SUNDARAM MUTUAL
Sundaram Finance Group

NACH/OTM Registration

For office use only

UMRN | Date D D M M Y Y Y Y ①

Sponsor Bank Code: CITI000PIGW ☑ Create ○ Modify ○ Cancel

Utility Code: CITI00002000000037 I/We authorise **SUNDARAM MUTUAL FUND**

②To debit Tick (✓) ☐ SB ☐ CA ☐ SB-NRE ☐ SB-NRO ☐ Others..... Bank A/c No ③

④ With Bank: Name of customers bank IFSC or MICR ⑤

⑥ An amount of ₹ (in words) ₹

DEBIT TYPE ☒ ~~Fixed Amount~~ ☑ **Maximum Amount**

FREQUENCY ☒ ~~Daily~~ ☒ ~~Weekly~~ ☒ ~~Bi-Monthly~~ ☒ ~~Monthly~~ ☒ ~~Quarterly~~ ☒ ~~Half-yearly~~ ☒ ~~Annually~~ ☑ **As & when presented**

⑦ Reference 1: URN Reference 2: Folio No ⑧

1. 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 Bank. **2.** This is to confirm that the declaration has been carefully read, understood and 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. **3.** 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 authorized the debit. **4.** I/We understand and accept that in case transactions initiated against this mandate (within valid period of mandate) is/are rejected due to insufficient funds or such other reason as permitted under applicable law. action may be taken against me/us under applicable law (including Negotiable Instruments Act).

⑨ PERIOD
From D D M M Y Y Y Y
To* D D M M Y Y Y Y

X Signature of the Primary Holder ..... Signature of the Joint Account Holder ..... Signature of the Joint Account Holder ..... ⑩

1 Name as in bank records 2 Name as in bank records 3 Name as in bank records ⑪

***Maximum period of validity of this mandate is 40 years only**

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SIP Registration / Renewal Form / Modification - NACH / One Time Mandate (OTM)

(First time investors should use this form along with the application form)

Please tick ☑ as applicable:
☐ NACH/OTM Form is attached and to be registered in the folio. SIP will start after mandate registration which may take 21 days.
☐ NACH/OTM Form is already registered in the folio. [No need to submit again].

ISC's signature & Time Stamping

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.

..... Sole/First Applicant's Signature Mandatory

*Mandatory

Name of First/Sole Applicant (Name as per PAN card)
FIRST MIDDLE LAST Mobile* DOB/Date of incorporation* D D M M Y Y Y Y
E-Mail*

*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 Mobile* DOB* D D M M Y Y Y Y
E-Mail*

*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 Third Applicant (Name as per PAN card)
FIRST MIDDLE LAST Mobile* DOB* D D M M Y Y Y Y
E-Mail*

*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

Existing Investor Folio No. **New Investor Application No.**

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

1.Bank Name ..... Cheque No ..... Dated .....

2.Bank Name ..... Cheque No ..... Dated .....

Please tick ☑ ☐ SIP Registration ☐ SIP with Top-up Registration ☐ SIP-Change in Bank Details

Scheme Name	**1**	**2**
Plan / Option		
SIP Installment Amount (₹)		
SIP Date: (**for Monthly and Quarterly frequency**).	D A T E	D A T E
Frequency:	☐ Daily ~ ☐ Weekly## (Any day from Monday to Friday) ☐ Monthly * ☐ Quarterly	☐ Daily ~ ☐ Weekly## (Any day from Monday to Friday) ☐ Monthly * ☐ Quarterly
Start Month/Year:	M M Y Y Y Y	M M Y Y Y Y
End Month/Year (Default 40 years):	M M Y Y Y Y#	M M Y Y Y Y#
SIP Top Up amount (Optional): ₹ (in multiples of ₹ 500/-)	₹..... *Top-up Frequency*^ ☐ Half-yearly ☐ Yearly	₹..... *Top-up Frequency*^ ☐ Half-yearly ☐ Yearly

*~ SIP debits will be processed on all days including Public holidays and week ends.• *Default frequency; ^Top-up is applicable for SIPs under Monthly & Quarterly Frequencies. • ## 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 • # End date should be less than or equal to 40 years from the application date or equal to end date of NACH period.*

Turn overleaf for Declaration & ✍Signature (Mandatory)➔➔➔

Following fields need to be filled mandatorily

1. Date: In format DD/MM/YYYY
2. Bank A/c Type: Tick the relevant box
3. Fill Bank Account Number
4. Fill name of Destination Bank
5. IFSC / MICR code: Fill respective code
6. Mention Maximum Amount
7. Reference 1: Mention URN Number
8. Reference 2: Mention Folio/Application Number
9. Period: Starting date and the ending date of NACH registration (not more than 40 years) in the format (DD/MM/YYYY)
10. Signature as per bank account
11. Name: Mention Holder Name as Per Bank Record

Other Instructions

- NACH/OTM Bank Mandate can be used for both SIP and Lump Sum Purchase.
- Investors are allowed to perform Lump sum purchase and SIP on a same day provided the NACH/OTM bank account has the adequate funds to honor multiple debits
- NACH/OTM is applicable for both Individual and Non-Individual
- Registration of Multiple NACH/OTM forms is acceptable with different Bank and Accounts.
- Investors are requested to note that Turn Around Time(TAT) for SIP registration with new NACH /OTM will be 21 days and in case of SIP registration with existing NACH/OTM, the SIP registration TAT will be 15 days.
- Per transaction limit should be less than or equal to the amount as mentioned in NACH/OTM Form already registered or submitted, if not registered
- Investors are required to submit "NACH/OTM" registration first and only after successful registration an existing "NACH" associated with a SIP can be cancelled.
- SIP amount will not be debited if NACH/OTM registration is under process/unregistered
- NACH/OTM request will be accepted only if the "Bank" mentioned in the request form is listed in the NACH banks list. Please contact offices of Sundaram Asset Management Company for updated list of banks eligible for NACH/OTM Facility.
- Submitting NACH/OTM form does not confirm your investments in SMF unless supported by SIP Investment Form or Common Transaction forms
- Sundaram Mutual will initiate debit instructions to the investor bank account only on receipt of valid investment instruction from the investor.
- For other Terms and Conditions governing NACH/OTM payments please refer KIM or www.sundarammutual.com
- NACH/OTM is applicable only for investments via debit instructions
- By submitting the NACH/OTM the investor authorizes Sundaram Mutual to utilize the information provided herein for the purpose of his/her investments in Sundaram Mutual Fund, including creation of a folio
- Investors are deemed to have read and understood the requirements and contents of Statement of Additional Information (SAI), Scheme Information Document (SID) and all other scheme related documents

DEMAT Account Details	(Investor willing to invest in Demat option, may provide a copy of the DP Statement enabling us to match the Demat details as stated in the application form)
☐ National Securities Depository Ltd. ☐ Central Depository Services (India)	Depository Participant DP ID Number _____ Beneficiary Account Number _____

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 NACH/OTM • 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 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.

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.

Signatures [as per Mutual Fund Records / Application]	First Unit Holder's / Guardian Signature ✕	Second Unit Holder's Signature	Third Unit Holder's Signature

TERMS AND CONDITIONS FOR CHANGE OF BANK FOR EXISTING SIP

- Investor needs to submit the change of bank for SIP form duly completed and signed by all the unit holders.
- This request should be received to us at least 21 days prior to the next due date of SIP.
- This form is for change in bank for SIP registered in physical OTM hence all conditions for OTM registration and existing SIP will remain same.
- The investor has to fill the OTM mandate details through which he/she wishes to route the future installments for the ongoing SIP & sign according to the mode of holding in the bank account.
- The Investor has to submit a cancelled cheque leaf with the name printed on it along with the COB request to register new bank details.
- In case the new OTM is rejected by the banker, the SIP will also be rejected.
- The existing default bank account for redemption and dividend payout in the folio will remain the same.
- Investor has option to change Debit mandate either for all SIP's or only for investor specified SIP(s) registered in the folio.
- In case investor does not opt for any option [All SIPs or Specified SIP(s)], Change of Bank will be applicable on all SIPs registered in the mentioned folio.
- AMC reserves the right to reject the request in case of any mismatch or discrepancy in the details provided.
- Incase investor wants to change the bank details for more than one SIP but not in all SIP's available in the folio, then a separate form will be required for each SIP where bank mandate needs to be changed.

General Instructions

1. This facility is offered to investors having Bank accounts in select banks mentioned in our website. The Banks in the list may be modified/updated/ changed/removed at any time in future entirely at the discretion of Sundaram Asset Management Ltd ("SAMC"), Sundaram Trustee Company Ltd. ("Trustee") or Sundaram Mutual Fund ("SMF") without assigning any reasons or prior notice. SIP instructions for investors in such Banks via NACH route will be discontinued.
2. The AMC/ Trustee/ SMF will not be liable for any transaction failures due to rejection by the investors bank/branch.
3. SIP through NACH/OTM Facility is available on all dates of the month. In case these days are non-business days for the scheme, then SIP will be processed on the next business day.
4. The end date of SIP registration for unitholders (other than Minor holders) will be considered as the end date of NACH mandate or the end date mentioned by the investor whichever is earlier
5. The investor agrees to abide by the terms and conditions of NACH facility of NPCI.
6. Investors are requested to note that Turn Around Time(TAT) for SIP registration with new NACH /OTM will be 21 days and in case of SIP registration with existing NACH/OTM, the SIP registration TAT will be 15 days.
7. Investor will not hold AMC / Trustee / SMF and its service providers responsible if the transaction is delayed or not effected by the Investor's Bank or if debited in advance or after the specific SIP date due to various reasons or for any bank charges debited by his banker in his account towards NACH Registration / Cancellation / Rejections.
8. The AMC/ Trustee/ SMF reserves the right to reverse allotments in case the NACH/OTM is rejected by the bank for any reason whatsoever.
9. SIP amount will not be debited if NACH/OTM registration is under process/unregistered
10. The AMC/ Trustee/ SMF 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 the facility of NACH/OTM and takes full responsibility for the same.
11. The AMC/Trustee reserves the right to discontinue or modify the SIP facility at any time in future on a prospective basis.
12. The AMC/ Trustee reserves the right to discontinue the SIP in case of Direct Debit through NACH routes are rejected by the investor bank for any reasons.
13. For scheme related details, please refer to the Scheme Information Document (SID) / Key Information Memorandum (KIM) and the addendum issued from time to time.
14. The AMC/ Trustee reserves the right to reject any application without assigning any reason thereof.
15. SIP cancellation can be done separately by submitting the request at least 21 Calendar days in advance; however the associated NACH mandate can be retained for future investments.
16. Requests for any changes / cancellation in the NACH Bank Mandate request should be submitted at least 21 Business days in advance.
17. Where a onetime mandate is already registered in a folio for a bank account, the Unit Holder(s) will have to fill only the SIP Registration Form and there is no need of a separate cheque to be given along with the SIP Registration Form.
18. **SIP Frequency**
    - Daily* (for Minimum amount of ₹ 100, Minimum period 3 months)
    - Weekly## Any day from Monday to Friday. (For Minimum amount of ₹ 1000, Minimum No. of installments is 6)
    - Monthly (For Minimum amount of ₹ 100, minimum No. of installments is 6)
    - Quarterly (For Minimum amount of ₹ 750, minimum No. of installments is 6)

    * SIP debits will be processed on all days including Public holiday and week ends. Incase of SIP falling under Non business days, the same will be processed on next business day based on credit receipt.

    ## For weekly SIP 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
19. SIP default date is 7th of every month, if no date is mentioned
20. **Any Day SIP:** Investors can choose any preferred date of the month as SIP debit date. In case the chosen date falls on a non-business day, the SIP will be processed on the immediate next business day. In case chosen date is not available in a particular month, the SIP will be processed on the last business day of the month.
21. **The following applications will be considered as 'Not In Good Order' (NIGO) and are liable to be rejected:**
    - If folio number mentioned in the Fresh / Additional Purchase, SIP NACH/OTM form, does not match Folio Number mentioned in NACH/OTM registration mandate Form.
    - If the folio number mentioned in the NACH/OTM mandate registration form does not match with our record, the NACH/OTM mandate will not be registered.
    - If the SIP period mentioned in SIP via NACH/OTM form is beyond the NACH/OTM validity period or NACH/OTM validity period expired.
22. In case of minor application, AMC will register standing instructions till the date of minor attaining majority, though the instructions may be for a period beyond that date. Prior to minor attaining majority, AMC shall send advance notice to the registered correspondence address advising the guardian and the minor to submit an application form along with prescribed documents to change the status of the account to 'major'. The account shall be frozen for operation by the guardian on the day of minor attains the age of majority and no fresh transactions will be permitted till the documents for changing the status are received.
23. **Frequency for Top-up SIP**

    i. Investors subscribing for this facility are required to submit the request at least 21 days prior to the SIP top up date.

    ii. SIP Top-Up facility can be availed at half yearly and yearly intervals. In case the frequency is not specified, the top up will be processed with the default yearly frequency.

    iii. For Monthly SIP

    a. Half yearly Top-up SIP under this option, the amount of investment through SIP installment shall be increased by the amount chosen /designated by investor post every 6th (sixth) SIP instalment.

    b. Yearly Top-up SIP under this option, the amount of investment through SIP installment shall be increased by the amount chosen /designated by investor post every 12th (twelth) SIP instalment.

    iv. Quarterly SIP

    a. Yearly Top-up SIP under this option, the amount of investment through SIP installment shall be increased by the amount chosen /designated by investor post every 4th (fourth) SIP instalment. In case the investor who has registered under Quarterly SIP opts for Half yearly Top-up SIP the same shall be registered and processed as Yearly Top-up SIP.

    v. The top up cap amount should not exceed the maximum amount as mentioned in the NACH mandate. In case the top up cap amount exceeds the maximum amount as mentioned in the NACH mandate, then the lesser amount shall be considered as the default cap amount.

    vi. The Top-up details cannot be modified once enrolled. In order to make any changes, the investor must cancel the existing SIP and for a fresh SIP with Top-up option.

    vii. In case the SIP top up is cancelled the SIP will continue to be processed with the last topped up amount till the SIP end date.
24. **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 IDCW reinvestment and switch-in) to the Unit holders would be reduced to that extent.