SUNDARAM MUTUAL
Sundaram Finance Group

Application Form-Systematic Transfer Plan

To be submitted mandatorily: *1. Your* ***FATCA*** *(Foreign Account Tax Compliance Act) Details (if not already submitted) and 2.Ultimate Beneficial Owner (***UBO***) information (for non-individuals only) which can be downloded from our website.*

Distributor's ARN & Name	Sub-broker's ARN (Code)	Sub-broker Code (internal)	EUIN* (Employee Unique Identification Number)	Registered Investment Advisor (RIA) Code	Employee Code	For Office use only
ARN-95070			E-101834			

☐ I/We confirm that the EUIN box is intentionally left blank by me/us as this is an **"execution-only" transaction without any interaction or advice by the distributor personnel concerned.** Upfront commission 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.

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Sole/First Applicants Signature Mandatory

*Mandatory

Name of First/Sole Applicant (Name as per PAN card) Folio No

FIRST MIDDLE LAST DOB/Date of Incorporation* D D M M Y Y Y Y

E-Mail* Mobile*

*Please tick the Family Code for the Mobile Number and Email ID provided *Mandatory

Email: ☐ Self ☐ Spouse ☐ Dependent Children ☐ Dependent Siblings ☐ Dependent Parents ☐ Guardian **Mobile:** ☐ Self ☐ Spouse ☐ Dependent Children ☐ Dependent Siblings ☐ Dependent Parents ☐ Guardian

Default Communication mode is E-mail only, if you wish to receive following document(s) via physical mode: Please tick (✓) ☐ Annual Report ☐ Other Statutory Information

Name of Second Applicant (Name as per PAN card)

FIRST MIDDLE LAST DOB* D D M M Y Y Y Y

Name of Third Applicant (Name as per PAN card)

FIRST MIDDLE LAST DOB* D D M M Y Y Y Y

	Permanent Account Number (PAN)*	**Central KYC Number** ☐ **CKYC Proof attached** (Mandatory)
First/Sole Applicant/Guardian		
Second Applicant		
Third Applicant		

Transferring funds from Scheme: Sundaram — Plan: ☐ Regular ☐ Direct

Option: Income Distribution cum Capital Withdrawal (IDCW) ☐ Payout ☐ Reinvestment ☐ Transfer ☐ **Growth**

Transferring funds to Scheme: Sundaram

Plan: ☐ Regular ☐ Direct Option: IDCW ☐ Payout ☐ Reinvestment ☐ Growth ☐ Fixed Amount ₹_____OR ☐ Capital Appreciation

STP Frequency ☐ Daily ☐ Weekly## Any day from Monday to Friday ☐ Monthly ☐ Quarterly

Investor has the option to choose any day of the week (Monday to Friday). In case the investor has not selected any day, the default day for processing shall be every Wednesday.

STP Date - Any Day (for Monthly / Quarterly frequency) DD

STP Period including Perpetual

From				To Date			
M	M	Y	Y	M	M	Y	Y

OR ☐ **Till further notice#** 01122099

(# The end date – 01/12/2099 as end date. If not specified by the investor.)

Request Date D D M M Y Y Y Y

Declaration: I/We • having read and understood the contents of the Statement of Additional Information/Scheme Information Document/addenda issued to the SID and KIM till date • declare that the amount invested in the Scheme is through legitimate sources only and is not designed for the purpose of contravention or evasion of any Act, Regulation, Rule, Notification, Directions or any other applicable laws enacted by the Government of India or any Statutory Authority. • hereby apply for units under the scheme(s) as indicated in the application form • agree to abide by the terms, conditions, rules and regulations of the scheme(s) • agree to the terms and conditions for Auto Debit • have not received nor been induced by any rebate or gifts, directly or indirectly in making this investment • do not have any existing Micro SIPs/investments which together with the current application will result in the total investments exceeding ₹. 50,000 in a financial year or a rolling period of twelve months (applicable for PAN/Aadhar exempt category of investors). 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.

Applicable to NRIs only: Please (✓) ☐ I/We confirm that I am/We are Non-Resident of Indian Nationality/Origin and I/We hereby confirm that the funds for subscription have been remitted from abroad through normal banking channels or from funds in my/our Non-Resident External/Ordinary Account/FCNR Account on a ☐ Repatriation Basis ☐ Non-Repatriation Basis.

I/We hereby declare that all the particulars given herein are true, correct and complete to the best of my/our knowledge and belief. I/ We further agree not to hold Sundaram Asset Management, its sponsor, their employees, authorised agents, service providers, representatives of the distributors liable for any consequences/losses/costs/damages in case of any of the above particulars being false, incorrect or incomplete or in case of my/our not intimating/delay in intimating any changes to the above particulars. I/We hereby authorise Sundaram Asset Management to disclose, share, remit in any form, mode or manner, all/any of the information provided by me/ us, including all changes, updates to such information as and when provided by me/us, to any Indian or foreign governmental or statutory or judicial authorities/agencies, the tax/revenue authorities and other investigation agencies and SEBI registered intermediaries without any obligation of advising me / us of the same. I/We hereby agree to provide any additional information/documentation that may be required in connection with this application.

Stamp Duty: Pursuant to Notification No. S.O. 1226(E) and G.S.R. 226(E) dated March 30, 2020 issued by Department of Revenue, Ministry of Finance, Government of India, read with Part I of Chapter IV of The Finance Act, 2019, notified on February 21, 2019 issued by Legislative Department, Ministry of Law and Justice, Government of India, a stamp duty @0.005% of the transaction value of units would be levied on applicable mutual fund inflow transactions, with effect from July 1, 2020. Accordingly, pursuant to levy of stamp duty, the number of units allotted on purchase transactions (including reinvestment IDCW and switch-in) to the Unit holders would be reduced to that extent.

Signature

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Signature of First / Sole Applicant / Guardian	Signature of Second Applicant	Signature of Third Applicant

Request Date D D M M Y Y Y Y

Acknowledgement **Request Date:** D D M M Y Y Y Y

Time Stamp/Seal

Folio No ☐ Fixed Amount ₹_____OR ☐ Capital Appreciation

From:_____
Plan: ☐ Regular ☐ Direct ☐ Others .....
Options: *IDCW* ☐ Payout ☐ Reinvestment ☐ Transfer ☐ *Growth*

To:_____
Plan: ☐ Regular ☐ Direct
Options: *IDCW* ☐ Payout ☐ Reinvestment ☐ Transfer ☐ *Growth*

Application Form-Systematic Transfer Plan

Investors are requested to note the following terms and conditions with respect to availing STP facility:

1. **Schemes available**

   As specified in respective Scheme Information Document

2. **Date of transfer**

   Any day STP is eligible for cycle dates of 1st to 31st

   i. For the dates from 1 to 28:

   - STP shall be processed on the given the day if that day is a business day. In case the specified date is a non-business day, it shall be processed on the next business day.

   ii. For the dates from 29 to 31:

   - If the selected date is available in that month and it is a business day, any day STPs should be triggered for processing on that date. If the selected date is not a business day, any day STP shall be triggered for processing on the next business date.
   - If the selected date itself is not available in that month, any day STP shall be triggered for processing on its previous business day.
   - For example, if 29 is not available in the month of February, any day STP shall be triggered for processing on the last business day of February.
   - For example, if 31 is not available in any of the months, any day STP shall be triggered for processing on 30th of that month, provided it is a business day, else last business day of the month shall be considered for any day STP processing.

3. **Features of Capital Appreciation Option:**

   - Capital appreciation in the scheme can be withdrawn or transferred to the specified Destination Scheme at prescribed frequency.
   - The Capital Appreciation option will be available only under the Growth option of the eligible schemes.
   - Investor opting for STP with capital appreciation, will have to choose Growth as scheme option under destination scheme.
   - The minimum investment or current value in the scheme should be Rs. 1,00,000/- on the day of application of STP with capital appreciation option.
   - Minimum 6 installments required for registration of STP facility with capital appreciation option.
   - STP registration will take minimum 5 Business Days'.
   - The respective NAV on the date of registration of STP facility in the scheme will be considered as base NAV for the purpose of calculating the capital appreciation amount for the first installment.
   - For subsequent installments, the NAV of the previous processed installment will become the base NAV for the purpose of calculating the capital appreciation amount.
   - In case of any additional inflows (including SIP/STP installments) between two STP installments, the capital appreciation amount will be identified by the difference in NAV of creation of such additional units and the NAV of the scheme on the date of STP installment.
   - In case the specified date of any installment falls on a non-business day for either of the schemes, the STP installment will be processed on the following business day of both the schemes.

4. **Minimum amount of transfer**

   Minimum Any Day STP Amount/instalment: As stated in the respective Scheme Information Document (SID) / Key Information Memorandum (KIM) and satisfying the minimum criteria of source and target schemes.

5. **Load Structure**, please refer the respective Scheme information document (SID) / Key Information Memorandum (KIM) for more details.

6. **Discontinuation of STP, for all frequencies**

   a) When the outstanding balance in "transferor Scheme" does not cover any of the STP instalment amount, all outstanding units will be liquidated and STP will be effected for such outstanding balance (subject to the transfer amount satisfying the minimum investment criteria in the destination scheme) and STP will be terminated for subsequent instalments.

   b) STP will be terminated if all units from the Transferor Scheme are pledged or upon receipt of intimation of death of first/sole unit holder.

   c) Investors can also choose to terminate the STP by giving a written notice of at least 7 Business Days in advance to the Official Points of Transactions and accordingly, termination of STP shall be effected on receipt of valid request.

7. The Trustee / AMC reserve the right to change / modify the terms of the STP or withdraw this facility from time to time.

8. Please refer to the respective scheme KIM / SID for more details.