Mutual Funds

Aditya Birla Sun Life Mutual Fund



PROTECTING INVESTING FINANCING ADVISING

Multi Scheme SIP Facility Application Form (PLEASE READ THE INSTRUCTIONS BEFORE FILLING UP THE FORM.)

Distributor Name &	Sub Bro	Sub Broker Name & ARN/ RIA No.				Sub Broke	r Code		Employee Unique ID. No. (EUIN)						
ARN-53321										E05473	l				
EUIN is mandatory for "Executio I/we hereby confirm that the of the above distributor/sub bro	EUIN box has been	intentionally left b	lank my me/us										r/sales perso		
First Applicant /	/ Authorised Sign	natory			Second Applica	ant				Third A	Applicant				
Transaction Charges for A	pplications routed	l through Distribu	utors/agents o	nly (Refer Instruction (:-7)									
In case the subscription (lump other than first time mutual fun											l investor)	or ₹ 100/	- (for investo		
Existing Investor Folio No.				Ap	plication No.					Date	D N	M Y	YYY		
FIRST / SOLE APPLICANT INF	ORMATION (MANDATO	RY)													
NAME OF FIRST / SOLE APPLICA	NT Mr. Ms. M/	/s													
INVESTMENT DETAILS (Refer	Instruction B)			l				(*MANDATORY)							
		SCHEME 1				SCHEME	2				SCHEME	3			
SCHEME NAME	ABSL				ABSL				ABSL						
PLAN															
OPTION															
SIP Frequency (SIP start date should be post 29th Jan'2020)	Monthly SIP Date (any date betw 1-28)		Weekl se mention and etween Monda day)		Monthly SIP Date (any date betwee 1-28)	en ((Please mer day between to Friday)		SIP Da	late between		Please mei day betwee			
Tenure	From: M M To: 5 yea 15 ye Other	rs	years (12/99		From:		Y Y Y 10 years 31/12/99	9 Y Y	From: To:	M M S years □ 15 years □ Others □		Y Y 10 years 31/12/99	9 Y Y		
SIP Installment Amount															
Step Up (OPTIONAL - and available only for SIP Investments through NACH)	only for SIP					Step Up Amount:					Step Up Amount:500/1000/Other (In multiple of 500/-) Step Up Frequency:Half YearlyYearly *Step Up Max Amount:				
First Installment	Cheque Date		Cheque No.				Amount								
Drawn on Bank and Branch		L. fill. dr.	et -	T											
Use existing One Time Mar	iuate (fo	be filled in case of r	more than one (ıM r	egistration)										
Bank Name						A/	c No.								
DECLARATION(S) & SIGN	IATURE(S)														
I/We hereby authorise Aditya Birla Sun Life Mutual Fund and their authorised service provider to debit the above bank account by NACH/ Auto Debit Clearing for collection of SIP payments. I/We understand that the information provided by me/us may be shared with third parties for facilitating transaction processing through NACH/ Auto Debit Clearing or for compliance with any legal or regulatory requirements. I/We hereby declare that the particulars given above are correct and complete and express my/our willingness to make payments referred above through participation in NACH/ Auto Debit. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information, I/We will not hold ABSLAMC//MF or their appointed service providers or representatives responsible. I/We will also inform, about any changes in my bank account immediately. I/We undertake to keep sufficient funds in the funding account on the date of execution of standing instruction. I/We have read and agreed to the terms and conditions mentioned overleaf. The ARN holder has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us. "I / We acknowledge that the RIA has entered into an agreement with the AMC / MF for accepting transaction feeds under the code. I / We hereby indemnify, defend and hold harmless the AMC / MF against any regulatory action, damage or liability that they may suffer, incur or become subject to in connection therewith or arising from sharing, disclosing and transferring of the aforesaid information." For Micro SIP only: I hereby declare that I do not have any existing Micro SIPs which together with the current application in rolling 12 month period or in financial year i.e. April to March will result in aggregate investments exceeding ₹ 50,000 in a year. (refer Instruction no: 8-16).															
	First Unit Ho		1		ne of Second l		ler		Na	me of Thi	rd Unit	Holder			
ature(st Applicant		Second Applicant					Third Applicant							
			(To be sign	ed by	y All Applicants if m	ode of open	ation is Join	nt)							

C. COMMON INSTRUCTIONS FOR SIP

- Investors will not hold Aditya Birla Sun Life Mutual Fund, its Registrars and other service providers responsible if the transaction is delayed or not effected or the investor bank account is debited in advance or after the specific SIP date due to various clearing cycles of OTM/NACH/ Auto Debit. (i)
- NACH/ Auto Debit.

 Aditya Birla Sun Life Mutual Fund, its Registrars 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. Aditya Birla Sun Life Mutual Fund reserves the right to reject any application without assigning any reason thereof.

- (iii) Aditya Birla Sun Life Mutual Fund reserves the right to reject any application without assigning any reason thereof.
 (iv) Investors shall not hold the AMC/ Registrar/Service Providers and/or the Bank/s liable for any failure or delay in completion of its obligations where such failure or delay is caused, in whole or in part, by any Force Majeure event including acts of God, civil war, civil commotion, riot, strike, mutiny, revolution, fire, flood, war, earthquake, or any other cause of peril which is beyond the AMC/ Registrar / Service Provider's and/or the Bank's/s' reasonable control. Further no separate intimation will be received from AMC / It's Registrar / Bank and/or Service Providers in case of non-execution of the instructions in case of such Force Majeure events.
 It is compulsory for all investors to quote their Permanent Account Number (PAN) and submit copy of the PAN card issued by the Income Tax Department, irrespective of the amount of investment, while making an application for Purchase of Units. In case of joint applicants, PAN details of all holders should be submitted. In case the investor making the application is a minor, PAN details of the Guardian must be submitted. Investors residing in the state of Sikkim are exempt from the mandatory requirement of PAN proof submission, however sufficient documentary evidence shall have to be submitted to Adriya Birla Sun Life Mutual Fund for verifying that they are residents of State of Sikkim. Investors (PAN submission. For further details on Micro SIP, please refer instructions (E-23) in SIP Application Form.
 DIRECT APPLICATIONS AND EUIN

DIRECT APPLICATIONS AND FLIIN

- 23) in SIP Application Form.

 ECT APPLICATIONS AND EUIN

 Investment in Direct Plan: Investors applying under Direct Plan, are advised to write the word 'DIRECT' in the column' 'ARN No' or 'Broker Code' in their applications for purchases/additional purchases/switches in all such cases where applications are not routed through any distributor/agent/broker. In cases where unit holder uses a pre-printed transaction alp/application form where details in the 'ARN No' or 'Broker Code' column is already printed, unit holder should cancel the ARN No/ Broker Code, write 'DIRECT' in the said column. Also, in case ARN No/ Broker Code will be ignored and the application will be processed under Direct Plan, but 'Direct Plan' is indicated, the ARN No/ Broker Code will be ignored and the application will be processed under Direct Plan usual to the application will be processed under Direct Plan.

 Employee Unique Identification Number (EUIN) is a unique number allotted to Sales personnel i.e. employee/ relationship manager/ sales person of the distributor interacting with the investor for the sale of mutual fund products, Such sales personnel associated with Distributor, should also be holding a valid NISM certificate. Thus, in case of applications routed through distributors, in addition to the AMFI Registration Number (ARN) of the distributor. Investors are requested to also provide the EUIN of the individual ARN holder or of employee/relationship manager/sale person of the Distributor interacting with the investor. Providing appropriate EUIN in the application/transaction forms would assist in tackling the problem of mis-selling even if the Sales personnel on whose advice the transaction was executed by investor leaves the employment of the distributor or his/her sub broker, if the distributor has not given any advice pertaining to the investment (i.e. transaction is execution only), then the EUIN box may be left blank, but it would be mandatory for the investor to provide confirmation as mentioned in the application form.

KNOW YOUR CUSTOMER (KYC)

According to guidelines issued by SEBI under 'The Prevention of Money Laundering Act, 2002', Mutual Funds are required to follow enhanced know your customer (KYC) norms. Investors can visit branches of ABSLAMC or may visit www.adityabirlacapital.com, www.amfiindia.com and www.cdslindia.comtoknow detailed procedure for KYC compliance.

Effective January 01, 2011 it is mandatory for all category of investors to be KYC compliant for all investment transactions made on or after January 01, 2011, irrespective of amount of

To further clarify, the above category of investors shall include:

i. their constituted Power of Attorney (PoA) holder, in case of investments through a PoA

ii. each of the applicants, in case of investments in joint names; and iii. Guardian in case of investments on behalf of minor

Applications without KYC Acknowledgement letter for the specified category of investors are liable to be rejected.

be rejected.

Provided further, where it is not possible to verify the KYC compliance status of the investor at the time of allotment of units, the ABSLAMC shall verify the KYC compliance status of the investor within a reasonable time after the allotment of runts. In the event of non compliance of KYC requirements, the ABSLAMC reserves the right to freeze the folio of the investor(s) for any kind of transactions or affect mandatory redemption of unit holdings of the investors at the applicable NAV, subject to payment of exit load. Investors should note that on completion of KYC Compliance all details of the investor in the Mutual Fund records will be replaced by the details agiven in KYC Application Form by the investor. Any change in these details like change of Name / Address / Status / Signature, etc. should be given by Investor directly in the prescribed manner.

the investor. Any change in these details like change or Name / Address / Setals / Signature, etc. should be given by investor directly in the prescribed manner.

Pursuant to SEBI Circular No. MIRSD/ Cir-26/2011 dated December 23, 2011, SEBI (KYC Registration Agency) Regulations, 2011 and SEBI Circular No. MIRSD/SE/Cir-21/2011 dated October 05, 2011, regarding uniformity in the Know Your Customer (KYC) process in the securities market and development of a mechanism for centralization of the KYC excords to avoid duplication of KYC Process across the intermediaries in the securities market, the following changes are being made to KYC process. January 01, 2012:

1. SEBI has introduced a common KYC Application Form for all the SEBI registered intermediaries viz. Mutual Funds, Portfolio Managers, Depository Participants, Stock Brokers, Venture Capital Funds, Collective Investment Schemes, etc. New Investors are therefore requested to use the common KYC Application Form and carry out the KYC process including In-Person Verification (IPV) with any SEBI registered intermediaries including mutual funds. The KYC Application Forms are also available on our website www.adityabirlacapital.com.

2. The Mutual Fund shall perform the initial KYC of its new investors and may undertake enhanced KYC measures commensurate with the risk profile of its investors. The Mutual Fund shall upload the details of the investors on behalf of the Mutual Fund may also undertake the KYC of the investors on behalf of the initial vydated KYC documents from the Mutual Fund, crimming the details thereof.

3. Once the investor has done KYC with a SEBI registered intermediany, the investor so behalf of the initial vydated KYC documents from the Mutual Fund, canfirming the details thereof.

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- the initial/updated KYC documents from the Mutual Fund, confirming the details thereof. Once the investor has done KYC with a SEBI registered intermediary, the investor need not undergo the same process again with another intermediary including mutual funds. However, the Mutual Fund reserves the right to carry out fresh KYC of the investor.

 It is mandatory for intermediaries including mutual funds to car out In-Person Verification (IPV) of its new investors w.e.f. January O.1, 2012. The IPV carried out by any SEBI registered intermediary can be relied upon by the Mutual Fund. ABSLAMC and NISM/AMFI certified distributors who are KYD compliant are authorized to undertake the IPV for Mutual Fund investors. Further, in case of any applications received directly (i.e. without being routed through the distributors) from the investors, the Mutual Fund may rely upon the IPV (on the KYC Application Form) performed by the scheduled commercial banks.
- Existing KYC compliant investors of the Mutual Fund can continue to invest as per the current practice. However, existing investors are also urged to comply with the new KYC requirements including IPV as mandated by SEBI.

RESTRICTION ON ACCEPTANCE OF THIRD PARTY PAYMENT:

- TRICTIONONACCEPTANCE OF THENP PARTY PAYMENT:

 Pursuant to the AMFI Best Practice Guidelines circular on 'Risk mitigation process against
 Third-Party Cheques in mutual fund subscriptions' read with compliance with 'Know your
 Customer (HYC)' norms under Prevention of Money Laundening Act, 2002 (PMLA), Aditys Birla
 Sun Life AMC Ltd. (ABSLAMC)/ Aditya Birla Sun Life Mutual Fund (ABSLMF) shall not
 accept applications for subscriptions of units accompanied with Third Party Payments,
 except in the cases as enumerated below in para (c).

 "Third Party Payment" means payment through an instrument issued from a bank account
 other than that of the beneficiary investor. In case of payments from a joint bank account, the
 first named investor/holder of the mutual fund folio has to be one of the joint holders of the bank
 account from which payment is made.

 ABSLAMC shall not accept subscriptions accompanied with Third Party Payments except in the
 following exceptional situations subject to submission of requisite documentation/declarations
 enumerated in para (d) below:

enumerated in para (c) below:

i. Payment by Parents/Grand-Parents/Related persons on behalf of a minor in consideration of natural love and affection or as gi for a value not exceeding ₹ 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 as a guardian.

(Contd on Page 4)

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DEBIT MANDA	TE-ONE TIME MANDATE /	NACH / AUTO DE	BIT [Applica	able for Lum	psum A	dditional Po	ırchases a	s well as	SIP Registrations]	Please attach a	cancelled	cheque/che	que copy.
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(tick√)		UMRN						\dashv					
✓ CREATE Sponsor Bank Code MODIFY CANCEL Sponsor Bank Code I/We hereby authorize:		Office use only						Code		use only			
		ADITYA BIRLA SUN LIFE MUTUAL FUND						it (tick√) SB CA	□cc □s	CC SB-NRE SB-NRO Other		
Bank A/c No.:													
With Bank:	Bank Na	ıme & Branch			IFS	С				OR MICR			
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FREQUENCY [☐ Monthly ☐ Quarterly	☐ Half Yearl	y 🔲 Year	rly	s & wh	en preser	ited		DEBIT TYPE E	Fixed Amou	ınt ☑M	aximum An	nount
Reference 1	PAN No:								Mobile				
Reference 2	Folio No/ Appln No:					Email:							
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to 3 1	1 2 2 0 9 9												
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— 													* –
cknowledge	ment Slip (To be filled i	n by the Investo	r)						MULTI SCH	EME SIP F	ACILITY	APPLICA	TION FOR
Application No).											ollection Co MC Stamp	entre / & Signatur
Descived from									, ,				

Aditya Birla Sun Life AMC Limited (Investment Manager to Aditya Birla Sun Life Mutua Regn. No.: 109. Regd Office: One Indiabulls Centre, Tower 1, 17th Floor, Jupiter Mill Compound, 841, Senapati Bapat Marg, Prabhadevi, Mumbai - 400013

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