch-out' shall be treated as applications for Redemption and the provisions of the Cut-off time and the Applicable NAV mentioned in the SID as applicable to Redemption shall be applied to the 'switch-out' applications. In case of 'switch' transactions from one scheme to another the allocation shall be in line with redemption payouts.

Minimum Application and redemption Amount/ Number of Units

For Lumpsum Purchase

| | |
|----------------------------|---|
| Purchase | ₹ 5,000/- per application and in multiples of Re. 1/- thereafter. |
| Switch-in | ₹ 5,000/- per application and in multiples of Re. 0.01/- thereafter. |
| Additional Purchase | ₹ 1,000/- per application and in multiples of Re.1/- thereafter. Switch-in: ₹ 1,000/- per application and in multiples of Re. 0.01/- thereafter. |
| Repurchase | ₹ 1,000/- or account balance, whichever is lower. |

For Systematic Investment Plan

| NFO and Ongoing Basis | |
|------------------------------|--|
| Monthly frequency | ₹ 500 /- per month and in multiples of Re. 1 thereafter (Minimum number of installments should be 12) ₹ 1,000/- or more per month and in multiples of Re. 1 thereafter (Minimum number of installments should be 6) |
| Quarterly frequency | ₹ 1,500/- per quarter and in multiples of Re. 1 thereafter (Minimum number of installments should be 4) |

Despatch of Repurchase (Redemption) Request

Within 10 working days of the receipt of the redemption request at the authorised centre of Invesco Mutual Fund.

Benchmark Index

S&P BSE 250 Smallcap index

Dividend Policy

Under the Dividend option, the Trustees will endeavour to declare the dividend as per the specified frequencies, subject to availability of distributable surplus calculated in accordance with SEBI Regulations. The actual declaration of dividend and frequency will inter-alia, depend on availability of distributable surplus calculated in accordance with SEBI (MF) Regulations and the decisions of the Trustees shall be final in this regard. There is no assurance or guarantee to the Unit holders as to the rate of dividend nor that the dividend will be paid regularly.

The AMC/Trustee reserves the right to change the frequency of declaration of dividend or may provide for additional frequency for declaration of dividend.

Name of the Fund Managers

Mr. Taher Badshah
Tenure for which Fund Manager has been managing the Scheme: N.A since the Scheme is a new scheme.

Name of the Trustee Company

Invesco Trustee Private Limited

Performance of the Scheme

This Scheme is a new scheme and does not have any performance track record.

Expenses of the Scheme

i. Load Structure

(During the New Fund Offer Period and on an Ongoing Basis)

Entry Load: Nil

In terms of SEBI Circular No. SEBI/IMD/CIR No. 4/168230/09 dated June 30, 2009, no entry load will be charged on purchase / additional purchase / switch-in.

The upfront commission, if any, on investment made by the investor shall be paid by the investor directly to the Distributor, based on his assessment of various factors including the service rendered by the Distributor.

Exit Load²:

- In respect of each purchase/switch-in of units, an exit load of 1% is payable if units are redeemed/ switched-out on or before 1 year from the date of allotment.
- In respect of each purchase/switch-in of units, no exit load is payable if units are redeemed/switched-out after 1 year from the date of allotment.
- Switch between the Plans under the Scheme: Applicable Exit load
 - For Switch from Regular Plan to Direct Plan: Applicable Exit Load
 - For Switch from Direct Plan to Regular Plan: Nil*

* It should be noted that if the Unit holder redeems /switches-out such switched units from regular plan before completing specified exit load period from the date of original purchase, applicable exit load will be charged.

- No Entry/Exit Load will be levied on Units issued on dividend reinvested.
- No Entry/Exit Load will be levied on Units issued as bonus units.
- A switch-out or a withdrawal under SWP may also attract an Exit Load like any Redemption.

²Exit Load charged, if any, will be credited back to the scheme, net of Goods & Services Tax (GST).

ii. Recurring Expenses

| Daily Net Assets | First Rs. 100 Crores | Next Rs. 300 Crores | Next Rs. 300 Crores | Over Rs.700 Crores |
|------------------------------------|----------------------|---------------------|---------------------|--------------------|
| Maximum as a % of daily net assets | 2.50% | 2.25% | 2.00% | 1.75% |

Annual Scheme Recurring Expenses charged to Direct Plan will be restricted upto 1.80% of daily net assets. Commission and distribution expenses will not be charged to the Direct Plan under the Scheme. The Total Recurring Expenses charged to Direct Plan will be lower by at least 28.00% vis-à-vis Regular Plan under the Scheme.

Fungibility of expenses: The expenses towards Investment Management and Advisory Fees under Regulation 52 (2) and the various sub-heads of recurring expenses mentioned under Regulation 52 (4) of SEBI (MF) Regulations are fungible in nature. Thus, there shall be no internal sub-limits within the expense ratio for expense heads mentioned under Regulation 52 (2) and (4) respectively. Further, the additional expenses under Regulation 52(6A) (c) may be incurred either towards investment & advisory fees and/or towards other expense heads as stated in SID of the Scheme.

In addition to TER within the limits specified under regulation 52 (6) of the Regulations, the AMC may charge expenses not exceeding 0.05% of daily net assets of the scheme as permitted under Regulation 52 (6A) (c), towards investment & advisory fees as specified under regulation 52(2) of the Regulations and/or towards recurring expenses as specified under 52(4) of the Regulations. **However, such additional expenses will not be charged if exit load is not levied / not applicable to the Scheme.**

Note:

- Of the above expense 0.02% on daily net assets will be set aside for investor education and awareness initiatives.
- Goods & Services Tax (GST) on other expenses (including on brokerage & transaction cost, if any) will be borne by the Scheme within above limit. However, Goods & Services Tax (GST) on investment and advisory fees will be in addition to maximum limit as mentioned above.

Additional Distribution Expenses in case of new inflows from specified cities: Expenses not exceeding 0.30% of daily net assets of the Scheme will be charged towards additional distribution expenses if new inflows from beyond top 30 cities, as specified by SEBI from time to time, are at least:

- 30% of gross new inflows in the Scheme, or;
- 15% of the average assets under management (year to date) of the Scheme, whichever is higher.

In case, inflows from beyond top 30 cities is less than the higher of (a) or (b) above, additional expenses shall be charged to Scheme on proportionate basis in accordance with SEBI Circular vide reference no. CIR/IMD/DF/21/2012 dated September 13, 2012.

The additional expenses on account of inflows from such cities charged will be credited back to the Scheme in case the said inflows are redeemed within a period of one year from the date of investment.

The additional expenses charged in case of inflows from such cities will be utilized for distribution expenses incurred for bringing inflows from such cities.

Brokerage and Transaction Cost: In addition to limits specified in regulation 52 (6) of the Regulations, brokerage and transaction costs incurred for the purpose of execution of trade not exceeding 0.12% of value of trade in case of cash market transaction and 0.05% of value of trade in case of derivative transactions (inclusive of Goods & Services Tax (GST)) will be capitalized.

Any payment towards brokerage and transaction cost for execution of trade, over and above the said limit of 0.12% for cash market transactions and 0.05% for derivatives transactions may be charged to the Scheme within the maximum limit of Total Expense Ratio (TER) as prescribed under regulation 52 of the Regulations.

The total expenses of the Scheme including the Investment Management and Advisory Fee shall not exceed the limits stated in Regulation 52 of the SEBI (MF) Regulations.

Any expenditure in excess of the prescribed limit (including brokerage and transaction cost, if any) will be borne by the AMC.

The Fund will update the current expense ratios on its website atleast three working days prior to the effective date of the change. The investors can refer to <https://www.invescomutualfund.com/about-us?tab=Statutory> for Total Expense Ratio (TER) details.

Additionally, the Fund will disclose the Total Expense Ratio (TER) of the Scheme on daily basis on the website of AMFI (www.amfiindia.com).

Further, any change in the base TER (i.e. TER excluding additional expenses provided in Regulation 52 (6A) (b) and 52 (6A) (c) of SEBI (Mutual Funds) Regulations, 1996) and Goods & Services Tax on investment and advisory fees in comparison to previous base TER charged to the Scheme/Plan shall be communicated to investors of the Scheme/Plan through notice via email or SMS and the notice of change in base TER will be uploaded on the website (<https://www.invescomutualfund.com/about-us?tab=Statutory>) at least three working days prior to effecting such change.

Transaction Charges

In terms of SEBI circular no. IMD/ DF/ 13/ 2011 dated August 22, 2011, a transaction charge, as follows, is payable to distributors who have opted to receive transaction charge*:

- For existing investor in a Mutual Fund: ₹100/- per subscription of ₹10,000/- and above;
- For first time investor in Mutual Funds: ₹150/- per subscription of ₹10,000/- and above.

*Distributors shall also have the option to either opt in or opt out of levying transaction charge based on type of the product subject to availability of proper systems in place.

In case of investment through systematic investment plan (SIPs), the transaction charge shall be applicable only if the total commitment through SIP (i.e. amount of each SIP installment X total number of SIP installments) amounts to ₹ 10,000/- and above. In such cases, the transaction charge shall be recovered in 3-4 installments, as may be decided by the AMC.

However, there will be no transaction charge on:

- Subscription of less than ₹ 10,000/-; or
- Transactions other than purchases / subscriptions relating to new inflows; or

| | | |
|---|---|---|
| | <p>iii. Direct subscription (subscription not routed through distributor); or</p> <p>iv. Subscription routed through distributor who has chosen to 'Opt-out' of charging of transaction charge; or</p> <p>v. Transaction routed through Stock Exchange(s).</p> <p>The transaction charge, if any, will be deducted by AMC from subscription amount and shall be paid to distributor. The balance subscription amount, after deducting applicable transaction charges, will be invested.</p> <p>It is clarified that upfront commission to distributor will continue to be paid by the investor directly to distributor by a separate cheque.</p> | |
| Waiver of Load for Direct Applications | Not Applicable | |
| Tax treatment for the Investors (Unit holders) | <p>Investors are advised to refer to the Section on 'Taxation on investing in Mutual Funds' in the 'Statement of Additional Information' and to consult their own tax advisors with respect to the specific amount of tax and other implications arising out of their participation in the Scheme.</p> | |
| Daily Net Asset Value (NAV) Publication | <p>The Direct Plan under the Scheme will have a separate NAV. The NAV will be declared on all the Business Days. The AMC shall prominently disclose the NAVs of the Scheme under a separate head on the website of the Fund (www.invescomutualfund.com) and on the website of AMFI (www.amfiindia.com). Investors can also call at 1800 209 0007.</p> <p>Further the Mutual Fund / AMC will extend facility of sending latest available NAVs of the Scheme to the Unit holders through SMS upon receiving a specific request in this regard. Also, information regarding NAV can be obtained by the Unit holders / Investors by calling or visiting the nearest ISC.</p> | |
| For Investor Grievances please contact | <p>Registrar & Transfer Agents Karvy Computershare Pvt. Ltd. Unit: Invesco Mutual Fund, Karvy Selenium Tower B, Plot No. 31 & 32 Gachibowli, Financial District, Nanakramguda, Serilingampally Hyderabad - 500 032. Tel No.: +91 040 33215121/23 Email: mfservices@invesco.com</p> | <p>Mr. Surinder Singh Negi Invesco Asset Management (India) Pvt. Ltd. 2101 - A, 21st Floor, A Wing, Marathon Futurex, N. M. Joshi Marg, Lower Parel, Mumbai - 400013. Tel. No.: +91-22-67310000 Fax No.: +91-22-23019422 E-mail : mfservices@invesco.com</p> |
| Unitholder's Information | <p>Account Statement</p> <p>For Unitholders not having a demat account</p> <ul style="list-style-type: none"> On acceptance of application for subscription, an allotment confirmation specifying the number of Units allotted will be sent by way of e-mail and/or SMS to the applicant's registered e-mail address and/or mobile number within five Business Days from the date of closure of the NFO Period. Thereafter, Consolidated Account Statement (CAS)* will be sent for each calendar month to Unit holder(s) in whose folio(s) transaction(s)* has/ have taken place during the month, on or before 10th day of the succeeding month. <p>*A Consolidated Account Statement (CAS) shall also contain details of all the transactions* during the month, the total purchase value/cost of investment in each scheme and holding at the end of the month across all schemes of all mutual funds including transaction charges paid to the distributor.</p> <p>*the word 'transaction' shall include purchase, redemption, switch, dividend payout, dividend reinvestment, systematic investment plan, systematic withdrawal plan, systematic transfer plan and bonus transactions.</p> <ul style="list-style-type: none"> For the purpose of sending CAS, common investor across mutual funds shall be identified by their Permanent Account Number (PAN). In case the folio has more than one registered holder, the first named Unit holder will receive CAS/account statements. <p>Further, the CAS detailing holding across all schemes of all mutual funds at the end of every six months (i.e. September/ March), shall be sent by mail/e-mail on or before 10th day of succeeding month, to all such Unit holders in whose folios no transaction has taken place during that period. The half yearly consolidated account statement will be sent by e-mail to the Unit holders whose e-mail address is available, unless a specific request is made to receive in physical. In case of specific request received from investors, Mutual Funds shall provide the account statement to the investors within 5 business days from the receipt of such request without any charges.</p> <p>The AMC shall send first account statement for a new folio separately with all details registered in the folio by way of a physical account statement and/ or an e-mail to the investor's registered address / e-mail address not later than five business days from the date of closure of the initial subscription list.</p> <p>However, if the Unit holder so desires to hold the Units in a dematerialized form at a later date, he will be required to have a beneficiary account with a Depository Participant of the NSDL/CDSL. The Unit holders can convert existing Units in physical mode to dematerialized mode by submitting Conversion Request Form (CRF) along with Statement of Account evidencing the holding of Units to his Depository Participant. The AMC will credit the Units to the Beneficiary Account of Unit holders within two working days of the receipt of request or such other period as may be stipulated from time to time.</p> <p>The account statements shall be non-transferable.</p> <p>When an investor has communicated his/her e-mail address, the Mutual Fund / Registrars are not responsible for email not reaching the investor and for all consequences thereof. The investor shall from time to time intimate the Mutual Fund / its Registrar and Transfer Agents about any changes in the email address.</p> <p>For Unitholder(s) holding units in Account Statement mode/ Physical but having a Demat account</p> <p>a) Who have opted to receive CAS through Depositories</p> <ul style="list-style-type: none"> On acceptance of application for subscription, an allotment confirmation specifying the number of Units allotted will be sent by way of e-mail and/or SMS to the applicant's registered e-mail address and/or mobile number within five Business Days from the date of closure of NFO Period. Thereafter a Consolidated Account Statement (CAS) will be dispatched by Depositories within 10 Days from the end of the month for Permanent Account Numbers (PANs) which are common between Depositories & AMCs and in which transaction* has taken place during the month. In case of multiple holding, PAN of the first holder and pattern of holding will be considered for dispatching CAS. If the statements are presently being dispatched by e-mail either by the Fund or the Depository then CAS will be sent through email. However the Unit holder will have an option to receive CAS in physical form at the address registered in the Depository system. In case there is no transaction in any of the mutual fund folios and demat accounts then CAS with holding details will be sent to the Unit holders on half yearly basis. The dispatch of CAS by Depositories to Beneficial Owners would constitute compliance by AMC / the Fund with the requirements under Regulation 36(4) of SEBI (Mutual Funds) Regulations 1996. The AMC shall send first account statement for a new folio separately with all details registered in the folio by way of a physical account statement and/or an e-mail to the investor's registered address / e-mail address not later than five business days from the date of closure of the initial subscription list. | |

- In case of demat accounts with nil balance and no transactions in securities and in mutual fund folios, the Depositories shall send account statement in terms of regulations applicable to the Depositories.

*the word 'transaction' shall include transaction in demat accounts of the investor or in any of his mutual fund folios.

b) Who have opted not to receive CAS through Depositories

Unitholder(s) will have an option not to receive CAS through Depositors. Such Unitholder(s) will be required to provide negative consent to the Depositories. Unitholder(s) who have opted not to receive CAS through Depositories will receive CAS from AMC / the Fund.

Further, CAS issued for the half-year (ended September/ March) shall also provide:

- The amount of actual commission paid by AMC/ Mutual Fund to distributors (in absolute terms) during the half-year period against the concerned investor's total investments in each Mutual Fund scheme. The term 'commission' here refers to all direct monetary payments and other payments made in the form of gifts / rewards, trips, event sponsorships etc. by AMC/Mutual Fund to distributors. Further, a mention may be made in such CAS indicating that the commission disclosed is gross commission and does not exclude costs incurred by distributors such as Goods & Services Tax (wherever applicable, as per existing rates), operating expenses, etc.
- The scheme's average Total Expense Ratio (in percentage terms) for the half-year period for each scheme's applicable plan (regular or direct or both) where the concerned investor has actually invested in.

Such half-yearly CAS shall be issued to all Mutual Fund investors, excluding those investors who do not have any holdings in Mutual Fund schemes and where no commission against their investment has been paid to distributors, during the concerned half-year period.

For Demat Account Holders

Unit holder who has opted to hold units in electronic (demat) mode will receive an allotment confirmation specifying the number of units allotted by way of e-mail and/ or SMS to the applicant's registered e-mail address and/or mobile number within five business days from the date of closure of the NFO Period.

Further, such Unit holder will receive holding/transaction statements directly from his depository participant at such a frequency as may be defined in the Depositories Act, 1996 or regulations made there under or on specific request.

The Units allotted will be credited to the DP account of the Unit holder as per the details provided in the application form.

When an investor has communicated his/her e-mail address, the Mutual Fund / Registrars are not responsible for email not reaching the investor and for all consequences thereof. The investor shall from time to time intimate the Mutual Fund / its Registrar and Transfer Agents about any changes in the email address.

All Units will rank pari passu, among Units within the same option in the Scheme concerned as to assets, earnings and the receipt of dividend distributions, if any, as may be declared by the Trustee

Half Yearly Disclosures: The Mutual Fund/AMC shall disclose portfolio (along with ISIN) of the Scheme as on the last day of the month / half year on website of Mutual Fund (www.invescomutualfund.com) and on the website of AMFI (www.amfiindia.com) within 10 days from the close of each month/ half-year respectively in a user-friendly and downloadable spreadsheet format.

In case of Unitholders whose e-mail addresses are registered, the Mutual Fund / AMC shall send via e-mail both the monthly and half-yearly statement of Scheme portfolio within 10 days from the close of each month / half-year respectively.

Further, the Mutual Fund / AMC shall publish an advertisement in the all India edition of at least two daily newspapers, one each in English and Hindi, every half-year disclosing the hosting of the half-yearly statement of the Scheme portfolio on the website of the Mutual Fund (www.invescomutualfund.com) and on the website of AMFI (www.amfiindia.com).

The Unitholder may request for physical or electronic copy of the statement of Scheme portfolio by writing to the AMC at the e-mail address mfservices@invesco.com or calling the AMC on 022-67310000 or on 1800-209-0007 (Toll Free) or by submitting the request letter to any of the Investor Services Centre of Invesco Mutual Fund or of Karvy Computershare Private Limited.

The Mutual Fund / AMC shall provide a physical copy of the statement of Scheme portfolio, without charging any cost, on specific request received from a unitholder.

Further, the Mutual Fund and Asset Management Company shall within one month from the close of each half year (i.e. on 31st March and on 30th September) host a soft copy of the unaudited financial results of the Scheme on the website of the Mutual Fund. Also an advertisement disclosing the hosting of the unaudited financial results of the Scheme on the website will be published, in atleast one English daily newspaper having nationwide circulation and in a newspaper having wide circulation published in language of the region where the Head Office of the Mutual Fund is situated.

Annual Financial Results: The scheme wise annual report and abridged summary thereof shall be hosted on the website of the Mutual Fund (www.invescomutualfund.com) and on the website of AMFI (www.amfiindia.com) not later than four months (or such other period as may be specified by SEBI from time to time) from the date of closure of the relevant accounting year (i.e. 31st March each year) and link for the same will be displayed prominently on the website of the Mutual Fund (www.invescomutualfund.com).

In case of Unit holders whose e-mail addresses are registered with the Mutual Fund, the AMC shall e-mail the annual report or an abridged summary to such unit holders.

The Unitholders whose e-mail addresses are not registered with the Mutual Fund will have an option to opt-in to continue receiving physical copy of the scheme wise annual report or an abridged summary thereof.

Mutual Fund / AMC shall publish an advertisement in the all India edition of at least two daily newspapers, one each in English and Hindi, every year disclosing the hosting of the scheme wise annual report on the website of the Mutual Fund (www.invescomutualfund.com) and on the website of AMFI (www.amfiindia.com).

Physical copies of Full annual report / abridged summary thereof shall also be available for inspection at all times at the Head Office of the Mutual Fund at 2101-A, 21st Floor, Marathon Futurex, N. M. Joshi Marg, Lower Parel, Mumbai - 400013.

The Unitholder may request for physical or electronic copy of annual report or abridged summary thereof by writing to the AMC at the e-mail address mfservices@invesco.com or calling the AMC on 022-67310000 or on 1800-209-0007 (Toll Free) or by submitting the request letter to any of the Investor Services Centre of Invesco Mutual Fund or of Karvy Computershare Private Limited. The physical copy of annual report and abridged summary of annual report will be provided without charging any cost.

Disclosures as per SEBI circular dated March 18, 2016 are as follows :

• **Scheme's Portfolio Holding:**

- Top 10 holdings by issuer
- Fund allocation towards various sectors

The Scheme is a new scheme and does not have portfolio holding details.

- After the scheme is launched website link to obtain scheme's latest monthly portfolio holding will be: <https://www.invescomutualfund.com/literature-and-form?tab=Complete>

• **Scheme's Portfolio Turnover Ratio: N.A.**

Schemes at a glance

| Scheme Name | Type | Investment Objective | Asset Allocation Pattern | | | | | AUM (in Crs.) as on 31/08/18 | Live Folios as on 31/08/18 | |
|---|--|---|--|------------------------|---------|---------------------|---|---------------------------------------|-------------------------------------|--|
| | | | Instruments | Indicative Allocations | | Risk Profile | Notes | | | |
| | | | | (% of net assets) | | | | | | |
| | | | | Minimum | Maximum | High/Medium/ Low | | | | |
| Invesco India Financial Services Fund | An open ended equity scheme investing in financial services sector | To generate capital appreciation from a portfolio of Equity and Equity Related Instruments of companies engaged in the business of banking and financial services. | Equity and Equity Related Instruments of Banking & Financial Services Companies | 80 | 100 | High | - | 129.95 | 13,436 | |
| | | | Equity and Equity Related Instruments of companies other than Banking & Financial Services | 0 | 20 | High | | | | |
| | | | Debt and Money Market Instruments | 0 | 20 | Low to Medium | | | | |
| Invesco India Largecap Fund | Large Cap Fund - An open ended equity scheme predominantly investing in large cap stocks | To generate capital appreciation by investing predominantly in Largecap companies. | Equity and Equity Related Instruments of Largecap companies | 80 | 100 | High | As per SEBI Circular dated October 6, 2017, Largecap companies means 1 st - 100 th company in terms of full market capitalization or such other companies as may be specified by SEBI from time to time. | 167.94 | 11,028 | |
| | | | Equity and Equity Related Instruments of companies other than Largecap companies | 0 | 20 | High | | | | |
| | | | Debt and Money Market Instruments | 0 | 20 | Low to Medium | | | | |
| Invesco India Contra Fund | An open ended equity scheme following contrarian investment strategy | To generate capital appreciation by investing predominantly in Equity and Equity Related Instruments through contrarian investing. | Equity and Equity Related Instruments | 65 | 100 | High | - | 2,495.88 | 194,649 | |
| | | | Debt and Money Market Instruments | 0 | 35 | Low to Medium | | | | |
| Invesco India Growth Opportunities Fund | Large & Mid Cap Fund - An open ended equity scheme investing in both large cap and mid cap stocks | To generate capital appreciation from a diversified portfolio of predominantly Equity and Equity Related Instruments of Large and Midcap companies. | Equity and Equity Related Instruments out of which : | 70 | 100 | High | As per SEBI Circular dated October 6, 2017, Largecap companies means 1 st - 100 th company in terms of full market capitalization and mid cap companies means 101 st - 250 th company in terms of full market capitalization or such other companies as may be specified by SEBI from time to time. | 886.53 | 63,763 | |
| | | | (a) Largecap companies | 35 | 65 | High | | | | |
| | | | (b) Midcap companies | 35 | 65 | High | | | | |
| | | | Companies other than (a) and (b) | 0 | 30 | High | | | | |
| | | | Debt and Money Market Instruments | 0 | 30 | Low to Medium | | | | |
| Invesco India PSU Equity Fund | An open ended equity scheme following PSU theme | To generate capital appreciation by investing in Equity and Equity Related Instruments of companies where the Central / State Government(s) has majority shareholding or management control or has powers to appoint majority of directors. | Equity and Equity Related Instruments of Public Sector Undertakings (PSUs) | 80 | 100 | High | - | 68.97 | 11,204 | |
| | | | Equity and Equity Related Instruments other than Public Sector Undertakings (PSUs) | 0 | 20 | High | | | | |
| | | | Debt and Money Market Instruments | 0 | 20 | Low to Medium | | | | |
| Invesco India Tax Plan | An open ended equity linked saving scheme with a statutory lock in of 3 years and tax benefit | To generate long term capital appreciation from a diversified portfolio of predominantly Equity and Equity Related Instruments. | Equity and Equity Related Instruments | 80 | 100 | High | - | 627.72 | 92,142 | |
| | | | Money Market Instruments | 0 | 20 | Low to Medium | | | | |
| Invesco India Midcap Fund | Midcap Fund - An open ended equity scheme predominantly investing in mid cap stocks | To generate capital appreciation by investing predominantly in Midcap companies | Equity and Equity Related Instruments of Midcap companies | 65 | 100 | High | As per SEBI Circular dated October 6, 2017, Midcap companies means 101 st - 250 th company in terms of full market capitalization or such other companies as may be specified by SEBI from time to time. | 218.20 | 20,993 | |
| | | | Equity and Equity Related Instruments of companies other than Midcap companies | 0 | 35 | High | | | | |
| | | | Debt and Money Market Instruments | 0 | 35 | Low to Medium | | | | |
| Invesco India Infrastructure Fund | An open ended equity scheme following Infrastructure theme | To generate capital appreciation by investing in a portfolio that is predominantly constituted of Equity and Equity Related Instruments of infrastructure companies. | Equity and Equity Related Instruments of infrastructure companies | 80 | 100 | High | - | 40.95 | 5,866 | |
| | | | Equity and Equity Related Instruments other than infrastructure companies | 0 | 20 | High | | | | |
| | | | Debt and Money Market Instruments | 0 | 20 | Low to Medium | | | | |
| Invesco India Multicap Fund | Multi Cap Fund - An open ended equity scheme investing across large cap, mid cap, small cap stocks | To generate capital appreciation by investing predominantly in Equity and Equity Related Instruments across market capitalization. | Equity and Equity Related Instruments across market capitalization | 65 | 100 | High | - | 605.95 | 48,480 | |
| | | | Debt and Money Market Instruments | 0 | 35 | Low to Medium | | | | |

1. General Instructions

- i. Please read the Statement of Additional Information, Key Information Memorandum and the Scheme Information Document(s) containing the terms of offer carefully before investing. In the Scheme Information Document, your attention is particularly drawn to the risk factors of investing in the scheme and also the sections "Who cannot invest" and "Important note on anti-money laundering & KYC, FATCA / CRS".
- ii. All applicants are deemed to have accepted the terms subject to which the offer is being made and bind themselves to the terms upon signing the Application Form and tendering the payment.
- iii. Application Form should be filled legibly in ENGLISH in BLOCK letters using Black or Dark Blue ink. Incomplete application forms are liable to be rejected. Please refer to the checklist at the end of these notes to ensure that the requisite details and documents have been provided in order to avoid unnecessary delays and / or rejection of your application.
- iv. Please strike out any section that is not applicable. Cancellation / white-ink on any of the mandatory information should be countersigned.
- v. Applicant can make application by filling in "Application Form" and submitting the Application Form at any of the NFO Collection Centres / Official Points of Acceptance (as per list provided in the application form) **OR** Applicant can also make application by filling in "Application Supported by Blocked Amount Form" ('ASBA Application Form') and submitting the same at the designated Self Certified Syndicate Bank (SCSB) Branches.
- vi. In addition to subscribing Units through submission of application in physical, investor/unit holder can also subscribe to the Units of the Scheme during NFO period through our website www.invescomutualfund.com, through mutual fund trading platforms of stock exchanges viz. BSE STAR MF of BSE, MF Utilities, MFSS facility and/or NMF-II platform of NSE. Investors can also subscribe through website of Karvy Computershare Pvt. Ltd. (www.karvymfs.com) or mobile application of Karvy i.e. 'KTRACK'. The facility to subscribe through electronic platforms will be subject to operating guidelines and terms and conditions as may be prescribed from time to time.
- vii. Investments through distributors : Pursuant to SEBI circular vide reference no. CIR/IMD/DF/21/2012 dated September 13, 2012, it is mandatory to mention Employee Unique Identification Number ('EUID') of individual ARN holder or of employee/relationship manager/sales person of the Distributor in the application form if the investments are routed through a Distributor. EUID is allotted by AMFI and mentioning EUID would assist in addressing instances of mis-selling. If there is no interaction by the employees / sales person / relationship manager of the distributor / sub-distributor w.r.t. transaction, then the EUID box may be left blank, but it would be mandatory for the investor to provide confirmation as mentioned in the application form.
- viii. Plan, Option, Facility of the scheme should be clearly stated. In case applications are received where Plans/Options for investment is not selected, the default Plan/Option as prescribed in the SID of the Scheme will be applicable.

2. Application through ASBA Facility

ASBA is an application containing an authorization given by the investor to block the application money in his specified bank account towards the subscription of units offered during NFO of scheme(s) of Invesco Mutual Fund.

For an investor who applies through ASBA facility, the application money towards the subscription of units will be debited from his specified bank account only if his/her application is selected for allotment of units.

Investor can submit the ASBA Application Form with SCSB. SCSB are banks which offers the facility of applying through ASBA process. The list of SCSBs with details of controlling branches is available on <http://www.sebi.gov.in>, <http://www.nseindia.com> and <http://www.bseindia.com>.

The Applicant intending to invest in the scheme through ASBA Application Form must have beneficiary account with the Depository Participant of NSDL/ CDSL and will be required to mention the same in application form. Only those applications where the details are matching with the Depository records will be treated as valid applications and allotted units accordingly. If the details mentioned in ASBA Application Form is incorrect / incomplete or are not matching with the Depository records the application will be rejected. The IPV performed by the Depository Participant of the applicant will be considered as a valid IPV.

3. Applicant Information

- i. Name should be given in full without any abbreviations. Preferably write exactly as it appears in your bank account or as it appears in the incorporation document as the case may be. In case, units are applied for electronic mode (Demat mode), please write the name exactly in the same order as it appears in depository records.
- ii. In case investment is 'On behalf of Minor':
 - a. Name of the Guardian must be mentioned if the investments are being made on behalf of the minor. Guardian in the folio on behalf of minor should either be a natural guardian (i.e. father or mother) or a Court appointed legal guardian. A document evidencing the relationship should be submitted if the same is not available as part of the documents stated in point (c) below.
 - b. The minor shall be the first and sole holder. There shall not be any joint holder where minor is the first holder.
 - c. Date of birth of minor along with the photocopy of following supporting documents shall be mandatory while investing on behalf of minor:
 - Birth certificate of the minor; or
 - School leaving certificate / Mark sheet issued by Higher Secondary Board of respective states, ICSE, CBSE etc.; or
 - Passport of the minor; or
 - Any other suitable proof evidencing the date of birth of the minor.
- iii. Name of the Contact Person, e-mail and Telephone no. should be mentioned in case of investments by HUF, Company, Body Corporate, Trust, Society, FPI and other non-

individual applicants.

- iv. Complete postal address should be stated. P.O. Box address alone is not sufficient. NRIs/ FPIs should necessarily state their overseas address failing which application will be rejected. In addition, Indian address (if available) may be stated for correspondence. It should be noted that NRI residents in any Financial Action Task Force non-compliant countries or territories, US Persons & Residents of Canada cannot invest in the Schemes.
- v. In case of NRI/FPI investors, the Account Statements / Allotment Advice/ Redemption cheques / other correspondence will be sent to their correspondence address as per KYC records.
- vi. Please fill in your date of birth as this may be required for validating your identity for certain transactions / communications.
- vii. If you have an email ID, please provide the same, this will help us send investment / product related communication and resolve any queries more promptly.
- viii. In case of applications for units in non demat mode, made in joint names without indicating the mode of holding, mode of holding will be deemed as 'Any One or Survivor' and processed accordingly. All communication and payments shall be made in the name of and favouring the first applicant (in case of joint holders).
- ix. In case an investor(s) applies through ASBA facility the details of mailing address, overseas address, email ID, contact details, status, occupation and mode of holding, etc will be obtained by the Registrar from the Depository for the specified demat account. The details provided by Depository for such application shall be final.

4. PAN (Permanent Account Number)

It is mandatory for all existing and prospective investors irrespective of the amount of purchase¹ (including joint holders, guardians of minors and NRIs) to mention the PAN on the application form. In case of minor, the PAN of his / her guardian should be quoted. In the absence of this, application will be rejected. Further, following investors are exempted from the mandatory requirement of PAN for transacting in securities market:

- i. Investors who want to make Micro Investment with an aggregate of the lump sum investment up to Rs. 50,000/- in a rolling 12 months period or a financial year i.e. April to March² per investor, per year, per mutual fund (Micro Investments):
- ii. Applicants resident in the state of Sikkim, Central Government, State Government, officials appointed by the courts e.g. official liquidator, court receiver etc. (under the category of Government)

The exemption will be applicable only to Micro Investment made by individuals (including NRIs, Minors acting through Guardian and sole Proprietary Firms). However PIOs, HUF and other categories of investors will not be eligible for this exemption. This would be subject to collecting necessary documentary evidence by the AMC/ Fund to verify the veracity of the claim. However, such investors are mandatorily required to complete the KYC documentation as prescribed by KRA and to obtain KYC Reference Number (KRN). These investors should mention the KRN in place of PAN.

¹includes fresh / additional purchase, switch, systematic investment plan, systematic transfer and dividend reinvestment. ²Such investments will be aggregated at the investor level irrespective of the number of folios under which the investor has invested.

Since, vide SEBI circular dated January 4, 2013, the requirement of verification of PAN with original copy is dispensed with, investors are not required to provide original PAN card for verification.

5. Bank Account Details

As per SEBI Guidelines, it is mandatory for the Sole / First Applicant to provide the bank account details in the application form. Applications received without the bank details will be deemed to be incomplete and liable for rejection. The Mutual Fund reserves the right to hold the redemption proceeds in case the requisite details are not submitted.

To enable verification of the bank mandate details and ensure expeditious clearing, the 9-digit MICR (Magnetic Ink Character Recognition) number appearing to the right of the cheque number on the bottom white strip of the cheque leaf should be provided.

IFSC is a 11 digit alpha numeric character given by some of the banks on the cheques.

IFSC will help to secure transfer of redemption and dividend payouts via the various electronic modes of transfers that are available with the banks.

Investors opting to hold units in Demat mode should furnish Bank Account details linked with their Demat Account. In case the bank details provided in the application form don't match with the bank details in the Depository records, bank details as available in the Depository records shall be deemed final.

If the cheques submitted along with the application form for subscription under a new folio is drawn on bank account (pay-in Bank Account) which is different from pay-out bank account details (i.e. bank account for receipt of redemption / dividend proceeds) as mentioned in the application form, then it would be mandatory for the investor to submit below mentioned documentary proof:

- Cancelled Original cheque leaves of the pay-out bank account having the First Holder Name and bank account number printed on the cheque; or
- Self-attested Bank statements/pass books with current entries not older than 3 months reflecting the First Holder Name, Bank Account Number and Bank Name as specified in the application ;
- Confirmation on the bank's letter head attested by the bank manager with his name, designation and employee number confirming the investor details and bank mandate information.

Originals of above documents should be produced for verification at the Investor Service Centre or Official Points of Acceptance of Transactions of the Fund and the original will be returned across the counter after 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 name, designation and employee number.

Investors are requested to note that applications for new folio creation submitted (wherein the pay-in bank details are different from pay-out bank details) without any of the above mentioned documents are liable to be rejected.

In case of change in bank mandate, change will be effected for the folio and not for individual scheme.

For multiple bank account registration, please refer to Statement of Additional Information.

6. Investment Details

- Investors must use separate Application Forms for investing simultaneously in both Sub-Plans / Options of the Scheme. However investor applying through ASBA Facility has option to apply for both sub-plans / options offered under the Scheme in a single application. The applicant in such case should mention amount of application in each option and ensure that the aggregate of the amount of application under all sub-plans / options matches with the amount to be blocked in the Bank Account.
- In case applications are received where Option for investment is not selected, the default Option as prescribed in the SID of the Scheme will be applicable.
- For minimum application amount please refer to the Scheme Features.

7. Systematic Investment Plan (SIP)

SIP facility is offered to investors under this scheme.

Investors have choice of three payment options

- Online / Internet
- National Automated Clearing House (NACH)
- Direct Debit Instructions

Please refer to the Terms & Conditions and Instructions on the reverse of the SIP Registration cum Mandate Form.

8. Mode Of Payment

Payment can be made in any of the following modes:

- Payment should be made by way of a single cheque / demand draft* (multiple cheques will not be accepted) and must be payable locally at the Collection Centres during NFO where the application is lodged. The cheque / demand draft should be drawn favouring the Scheme e.g. **Invesco India Smallcap Fund** and crossed "**Account Payee Only**". Please mention the folio no. / application no. and applicant name on the reverse of the Cheque/Draft tendered with the application.

The units will be allotted for amount net of DD charges, at Rs. 10/- per unit. The fund / AMC will not entertain any request for refund of Demand Draft charges where NFO Collection Centres / Official Point(s) of Acceptance of Invesco Mutual Fund are located.

*Investors residing in centers, where NFO Collection Centers are not located, are requested to make payment by demand drafts payable at the Center where the application is to be lodged. Demand Draft charges will be borne by the AMC to the extent of SBI DD charges. The AMC will not reimburse demand draft charges where demand draft amount exceeds Rs. 50,000/-. Applications accompanied by cheques / drafts not fulfilling the above criteria are liable to be rejected.

In case the Scheme name on the application form and on the payment instrument are different, the request will be processed and units will be allotted in the Scheme which is mentioned in the application form duly signed by investor(s).

In order to avoid fraud and prevent misuse of payment instruments, investors are advised to draw payment instrument (i.e. cheque, demand draft, pay order etc.) favouring either Invesco India Smallcap Fund A/c First Investor name" or Invesco India Smallcap Fund Permanent Account Number of the First investor" or Invesco India Smallcap Fund Folio number".

- Outstation Cheques or Outstation Drafts / Money Order / Postal Order / Post dated Cheques will not be accepted.
- The Fund is not obliged to represent dishonored cheque or inform the investor/ Financial Advisor about it.
- NRI / FPI / PIO Investors:

Repatriation Basis

Payments by NRIs/Persons of Indian Origin (PIO) residing abroad/FPI may be made either by way of Indian Rupee drafts or cheques by means of (i) inward remittance through normal banking channels; or (ii) out of funds held in NRE/ FCNR account payable at par and payable at the cities where the Official Points of Acceptance are located.

In case of Indian Rupee drafts purchased abroad or subscription through NRE/FCNR Account, an account debit certificate from the bank issuing the draft confirming the debit/ Foreign Inward Remittance Certificate (FIRC) should also be enclosed.

In case the debit certificate / FIRC is not provided, the AMC reserves the right to reject the application of the NRI investors.

Non Repatriation Basis

NRIs or person of Indian origin residing abroad investing on a non-repatriable basis may do so by issuing cheques / demand drafts drawn on Non-Resident Ordinary (NRO) account payable at the cities where the Official Points of Acceptance are located.

- Restrictions on acceptance of Third Party Payment for subscription to units of scheme. Application with **Third Party Payments** for subscriptions to Scheme will not be accepted except in following cases:

- Payment by Parents/Grand-Parents/Related Persons¹ on behalf of a minor in consideration of natural love and affection or as gift for a value not exceeding Rs. 50,000/- (each regular purchase or per SIP installment). However, this restriction will not be applicable for payment made by a Guardian, whose name is registered in the records of Mutual Fund in that folio.

- Payment by employer on behalf of employee(s) under Systematic Investment Plans (SIP) or lumpsum / one-time subscription, through Payroll deductions or deductions out of expenses reimbursements;
- Custodian on behalf of a FPI or a client.
- Payment by the AMC to a Distributor empanelled with it on account of commission/ incentive etc. in the form of the units of schemes of Invesco Mutual Fund through Systematic Investment Plans or lump sum / one-time subscription.
- Payment by Corporates to its Agents/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 units of schemes of Invesco Mutual Fund through Systematic Investment Plans or lump sum / one-time subscription.

¹**Related Person** means any person investing on behalf of a minor in consideration of natural love and affection or as a gift.

Third-Party Payment means a payment made through instruments issued from a bank account other than that of bank account of first named applicant/investor or a joint bank account where the first named unit holder/investor is not one of the joint holders of bank account from which payment is made.

In each of the exceptions mentioned above, investors are required to attach following mandatory documents without which application for subscription to units will be rejected:

- KYC of all the investors (guardian in case of minor) and KYC of person making the payment i.e. parent, related person, employee, custodian.
- Third Party Declaration from the investors and the person making the payment (Third Party) (available on our website www.invescomutualfund.com)

It is mandatory for investor to mention details of bank account from where payment for subscription is made in referred section of application form. Further the name of first unit holder/ applicant should be pre-printed as one of the holders on payment cheque. In case, name of first unit holder/ applicant is not pre-printed on cheque, the investor should submit copy of bank statement or pass book showing account number, account holders' name and address or a original letter from the bank certifying that the investor maintains a bank account with the bank and mentioning the details like bank account number, branch address, account type and IFSC code, if any, of the branch. Originals of the bank statement/ pass book should be produced for verification and the same will be returned across the counter after verification.

In case payment is made through pay order, demand draft, banker's cheque etc., an investor should submit a certificate (in original) from issuing bank as a proof of debit of investor's bank account with details of account holders' name, bank account number which has been debited for issue of payment instrument and PAN as per bank records, if available or a copy of the acknowledgement from the bank, wherein the instructions to debit carrying the bank account details and name of the investor as an account holder are available or a copy of the passbook/ bank statement evidencing the debit for issuance of a DD.

In case of RTGS, NEFT, bank transfer etc., the investor should submit an acknowledged copy of the instruction to bank stating the account number to be debited.

Demand draft, pay order, banker's cheque purchased against cash of Rs. 50,000/- or more will not be accepted. Such purchase application (for amount less than Rs. 50,000) should be accompanied with a banker's certificate stating the investor's Name, bank account number and PAN as per bank record, if available, is a must.

The bank account number mentioned in the certificate/instructions must be the bank account which is registered with the Fund or the first named applicant/investor should be one of the holders of the said bank account.

Please refer to Statement of Additional Information for a facility of multiple Bank Accounts registration in a folio.

Certificate from Bank should be signed by the authorised person of the issuing bank mentioning his name, employee code, contact details and bank seal.

9. E-mail Communication

If the investor has provided email id, then Account statement / Allotment advice, other statutory as well as general information will be sent only through email instead of physical. If an investor needs a hard copy, then a request should be sent by email to mfservices@invesco.com

The Fund / Registrar are not responsible for email not reaching the investor and for all consequences thereof. The investor shall from time to time intimate the Fund/ its Registrar about any changes in the email address. In case of a large document, a suitable link would be provided and investor can download, save and print documents. However, investor always has a right to demand for a physical copy of any or all of the service deliverables and the Fund would arrange to send the same to the investor.

10. Direct Credit Of Redemption/Dividend Proceeds

If the investor has provided sufficient details for electronic credit, the Fund will give direct credit for redemption/dividend proceeds into the investor's bank account and such instruction will be adequate discharge of the Fund towards the said payment. In case the credit is not effected by the Unitholder's banker for any reason, the Fund reserves the right to make the payment by a cheque/ Demand Draft. If the direct/ electronic credit is delayed or not affected or credited to a wrong account on account of incomplete / incorrect information, the Fund will not be held responsible. If however, you wish to receive a cheque payout, please tick in the space provided in the application.

11. Nomination Details

Applicants applying for units singly / jointly should make a nomination at the time of initial investment or during subsequent investments / during the tenure of the investment. Please fill in the nomination details in the Application Form. Nomination form is also available on our website or at any AMC Investor Service Centers.

- Nomination will be mandatory for new folios opened by individual especially with sole holding. Even those investors who do not wish to nominate must sign separately confirming their non-intention to nominate. However, the nomination facility is not

available in a folio held on behalf of a minor. The nomination can be made only by individuals applying for / holding units on their own behalf singly or jointly. Non-individuals including society, trust, body corporate, partnership, Karta of Hindu Undivided Family (HUF), holder of Power of Attorney cannot nominate. If the units are held jointly, all joint holders will have to sign the nomination form, even if the mode of holding is not "joint".

- ii. A minor can be nominated and in that event, the name & address of the guardian of the minor nominee shall be provided by Unitholder.
- iii. Nomination can also be made in favor of the Central Government, State Government, a local authority, any person designated by virtue of his office or a religious or charitable trust.
- iv. The nominee shall not be a trust (other than a religious or charitable trust), society, body corporate, partnership firm, Karta of HUF, or a power of Attorney holder. A non-resident Indian can be a nominee subject to the exchange controls in force from time to time.
- v. A maximum of three nominees can be registered for a folio. Nomination shall be maintained at the folio level. The AMC reserves the right to offer nomination facility at a scheme level in a folio.
- vi. In case of Multiple nominees, it is mandatory to indicate clearly the percentage of allocation / share in favor of each of the nominees against their name and such allocation / share should be in whole numbers without any decimals making a total of 100 percent.
- vii. In the event of the Unitholders not indicating the percentage of allocation / share for each of the nominees, then by invoking default option the AMC shall settle the claim equally amongst all the nominees.
- viii. Nomination in respect of the units stands rescinded upon the transfer / transmission of units.
- ix. Transmission of units will be done as per the Nomination/s registered subject to verification of Identity of Nominee/s, PAN, Bank Mandate etc.
- x. Transfer of units in favor of the Nominee / Nominees shall be a valid discharge by the Asset Management Company against the legal heir.
- xi. The cancellation of nomination/s can be made only by those individuals who hold units on their own behalf singly or jointly and who made the original nomination/s. On cancellation of the nomination(s), the nomination(s) shall stand rescinded and the AMC / Fund / Trustees shall not be under any obligation to transmit the units in favor of the nominee(s).
- xii. Every new nomination for a folio will overwrite the existing nomination.

These instructions are subject to SEBI Regulations / applicable laws.

In case of units held in demat mode, the nomination details provided to the Depository Participant shall be applicable.

12. Dematerialization

The unit holders would have an option to hold the units in dematerialized form. The applicant intending to hold units in dematerialized form will be required to have a beneficiary account with a Depository Participant (DP) of the NSDL/CDSL and will be required to mention in the application form DP ID, DP Name and Beneficiary Account No. with the DP name at the time of subscribing to the units of the Scheme. Applicants must ensure that the sequence of the names as mentioned in the application form matches with that of the beneficiary account held with the Depository Participant. Names, Address, PAN details, KYC Details etc. mentioned in the application form will be verified against the Depository data. **If the details mentioned in the application (other than ASBA applications) are incomplete / incorrect or not matching with the depository records, the application shall be treated as application for non-demat mode and accordingly units will be allotted in non-demat mode. Subscription in Demat mode is not available for subscription through Plans/Options where dividend distribution frequency is less than 1 month.**

Note - In case of subscription of units through SIP in demat (electronic) mode, unit holder will not be able to redeem / transfer such units till units are credited to investor's Demat (Beneficiary) account.

Unit holders who have opted to hold units in dematerialized form will receive payment of redemption / dividend proceeds into bank (i.e. beneficiary) account linked to their Demat account.

Units held in demat form are freely transferable from one demat account to another demat account.

13. Prevention Of Money Laundering And Know Your Customer (KYC)

To ensure appropriate identification of the investor and with a view to monitor transactions for the prevention of money laundering as prescribed by the Prevention of Money Laundering Act, 2002, the AMC reserves the right to:

- i. Scrutinize and verify the identity of the investor, Unitholder, person making the payment on behalf of the investor and the source of the funds invested/ to be invested in Invesco Mutual Fund;
- ii. Reject any application;
- iii. Prevent further transactions by a Unitholder;
- iv. To mandatorily redeem the units held by the Unitholder at the applicable NAV prevalent at the time of such redemption; and
- v. Report cases to the director appointed by the Central Government, pertaining to a single transaction exceeding Rs.10 lacs or series of transactions integrally connected or remotely connected or related to each other which are valued below the prescribed value of Rs. 10 lacs within a month.

14. Know Your Customer (KYC) Requirements

- i. KYC is mandatory for applicants for subscription in the schemes of Invesco Mutual Fund. The applicants for the purpose of KYC Compliance shall include
 - their constituted Power of Attorney (PoA) holder in case of investments through a PoA;
 - each of the applicants in case of investments in joint names; and
 - guardian in case of investments on behalf of minor.

Pursuant to SEBI Circular dated October 5, 2011 regarding uniformity in the Know Your Customer (KYC) process in the securities market and SEBI Circular dated December 23, 2011 regarding requirement of in-person verification of investors and guidelines for KYC Registration Agency, the investors are required to submit a common KYC Application Form with specified documents and undergo In-Person verification (IPV) with effect from **January 2, 2012 ("Effective Date")**. The new KYC Application Forms are available on our website www.invescomutualfund.com.

The Fund shall perform the initial KYC / due diligence of its new investors and may undertake enhanced KYC measures commensurate with the risk profile of its investors. Registrar & Transfer Agent (RTA) of Invesco Mutual Fund ("the Fund") may also undertake the KYC of the investors on behalf of the Fund. The Fund/ RTA shall upload the KYC information of the investors on the system of CERSAI (Central Registry of Securitisation Asset Reconstruction and Security Interest). For complete documentation CERSAI will send email / SMS containing KYC identification number (KIN) to investors as per their email / mobile records. However, as per SEBI circular no. CIR / MIRSD / 66 / 2016 dated July 21, 2016 read with SEBI circular no. CIR / MIRSD / 120 / 2016, dated November 10, 2016 all investors has to complete the new CKYC registration. In case KYC documents are incomplete, the investors will have to submit necessary documents as required by CERSAI.

In-Person Verification (IPV) of new investors is mandatory from the Effective Date. The AMC or its RTA or NISM/AMFI certified distributors who are KYD compliant shall undertake the IPV for the investors of the Fund. Further, in case of any applications received directly (i.e. without being routed through the distributors) from the investors, the Fund may rely upon the IPV (on the KYC Application Form) performed by the scheduled commercial banks. IPV carried out by any other SEBI registered intermediary will also be relied upon by the Fund.

Currently existing investors who have done KYC with a SEBI registered intermediary can submit letter/ acknowledgement issued by KRA. Investors whose KYC is registered and verified in the KRA system wants to modify existing details in KRA, then such investors need to fill CKYC form. Applications without valid KYC compliance will be rejected.

- ii. Any subsequent change in address, Pin Code, Country, Nationality, Date of Birth, Proof of Identity or any details provided at the time of submission of Common KYC Form should be communicated to SEBI registered intermediary and Occupation, Income Details and PEP status should be communicated to the AMC in the prescribed manner along with requisite supporting documents as may be specified from time to time. Address details of the investor will be overwritten with the details available in the KRA / CERSAI records.

Investors can now invest in the scheme based on Aadhaar based e-KYC (wherein verification of investor with Unique Identification Authority of India (UIDAI) will be carried out by the RTA Karvy Computershare Pvt. Ltd who is an AUA through One Time Password (OTP) received on investor's mobile number or email address registered with UIDAI. Investors may invest upto Rs. 50,000 per financial year per fund house.

The facility for investment through Aadhaar based e-KYC will be available in all the schemes of the Fund except Exchange Traded Funds.

- iii. It is mandatory for all investors to provide additional KYC information (such as income details, occupation, association with politically exposed person, net worth etc.) as mentioned in the application form, failing which the application will be liable to be rejected.

Further no subscriptions (whether fresh or additional) and switches pertaining to 'KYC - on Hold' cases shall be accepted, unless the investors/ unit holders also submit relevant KYC missing/ updated information, which is appropriately updated on the KRA-KYC system. However, systematic transaction such as Systematic Investment Plan (SIP)/ Systematic Transfer Plan (STP) etc. already registered till December 31, 2015 are exempted from the above stipulations.

- iv. Non Individual applicants are mandatorily required to provide details of net worth along with gross annual income. Individual applicants should provide details of net worth or gross annual income or both. While providing details of net worth, the same should be of a date which is within one year. In case applications are received where gross annual income is not selected, then Rs. 1 lac to Rs. 5 lacs income slab will be considered as the default income slab.
- v. It is mandatory for existing investors/unit holders to complete the In-Person Verification (IPV) and to provide the missing KYC information, failing which the transaction for additional subscription (including switches) in the existing folios will be liable to be rejected.

The KYC compliance status of the investors will be validated with the records of the KRA/ CERSAI. The AMC reserves right to reject application forms for transactions in units of the Fund not accompanied by common KYC Application Form or letter / acknowledgement issued by KRA/CERSAI.

15. Ultimate Beneficiary Owner

Pursuant to SEBI Master Circular no. CIR/ISD/AML/3/2010 dated December 31, 2010 on anti-money laundering standards and SEBI Circular no. CIR/MIRSD/2/2013 dated January 24, 2013 on identification of Beneficial Ownership, investors (other than Individuals) are required to provide details of Ultimate Beneficial Owner(s) ("UBO(s)") and submit proof of identity (viz. PAN with photograph or any other acceptable proof of identity prescribed in common KYC form) of UBO(s).

As per these guidelines, UBO means 'Natural Person', or persons who ultimately own, control or influence a client and/or persons on whose behalf a transaction is being conducted,

and includes a person who exercises ultimate effective control over a legal person or arrangement. Investors are requested to refer to the 'UBO Declaration' for details of UBO.

In accordance with AMFI Best practices guidelines Circular no. 62/2015-16 dated September 18, 2015, investors are requested to note the following:

- It is mandatory for all investors / unit holders to provide beneficial ownership details failing which the transaction for additional subscription (including switches) will be liable to be rejected.

However, systematic transactions such as Systematic Investment Plan (SIP)/ Systematic Transfer Plan (STP) etc. already registered till December 31, 2015 are exempted from the above stipulations.

However, the investor or the owner of the controlling interest is a company listed on a stock exchange, or is a majority-owned subsidiary of such a company, is exempted from the provisions of UBO.

16. Foreign Accounts Tax Compliance Act ("FATCA") / Common Reporting Standard ("CRS")

Invesco Asset Management (India) Private Limited (AMC) is required to collect certain information as declaration from the investors in order to comply with the requirement of Foreign Account Tax Compliance Act provisions (commonly known as FATCA) as contained in the US Hire Act 2010 and Common Reporting Standard (CRS) on Automatic Exchange of Information (AEOI). Under the FATCA regime, the AMC would be required to collect information/ certification from the investors as per the US indicia, report information on the holdings or investment returns of any investor to the US authorities and/or apply withholding tax on payments to investors who fail to provide the information and/or documents required under FATCA.

India has joined the Multilateral Competent Authority Agreement (MCAA) on AEOI for CRS. The CRS on AEOI requires the financial institutions to collect and report information to their tax authorities about account holders "resident" in other countries.

All investors will have to mandatorily provide the details and declaration pertaining to FATCA/ CRS for all new accounts opened, failing which applications are liable to be rejected. Subject to the Inter-Governmental Agreement (IGA) between Governments of India and United States of America and MCAA, the FATCA/CRS requirements are subject to change from time to time.

The identification of US person will be based on one or more of the following US indicia:

- Identification of the investor as US citizen or resident
- US is the place of birth or country of incorporation

- Having US telephone number
- Having any residence / mailing address / C/o address / hold mail address / PO Box address in the US
- Having standing instruction to transfer funds to an account maintained in USA
- Being POA holder based out of US or having US residence / citizenship
- Paying tax in the US
- Having identification number or any identification that indicates US residence / citizenship
- Having US beneficiary owners / shareholders
- The Director / Promoter / Authorised signatory / POA holder of non - individual investor is based out of US or holds US residence / citizenship.

17. Opt-In facility to receive Physical Copy of Annual Report

If the investor has provided e-mail ID, then the scheme-wise annual report or abridged summary thereof will be sent by e-mail. However if investor wish to receive physical copy of the scheme-wise annual report or abridged summary thereof, he must tick the Opt-in checkbox. In case the Opt-in tick box is not selected, the scheme-wise annual report of the scheme or an abridged summary thereof shall be sent by email.

18. Purchase/Redemption Of Units Through Stock Exchange Infrastructure :

Investors can purchase and redeem units of the scheme on Mutual Fund Services System (MFSS) and / or NMF-II platform of the National Stock Exchange of India Ltd. (NSE) and on the BSE Stock Exchange Platform for Allotment and Repurchase of Mutual Funds (BSE StAR MF System) of BSE Ltd. (BSE). BSE StAR MF System also offers facility for switching of units. Please refer Scheme Information Document of the Scheme for further details.

19. Declaration And Signature

- All the applicants must sign the application form. Application on behalf of minor should be signed by their natural parent or legal guardian. Signatures should be in English or in any Indian language. Thumb impression should be from the left hand for males and the right hand for females and in all cases be attested by a Magistrate, Notary Public or Special Executive Magistrate. In case of HUF, the Karta will sign on behalf of the HUF.
- The original Power of Attorney or a duly notarized copy of the Power of Attorney shall be required to be submitted where applications are made under a Power of Attorney.

- All applications are subject to detailed scrutiny and verification. Applications which are not complete in all respects are liable for rejection, either at the collection point itself or subsequently after detailed scrutiny / verification at the back office of the Registrars.

Checklist (Please ensure the following)

- Application Form is complete in all respect. Name, address & contact details are mentioned in full and signed by all applicants.
- Bank account details stated are complete and correct. In case investment cheque is different from a registered bank account, original cancelled cheque copy of the registered bank account is attached.
- Permanent Account Number (PAN) for all applicants as applicable is mentioned.
- Preferred investment option i.e. whether Growth or Dividend Payout or Dividend Re-investment is mentioned clearly.

- The cheque / demand draft should be drawn favouring the name of the scheme & crossed as "Account Payee Only", dated and duly signed.
- Application Number / Folio Number and applicant's name is mentioned on the reverse of the cheque.
- Demat A/c details are filled correctly in the form. Please provide self attested Client Master List Copy.
- Details of applicants provided matches exactly with those in the Depository.
- Not a US Person & Resident of Canada.

Accompanying documents

Please submit the following documents with your application (where applicable). All documents should be original / true copies by a Director / Trustee / Company Secretary / Authorised Signatory.

| Documents | Individuals ¹ / Sole Proprietor ¹ | Companies | Societies | Partnership Firms | Investments through PoA | Trust | NRI | FPI ² | HUF | Minor |
|--|--|-----------|-----------|----------------------|----------------------------|-------|-----|------------------|-----|-------|
| Resolution / Authorisation to invest | | ✓ | ✓ | ✓ | | ✓ | | ✓ | | |
| List of Authorised Signatories with Specimen signature(s) | | ✓ | ✓ | ✓ | ✓ | ✓ | | ✓ | | |
| Memorandum & Articles of Association | | ✓ | | | | | | | | |
| Trust Deed | | | | | | ✓ | | | | |
| Bye - Laws | | | ✓ | | | | | | | |
| Partnership Deed | | | | ✓ | | | | | | |
| SEBI Registration / Designated Depository Participant Registration Certificate | | | | | | | | ✓ | | |
| Notarised Power of Attorney | | | | | ✓ | | | | | |
| Foreign Inward Remittance Certificate, in case payment is made by DD from NRE / FCNR a/c, where applicable | | | | | | | ✓ | | | |
| KYC Acknowledgement | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |
| Demat Account Details (Client Master List Copy) ³ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |
| FATCA / CRS Declaration | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |
| UBO Declaration | | ✓ | ✓ | ✓ | | ✓ | | ✓ | ✓ | |

¹Self attestation is mandatory. ²Copy of Designated Depository Participant registration certificate (for FPI) should be provided. ³In case Units are applied in Electronic (Demat) mode.

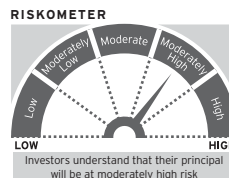
Invesco India Smallcap Fund

(Small Cap Fund - An open ended equity scheme predominantly investing in small cap stocks)

Suitable for investors who are seeking*

- capital appreciation over long term
- investments predominantly in equity and equity-related instruments of Smallcap companies

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



Application Form for Lumpsum/SIP/Folio Creation

Application No. :

NFO Opens: October 10, 2018

NFO Closes: October 24, 2018

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. (Refer Instruction no. 1vii).

Transaction Charges (Please tick any one of the below. For details refer KIM)

- ☐ I am a first time investor in Mutual Funds /
- ☐ I am an existing investor in Mutual Funds (Default)

Upfront commission, if any, shall be paid directly by the investor to the AMFI registered distributors based on the investors' assessment of various factors, including the service rendered by the distributor.

Sign Here - Sole/First Applicant/Guardian/POA

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Sign Here - Second Applicant

| | |
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Sign Here - Third Applicant

- **Country of Birth/Citizenship/Nationality or Tax Residency, other than India, for any applicant:**
☐ Yes ☐ No (Mandatory to v)
 If Yes, please fill FATCA/CRS declaration available in point no. 7
- **NRI investors should mandatorily fill separate FATCA/CRS declarations**
- **Non-Individual investors should mandatorily fill separate FATCA / CRS & UBO declarations**

Instructions

*No joint holder where minor is first holder
PAN/KRN (Refer Instruction no. 4), Date of birth is mandatory in case of Minor, additionally refer Instruction no. 2, KYC & Network (Refer Instruction no. 14). If the name given in the application does not match the name as appearing on the AADHAAR card, authentication, application may be liable to get rejected or further transactions may be liable to get rejected.

Key Partner/Agent Information

| | | |
|--------------------------|---------------------|-----------------------------------|
| Distributor / Broker ARN | Sub-Broker ARN Code | Internal Sub-Broker/Employee Code |
| ARN - | ARN - | |

| | |
|--|------------------------------------|
| Employee Unique Identification No. (EUIIN) (Of Individual ARN holder or of employee/ Relationship Manager/Sales Person of the Distributor) | Registered Investment Advisor Code |
|--|------------------------------------|

Existing Unitholder: Please fill in Folio Number below and then proceed to section 2

| | | | | | | | | | |
|--------------|--|--|--|--|--|--|--|--|--|
| Folio Number | | | | | | | | | |
|--------------|--|--|--|--|--|--|--|--|--|

| | |
|-------------------------------------|--|
| Name of Sole / First Unit Holder | |
|-------------------------------------|--|

New Unit Holder

Mode of Holding (Only for non-demat mode) ☐ Single ☐ Joint ☐ Anyone or Survivor (Default)

1. **Applicant's Details** (Name as per AADHAAR card)

| | | | | | | | | | | | | | | | | | |
|----------------------------|---|--|--|--|--|--|--|--|---|---|---|---|---|---|---|---|---|
| First/Sole | Mr. / Ms. / M/s. | | | | | | | | | | | | | | | | |
| | City/Place of Birth | | | | | | | | Country of Birth | | | | | | | | |
| PAN/KRN | | | | | | | | | Date of Birth | D | D | M | M | Y | Y | Y | Y |
| | (As per AADHAAR card) | | | | | | | | | | | | | | | | |
| AADHAAR No. | | | | | | | | | | | | | | | | | |
| KIN | | | | | | | | | | | | | | | | | |
| Gross Annual Income | Enclosed KYC Proof <input type="checkbox"/> | | | | | | | | | | | | | | | | |
| | <input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1-5 Lacs (Default) <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> 25 Lacs - 1 Crore <input type="checkbox"/> > 1 Crore | | | | | | | | | | | | | | | | |
| | Net-worth in Rs. | | | | | | | | As on (date within last 1 year) (Mandatory for Non-individuals) | | | | | | | | |
| | | | | | | | | | D | D | M | M | Y | Y | Y | Y | |
| Occupation Details | <input type="checkbox"/> Private Service <input type="checkbox"/> Pub. Sector / Govt. Serv. <input type="checkbox"/> Professional <input type="checkbox"/> Business Others <input type="checkbox"/> Politically Exposed Person (PEP) | | | | | | | | | | | | | | | | |
| | <input type="checkbox"/> Retired <input type="checkbox"/> Student <input type="checkbox"/> Agriculturist <input type="checkbox"/> Forex Dealer (For individuals) <input type="checkbox"/> Related to PEP | | | | | | | | | | | | | | | | |
| | <input type="checkbox"/> Housewife <input type="checkbox"/> Others (Please specify) <input type="checkbox"/> Not Applicable (Default) | | | | | | | | | | | | | | | | |

Second*

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|---------------------|--|--|--|--|--|--|---------------------------------------|--|--|--|---|------------------------------------|---|---|---|---|---|---|---|--|
| | City/Place of Birth | | | | | | | | | | Country of Birth | | | | | | | | | |
| PAN/KRN | | | | | | | | | | | Date of Birth | D | D | M | M | Y | Y | Y | Y | |
| AADHAAR No. | | | | | | | | | | | | (As per AADHAAR card) | | | | | | | | |
| KIN | | | | | | | | | | | Enclosed KYC Proof <input type="checkbox"/> | | | | | | | | | |
| Gross Annual Income | <input type="checkbox"/> Below 1 Lac | | <input type="checkbox"/> 1-5 Lacs (Default) | | <input type="checkbox"/> 5-10 Lacs | | <input type="checkbox"/> 10-25 Lacs | | <input type="checkbox"/> 25 Lacs - 1 Crore | | | <input type="checkbox"/> > 1 Crore | | | | | | | | |
| Occupation Details | Net-worth in Rs. | | | | | | | | | | As on (date within last 1 year) | | | | | | | | | |
| | <input type="checkbox"/> Private Service | | <input type="checkbox"/> Pub. Sector / Govt. Serv. | | <input type="checkbox"/> Professional | | <input type="checkbox"/> Business | | Others | | <input type="checkbox"/> Politically Exposed Person (PEP) | | | | | | | | | |
| | <input type="checkbox"/> Retired | | <input type="checkbox"/> Student | | <input type="checkbox"/> Agriculturist | | <input type="checkbox"/> Forex Dealer | | (For individuals) | | <input type="checkbox"/> Related to PEP | | | | | | | | | |
| | <input type="checkbox"/> Housewife | | <input type="checkbox"/> Others | | | | | | (Please specify) | | <input type="checkbox"/> Not Applicable (Default) | | | | | | | | | |

Third*

| | | | | | | | | | | | | | | | | | | | | |
|---------------------|--|--|--|--|--|--|---------------------------------------|--|--|--|---|------------------------------------|---|---|---|---|---|---|---|--|
| | City/Place of Birth | | | | | | | | | | Country of Birth | | | | | | | | | |
| PAN/KRN | | | | | | | | | | | Date of Birth | D | D | M | M | Y | Y | Y | Y | |
| AADHAAR No. | | | | | | | | | | | | (As per AADHAAR card) | | | | | | | | |
| KIN | | | | | | | | | | | Enclosed KYC Proof <input type="checkbox"/> | | | | | | | | | |
| Gross Annual Income | <input type="checkbox"/> Below 1 Lac | | <input type="checkbox"/> 1-5 Lacs (Default) | | <input type="checkbox"/> 5-10 Lacs | | <input type="checkbox"/> 10-25 Lacs | | <input type="checkbox"/> 25 Lacs - 1 Crore | | | <input type="checkbox"/> > 1 Crore | | | | | | | | |
| | Net-worth in Rs. | | | | | | | | | | As on (date within last 1 year) | | | | | | | | | |
| | | | | | | | | | | | D | D | M | M | Y | Y | Y | Y | | |
| Occupation Details | <input type="checkbox"/> Private Service | | <input type="checkbox"/> Pub. Sector / Govt. Serv. | | <input type="checkbox"/> Professional | | <input type="checkbox"/> Business | | Others (For individuals) | | <input type="checkbox"/> Politically Exposed Person (PEP) | | | | | | | | | |
| | <input type="checkbox"/> Retired | | <input type="checkbox"/> Student | | <input type="checkbox"/> Agriculturist | | <input type="checkbox"/> Forex Dealer | | | | <input type="checkbox"/> Related to PEP | | | | | | | | | |
| | <input type="checkbox"/> Housewife | | <input type="checkbox"/> Others | | | | | | | | <input type="checkbox"/> Not Applicable (Default) | | | | | | | | | |

Others (For Non-individuals) Is the entity involved in any of the following services (i) Foreign Exchange/Money Changer Services ☐ Yes ☐ No (Default) (ii) Gaming/Gambling/Lottery/Casino Services/Betting Syndicates ☐ Yes ☐ No ☐ (Default) (iii) Money Lending/Pawning ☐ Yes ☐ No (Default)

*In case of Guardian, Investor needs to update their gross annual income, Occupation and other details as provided in first/sole holder. Contact Person-In case of non-individual investors only. *If the investment is being made by a Constituted Attorney, please furnish the details of POA holder.

(Address should be as per KYC records, refer Instruction no. 14ii)

Status (✓)

- | | |
|--|--|
| <input type="checkbox"/> Individual | <input type="checkbox"/> Minor |
| <input type="checkbox"/> HUF | <input type="checkbox"/> NRI Repatriable |
| <input type="checkbox"/> LLP | <input type="checkbox"/> Listed Co. |
| <input type="checkbox"/> Society/Club | <input type="checkbox"/> Trust |
| <input type="checkbox"/> AOP | <input type="checkbox"/> Co. U/S 25/8 of Companies Act |
| <input type="checkbox"/> Minor-NRI Repatriable | <input type="checkbox"/> Partnership |
| <input type="checkbox"/> Minor-NRI Non-Repatriable | <input type="checkbox"/> Body Corporate |
| <input type="checkbox"/> NRI Non-Repatriable | <input type="checkbox"/> FPI |
| <input type="checkbox"/> Unlisted Co. | <input type="checkbox"/> Others _____ |

☐ In case of Non-Profit Entity

Mode of Payment

☐ Cheque ☐ DD

Account Type

☐ Current ☐ Savings ☐ SNRR
☐ NRE ☐ NRO ☐ FCNR
☐ Others _____

[§]Applicable in case of Third Party Payment on behalf of Minor

Guardian/

Contact Person*

Relation

☐ Father

☐ Mother

☐ Court Appointed Guardian

PAN/KRN

Date Of Birth

D D M M Y Y Y Y

(As per AADHAAR Card)

AADHAAR No.

KIN

Enclosed KYC Proof ☐

POA Holder#

PAN

Date Of Birth

D D M M Y Y Y Y

(As per AADHAAR Card)

AADHAAR No.

KIN

Enclosed KYC Proof ☐

Mailing Address (As Per KYC)

City

PIN

State

Tel. No. (Residence)

Tel. No. (Office)

Mobile

E-mail

Overseas Address (Mandatory in case of NRI / FPI applicant)

City

State/Province

Country

PIN

2. Investment and Payment Details¹

Invesco India Smallcap Fund

Plan (✓)

☐ Regular

☐ Direct

Option (✓)

☐ Growth (Default)

☐ Dividend Payout

☐ Dividend Reinvestment

Investment Amt. (Rs)

DD Charges (Rs.)

Cheque/DD No.

Net Amt. (Rs)

Bank Name

Bank A/c. No.

Name of the person making payment for minor⁵

PAN/KRN

Enclosed KYC Proof ☐

KIN

3. Demat Account Details²

Optional, Refer instruction no. 12

☐ NSDL

☐ CDSL

DP Name

DP ID³

I N

Beneficiary Account No.

4. Bank Account Details (Mandatory As Per SEBI Guidelines)

Refer instruction no. 5

Bank A/c. No.

Bank Name

City

Branch Address

MICR Code⁴

IFSC Code⁵

Account Type

☐ Current ☐ Savings ☐ SNRR
☐ NRE ☐ NRO ☐ FCNR
☐ Others _____

PIN

Please provide a cancelled cheque leaf of the same bank account as mentioned above. We will credit the redemption/dividend proceeds directly into investors' account through electronic means if the details provided by the investors are sufficient for the same. Mentioning your IFSC will help us transfer the amount to your bank account faster. Unit holders who have opted to hold Units in dematerialised form must provide Bank Account details linked with the Demat account, as mentioned under section 4. In case of discrepancy, bank details as per depository records will be final.

☐ I would like to receive cheque payout

Instructions

¹Cheque/DD should be drawn in favour of the Scheme. Investors applying under direct plan must mention "Direct" in the box provided in Point no. 2. ²The details of the Bank Account linked with the Demat A/c as mentioned below should be provided under section 4. ³Not applicable in case of CDSL. ⁴9 digit No. next to your Cheque No. ⁵11 digit character code appearing on cheque leaf.



Instructions

¹ Mandatory for investors who opt to hold units in non-demat form.

Instructions

Please consult your professional tax advisor for further guidance on your tax residency, if required.

² Address of tax residence would be taken as available in KRA database. In case of any change, please approach KRA & notify the changes. ³ To also include USA, where the individual is a citizen/green card holder of The USA. ⁴ In case Tax Identification Number is not available, kindly provide its functional equivalent.

FATCA & CRS Terms & Conditions

Details under FATCA & 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 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.

Signature(s) for Declaration

Sign Here - Sole/First Applicant/Guardian/POA

Sign Here - Signature for Second Applicant

Sign Here - Signature for Third Applicant

Date

D

D

M

M

Y

Y

Y

Y

Place

5. Nomination Details¹

Refer Instruction no. 11

| | Nominee 1 | Nominee 2 | Nominee 3 |
|-----------------------|-------------|-------------|-------------|
| Name | <div></div> | <div></div> | <div></div> |
| Relationship | <div></div> | <div></div> | <div></div> |
| PAN | <div></div> | <div></div> | <div></div> |
| % Share | <div></div> | <div></div> | <div></div> |
| If nominee is a minor | | | |
| Date of Birth | <div></div> | <div></div> | <div></div> |
| Guardian's Relation | <div></div> | <div></div> | <div></div> |
| Address | <div></div> | <div></div> | <div></div> |

I do not intend to nominate (✓ the box in case you do not wish to nominate) ☐

6. Option to receive Physical Copy of Annual Report

Refer Instruction no. 17

☐ I/We would like to receive physical copy of Annual Report of the Scheme or abridged summary thereof (Please ✓)

7. FATCA & CRS - Self Certification for Individuals Only (Non Individual Investors should mandatorily fill separate FATCA - CRS Annexure).

Address Type² ☐ Residential ☐ Business ☐ Registered Office
Are you a tax resident of any country other than India? ☐ Yes ☐ No

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

| Category | First Applicant | Second Applicant | Third Applicant |
|--|--|--|--|
| City Of Birth | <div></div> | <div></div> | <div></div> |
| Country of Birth | <div></div> | <div></div> | <div></div> |
| Nationality | <div></div> | <div></div> | <div></div> |
| Country of Tax Residency ³ | <div></div> | <div></div> | <div></div> |
| Tax Identification No. ⁴ | <div></div> | <div></div> | <div></div> |
| Identification Type (TIN or others, please specify) | <div></div> | <div></div> | <div></div> |
| If TIN is not available, please ✓ the reason A, B or C | <div>→ Reason <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C</div> | <div>→ Reason <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C</div> | <div>→ Reason <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C</div> |

Reason A → The country where the Account Holder is liable to pay tax does not issue Tax Identification Numbers to its residents.

Reason B → No TIN required. (Select this reason Only if the authorities of the respective country of tax residence do not require the TIN to be collected.

Reason C → others; please state the reason thereof.

8. Declaration

The Trustees, Invesco Mutual Fund

Having read and understood the contents of the Statement of Additional Information/Scheme Information Document of the respective scheme, I/We hereby apply to the Trustees of Invesco Mutual Fund for units of the Scheme/Option as indicated above and agree to abide by the terms, conditions, rules and regulations of the Scheme. I/We have understood the details of the Scheme and I/We have not received nor have been induced by any rebate or gifts, directly or indirectly, in making this investment. I/We do not have any existing Micro Investments which together with the current Micro Investment application will result in aggregate investments exceeding Rs. 50,000/- in a year (applicable to Micro Investment investors only). The Distributor has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us. I/We hereby authorise Invesco Mutual Fund, its Investment Manager and its Agents to disclose details of my/our investment to my/our bank(s)/Invesco Mutual Fund's Bank(s) and/or Distributor/Broker/Investment Advisor and to verify my/ our bank details provided by me/us. I/We hereby declare that the particulars given above are correct. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information, I/We would not hold Invesco Asset Management (India) Pvt. Ltd. (Investment Manager to Invesco Mutual Fund), their appointed service providers or representatives responsible. I/We will also inform Invesco Asset Management (India) Pvt. Ltd., about any changes in my/our bank account. I/We hereby declare that the amount invested by me/us in the Scheme of Invesco Mutual Fund is derived through legitimate sources and is not held or designed for the purpose of contravention of any Act, Rules, Regulations or any statute or legislation or any other applicable laws or any Notifications, Directions issued by any governmental or statutory authority from time to time. I/We hereby provide my /our consent in accordance with AADHAAR Act, 2016 and regulations made thereunder, for (i) collecting, storing and

Yes ☐ No ☐

usage (ii) validating/authenticating and (ii) updating my/our AADHAAR number(s) in accordance with the AADHAAR Act, 2016 (and regulations made thereunder) and PMLA.

I/We hereby provide my/our consent for sharing/disclosing of my AADHAAR number(s) including demographic information with the asset management companies of SEBI registered mutual fund and their Registrar and Transfer Agent (RTA) for the purpose of updating the same in my/our folios.

I/We confirm that I/We are not United States person(s) under the laws of United States or residents(s) of Canada as defined under the applicable laws of Canada.

Applicable to KRN holders : I, the first/sole holder hereby declare that I do not hold a Permanent Account Number and hold only a single 'PAN exempt KRN' issued by KRA and that my existing investment in schemes of Invesco Mutual Fund together with current application will not result in aggregate investments exceeding Rs. 50,000/- in a rolling 12 months period or in a financial year i.e. April to March.

Applicable to NRIs Only : I/We confirm that I am/we are Non-Residents of Indian Nationality /Origin and that the funds are remitted from abroad through approved banking channels or from my/our NRE/NRO/FCNR/SNRR Account. I/We confirm that the details provided by me/us are true and correct.

Applicable for FATCA Certification

I hereby confirm that the information provided herein above is true, correct and complete to the best of my knowledge and belief and that I shall be solely liable and responsible for the information submitted above. I also confirm that I have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same. I also undertake to keep you informed in writing about any changes / modification to the above information in future within 30 days of the same being effective and also undertake to provide any other additional information as may be required by any intermediary or by domestic or overseas regulators/ tax authorities.

If NRI ☐ Repatriation basis ☐ Non-Repatriation basis

Acknowledgement Slip (To be filled by the Applicant)

Received from

Mr. / Ms. / M/s.

Towards
Subscription of
(Scheme Name)

Invesco India Smallcap Fund

Amount (₹) Cheque/DD No.

Application No :

Signature, Stamp & Date

Date

D

D

M

M

Y

Y

Y

Y



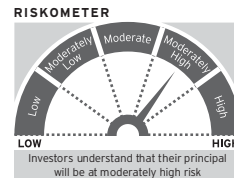
Invesco India Smallcap Fund

(Small Cap Fund - An open ended equity scheme predominantly investing in small cap stocks)

Suitable for investors who are seeking*

- capital appreciation over long term
- investments predominantly in equity and equity-related instruments of Smallcap companies

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



Systematic Investment Plan (SIP)
Registration cum mandate form for
NACH/Direct Debit (Applicable for
NFO only)

Application No. :

NFO Opens: October 10, 2018

NFO Closes: October 24, 2018

For details on transaction charges payable to distributors, please refer to KIM.

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.

Upfront commission, if any, shall be paid directly by the investor to the AMFI registered distributors based on the investors' assessment of various factors, including the service rendered by the distributor.

☐ New SIP ☐ Micro SIP

Sign Here - Sole/First Applicant/Guardian/POA

Sign Here - Second Applicant

Sign Here - Third Applicant

Key Partner/Agent Information

| | | |
|---|------------------------------|------------------------------------|
| Distributor / Broker ARN ARN - | Sub-Broker ARN Code ARN - | Internal Sub-Broker/Employee Code |
| Employee Unique Identification No. (EUIN) (Of Individual ARN holder or Of employee/ Relationship Manager/Sales Person of the Distributor) | | Registered Investment Advisor Code |

1. Investment and SIP Details¹

| | | | | | | | | | | | | | | | |
|-----------------------------------|--|---|---|---|---|---|---|----|---|---|---|---|---|---|---|
| First / Sole | Mr. / Ms. / M/s. | | | | | | | | | | | | | | |
| Application No. (New Investor) | Folio No. (Existing Unit Holder) | | | | | | | | | | | | | | |
| PAN/KRN | | | | | | | | | | | Enclosed KYC Proof <input type="checkbox"/> | | | | |
| KIN | | | | | | | | | | | | | | | |
| Scheme | Invesco India Smallcap Fund | | | | | | | | | | Plan (✓) <input type="checkbox"/> Regular <input type="checkbox"/> Direct | | | | |
| Each SIP Amount (Rs.) | Option (✓) <input type="checkbox"/> Growth (Default) <input type="checkbox"/> Dividend Payout <input type="checkbox"/> Dividend Reinvestment | | | | | | | | | | | | | | |
| SIP Date | Date of your choice (15 th Default) Frequency <input type="checkbox"/> Monthly (Default) or <input type="checkbox"/> Quarterly (Jan, Apr, Jun, Oct) | | | | | | | | | | | | | | |
| (Except 29, 30, 31) | | | | | | | | | | | | | | | |
| SIP Period (Monthly) | From | 1 | 2 | 2 | 0 | 1 | 8 | To | M | M | Y | Y | Y | Y | (or) <input type="checkbox"/> Till further notice |
| SIP Period (Quarterly) | From | 0 | 1 | 2 | 0 | 1 | 9 | To | M | M | Y | Y | Y | Y | (or) <input type="checkbox"/> Till further notice |

2. Demat Account Details

| | | | | | | | | | | | | | | | |
|---|---------|---|--|--|--|--|--|----------------------------|--|--|--|--|--|--|--|
| <input type="checkbox"/> NSDL <input type="checkbox"/> CDSL | DP Name | | | | | | | | | | | | | | |
| DP ID ³ | I | N | | | | | | Beneficiary Account No. | | | | | | | |

Declaration : I/We have read and understood the contents of the Scheme Information Document and Statement of Additional Information and the terms & conditions of SIP enrolment through Direct Debit/NACH and agree to abide by the same. I/We hereby apply to the Trustee of Invesco Mutual Fund for enrolment under the SIP of the Scheme / Plan(s) / Option(s) and agree to abide by the terms and conditions of the same. I/We hereby declare that the particulars given above are correct and express my willingness to make payments referred above through participation in NACH/Direct Debit. I/We authorise the bank to honour the instructions as mentioned in the application form. I/We also hereby authorise bank to debit charges towards verification of this mandate, if any. I/We agree that Invesco Asset Management (India)/Invesco Mutual Fund (including its affiliates), and any of its officers directors, personnel and employees, shall not be held responsible for any delay/wrong debits on the part of the bank for executing the direct debit instructions of additional sum on a specified date from my account. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information, I/We would not hold the user institution responsible. I/We undertake to keep sufficient funds in the funding account on the date of execution of standing instruction. I/We have not received nor been induced by any rebate or gifts, directly or indirectly, in making this investment. The ARN holder has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him/them for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us.

Sign Here - Sole / First Applicant / Guardian / POA

Sign Here - Second Applicant

Sign Here - Third Applicant



NACH/Auto Debit Mandate (Applicable for SIP Registration)

| | | | | | |
|---|--|--|---|--|-----------------|
| UMRN | | For Office Use only | | Date | D D M M Y Y Y Y |
| Sponsor Bank Code | | Utility Code | | For Office Use only | |
| I/We hereby authorize | Invesco Mutual Fund | | <input type="checkbox"/> SB <input type="checkbox"/> CA <input type="checkbox"/> CC <input type="checkbox"/> SB-NRE <input type="checkbox"/> SB-NRO <input type="checkbox"/> Others _____ | | |
| Bank Account Number | | | | | |
| with Bank | Name of customers bank | IFSC | | Or MICR | |
| an amount of Rupees | In Words | | ₹ In Figures | | |
| Frequency: | <input checked="" type="checkbox"/> Monthly <input checked="" type="checkbox"/> Quarterly <input checked="" type="checkbox"/> Half Yearly <input checked="" type="checkbox"/> Yearly <input checked="" type="checkbox"/> As & when presented | | Debit Type : <input checked="" type="checkbox"/> Fixed Amount <input checked="" type="checkbox"/> Maximum Amount | | |
| Folio No. | | | Phone | | |
| PAN | | | E-mail | | |
| I agree for the debit of mandate processing charges by the bank whom I am authorizing to debit my account as per latest schedule of charges of the banks. | | | | | |
| PERIOD | From | D D M M Y Y Y Y | | Signature of Primary Bank Account Holder | |
| | To | D D M M Y Y Y Y | | Signature of Bank Account Holder | |
| | Or | <input type="checkbox"/> Until Cancelled | | Signature of Bank Account Holder | |
| | 1. Name as in bank records 2. Name as in bank records 3. Name as in bank records | | | | |

This is to confirm that the declaration has been carefully read, understood & made by me/us. I am authorising the user entity/Corporate to debit my account, based on the instructions as agreed and signed by me. I have understood that I am authorised to cancel / amend this mandate by appropriately communicating the cancellation/amendment request to the user entity/Corporate or the bank where I have authorised debit.

Instructions for Systematic Investment Plan cum Nach/ Direct Debit Mandate Form

Terms & Conditions for SIP through Direct Debit/NACH

- Features of SIP:

| Frequency | Monthly/Quarterly (Jan, April, July, October) | | | | | | | | | | | | | |
|--------------------------------|--|----------------------------------|--|--|--------|---------------------|-------------------|--|----------------------------------|--|---------------------------------|---------------------|--|---------------------------------|
| SIP dates offered | Any date of your choice except 29, 30 and 31. | | | | | | | | | | | | | |
| Default Frequency/Date | <ul style="list-style-type: none">Frequency: MonthlyDate: 15th of the monthIf end date is not specified, the fund will continue SIP till it receives termination notice from the investor. | | | | | | | | | | | | | |
| Minimum amount per installment | NFO and Ongoing Basis <table><thead><tr><th></th><th>Amount</th><th>No. of Installments</th></tr></thead><tbody><tr><td rowspan="2">Monthly Frequency</td><td>Rs. 500/- per month and in multiples of Re. 1 thereafter</td><td>12 (including first installment)</td></tr><tr><td>Rs. 1,000/- or more per month and in multiples of Re. 1 thereafter</td><td>6 (including first installment)</td></tr><tr><td>Quarterly Frequency</td><td>Rs. 1,500/- per quarter and in multiples of Re. 1 thereafter</td><td>4 (including first installment)</td></tr></tbody></table> | | | | Amount | No. of Installments | Monthly Frequency | Rs. 500/- per month and in multiples of Re. 1 thereafter | 12 (including first installment) | Rs. 1,000/- or more per month and in multiples of Re. 1 thereafter | 6 (including first installment) | Quarterly Frequency | Rs. 1,500/- per quarter and in multiples of Re. 1 thereafter | 4 (including first installment) |
| | Amount | No. of Installments | | | | | | | | | | | | |
| Monthly Frequency | Rs. 500/- per month and in multiples of Re. 1 thereafter | 12 (including first installment) | | | | | | | | | | | | |
| | Rs. 1,000/- or more per month and in multiples of Re. 1 thereafter | 6 (including first installment) | | | | | | | | | | | | |
| Quarterly Frequency | Rs. 1,500/- per quarter and in multiples of Re. 1 thereafter | 4 (including first installment) | | | | | | | | | | | | |
| Installments | All installments should be of same amount. No upper limit for single cheque or aggregate. The first cheque and subsequent cheques should not fall in the same month/quarter. First cheque should be of current date (no post-dated cheque will be accepted). | | | | | | | | | | | | | |
| Load Structure | For load structure details, please refer to KIM. Load Structure prevailing at the time of submission of SIP application form (whether for fresh enrollment or extension) will be applicable for all the SIP installments specified in such application. | | | | | | | | | | | | | |

- Investors should mandatorily give a cheque for the first transaction during the New Fund Offer Period and fill the SIP Application Form and the Registration cum Mandate Form for Direct Debit/NACH. The date of first cheque should be the date of submission of application no post dated cheque will be accepted. The second installment will be processed in the month of December 2018 in case of monthly and January 2019 in case of quarterly frequency as indicated by the investor.
- Please draw cheque in the name of the Scheme or its abbreviation and cross "A/c Payee" e.g. "Invesco India Smallcap Fund". Also write SIP enrollment Form no. or folio number on the reverse of cheque accompanying SIP enrollment form.
- In case SIP date specified is a non-business day or falls during a book closure period, the transaction will be effected on the next business day.
- In case any cheque submitted by the investor for SIP installment or any payment instruction for SIP installment is dishonored by the Bankers for the reason of account of investor is closed, the AMC would discontinue the SIP immediately and reserves the right to redeem the outstanding units if total investment is below Rs. 5,000/- the AMC reserves the right to discontinue the SIP enrolment in case cheque/ payment instruction submitted by Unit holder is not honored by Banker on 2 (two) consecutive occasions for either insufficiency of funds or as a result of a stop payment instruction issued by the Unit holder and reserves the right to redeem the outstanding units if total investment is below Rs. 5,000/-.
- SIP registration will be automatically terminated upon receipt of intimation of death of the Unit holder.
- SIP in a folio of minor will be registered only upto the date of minor attaining majority though the instruction may be for the period beyond that date.
- The investors can also subscribe Units through SIP in Demat (electronic) mode for the Scheme. However the Units will be allotted based on allotment NAV of the Scheme and will be credited to investor's Demat (Beneficiary) Account on weekly basis on realization of funds, e.g. Units will be credited to investor's Demat (Beneficiary) account every Monday

(or next business day, if Monday is a non-business day) for realization status received in last week from Monday to Friday.

- Investors will not hold Invesco Mutual Fund / Invesco Asset Management (India) Private Limited, it's Registrar and other service providers responsible, if the transaction is delayed or not affected or the investor's bank account is debited in advance or after the specific SIP date.
- Invesco Mutual Fund / Invesco Asset Management (India) Private Limited, it's Registrar and other service providers shall not be responsible and liable for any damages/compensation for any loss, damage etc., incurred by the investor. The investor assumes the entire risk of using this facility and takes full responsibility.
- Unit holder has a right to discontinue the SIP facility at any time by sending SIP cancellation form to any Official Points of Acceptance, at least 10 Business Days prior to the next SIP Debit quoting their SIP reference number. On receipt of such request, the SIP enrollment will be terminated. Incomplete applications will be rejected.

Internet SIP

- ISIP facility is available only with banks and service providers with whom Invesco Mutual Fund has tied up for Auto Debit. The list of banks is available on our website www.invescomutualfund.com.
- In case of ISIP registered during NFO, while the first installment will be debited on the date of investor registering for ISIP, the second instalment will fall due after the scheme re-opens for ongoing transactions provided that there is a minimum period of 15 calendar days from the first ISIP installment date.
- Unique Registration Number (URN) will be allotted to the investors after registration of ISIP on website of the Fund. Investor is required to register the said URN with the same bank as opted at the time of registration of ISIP within 10 calendar days from the date of URN allotment. In case investor has multiple bank accounts associated under his/her Net Banking account, then the investor should ensure that the bank account registered under the folio is opted for registering the URN.
- The fund reserves the right to cancel the ISIP registration if URN is not registered within 10 calendar days from the date of URN allotment or in case the ISIP installment is debited from bank account other than the bank account which is registered in the investor's folio.
- Investor can discontinue the ISIP facility at any time by submitting SIP cancellation from duly signed as per mode of holding to any of nearest Investor Service Center, at least 10 Business Days prior to the next ISIP debit date.

Terms & Conditions - NACH

- NACH debit facility is offered at various banks. For a detailed list of banks please refer the website www.npci.org.in the list is subject to modification/update at any time in future at the sole discretion of Invesco Asset Management (India) Private Limited, without assigning any reason or prior notice. If any bank is removed, SIP instructions of investors for such banks via NACH will be discontinued without any prior notice.
- By signing the NACH mandate form the investor agrees to abide by the terms and conditions of NACH facility through NPCI (www.npci.org.in).
- The Registration cum Mandate Form for NACH should be submitted at least 30 Calendar days prior to next SIP cycle date through NACH.
- Unique Mandate Registration Number (UMRN) is auto generated by NPCI during the mandate creation for the first time. Investors, who do not have the UMRN, please leave it blank. UMRN would be linked to the folio and maximum length is 20 characters comprising of Alpha Numeric Character allotted by NPCI.
- Please provide the cancelled cheque leaf of the bank A/c no. for which NACH facility is registered.
- Please refer your cheque leaf for IFSC/MICR of customer bank. (maximum length-11 Alpha Numeric Characters).
- Maximum amount is the uppermost limit per transaction set by the investor for his registered bank account to be debited.
- Investor should mention the complete CBS (Core Banking System) Bank Account number and the Account-holder name as per the Bank records on the mandate. In case the bank account is under joint mode then the details of the joint holder should also be mentioned on the mandate.
- Investor should sign on the mandate as per their bank records.

Terms & Conditions - Direct Debit

Direct Debit: The Direct Debit Facility is available only with the banks with which The AMC or its service provider has tie up for Direct Debit.

Instructions for Systematic Investment Plan cum Nach/ Direct Debit Mandate Form

Terms & Conditions for SIP through Direct Debit/NACH

- Features of SIP:

| Frequency | Monthly/Quarterly (Jan, April, July, October) | | | | | | | | | | | | |
|--------------------------------|---|----------------------------------|--|--------|---------------------|-------------------|--|----------------------------------|--|---------------------------------|---------------------|--|---------------------------------|
| SIP dates offered | Any date of your choice except 29, 30 and 31. | | | | | | | | | | | | |
| Default Frequency/Date | <ul style="list-style-type: none"> Frequency: Monthly Date: 15th of the month If end date is not specified, the fund will continue SIP till it receives termination notice from the investor. | | | | | | | | | | | | |
| Minimum amount per installment | NFO and Ongoing Basis <table> <tr> <th></th><th>Amount</th><th>No. of Installments</th></tr> <tr> <td rowspan="2">Monthly Frequency</td><td>Rs. 500/- per month and in multiples of Re. 1 thereafter</td><td>12 (including first installment)</td></tr> <tr> <td>Rs. 1,000/- or more per month and in multiples of Re. 1 thereafter</td><td>6 (including first installment)</td></tr> <tr> <td>Quarterly Frequency</td><td>Rs. 1,500/- per quarter and in multiples of Re. 1 thereafter</td><td>4 (including first installment)</td></tr> </table> | | | Amount | No. of Installments | Monthly Frequency | Rs. 500/- per month and in multiples of Re. 1 thereafter | 12 (including first installment) | Rs. 1,000/- or more per month and in multiples of Re. 1 thereafter | 6 (including first installment) | Quarterly Frequency | Rs. 1,500/- per quarter and in multiples of Re. 1 thereafter | 4 (including first installment) |
| | Amount | No. of Installments | | | | | | | | | | | |
| Monthly Frequency | Rs. 500/- per month and in multiples of Re. 1 thereafter | 12 (including first installment) | | | | | | | | | | | |
| | Rs. 1,000/- or more per month and in multiples of Re. 1 thereafter | 6 (including first installment) | | | | | | | | | | | |
| Quarterly Frequency | Rs. 1,500/- per quarter and in multiples of Re. 1 thereafter | 4 (including first installment) | | | | | | | | | | | |
| Installments | All installments should be of same amount. No upper limit for single cheque or aggregate. The first cheque and subsequent cheques should not fall in the same month/quarter. First cheque should be of current date (no post-dated cheque will be accepted). | | | | | | | | | | | | |
| Load Structure | For load structure details, please refer to KIM. Load Structure prevailing at the time of submission of SIP application form (whether for fresh enrollment or extension) will be applicable for all the SIP installments specified in such application. | | | | | | | | | | | | |

- Investors should mandatorily give a cheque for the first transaction during the New Fund Offer Period and fill the SIP Application Form and the Registration cum Mandate Form for Direct Debit/NACH. The date of first cheque should be the date of submission of application no post dated cheque will be accepted. The second installment will be processed in the month of December 2018 in case of monthly and January 2019 in case of quarterly frequency as indicated by the investor.
- Please draw cheque in the name of the Scheme or its abbreviation and cross "A/c Payee" e.g. "Invesco India Smallcap Fund". Also write SIP enrollment Form no. or folio number on the reverse of cheque accompanying SIP enrollment form.
- In case SIP date specified is a non-business day or falls during a book closure period, the transaction will be effected on the next business day.
- In case any cheque submitted by the investor for SIP installment or any payment instruction for SIP installment is dishonored by the Bankers for the reason of account of investor is closed, the AMC would discontinue the SIP immediately and reserves the right to redeem the outstanding units if total investment is below Rs. 5,000/- the AMC reserves the right to discontinue the SIP enrolment in case cheque/ payment instruction submitted by Unit holder is not honored by Banker on 2 (two) consecutive occasions for either insufficiency of funds or as a result of a stop payment instruction issued by the Unit holder and reserves the right to redeem the outstanding units if total investment is below Rs. 5,000/-.
- SIP registration will be automatically terminated upon receipt of intimation of death of the Unit holder.
- SIP in a folio of minor will be registered only upto the date of minor attaining majority though the instruction may be for the period beyond that date.
- The investors can also subscribe Units through SIP in Demat (electronic) mode for the Scheme. However the Units will be allotted based on allotment NAV of the Scheme and will be credited to investor's Demat (Beneficiary) Account on weekly basis on realization of funds, e.g. Units will be credited to investor's Demat (Beneficiary) account every Monday

(or next business day, if Monday is a non-business day) for realization status received in last week from Monday to Friday.

- Investors will not hold Invesco Mutual Fund / Invesco Asset Management (India) Private Limited, it's Registrar and other service providers responsible, if the transaction is delayed or not affected or the investor's bank account is debited in advance or after the specific SIP date.
- Invesco Mutual Fund / Invesco Asset Management (India) Private Limited, it's Registrar and other service providers shall not be responsible and liable for any damages/compensation for any loss, damage etc., incurred by the investor. The investor assumes the entire risk of using this facility and takes full responsibility.
- Unit holder has a right to discontinue the SIP facility at any time by sending SIP cancellation form to any Official Points of Acceptance, at least 10 Business Days prior to the next SIP Debit quoting their SIP reference number. On receipt of such request, the SIP enrollment will be terminated. Incomplete applications will be rejected.

Internet SIP

- ISIP facility is available only with banks and service providers with whom Invesco Mutual Fund has tied up for Auto Debit. The list of banks is available on our website www.invescomutualfund.com.
- In case of ISIP registered during NFO, while the first installment will be debited on the date of investor registering for ISIP, the second instalment will fall due after the scheme re-opens for ongoing transactions provided that there is a minimum period of 15 calendar days from the first ISIP installment date.
- Unique Registration Number (URN) will be allotted to the investors after registration of ISIP on website of the Fund. Investor is required to register the said URN with the same bank as opted at the time of registration of ISIP within 10 calendar days from the date of URN allotment. In case investor has multiple bank accounts associated under his/her Net Banking account, then the investor should ensure that the bank account registered under the folio is opted for registering the URN.
- The fund reserves the right to cancel the ISIP registration if URN is not registered within 10 calendar days from the date of URN allotment or in case the ISIP installment is debited from bank account other than the bank account which is registered in the investor's folio.
- Investor can discontinue the ISIP facility at any time by submitting SIP cancellation from duly signed as per mode of holding to any of nearest Investor Service Center, at least 10 Business Days prior to the next ISIP debit date.

Terms & Conditions - NACH

- NACH debit facility is offered at various banks. For a detailed list of banks please refer the website www.npci.org.in the list is subject to modification/update at any time in future at the sole discretion of Invesco Asset Management (India) Private Limited, without assigning any reason or prior notice. If any bank is removed, SIP instructions of investors for such banks via NACH will be discontinued without any prior notice.
- By signing the NACH mandate form the investor agrees to abide by the terms and conditions of NACH facility through NPCI (www.npci.org.in).
- The Registration cum Mandate Form for NACH should be submitted at least 30 Calendar days prior to next SIP cycle date through NACH.
- Unique Mandate Registration Number (UMRN) is auto generated by NPCI during the mandate creation for the first time. Investors, who do not have the UMRN, please leave it blank. UMRN would be linked to the folio and maximum length is 20 characters comprising of Alpha Numeric Character allotted by NPCI.
- Please provide the cancelled cheque leaf of the bank A/c no. for which NACH facility is registered.
- Please refer your cheque leaf for IFSC/MICR of customer bank. (maximum length-11 Alpha Numeric Characters).
- Maximum amount is the uppermost limit per transaction set by the investor for his registered bank account to be debited.
- Investor should mention the complete CBS (Core Banking System) Bank Account number and the Account-holder name as per the Bank records on the mandate. In case the bank account is under joint mode then the details of the joint holder should also be mentioned on the mandate.
- Investor should sign on the mandate as per their bank records.

Terms & Conditions - Direct Debit

Direct Debit: The Direct Debit Facility is available only with the banks with which The AMC or its service provider has tie up for Direct Debit.

Ultimate Beneficial Owner / FATCA & CRS Annexure Form - For Non Individual Accounts

Name of the Entity

Type of address given at KRA¹ ☐ Residential ☐ Business ☐ Registered Office

Date of Incorporation

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| D | D | M | M | Y | Y | Y | Y |
|---|---|---|---|---|---|---|---|

 PAN

| | | | | | | | | | |
|--|--|--|--|--|--|--|--|--|--|
| | | | | | | | | | |
|--|--|--|--|--|--|--|--|--|--|

City of Incorporation Country of Incorporation

Entity Constitution ☐ Partnership Firm ☐ HUF ☐ Private Limited Company ☐ Public Limited Company ☐ Society ☐ AOP/BOI ☐ Trust

Type ☐ Liquidator ☐ Limited Liability Partnership ☐ Artificial Juridical Person ☐ Others

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.)

| Country | Tax Identification No. ² | Identification Type (TIN or Others, please specify) |
|----------------------|-------------------------------------|---|
| <input type="text"/> | <input type="text"/> | <input type="text"/> |
| <input type="text"/> | <input type="text"/> | <input type="text"/> |
| <input type="text"/> | <input type="text"/> | <input type="text"/> |

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

FATCA & CRS Declaration³

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

We are a ☐ Financial institution⁴ ☐ Direct reporting NFE⁵

GIIN

| | | | | | | | | | |
|--|--|--|--|--|--|--|--|--|--|
| | | | | | | | | | |
|--|--|--|--|--|--|--|--|--|--|

 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.

Name of sponsoring entity

GIIN not available ☐ Applied for

If the entity is a financial institution, ☐ Not required to apply for - please specify 2 digits sub-category⁶

| | |
|--|--|
| | |
|--|--|

 (Refer 1 A of Part C)

☐ Not obtained - Non-participating FI

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)

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)

Yes ☐ (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

Name of stock exchange

Is the Entity an active NFE (Refer 2C of Part C)

Yes ☐ (If yes, please fill UBO declaration in the next section)

Nature of Business

Please specify the sub-category of Active NFE

| | |
|--|--|
| | |
|--|--|

 (Mention code - refer 2c of Part D)

Is the Entity a passive NFE (Refer 3(ii) of Part C)

Yes ☐ (If yes, please fill UBO declaration in the next section.)

Nature of Business

Instructions

¹Address of tax residence would be taken as available in KRA database. In case of any change, please approach KRA & notify the changes.

²In 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 Intermediary Identification Number or GIIN, etc.

³Please consult your professional tax advisor for further guidance on FATCA & CRS classification)

⁴Refer 1 of Part C

⁵Refer 3(vii) of Part C

⁶Refer 1A of Part C

| | | | |
|----------|---|---|--|
| Category | <input type="checkbox"/> Unlisted Company | <input type="checkbox"/> Partnership Firm | <input type="checkbox"/> Limited Liability Partnership Company |
| | <input type="checkbox"/> Religious Trust | <input type="checkbox"/> Private Trust | <input type="checkbox"/> Public Charitable Trust |
| | <input type="checkbox"/> Unincorporated association / body of individuals | <input type="checkbox"/> Others | |

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 attach additional sheets, if necessary)
Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E (Refer 3(vi) of Part C)

| Details | UBO 1 | UBO 2 | UBO 3 |
|---------------------------------------|--------------------------------------|--------------------------------------|--------------------------------------|
| Name of UBO | | | |
| | | | |
| UBO Code (Refer 3(iv) (A) of Part C) | | | |
| Country of Tax Residency ⁷ | | | |
| PAN ⁸ | | | |
| Address | Address, Zip, State, Country | Address, Zip, State, Country | Address, Zip, State, Country |
| | | | |
| | | | |
| Address Type | Residence/Business/Registered office | Residence/Business/Registered office | Residence/Business/Registered office |
| Tax ID ² | | | |
| Tax ID Type | | | |
| City of Birth | | | |
| Country of Birth | | | |
| Occupation Type | Service/Business/Others | Service/Business/Others | Service/Business/Others |
| Nationality | | | |
| Father's Name | | | |
| | | | |
| Gender | Male/Female /Others | Male/Female /Others | Male/Female /Others |
| Dath of Birth | | | |
| Percentage of Holding (%) | | | |

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 Rules require Indian financial institutions to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account 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 Invesco Asset Management 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.

Certification

I/We have read and understood the information requirements and the Terms and Conditions mentioned in this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct and complete. I/We hereby agree and confirm to inform Invesco Asset Management Company Private Limited/Invesco Mutual Fund/ Trustees for any modification to this information promptly.

Date

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| D | D | M | M | Y | Y | Y | Y |
|---|---|---|---|---|---|---|---|

Place

| |
|--|
| |
|--|

²It 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

⁷Country of Tax Residency is mandatory for all and if the controlling person is a US citizen or green card holder, please mention U.S.A ⁸If UBO is KYC compliant, KYC proof to be enclosed. Else PAN or any other valid identity proof must be attached. Position/Designation like Director/Settlor of Trust/Protector of Trust to be specified wherever applicable.

Authorised Signatory

| | | |
|--|-------------|--|
| | Name | |
| | Designation | |
| | Name | |
| | Designation | |
| | Name | |
| | Designation | |

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 its 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

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 GILN:

A. Reasons why FI not required to apply for GILN:

| Code | Sub-category |
|-------|---|
| i. | Governmental Entity, International Organization or Central Bank |
| ii. | 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 |
| iii. | Non-public fund of the armed forces, an employees' state insurance fund, a gratuity fund or a provident fund |
| iv. | Entity is an Indian FI solely because it is an investment entity |
| v. | Qualified credit card issuer |
| vi. | Investment Advisors, Investment Managers & Executing Brokers |
| vii. | Exempt collective investment vehicle |
| viii. | Trustee of an Indian Trust |
| ix. | FI with a local client base |
| x. | Non-registering local banks |
| xi. | FFI with only Low-Value Accounts |
| xii. | Sponsored investment entity and controlled foreign corporation |
| xiii. | Sponsored, Closely Held Investment Vehicle |
| xiv. | Owner Documented FFI |

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

Types of NFEs that are regarded as excluded NFE are:

- i. Publicly traded company (listed company)

A company is publicly traded if its stock are regularly traded on one or more established securities markets (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)
- ii. Related entity of a publicly traded company

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 |
|------|--|
| i. | 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; |

- ii. The NFE is a Governmental Entity, an International Organization, a Central Bank , or an entity wholly owned by one or more of the foregoing;
- iii. 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;
- iv. 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;
- v. 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;
- vi. 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;
- vii. Any NFE that fulfills all of the following requirements:
 - 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;
 - It is exempt from income tax in India;
 - It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;

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.

Explanation:- For the purpose of this sub-clause, the following shall be treated as fulfilling the criteria provided in the said sub-clause, namely:-

 - (I) an Investor Protection Fund referred to in clause (23EA);
 - (II) a Credit Guarantee Fund Trust for Small Industries referred to in clause 23EB; and (III) an Investor Protection Fund referred to in clause (23EC), of section 10 of the Act;

3. Other definitions

- i. Related entity

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.
- ii. Passive NFE

The term passive NFE means

 - 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
 - an investment entity defined in clause (b) of these instructions
 - 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)
- iii. Passive income

The term passive income includes income by way of :

 - Dividends,
 - Interest
 - Income equivalent to interest,
 - 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
 - Annuities
 - The excess of gains over losses from the sale or exchange of financial assets that gives rise to passive income
 - The excess of gains over losses from transactions (including futures, forwards, options and similar transactions) in any financial assets,
 - The excess of foreign currency gains over foreign currency losses
 - Net income from swaps
 - Amounts received under cash value insurance contracts

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.

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:

- More than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;
- More than 15% of the capital or profits of the juridical person, where the juridical person is a partnership; or
- 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 15% 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.

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

i. Controlling Person Type:

| Code | Sub-category |
|-------|--|
| i. | CP of legal person - ownership |
| ii. | CP of legal person - other means |
| iii. | CP of legal person - senior managing official |
| iv. | CP of legal arrangement - trust - settlor |
| v. | CP of legal arrangement - trust - trustee |
| vi. | CP of legal arrangement - trust - protector |
| vii. | CP of legal arrangement - trust - beneficiary |
| viii. | CP of legal arrangement - trust - other |
| ix. | CP of legal arrangement - Other - settlor equivalent |
| x. | CP of legal arrangement - Other - trustee equivalent |
| xi. | CP of legal arrangement - Other - protector equivalent |
| xii. | CP of legal arrangement - Other - beneficiary equivalent |
| xiii. | CP of legal arrangement - Other - other equivalent |
| xiv. | Unknown |

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

- a corporation the stock of which is regularly traded on one or more established securities markets;
- 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);
- the United States or any wholly owned agency or instrumentality thereof;
- 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;
- 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;
- any bank as defined in section 581 of the U.S. Internal Revenue Code;
- any real estate investment trust as defined in section 856 of the U.S. Internal

Revenue Code;

- 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);
- any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code;
- 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;
- 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;
- a broker as defined in section 6045(c) of the U.S. Internal Revenue Code; or
- 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 FFI

An FFI meets the following requirements:

- The FFI is an FFI solely because it is an investment entity;
- The FFI is not owned by or related to any FFI that is a depository institution, custodial institution, or specified insurance company;
- The FFI does not maintain a financial account for any non participating FFI;
- The FFI 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
- 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 FFI that holds its interest through a participating FFI, a deemed-compliant FFI (other than an owner-documented FFI), an entity that is a U.S. person, an exempt beneficial owner, or an excepted NFE.

vii. Direct reporting NFFE

A direct reporting NFFE means a NFFE 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 |
|-------|---|
| i. | An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37) |
| ii. | The United States or any of its agencies or instrumentalities |
| iii. | A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities |
| iv. | 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) |
| v. | 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) |
| vi. | 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 |
| vii. | A real estate investment trust |
| viii. | A regulated investment company as defined in section 851 or an entity registered at alltimes during the tax year under the Investment Company Act of 1940 |
| ix. | A common trust fund as defined in section 584(a) |
| x. | A bank as defined in section 581 |
| xi. | A broker |
| xii. | A trust exempt from tax under section 664 or described in section 4947(a)(1) |
| xiii. | A tax exempt trust under section 403(b) plan or section 457(g) plan |

Invesco India Smallcap Fund

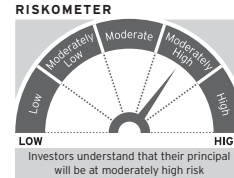
(Small Cap Fund - An open ended equity scheme predominantly investing in small cap stocks)

Application Supported By
Blocked Amount (ASBA) Form
Please read instructions before filling the Form

Suitable for investors who are seeking*

- capital appreciation over long term
- investments predominantly in equity and equity-related instruments of Smallcap companies

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



Application No :

NFO Opens: October 10, 2018

NFO Closes: October 24, 2018

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. (Refer Instruction no.1(vii)).

Transaction Charges (Please tick any one of the below. For details refer KIM)

- ☐ I am a first time investor in Mutual Funds /
- ☐ I am an existing investor in Mutual Funds (Default)

Upfront commission, if any, shall be paid directly by the investor to the AMFI registered distributors based on the investors' assessment of various factors, including the service rendered by the distributor.

Sign Here - Sole/First Applicant/Guardian/POA

Sign Here - Second Applicant

Sign Here - Third Applicant

- Country of Birth/Citizenship/Nationality or Tax Residency, other than India, for any applicant:

☐ Yes ☐ No (Mandatory to ✓)

If Yes, please fill FATCA/CRS declaration

- NRI investors should mandatorily fill separate FATCA/CRS declarations

- Non-Individual investors should mandatorily fill separate FATCA / CRS & UBO declarations

Key Partner/Agent Information

| | | |
|---|------------------------------|------------------------------------|
| Distributor / Broker ARN ARN - | Sub-Broker ARN Code ARN - | Internal Sub-Broker/Employee Code |
| Employee Unique Identification No. (EUIN) (Of Individual ARN holder or of employee/ Relationship Manager/Sales Person of the Distributor) | SCSB Branch Stamp & Code | Registered Investment Advisor Code |

Mode of Holding (Only for non-demat mode) ☐ Single ☐ Joint ☐ Anyone or Survivor (Default)

1. Applicant's Details (Name as per AADHAAR card)

| | | | | | | | | | | | | | | | | | | | | | | | | |
|--------------------|------------------|--|--|--|--|--|--|--|--|--|--|--|--|--|--|---|---|---|---|---|---|---|---|---|
| First/Sole | Mr. / Ms. / M/s. | | | | | | | | | | | | | | | | | | | | | | | |
| PAN/KRN | | | | | | | | | | | | | | | | Date of Birth | D | D | M | M | Y | Y | Y | Y |
| AADHAAR No. | | | | | | | | | | | | | | | | (As per AADHAAR card) | | | | | | | | |
| KIN | | | | | | | | | | | | | | | | Enclosed KYC Proof <input type="checkbox"/> | | | | | | | | |

| | | | | | | | | | | | | | | | | | | | | | | | | |
|--------------------|-----------|--|--|--|--|--|--|--|--|--|--|--|--|--|--|---|---|---|---|---|---|---|---|---|
| Second | Mr. / Ms. | | | | | | | | | | | | | | | | | | | | | | | |
| PAN/KRN | | | | | | | | | | | | | | | | Date of Birth | D | D | M | M | Y | Y | Y | Y |
| AADHAAR No. | | | | | | | | | | | | | | | | (As per AADHAAR card) | | | | | | | | |
| KIN | | | | | | | | | | | | | | | | Enclosed KYC Proof <input type="checkbox"/> | | | | | | | | |

| | | | | | | | | | | | | | | | | | | | | | | | | |
|--------------------|-----------|--|--|--|--|--|--|--|--|--|--|--|--|--|--|---|---|---|---|---|---|---|---|---|
| Third | Mr. / Ms. | | | | | | | | | | | | | | | | | | | | | | | |
| PAN/KRN | | | | | | | | | | | | | | | | Date of Birth | D | D | M | M | Y | Y | Y | Y |
| AADHAAR No. | | | | | | | | | | | | | | | | (As per AADHAAR card) | | | | | | | | |
| KIN | | | | | | | | | | | | | | | | Enclosed KYC Proof <input type="checkbox"/> | | | | | | | | |

Applicants must ensure that the sequence of the names as mentioned in the application form matches with that of beneficiary account held with the Depository Participant.

2. Details of Bank Account for Blocking of Funds

| | | | |
|--|--|--|--|
| Bank Name | | | |
| Bank Account No. | | | |
| Bank Address | | | |
| Amount to be blocked (₹ in figures) | | Amount to be blocked (₹ in figures) | |

Acknowledgement Slip (To be filled by the Applicant) Invesco India Smallcap Fund

NFO Opens : October 10, 2018

NFO Closes : October 24, 2018

| | | | | | | | | | | | | | | | | | | | | | | | | |
|---------------------------------|------------------|---|---|---|---|---|---|---|---------------------------------|--|----------------------|--|--|--|--|-------------------------|------------------------|---|---|---|---|---|---|---|
| Received from | Mr. / Ms. / M/s. | | | | | | | | | | | | | | | Application No : | | | | | | | | |
| ASBA Form Dated | D | D | M | M | Y | Y | Y | Y | Amount to be Blocked (₹) | | | | | | | | Submission Date | | | | | | | |
| SCSB (Bank & Branch) | | | | | | | | | | | Bank A/c. No. | | | | | | D | D | M | M | Y | Y | Y | Y |

3. Investment Details

| Sub-Plan(s) / Option(s) | Amount (in Rs.) | ISIN |
|--------------------------------------|-----------------|--------------|
| Regular Plan - Growth | | INF205K011T7 |
| Regular Plan - Dividend Payout | | INF205K010T9 |
| Regular Plan - Dividend Reinvestment | | INF205K014T1 |
| Direct Plan - Growth | | INF205K013T3 |
| Direct Plan - Dividend Payout | | INF205K012T5 |
| Direct Plan - Dividend Reinvestment | | INF205K015T8 |
| Total Amount¹ | | |

¹Total Amount must be equal to the amount to be blocked as mentioned in point 2 above.

4. Demat Account Details (Mandatory)

DP ID #

| | | | | | | | |
|---|---|--|--|--|--|--|--|
| I | N | | | | | | |
|---|---|--|--|--|--|--|--|

 Beneficiary Account No.

(# Not applicable in case of CDSL).

DP Name

The investors shall receive payments of Dividend/Redemption proceeds in the Bank Account linked to the Demat A/c as mentioned above.

5. Declarations & Signatures

General Declaration:

The Trustees, Invesco Mutual Fund
Having read and understood the contents of the Statement of Additional Information / Scheme Information Document of the Scheme, I / We hereby apply to the Trustees of Invesco Mutual Fund for units of the Scheme as indicated above and agree to abide by the terms, conditions, rules and regulations of the Scheme. I / We have understood the details of the Scheme and I / We have not received nor have been induced by any rebate or gifts, directly or indirectly, in making this investment. The Distributor has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us. I / We hereby authorise Invesco Mutual Fund, its Investment Manager and its Agents to disclose details of my / our investment to my / our bank(s) / Invesco Mutual Fund's Bank(s) and / or Distributor / Broker / Investment Advisor and to verify my/ our bank details provided by me / us. I / We hereby declare that the particulars given above are correct. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information, I/We would not hold Invesco Asset Management (India) Pvt. Ltd. (Investment Manager to Invesco Mutual Fund), their appointed service providers or representatives responsible. I / We hereby declare that the amount being invested by me/us in the Scheme of Invesco Mutual Fund is derived through legitimate sources and is not held or designed for the purpose of contravention of any Act, Rules, Regulations or any statute or legislation or any other applicable laws or any Notifications, Directions issued by any governmental or statutory authority from time to time.
I / We confirm that I / We are not United States person(s) under the laws of United States or residents(s) of Canada as defined under the applicable laws of Canada.

ASBA Authorizations:

1) I / We hereby undertake that I / We am / are an ASBA applicant(s) as per the applicable provisions of the SEBI (Issue of Capital and Disclosure Requirements) (Amendment) Regulations, 2011. 2) In accordance with ASBA process provided in the SEBI (Issue of Capital and Disclosure Requirements) (Amendment) Regulations, 2011, I/We authorize (a) the SCSB to do all acts as are necessary to make an application in the NFO of the Scheme of Invesco Mutual Fund, including uploading of application details, blocking the amount to the extent mentioned above in the "Details of Bank Account for Blocking of Funds" or unblocking of funds in the bank account maintained with the SCSB specified in the form, transfer of funds to the nominated Invesco Mutual Fund Bank Account on receipt of instruction from the Registrar to the New Fund Offer after finalisation of allotment entitling me / us to receive Units on such transfer of funds. (b) Registrar to the Invesco Mutual Fund to issue instructions to the SCSB to remove the block on the funds in the bank account specified in the ASBA Form, upon allotment and to transfer the requisite money to Invesco Mutual Fund's nominated Bank account. 3) In case the amount available in the bank account specified in the ASBA Form is insufficient for blocking the amount equivalent to the application money, the SCSB shall reject the application. 4) If the DP ID, Beneficiary ID or PAN furnished by me / us in the ASBA Form is incorrect or incomplete, the application shall be rejected and Invesco Asset Management (India) Pvt. Ltd. (Investment Manager to Invesco Mutual Fund), their appointed service providers and the SCSBs representatives shall not be liable for losses, if any.
Applicable to NRIs only :
I / We confirm that I am / we are Non-Residents of Indian Nationality / Origin and that the funds are remitted from abroad through approved banking channels or from my / our NRE / NRO / FCNR Account. I / We confirm that the details provided by me / us are true and correct.

Date

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| D | D | M | M | Y | Y | Y | Y |
|---|---|---|---|---|---|---|---|

Place

Signature of the Applicant

KIN: KYC Identification Number from Central KYC Registry

Signature of Bank Account Holders

(To be signed as per mode of operation of the bank account)

A. Self Certified Syndicate Bank (SCSB): SCSB is a bank which offers the facility of applying through the ASBA process. The current list of SCSB's as available on SEBI website is as follows:

- | | |
|---------------------------------------|--|
| • Ahmedabad Mercantile Co-Op Bank Ltd | • Karnataka Bank |
| • Allahabad Bank | • Karur Vasya Bank Ltd. |
| • Axis Bank | • Kotak Mahindra Bank Ltd. |
| • Bandhan Bank | • Mehsana Urban Co-operative Bank Limited |
| • Bank of Baroda | • Nutan Nagarik Sahakari Bank Ltd |
| • Bank of India | • Oriental Bank of Commerce |
| • Bank of Maharashtra | • Punjab National Bank |
| • Barclays Plc. | • Rajkot Nagarik Sahakari Bank Ltd |
| • BNP Paribas | • RBL Bank Ltd |
| • Canara Bank | • South Indian Bank |
| • Central Bank of India | • Standard Chartered Bank |
| • CITI Bank | • State Bank of India |
| • City Union Bank Ltd. | • SVC Co-operative Bank Ltd. |
| • DBS Bank Ltd. | • Syndicate Bank |
| • Dena Bank | • Tamilnad Mercantile Bank Ltd. |
| • Deutsche Bank AG | • The Ahmedabad Mercantile Co-Op. Bank Ltd |
| • Dhanlaxmi Bank Limited | • The Allahabad Bank |
| • HDFC Bank Ltd. | • The Lakshmi Vilas Bank Ltd. |
| • HSBC Ltd. | • The Saraswat Co-operative Bank Ltd. |
| • ICICI Bank Ltd. | • The Surat Peoples Co-op Bank |
| • IDBI Bank | • TJSB Sahakari Bank Ltd |
| • Indian Overseas Bank Ltd. | • UCO Bank |

- | | |
|----------------------------------|------------------------|
| • Indusind Bank Ltd. | • Union Bank of India |
| • J. P. Morgan Chase, Bank, N.A. | • United Bank of India |
| • Jammu and Kashmir bank | • Vijaya Bank |
| • Janata Sahakari Bank Ltd | • Yes Bank Ltd. |

For the complete list of SCSBs with details of controlling/designated branches please refer to websites : <http://www.sebi.gov.in>, <http://www.nseindia.com> and <http://www.bseindia.com>.

B. Investors Demat Account details:

- It is mandatory to provide Demat Account details in ASBA Application Form as the units will be credited in the Demat Account specified in ASBA Application Form.
- Applicant should ensure that the Demat Accounts specified in the ASBA Application Form are active i.e. not frozen or suspended.
- Applicant to note that in case the DP-ID, beneficiary account no. or PAN provided in the ASBA Application Form are incorrect or do not match with the records of Depositories (NSDL or CDSL), the applications will be rejected.

C. Bank Account details:

- Applicants should provide Bank Account details from which the application amount is to be blocked alongwith Bank & Branch name and application amount.
- Applicant should maintain sufficient balance in the Bank Account in which application amount is to be blocked. In case of insufficient funds in the specified Bank Account the application is liable to be rejected.
- Applicant can make application for maximum upto 5 ASBA Applications from a single Bank Account with a Bank.
- It may be noted that no application will be accepted for subscription to units of schemes of Invesco Mutual Fund where such application is accompanied by Third Party Payment other than the exceptions allowed. 'Third-Party Payment' means a payment made through instruments issued from a bank account other than that of bank account of first named applicant/investor.

Please refer to point no. 8 v. of the Instructions for details.



A. OFFICIAL POINTS OF ACCEPTANCE OF TRANSACTION

INVESCO ASSET MANAGEMENT (INDIA) PRIVATE LIMITED - For NFO and ongoing basis

Ahmedabad: 303/A, Raindrop, Building, C.G.Road, Ahmedabad - 380 006. Tel. No: 079: 66251550
Bangaluru: 411, 4th Floor, Prestige Meridian 1, 29, MG Road, Bangaluru - 560 001 Tel.No: 080 - 42941000
Chandigarh: S.C.O. 2471 - 72, 2nd Floor, Sector 22C, Himalaya Marg, Chandigarh - 160 022 Tel. No: 0769- 6001369
Chennai: Door #2 - 72, Sun Plaza, #39 G.N.Chetty Road, Near Kamarajar Aramang, Chennai - 600006. Tel. No: 9043000628
Delhi: 10C, Vandana Building, 10th Floor, 11 Ee Tolstoy Marg, Connaught Place, New Delhi - 110 001. Tel. No: 011 43789000
Hyderabad: 2nd Floor, S.B. Towers, H.No.6-3-354, Road No.1, Banjara Hills, Landmark: Punjaigutta, Road, Beside Himalaya Book Store, Hyderabad-500 034. Tel. No: 9030015457
Indore: Room No. 216, 2nd Floor, Starline Tower, V.N.Road, Indore - 452 001. Tel. No: 7415000281
Jaipur: 2047, 2nd Floor, 'Brij Anukamp' Ashok Marg, C-Scheme, Jaipur - 302 001. Tel. No: 07737000761
Kanpur: 1st Floor, KAN Chambers, 14/113 Civil Lines, Kanpur - 208 001. Tel. No: 9044051658
Kolkata: Everest House, Unit No.16A/2, 16th Floor, 46, Chowranghee Road, Kolkata - 700 071. Tel.

INVESCO ASSET MANAGEMENT (INDIA) PRIVATE LIMITED - For NFO only

*** Agra:** Block No.30, Shop No.126, Sanjay Place, Agra - 282002. Tel. No. 0562 6459171. *** Allahabad:** 218/2128
 Coopera Road, Civil Lines, Allahabad - 211001. Tel. No. 0532-6455816. *** Aurangabad:** C/o Religare Securities Ltd
 1st Floor, Bhaskar Meridian, Nageshwarwardi, Near Nirla bazaar, Aurangabad - 431001. Tel. No. 9923757407.
*** Bhopal:** M- 18, B Block, Mansarovar Complex, Hoshangabad Road, Bhopal - 462016. Tel. No. 0755 4253972.
*** Bhubaneswar:** 4th Floor, Radhika Complex, Plot No.738-739, 1/84 Jharpada, Bhubaneswar - 751 006, Orissa. Tel. No.
 0674-6532662. *** Coimbatore:** 2nd Floor, 509 F, Red Rose Plaza, D.B.R. S. P. Suram, Coimbatore 641 002. Coimbatore
 641043. Tel. No. 9843555682. *** Dehradun:** 1st Floor, Room No. 3, 5, Shubhas Road, Opp- Secretariat Dehradun - 248001
 Tel. No. 0135 6453212. *** Gorakhpur:** Shop No. 17, Upper ground floor, Radhika complex, Asuran Chungi Medical College Road
 Gorakhpur - 273001. Tel. No. 9919802109. *** Guwahati (Assam):** 4th Floor, Ram Kumar Plaza Chatrabari, Near Himsatigunj
 Petrol Pump, Guwahati - 781 001. Tel. No. 8486030491. *** Jalandhar:** 2nd Floor, Hamilton Courts, E.H 176 Civil Lines, op-
 dist. court Jalandhar - 144 001Tel. No. 0181- 4266870. *** Jamshedpur:** Shop No. 16, Bharat Business Centre, Ground
 Floor, Bistupur, Jamshedpur -831001. Tel. No. 0657 2321534. *** Kochi:** Door No.CC 40/377, 3rd Floor, Jose Annex, Co.

B. LIST OF INVESTOR SERVICE CENTRES OF KARVY COMPUTERSHARE PVT. LTD. (KARVY), REGISTRAR & TRANSFER AGENTS OF INVESCO MUTUAL FUND (NFO & ONGOING BASIS) THESE WILL BE IN ADDITION TO THE EXISTING OFFICIAL POINTS OF ACCEPTANCE OF INVESCO ASSET MANAGEMENT (INDIA) PRIVATE LIMITED

[illegible]

033-4063911. * **Lucknow**: 304, 3rd Floor, SKY Hi Chamber, Park Road, Hazratganj, Lucknow - 226 001, UP Tel. No. -0522-4000841/4000149. * **Ludhiana**: Room 60, 6th Floor, SCO - 18, Feroze Gandhi Market, Ludhiana - 141 001, Tel. No. 0940-1022258. * **Mumbai (Nariman Point)**: Office No. 17, 1st Floor, Jolly Make Chambers II, Nariman Point, Mumbai - 400 021. Tel. No.: 022-44146000. * **Mumbai (H.O.)**: 2101-A, A Wing, 21st Floor, Marathon Futrex, N.M. Joshi Marg, Lower Panel, Mumbai - 400 013. Tel. No.: 022- 67310000. * **Panaji**: Advani Business Centre, Office No. C/2, Nekmaln Arcade, Almaraz, Panaji - 400 001, Goa, India. Tel. No. 0832-660465. * **Patna**: Harimay Complex, Bhai Bhai Road, Patna - 800 001. Tel. No.: 0824-4457840. * **Pune**: Shop No. 11, B Wing, Shreehatn Path, FC Road, Dnyaneshwar, Pauda Chowk, Pune, 411 005. Tel. No.: 020- 41291015. * **Vadodra**: 6C-6, 1st Floor, Concorde Complex, C R Dutt Road, Akalpuri, Vadodra - 390 005. Tel. No.: 0265- 2338446.

Junjun, M.G.Road, Kochi - 682016. Tel. No. 9037001509. **Madurai**: 17 Avenue Road, J Rani Tower, 3rd Floor, SSC Colony
 By Pass Road, Madurai - 625010 Tel. No. 0452 - 6460114 **Madarabad**: Sai Sadaan Commercial Complex, G-5, Ground Floor
 Madurai - 244001. Tel. No. 88590 16165. **Nagpur**: Business chamber no f2/102, Fortune Business Centre, 1st floor, Tint
 Plot no.6, Vasant-Vihar Complex, West High Court Road, Shankar Nagar, Nagpur - 440010. Tel. No. 0712 6463962. **Nashik**
 1st Floor, G-21, Supply Sankul, Below Karvay Computerash Pvt Ltd, Near Rajiv Gandhi Bhavan, Sharanpur Road, Nashik - 422002
 Tel. No. 7507737375. **Rajpur**: Shop No.1, 2nd Floor, DM Plaza, Near Five Brigade Church, Chotapara, Rajpur-492001. Tel. No. 7885554400
 Rajkot - 360001. Tel. No. 8272787624. **Surat**: 215, Jolly Plaza, Altha Gate, Surat-395009. Tel. No. 0261 6450848
Varanasi: D/582, 3rd Floor, Kuber Complex, Rattiyala Crossing, Varanasi - 221010. Tel. No. 0542 6055444. **Vijayawada**:
 2nd Floor, JM-2, D.R.O. 40-1139, Mohiuddin Estate, Beside M. M. Bandar Road, Vijayawada - 520 010. Tel. No. 9885596614.
Vishakapatnam: V.N.C. 134, Dwarakanagar, Vishakapatnam - 530016. Tel. No. 8886001422.

[illegible]

c. Please refer our website www.invescomutualfund.com or visit mfuindia.com for Point of Services ("POS") locations of MF Utilities India Private Limited ("MFU") which are Official Points of Acceptance (OPAs) for NFO & ongoing transactions.

Invesco Asset Management (India) Private Limited

2101 - A, 21st Floor, A Wing, Marathon Futurex,
N.M. Joshi Marg, Lower Parel, Mumbai - 400 013.
Telephone +91 22 6731 0000
Fax +91 22 2301 9422

To invest:

Call 1800 209 0007

SMS 'invest' to 56677

www.invescomutualfund.com

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**Mutual Fund investments are subject to market risks,
read all scheme related documents carefully.**