

ANNEXURE 12: EXECUTION ONLY PLATFORMS⁴⁸¹

Annexure 12A – Minimum Disclosure Requirements

Minimum disclosure requirements for every scheme of Mutual Funds offered for execution on the EOP:

1. Name of the Mutual Fund. Link to Mutual Fund website whose products are offered.
2. Name of the scheme of the Mutual Fund. Type and category of the scheme of Mutual Fund.
3. Name of the Fund Manager.
4. Investment objective of scheme.
5. Scheme performance along with source.
6. Scheme details such as minimum investment, AUM, NAV, Exit Load, Expense Ratio.
7. Risk-o-Meter of the scheme and Potential Risk Matrix, wherever applicable.
8. Other mandatory disclosures regarding Mutual Fund scheme to the investors.
9. Any other details / documents as may be specified by SEBI from time to time.

⁴⁸¹ Inserted by SEBI Circular No. SEBI/HO/IMD/IMD-I –PoD1/P/CIR/2023/86 dated July 13, 2023

Annexure 12B – Records to be maintained by Category 2 EOP

The Category 2 EOP shall keep and maintain the following books of account, records and documents, namely: —

- a) Details of investor wise transactions, including time of request for subscription and redemption.
- b) Details of failed transactions, if any and the reasons thereof.
- c) Documents pertaining to on-boarding of clients including KYC documents, client account opening forms and Rights and Obligation documents.
