MUTUAL FUNDS

Aditya Birla Sun Life Mutual Fund

ADITYA BIRLA CAPITAL

Special Products Application Form (STP / SWP)

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Second Applicant]	Prefix i	if any						(1	4 digi	t OKYC	C Mo.)							D	D	М	М	Y	Y	Y
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*Ref. Instruction No. B-6	**Mand	atory in	case t	he First ,	/ Sole a	applicar	nt is a l	Minor																									
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Aditya Birla Sun Lift (Formerly known as Birl, Regn. No.: 109. Regd Off 841, Senapati Bapat Mar +91 22 4356 7000 ca	a Sun Li fice: One rg, Elphir	ife Asse Indiabu nstone P	et Ma ulls C Road,	nagem entre, T Mumba	ent Co ower 1 ai - 40	ompan L, 17th 0013	y Lim I Floor	ited) ; Jupi	ter M	ill Cor	npou	ınd,		N: U9	9999	9MH2	000F	LC12	3110					0-23	70-7		al.con	n			X	adi C <i>i</i>	τγΑ \ ΡΙ

adityabirlacapital.com

DECLARATION AND SIGNATURES

Having read and understood the contents of the Statement of Additional Information / Scheme Information Document of the scheme(s), I/We hereby apply to the Trustee of Birla Sun Life Mutual Fund for units of scheme(s) of Birla Sun Life Mutual Fund scheme (s), I/We hereby apply to the Trustee of Birla Sun Life Mutual Fund scheme(s) of Birla Sun Life Mutual Fund for units of scheme(s) of Birla Sun Life Mutual Fund scheme (s), I/We hereby apply to the Trustee of Birla Sun Life Mutual Fund for units of scheme(s) of Birla Sun Life

and will not receive any commission or brokerage or any other incentive in any form, directly, or indirectly, for subscribing to units issued under any of the scheme(s). I/We hereby declare that the amount invested in the scheme(s) is through legitimate sources only and does not involve and is not designed for the purpose of any contravention or evasion of any Act, Rules, Regulations, Notifications or Directions of the provisions of Income Tax Act, 1961, Prevention of Koney Laundering Act, 2002, Prevention of Compton Act, 1986 or any other applicable laws enacted by the Government of India from time to time. For NRIs/FIIs only: I/We confirm that I am/we are Non Residents of Indian Nationality/origin and that I/We have remitted funds from abroad through approved banking channels or from funds in my/our Non-resident External

Account/FCNR account/NRO/NRSR Account. 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.

Signature(s)

(To be signed by All Applicants if mode of operation is Joint)

A. SCHEMES AVAILABLE UNDER THE SPECIAL PRODUCTS (SWP / STP)

All the Open-ended Scheme(s) of Birla Sun Life Mutual Fund (subject to completion of lock-in period of units in Birla Sun Life Tax Relief '96 and Birla Sun Life Tax Plan)

Investors Can transfer "OUT" investment from any of the Open-ended Scheme(s) offered under this common KIM of Birla Sun Life Mutual Fund and transfer "IN" to any of the Open-ended Scheme(s) offered under this common KIM (except Birla Sun Life Gold ETF, STP Birla Sun Life Nifty ETF and subject to completion of lock-in period of units in Birla Sun Life Tax Relief '96 and Birla Sun Life Tax Plan at the time of registration).

Please note that daily STP in not available under Birla Sun Life Gold Fund.

B. INSTRUCTIONS - COMMON TO SWP / STP

- New investors who wish to enrol for the special products should fill this form in addition to the Common Application Form. Please complete all details in the Common Application Form. Details of the Special Products should be provided on this form. Existing investors need to fill up only 1. this form
- For multiple transactions under more than 1 scheme, separate forms need to be utilised.
- This form should be submitted at least 5 business days before the commencement date. 4.
- The investor has the right to discontinue SWP / STP at any time he/she so desires by sending a written request at least 5 business days in advance of the immediate next due date to any of the offices of Birla Sun Life Mutual Fund or its Authorised Collection Centres. On receipt of such request the SWP/STP will be terminated.
- such request the SWP/31P will be terminated. Units will be Alltotted / Redeemed / Transferred at the NAV related prices of the 1st and/or 7th and/or 10th and/or 21th and/or 21st and/or 28th of every month / quarter and Monday and/or Tuesday and/or Wednesday and/or Thursday and/or Friday of every week (or next business day, if 1st and/or 7th and/or 10th and/or 10th and/or 20th and/or 20th and/or 28th or the day of the week is a non business day. An updated account statement will be sent after each transaction under the special products wherever, e-mail address has been provided, the account statement will be sent through e-mail only. Else, the transaction would reflect as a part of the monthly CAS.
- account statement with the sent unuque remaining, cise, the transaction would reflect as a part of the monitority LAS. 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 Birla Sun Life Mutual Fund for verifying that they are residents of State of Sikkim.
- DIRECT 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 Investigation in unlet, react investors applying muleic real, are dovised to write une word brack. In the couldmark Ark Nd or blocks 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 sil/papplication for where details in the 'ARN No' 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 is mentioned in the application form, but 'Direct Plan' is indicated, the ARN No' Broker Code will be ignored and the application will be processed under Direct Plan, subject to it being complete in all other aspects. Further, where application is for Regular Plan without Distributor code or 'Direct' mentioned in the ARN Column, the application will be processed under Direct Plan.
 - Regular Plan without Distributor code or "Direct" mentioned in the ARN Column, the application will be processed under Direct Plan. b. Employee Unique Identification Number (EUIII) 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 AMF1 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 misselling 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 investor leaves the employment of the distributor or his/her sub broker. If the distributor has not given any advice pertaining to the investor leaves the employment of more. Ill Not may be left blank, but it would be mandatory for the investor to provide confirmation as mentioned in the application form. KNOWYOUR CLENT (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.birlasunlife.com, www.amfiindia.com and www.cdslindia.com to know 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 investment.

To further clarify, the above category of investors shall include

- their constituted Power of Attorney (PoA) holder, in case of investments through a PoA each of the applicants, in case of investments in joint names; and Guardian in case of investments on behalf of minor.

Applications without KYC Acknowledgment letter for the specified category of investors are liable to 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 units. 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 as given in RYC Application Form by the investor Any change in these details like change of Name (Address / Status / Signathure, 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/SCir-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 records to avoid duplication of KYC Process across the intermediaries in the securities market, the following changes are being made to KYC process w.e.f. January 01, 2012:

- YC process w.e.f. January 01, 2012: 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 Application Forms are also available on our website www.birlasunlife.com.
- The Mutual Fund shall perform the initial KYC of its new investors and may undertake enhanced KYC measures nensurate with the risk profile of its investors.
- fresh KYC of the investor.
- v.e.f January 01, 2012. w.e.1 January 01 (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.
- 6. 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 SEB
- existing investors are also urged to comply with the new KYC requirements including IPV as mandated by SEBI. "On behalf of Minor" Accounts: Name of Guardian must be mentioned if investments are being made on behalf of a minor. Date of birth is mandatory in case of minor. The minor shall be the first and the sole holder in the account (folio). No joint holder will be allowed in an account (folio) where minor is the first or sole holder. Guardian in the account (folio) on behalf of the minor should either be a natural guardian (i.e. father or mother) or a court apointed legal guardian and the same must be mentioned in the space provided in application form. Copy of document evidencing the date of birth of the minor and relationship of the guardian with the minor (whether natural or legal guardian) should mandatorily be provided while gening of the account (folio). Also, nomination shall not be allowed in a folio/account held on behalf of a minor. STP / SWP offered by AMC/Mutual Fund shall be available for unitholders in case the units are held/opted to be held in hybrical (non-demat) mode only.
- 10. physical (non-demat) mode only. 11.
 - The registration would stand terminated automatically under the following scenarios:
 - (a) Available Units would be switched / redeemed.
 - (b) STP/SWP would stand terminated if the available balance during the immediate next instalment continues to be insufficient or nil
 - 2 When balance in Source scheme is nil the registration would stand terminated

C. INSTRUCTIONS - SYSTEMATIC WITHDRAWAL PLAN (SWP)

8.

- Ontions available and Minimum Amount -
- A] Fixed withdrawal: Investors can withdraw fixed amount of Rs. 500/- each and above at regular intervals
- B] Appreciation withdrawal: Investors can withdraw appreciation of Rs. 500/- and above at regular intervals. If the appreciation amount is less than Rs. 500/- or the specified amount there will be no SWP in that month/quarter. The cumulative appreciation of this period and the immediately succeeding period shall be paid out subject to it being a minimum of Rs. 500/-

- Whis not available for investments under lock-in period and for investments which are pledged. Unitholders can avail Daily/Weekly SWP only where the registered bank details enable an electronic mode of payment for the SWP amount. A cancelled cheque/cheque copy to be attached to opt for electronic payout.
- BSLANK will be devoted for the redemption provide statistication of the second statistication of the se 4
- The Mutual Fundament of the second and the second a
- In case of Appreciation Withdrawal, appreciation will be calculated on the units available for redemption at the time of the SWP instalment. The capital appreciation, if any, will be calculated from the registration date of the Appreciation Withdrawal under the folio, till the first redemption date. Subsequent capital appreciation, if any, will be the capital appreciation between the previous Appreciation withdrawal date (where Appreciation withdrawal has been processed and paid) and the next Appreciation withdrawal. /ithdrav , al Dates

A) Fixed Withdrawal

- a. Daily- Investors can withdraw fixed amount on every Business Day.
 b. Weekly- Investor can select any day between Monday, Tuesday, Wednesday, Thursday and Friday as the withdrawal day.

- c. Monthly/Quarterly Withdrawal-Investors can withdraw fixed amount on 1 or 7 or 10 or 14 or 20 or 21 or 28 of each month / quarter for minimum 6 months/4 quarter.
 B) Appreciation Withdrawal
- a. Monthly/Quarterly Withdrawal- Investors can withdraw fixed amount on 1 or 7 or 10 or 14 or 20 or 21 or 28 of each month/guarter for minimum 6 months/4 guarter.
- b. Half Yearly/Yearly Withdrawal- Investors can withdraw amount on 1 or 7 or 10 or 14 or 20 or 21 or 28 of each Half Yearly/Yearly for minimum 4 half yearly/2 yearly installments.
 Default Dates:

In case of ambiguity in selection of Fixed or Appreciation withdrawal facility, then default option selected will be Fixed Withdrawal facility

Withdrawal facility. In case of any ambiguity in selection of withdrawal frequency for Fixed/Appreciation withdrawal facility, the withdrawal frequency will be 'Monthly' and the withdrawal date will be 7 of each month. In case of any ambiguity in selection of withdrawal frequency of Monthly/Quarterly Fixed and Appreciation withdrawal facility, the SWP date will be 7 of each month in case of Monthly/Quarterly/Half Yearly/Yearly withdrawal and Wednesday in case of Fixed Weekly withdrawal facility.

- SWP will be available at Daily, Weekly, Monthly, Quarterly, Half Yearly and Yearly intervals. (Only Monthly, Quarterly, Half Yearly and Yearly withdrawal available for Appreciation withdrawal) 9.
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- 11 cheque copy to enable electronic payout at the Investor Service Centres (ISCs)/Official Points of Acceptance (OPAs)

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SPECIAL PRODUCTS APPLICATION FORM

Request for

ACKNOWLEDGEMENT SLIP (To be filled in by the Investor)

An application for SYSTEMATIC WITHDRAWAL PLAN / SYSTEMATIC TRANSFER PLAN

Scheme Name	Plan	_ Option	Fresh Registration
To Scheme Name	_Plan	_ Option	Renewal

Amount (₹) _

- 2.
 - commensurate with the risk profile of its investors. The Mutual Fund shall upload the details of the investors on the system of the KYC Registration Agency (KRA). Registrar & Transfer Agent (RTA) of the Mutual Fund may also undertake the KYC of the investors on behalf of the Mutual Fund. KRA shall send a letter to the investor within 10 working days of the receipt of 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 It is mandatory for intermediaries including mutual funds to carry out In-Person Verification (IPV) of its new investors 5