mahindra Manulife MUTUAL FUND

STP / CASTP

Systematic Transfer Plan
Capital Appreciation Systematic Transfer Plan

☐ **Enrolment** / ☐ **Cancellation**

Date : D D M M Y Y Y Y

(Please refer Product labeling available on cover page of the KIM and terms and conditions overleaf)

The Application Form should be completed in **ENGLISH** and in **BLOCK LETTERS** only. Please tick in the appropriate box wherever applicable and strike off the section(s) not in use.

KEY PARTNER / AGENT INFORMATION (Refer General Instruction 1)

ARN & ARN Name	Sub Agent's ARN / Bank Branch Code	Employee Unique Identification Number (EUIN)	RIA/PMRN Name & Code	Internal Code for Sub-Agent/Employee	FOR OFFICE USE ONLY (TIME STAMP)
ARN-95070		E-101834			

Consent for sharing Transaction Feed with RIA/PMRN (Applicable for investments through RIA/PMRN only): ☐ I/We hereby give my/our consent to share/provide the transaction feed / portfolio holdings/ NAV etc. in respect of my/our investments under Direct Plan in the scheme(s) of Mahindra Manulife Mutual Fund, to the above mentioned SEBI Registered Investment Advisor (RIA) or SEBI Registered Portfolio Manager (PMRN).

EUIN Declaration (only where EUIN box is left blank) (Refer General Instruction 10) ☐ 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.

First/ Sole Applicant/ Guardian / PoA Holder / Karta	Second Applicant	Third Applicant

Folio No. of 'Transferor' Scheme (for existing Unit holder)		**PAN#/PEKRN#**
First / Sole Applicant Name		
Guardian (in case First / Sole Applicant is a minor)		
Second Applicant Name		
Third Applicant Name		

For PAN / PEKRN requirement refer instruction 9.

Name of 'Transferor' Scheme/Plan/Option [for CASTP only GROWTH option is available]	**Mahindra Manulife**
Name of 'Transferee' Scheme/Plan/Option	**Mahindra Manulife**

Systematic Transfer Plan (STP) [Please (✓) any one] (Refer Instruction No. 6 & 8) Amount of Transfer per installment: Rs. _____

Frequency

○ Daily No. of Installments:* _____

○ Weekly [Day of Transfer (Please ✓ any one)] ☐ Monday ☐ Tuesday ☐ Wednesday* ☐ Thursday ☐ Friday

No. of Installments:* _____

○ Monthly* ○ Quarterly

☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐ 6 ☐ 7 ☐ 8 ☐ 9
☐ 10+ ☐ 11 ☐ 12 ☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17 ☐ 18
☐ 19 ☐ 20 ☐ 21 ☐ 22 ☐ 23 ☐ 24 ☐ 25 ☐ 26 ☐ 27
☐ 28 ☐ 29 ☐ 30 ☐ 31 Please select any one or more

Enrolment Period*:
From: M M Y Y Y Y
To: M M Y Y Y Y

Capital Appreciation Systematic Transfer Plan (CASTP) (Refer Instruction No. 7 & 8)	Frequency: ✓ Monthly Date: ☑ 10th	Enrolment Period*: From: M M Y Y Y Y To: M M Y Y Y Y

In case of multiple registrations, please fill up separate Enrolment Forms.

*Refer Instruction No. 8 +Default Frequency/Date/Day [Refer Instruction 8]

Declaration : I/We have read and understood the contents of the scheme related documents (i.e. Scheme Information Document / Key Information Memorandum & Statement of Additional Information) of the Scheme(s) and agree to abide by the terms, conditions, rules and regulations of the Scheme(s) including the terms and conditions/instructions pertaining to the Systematic Transfer Plan (STP)/ Capital Appreciation STP (CASTP) Facility as on the date of this transaction. The amount invested in the Scheme(s) is derived through legitimate sources only 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, Directives of the provisions of the Income Tax Act, Anti Money Laundering Laws, Anti Corruption Laws or any other applicable laws enacted by the Government of India from time to time. I/We hereby authorize you to disclose, share, remit in any form/manner/mode the above information and/or any part of it including the changes/updates that may be provided by me/us to the Fund, its Sponsor/s, Trustees, AMC, its employees, agents and third party service providers, SEBI registered intermediaries for single updation/ submission, any Indian or foreign statutory, regulatory, judicial, quasi-judicial authorities/agencies including but not limited to Financial Intelligence Unit-India (FIU-IND) etc without any intimation/advice to me/us. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information, I/We would not hold the AMC / the Fund, their appointed service providers or representatives responsible. The ARN holder (AMFI registered Distributor) 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. I/We hereby confirm that I/We have not been offered/ communicated any indicative portfolio and/ or any indicative yield for this investment.

×

First/ Sole Applicant/ Guardian / PoA Holder / Karta	Second Applicant	Third Applicant

Please note : Signature(s) should be as it appears on the Application Form and in the same order In case the mode of holding is joint, all Unit holders are required to sign.

TEAR HERE

mahindra Manulife MUTUAL FUND

Acknowledgment Slip (To be filled by the applicant)

Head Office : Unit No. 204, 2nd Floor, Amiti Building - C Wing, Piramal Agastya Corporate Park, LBS Road, Kamani Junction, Near Phoenix Marketcity Mall, Kurla (West), Mumbai - 400070, India.

Date : D D M M Y Y Y Y

☐ **Enrolment** / ☐ **Cancellation** Folio Number: _____

ISC Stamp & Signature

Received from Mr./Ms./M/s. _____ 'STP' application for transfer of Units;

from Scheme / Plan / Option _____

to Scheme / Plan / Option _____

mahindra Manulife MUTUAL FUND

TERMS & CONDITIONS / INSTRUCTIONS FOR STP/CASTP

1. The STP Enrolment Form should be completed in English and in Block Letters only. Please tick (✓) in the appropriate box, where boxes have been provided. The STP Enrolment Form complete in all respects, should be submitted at any of the Official Points of Acceptance of Mahindra Manulife Mutual Fund.
2. Investors are advised to read the Key Information Memorandum(s) (KIMs) and Scheme Information Document(s) (SIDs) of the Transferee Scheme(s) and Statement of Additional Information (SAI) carefully before investing. The SIDs / KIMs of the respective Scheme(s) and SAI are available with the ISCs of Mahindra Manulife Mutual Fund, brokers/distributors and also displayed at the Mahindra Manulife Mutual Fund website i.e. www.mahindramanulife.com
3. Unit holders should note that unit holders' details and mode of holding (single, joint, anyone or survivor) in the Transferee Scheme will be as per the existing folio number of the Transferor Scheme, Units will be allotted under the same folio number. Unitholders' names should match with the details in the existing folio number, failing which, the application is liable to be rejected.
4. One STP Enrolment Form can be filled for one Scheme/Plan/Option only.
5. This form is for the following two facilities only:
   i. Systematic Transfer Plan (STP)
   ii Capital Appreciation Systematic Transfer Plan (CASTP)
6. Systematic Transfer Plan (STP) is a facility that enables the Unit holder to transfer a fixed amount periodically from one scheme of the Mutual Fund ("Transferor Scheme") to another ("Transferee Scheme") by redeeming units of the Transferor Scheme at the Applicable NAV. Refer STP Particulars table for available options.
7. CASTP is a facility wherein unit holder(s) of "Transferor Scheme(s)" and in "Growth Option" of the Fund can opt to automatically invest regularly the capital appreciation amount, subject to a minimum capital appreciation amount of Rs 500 into the "Transferee Scheme(s)" of the Fund which is/are available for investment at that time.

   Minimum No. of installments for CASTP: 6

   Frequency available: Monthly, Date available: 10th
8. **STP/ CASTP Details**

- The application for STP/CASTP enrolment should be submitted to Official Point(s) of Acceptance at least 7 working days before the date of commencement / start date of STP/CASTP. STP/CASTP commencement date shall be within 60 calendar days from the date of receipt of valid request.
- If any STP/CASTP transaction due date falls on a non-Business Day, then the respective transactions will be processed on the immediately succeeding Business Day. If the STP/CASTP installment date falls on a non-Business Day for the Transferee scheme and if such date is a Business day for the Transferor scheme, then the STP/CASTP-out transaction will be processed by redeeming units of the Transferor scheme on that Business Day and the STP/CASTP-In transaction will be processed by investing the amount in the Transferee scheme on its immediate next Business Day.
- If the STP/CASTP period or no. of installments is not specified in the transaction Form, the STP/CASTP transactions will be processed for the STP/CASTP amount specified until the balance of units in the unit holder's folio in the Transferor Scheme becomes zero.
- In case the unit balance in the Transferor Scheme is lesser than amount specified by the unit holders for STP, the AMC will transfer remaining unit balance to the Transferee Scheme.
- STP registered for more than one day or all days in a week under Weekly option and for more than one date or all dates of the month under the monthly/ quarterly frequency quarter will be considered as separate STP instruction for the purpose of fulfilling the criteria under "Minimum no. of installments" section below.
- The AMC reserves the right to introduce STP/CASTP facility at any other frequencies or on any other dates as the AMC may feel appropriate from time to time.
- The load structure in the Transferee Scheme prevailing at time of submission of STP/CASTP application (whether for fresh enrollment or extension) will be applicable for all the investment through STP/CASTP specified in such application.
- The STP/CASTP mandate may be discontinued by a Unit holder by giving a written notice of 7 working days to any of the Official Point(s) of Acceptance. STP/CASTP mandate will terminate automatically if there is no Unit balance in the Transferor Scheme on the STP/CASTP transaction date or upon the Mutual Fund receiving a written intimation of death of the sole / 1st Unit holder.
- Minimum Redemption Amount of the designated Transferor Scheme(s) and Minimum Application Amount of the designated Transferee Scheme(s) shall not be applicable to STP/CASTP, except in the case of Mahindra Manulife ELSS Fund (MMKBY), where STP- in will be processed in multiples of Rs. 500.
- In case of MMKBY, all STP/CASTP-out transactions shall be processed subject to completion of lock-in period of 3 years from the date of allotment of units. CASTP-in is not available in MMKBY. In cases, where MMKBY is chosen by the investor(s) as Transferee Scheme, the units allotted through STP-in shall be subject to a lock-in period of 3 years and redemption of such units can be made only after a period of 3 years from the date of allotment of units.
- Units marked under lien or pledge in the Transferor Scheme will not be eligible for STP/CASTP.
- STP/CASTP facility will be available to unit holder(s) holding units in nondemat form of the Transferor Scheme(s).
- STP/CASTP in a folio of minor will be registered only upto the date of minor attaining majority even though the instruction may be for the period beyond that date.
- Mahindra Manulife Investment Management Pvt.Ltd. / Mahindra Manulife Trustee Pvt. Ltd. reserves the right to change/modify the terms and conditions of the STP, prospectively at a future date. For the updated terms and conditions of STP, contact the nearest ISC or visit our website www.mahindramanulife.com

STP Default options

Default Frequency - Monthly • Default Date (for monthly and quarterly frequency) - 10th • Default day for weekly frequency - Wednesday

CASTP Default options

Default Frequency - Monthly • Default Date - 10th

9. **PERMANENT ACCOUNT NUMBER**

   SEBI has made it mandatory for all applicants (in the case of application in joint names, each of the applicants) to mention the permanent account number (PAN) irrespective of the amount of investment (except as given below). Where the applicant is a minor, and does not possess his / her own PAN, he / she shall quote the PAN of his/ her natural parent/legal guardian, as the case may be. However, PAN is not mandatory in the case of Central Government, State Government entities and the officials appointed by the courts e.g. Official liquidator, Court receiver etc (under the category of Government) for transacting in the securities market. Also, investors residing in the state of Sikkim are exempt from the mandatory requirement of PAN, subject to the AMC verifying the veracity of the claim of the investors that they are residents of Sikkim, by collecting sufficient documentary evidence. PAN card copy is not required separately if KYC acknowledgement letter is made available. The Fund reserves the right to ascertain the status of such entities with adequate supporting documents. Applications not complying with the above requirement may not be accepted/processed.

   For further details, please refer Section 'Permanent Account Number' under Statement of Additional Information available on our website www.mahindramanulife.com

   PAN Exempt Investments

   PAN Exempt KYC Reference Number (PEKRN) holders may enroll for this facility. For further details on PAN exempt Investments, refer Instructions of Scheme Application Form or Statement of Additional Information.

   However, if the total amount of transactions in the scheme(s) of Mahindra Manulife Mutual Fund exceeds Rs 50,000, in a rolling period of 12 months in accordance with the extant Income Tax rules, investors will be required to furnish a copy of PAN to the Mutual Fund. And if the investor fails to furnish copy of their PAN, the Flex STP facility will be automatically terminated.
10. **Investments through distributors**

    As per directions of Securities and Exchange Board of India (SEBI), Investors can route their Application Forms directly and /or through the distributors/employees of the distributor who hold a valid certification from the National Institute of Securities Markets (NISM) and ARN provided by AMFI.

    Further, no agents/ distributors are entitled to sell units of mutual funds unless the intermediary is registered with Association of Mutual Funds in India (AMFI).

    Employee Unique Identification Number (EUIN)

    Every employee/ relationship manager/ sales person of the distributor of mutual fund products is required to quote the EUIN obtained by him/her from AMFI in the Application Form. Investors are requested to verify the AMFI registration details from their Distributor. However, in exceptional cases, where there is no interaction by the employee/sales person/ relationship manager of the distributor/sub broker with respect to the transaction and EUIN box is left blank, you are required to provide the duly signed declaration to the effect as given in the form.

    Overseas Distributors

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

    Direct Investments

    Investors applying Directly must mention "Direct" in ARN column. In case Distributor code is mentioned in the Application Form, but "Direct Plan" is indicated against the Scheme name, the Distributor code will be ignored and the application will be processed under Direct Plan. In case of valid application received without indicating "Direct Plan" against the Scheme/ Plan name and without any Distributor Code mentioned on the form, the application will be processed under "Direct Plan".

STP Particulars	Frequency available			
	Daily	Weekly	Monthly	Quarterly
STP Transaction Dates	Every Business Day	Any day of the Week (except Saturday & Sunday)	Any Date*	
Minimum no. of installments and Minimum amount per installment	6 installments of Rs. 500/- each and in multiples of Re.0.01/- thereafter	6 installments of Rs. 500/- each and in multiples of Re.0.01/- thereafter	6 installments of Rs. 500/- each and in multiples of Re.0.01/- thereafter	4 installments of Rs.1500/- each and in multiples of Re.0.01/- thereafter

* In case the chosen STP transaction date falls on a non-Business Day, the respective transaction(s) will be processed on the next Business Day. However, in case the chosen transaction date is not available in a particular month, the transaction will be processed on the last day of that month. E.g., if selected date is 31st, STP transaction for the month of September will be processed on 30th September. However, if 30th September happens to be a non-Business Day, the STP transaction will be processed on the next Business Day. **Note:** Any one or more STP transaction dates from the available dates can be selected by the Unit Holders under the Monthly and Quarterly frequencies. Any day of the week or more day(s) can be selected by the Unit Holders under the Weekly frequency.

illustration : Calculation of CASTP

Transferor Scheme	Mahindra Manulife ABC Fund - Growth option
Transferee Scheme	Mahindra Manulife "XYZ" Fund - Growth Option
Date and Frequency of CASTP	10 - Monthly Interval
Amount of Transfer per installment	Amount of Capital Appreciation
Enrollment Period	January - December

Calculation of CASTP Installment amount on the date of the First installment i.e. 10th February:

- Total Amount Invested on 15th January is assumed as Rs 10,00,000 at a NAV of Rs. 10.5123; the number of units allotted were 95,126.661
- The NAV of Mahindra Manulife "ABC" Fund - Growth Option on 10th February is assumed as Rs 10.5897;
- Hence the market value of the investment in the Transferor Scheme on 10th February, the date of transfer is Rs 1,007,362.80 [95,126.661 x Rs 10.5897]
- The Amount transferred to Mahindra Manulife "XYZ" Fund (transferee Scheme) is Rs. 7,362.80 (1,007,362.80-10,00,000.00).
- Because of the above mentioned transaction the unit balance in the Transferor scheme will be reduced by 695.279 (7,362.80/10.5897) leaving the units balance in the transferor scheme to 94,431.382 (95,126.661-695.279).

TEAR HERE