

# STP / SWP APPLICATION FORM



STP

SWP

Investment Advisors & ARN/ RIA No.	Sub-Brokers Name & ARN/ RIA No.	Stamp & Sign Official Acceptance Point	Employee Unique ID. No. (EUN)
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EUN is mandatory for Execution Only transactions - Ref. Instruction No. B-7

Request for  Fresh Registration  Renewal

Application / Folio No. \_\_\_\_\_ Date DD MM YYYY

**1. FIRST / SOLE APPLICANT INFORMATION (MANDATORY)**

NAME OF FIRST / SOLE APPLICANT Mr. Ms. M/s. \_\_\_\_\_

NAME OF THE SECOND APPLICANT Mr. Ms. M/s. \_\_\_\_\_

NAME OF THE THIRD APPLICANT Mr. Ms. M/s. \_\_\_\_\_

NAME OF THE GUARDIAN (In case First / Sole Applicant is minor) / CONTACT PERSON - DESIGNATION / PoA HOLDER (In case of Non-individual Investors)  
Mr. Ms. M/s. \_\_\_\_\_

RELATIONSHIP OF GUARDIAN (Refer to Instruction No. B.9) \_\_\_\_\_

Applicant	PAN/PEKRN* (Mandatory)	CKYC Number	Date of birth**
Sole / First Applicant	_____	_____ <small>(14 digit CKYC No.)</small> Prefix if any _____	DD MM YYYY
Second Applicant	_____	_____ <small>(14 digit CKYC No.)</small> Prefix if any _____	DD MM YYYY
Third Applicant	_____	_____ <small>(14 digit CKYC No.)</small> Prefix if any _____	DD MM YYYY
Guardian	_____	_____ <small>(14 digit CKYC No.)</small> Prefix if any _____	DD MM YYYY

Ref Instruction No B-6 Mandatory in case the First / Sole applicant is a Minor

**2. SYSTEMATIC WITHDRAWAL PLAN (SWP)**

SCHEME	PLAN	OPTION
Withdrawal Option <input checked="" type="checkbox"/> Please tick (✓) <input type="checkbox"/> FIXED Amount (₹) (in figures) _____		<input type="checkbox"/> MONTHLY <input type="checkbox"/> QUARTERLY
Withdrawal Frequency <input checked="" type="checkbox"/> Please tick (✓) _____		
Dates (Only one date) <input type="checkbox"/> 1st <input type="checkbox"/> 5th <input type="checkbox"/> 15th <input type="checkbox"/> 20th <input type="checkbox"/> 25th	Withdrawal Period From DD MM YYYY To DD MM YYYY	(Please attach cancelled cheque / cheque copy to opt for electronic payout)

**3. SYSTEMATIC TRANSFER PLAN (STP) (Refer to Instruction No. D)**

FROM SCHEME (SOURCE)	PLAN	OPTION
<input type="checkbox"/> STP		<input type="checkbox"/> Capital Appreciation Transfer Plan
Frequency <input checked="" type="checkbox"/> Please tick (✓) <input type="checkbox"/> MONTHLY <input type="checkbox"/> Quarterly		Frequency <input checked="" type="checkbox"/> Please tick (✓) <input type="checkbox"/> MONTHLY <input type="checkbox"/> Quarterly
Amount per transfer _____		Transfer Period From DD MM YYYY
Transfer Period From DD MM YYYY		Transfer Period To DD MM YYYY OR <input type="checkbox"/> Till Further Instruction
No of Transfers _____ OR <input type="checkbox"/> Till Further Instruction		
Dates <input checked="" type="checkbox"/> Please tick (✓) <input type="checkbox"/> 1st <input type="checkbox"/> 5th <input type="checkbox"/> 15th <input type="checkbox"/> 20th <input type="checkbox"/> 25th		

**4. 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 Shriram Mutual Fund for units of scheme(s) of Shriram Mutual Fund as indicated above and agree to abide by the terms, conditions, rules and regulations of the scheme(s). I/We hereby declare that the particulars given herein are correct and complete. I/We confirm that I/we have not received 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 Money Laundering Act, 2002, Prevention of Corruption Act, 1988 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.

<p>Signature(s) _____</p> <p>Sole / Unit Holder / First Applicant</p>	<p>Signature(s) _____</p> <p>Second Unit Holder / Second Applicant</p>	<p>Signature(s) _____</p> <p>Second Unit Holder / Third Applicant</p>
<p>(To be signed by All Applicants if mode of operation is Joint)</p>		

**ACKNOWLEDGEMENT SLIP (To be filled in by the Investor) STP / SWP APPLICATION FORM Application No. \_\_\_\_\_**

	<p><b>Shriram Asset Management Co. Ltd.</b></p> <p>Website: www.shriramamc.com CK-6, 2nd Floor, Sector - II, Saltlake City, Kolkata - 700091</p>	<p>Collection Centre / Shriram AMC Stamp &amp; Signature</p>
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Received from Mr. / Ms. \_\_\_\_\_ Date : \_\_\_\_/\_\_\_\_/\_\_\_\_

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

SWP All the Open-ended Scheme(s) of Shriram Mutual Fund (subject to completion of lock-in period in any)

STP Investors Can transfer "OUT" investment from any of the Open-ended Scheme(s) offered under this common KIM of Shriram Mutual Fund and transfer "IN" to any of the Open-ended Scheme(s) offered under this KIM subject to completion of lock-in period if any.

## B. INSTRUCTIONS - COMMON TO SWP / STP

- New investors who wish to enrol for the special products should fill this form in addition to the Application Form. Please complete all details in the Application Form. Details of the Special Products should be provided on this form. Existing investors need to fill up only this form.
- For multiple transactions under more than 1 scheme, separate forms need to be utilised.
- This form should be submitted at least 7 business days before the commencement date.
- The investor has the right to discontinue SWP / STP at any time he/she so desires by sending a written request at least 7 business days in advance of the immediate next due date to any of the offices of Shriram Mutual Fund or its Authorised Collection Centres. On receipt of such request the SWP / STP will be terminated.
- Units will be Allotted / Redeemed / Transferred at the NAV related prices of the 1st and/or 5th /or 15th and/or 20th and/or 25th and/or of every month / quarter or next business day, if 1st and/or 5th and/or 15th and/or 20th and/or 25th 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.
- 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 Shriram Mutual Fund for verifying that they are residents of State of Sikkim.
- DIRECT APPLICATIONS AND EUJIN :**
  - 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 slip/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 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 received for Regular Plan without Distributor code or 'Direct' mentioned in the ARN Column, the application will be processed under Direct Plan.
  - Employee Unique Identification Number (EJIN) 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 EJIN of the individual ARN holder or of employee/relationship manager/sale person of the Distributor interacting with the investor. Providing appropriate EJIN 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 EJIN box may be left blank, but it would be mandatory for the investor to provide confirmation as mentioned in the application form.
- KNOW YOUR CLIENT (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 Shriram AMC or may visit www.shriramamc.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 Shriram AMC 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 Shriram AMC 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 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.

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 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:

- 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.shriramamc.com.
- 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 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 fresh KYC of the investor.
- It is mandatory for intermediaries including mutual funds to carry out In-Person Verification (IPV) of its new investors w.e.f. January 01, 2012.  
The IPV carried out by any SEBI registered intermediary can be relied upon by the Mutual Fund. Shriram AMC 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.
- "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 appointed 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 opening of the account (folio). Also, nomination shall not be allowed in a folio/account held on behalf of a minor.
- The registration would stand terminated automatically under the following scenarios:
  - When balance in the Source scheme is less than the registered STP/SWP Amount
    - Available Units would be switched / redeemed.
    - STP/SWP would stand terminated if the available balance during the immediate next instalment continues to be insufficient or nil
  - When balance in Source scheme is nil the registration would stand terminated

## C. INSTRUCTIONS - SYSTEMATIC WITHDRAWAL PLAN (SWP)

- Options available and Minimum Amount :  
Investors can withdraw fixed amount of Rs. 750/- monthly Rs. 2250/- Quarterly and multiple of Re 1/- thereafter
- SWP is not available for investments under lock-in period and for investments which are pledged.
- Unitholders can avail 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.
- Shriram AMC will endeavour to credit the redemptions payouts directly to the designated Bank A/c of the unitholders of Shriram Mutual Fund schemes through any of the available electronic mode (i.e. RTGS / NEFT / Direct Credit / NECS). Shriram AMC reserves the right to use any of the above mode of payment as deemed appropriate for all folios where the required information is available. The Mutual Fund, however, reserves the right to issue a cheque / demand draft in spite of an investor opting for Electronic Payout.
- In case of Fixed Withdrawal, if the amount of instalment is more than the amount available in that account for redemption, the entire available amount will be redeemed and the SWP will terminate automatically.
- 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.

- Withdrawal Dates:  
Monthly/Quarterly Withdrawal- Investors can withdraw fixed amount on 1 or 5 or 15 or 20 or 25 of each month /quarter for minimum 12 months/ 4 quarter.
- Default Dates:  
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 15 of each month.  
In case of any ambiguity in selection of withdrawal frequency of Monthly/Quarterly the SWP date will be 15 of each month in case of Monthly/Quarterly.
- SWP will be available at Monthly, Quarterly, intervals.
- Unitholders can enroll themselves for the facility by submitting the duly completed enrolment Form along with cancelled cheque copy to enable electronic payout at the Investor Service Centres (ISCs)/Official Points of Acceptance (OPAs).

## D. INSTRUCTIONS - SYSTEMATIC TRANSFER PLAN (STP)

- Minimum Amount: Monthly / Quarterly : instruct for minimum 12 transfers of Rs 1000 and in multiples of Rs. 1 thereafter. Minimum 4 transfers of Rs 3000 and in multiples of Rs. 1 thereafter.
- STP is not available for investments under lock-in period if any.
- Transfer Frequency available for STP are Monthly and Quarterly
- Transfer Dates :  
Monthly Systematic Transfer Plan: Transfers can be on 1st or 5th or 15th or 20th or 25th of each month for minimum 6 transfers.  
Quarterly Systematic Transfer Plan: Transfers can be on 1st or 5th or 15th or 20th or 25th of each quarter for minimum 4 quarters.

- Default Dates:  
Monthly/Quarterly: In case of any ambiguity in selection of transfer frequency, the STP date will be 15 of each month / quarter.
- Minimum Application Amount' specified in the SID(s) of the respective designated Transferee Scheme(s) will not be applicable for STP registration.

## E. LOAD STRUCTURE

SWP As applicable to respective schemes at the date of withdrawal.

STP Exit Load at time of transfer OUT: Exit Load as applicable to respective schemes. Entry Load at time of transfer IN: Nil Exit Load at time of redemption: Exit Load as applicable to respective schemes.

# Shriram Asset Management Co. Ltd.

Website : [www.shriramamc.com](http://www.shriramamc.com)

CK-6, 2nd Floor, Sector - II, Saltlake City, Kolkata - 700091

ACKNOWLEDGEMENT SLIP (To be filled in by the Investor)

STP / SWP APPLICATION FORM

an application for SYSTEMATIC WITHDRAWAL PLAN / SYSTEMATIC TRANSFER PLAN

Scheme Name \_\_\_\_\_ Plan \_\_\_\_\_ Option \_\_\_\_\_

To Scheme Name \_\_\_\_\_ Plan \_\_\_\_\_ Option \_\_\_\_\_

Amount (₹) \_\_\_\_\_

Request for

Fresh Registration

Renewal