

# Mutual Funds

Aditya Birla Sun Life Mutual Fund



PROTECTING INVESTING FINANCING ADVISING

## NFO APPLICATION FORM - ADITYA BIRLA SUN LIFE RETIREMENT FUND

(An open-ended retirement solution oriented scheme having a lock-in of 5 years or till retirement age (whichever is earlier))

Offer of units of ₹ 10/- each during the New Fund Offer and Continuous Offer for Units at NAV based prices.

**New Fund Offer Opens:** Tuesday, February 19, 2019 | **New Fund Offer Closes:** Tuesday, March 5, 2019

Scheme Re-opens for Continuous Sale And Repurchase: Within 5 Business Days From The Date Of Allotment

Name of Scheme/ Investment Plan	THIS PRODUCT IS SUITABLE FOR INVESTORS WHO ARE SEEKING*	RISKOMETER
Aditya Birla Sun Life Retirement Fund - 'The 30s Plan'	<ul style="list-style-type: none"> <li>Long term capital growth</li> <li>investments in equity and equity related securities</li> </ul>	<p>Investors understand that their principal will be at moderately high risk</p>
Aditya Birla Sun Life Retirement Fund - 'The 40s Plan'	<ul style="list-style-type: none"> <li>Long term capital growth and income</li> <li>investment predominantly in equity and equity related securities as well as debt and money market instruments</li> </ul>	
Aditya Birla Sun Life Retirement Fund - 'The 50s Plan'	<ul style="list-style-type: none"> <li>regular income with capital growth over medium to long term</li> <li>investments in debt and money market instruments as well as equity and equity related securities</li> </ul>	<p>Investors understand that their principal will be at moderate risk</p>
Aditya Birla Sun Life Retirement Fund - 'The 50s Plus - Debt Plan'	<ul style="list-style-type: none"> <li>Capital appreciation &amp; income over long term to achieve retirement goals</li> <li>investments in debt &amp; money market instruments as well as equity and equity related securities</li> </ul>	

\*Investors should consult their financial advisers if in doubt whether the product is suitable for them

Distributor Name & ARN/ RIA No.	Sub Broker Name & ARN/ RIA No.	Sub Broker Code	Employee Unique ID. No. (EUIN)	Application No.
<b>ARN - 48012</b>			<b>E053085</b>	

Distributor Mobile No.		Distributor Email Id	
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Applicable only for Regular Schemes. Please note the Distributor Mobile & Email Id will not be updated in the Broker Master and will be restricted to this transaction only. EUIN is mandatory for "Execution Only" transactions. Ref. Instruction No. 9

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 Applicant / Authorised Signatory	Second Applicant	Third Applicant

### Transaction Charges for Applications routed through Distributors/agents only (Refer Instruction 1 (viii))

In case the subscription (lumpsum) amount is ₹ 10,000/- or more and your Distributor has opted to receive Transaction Charges, ₹ 150/- (for first time mutual fund investor) or ₹ 100/- (for investor other than first time mutual fund investor) will be deducted from the subscription amount and paid to the distributor. Units will be issued against the balance amount invested.

Existing Unitholder please fill in your Folio No., DOB, Name & Email ID and then proceed to Section 4 (Individual investor having completed 18 years of age is eligible to invest in the Scheme.)

Existing Folio No.		Date of Birth	D	D	M	M	Y	Y	Y	Y
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### 1. FIRST / SOLE APPLICANT INFORMATION (MANDATORY) (Refer Instruction No. 2,3,5) Fresh / New Investors fill in all the blocks. (1 to 9) (Individual investor having completed 18 years of age is eligible to invest in the Scheme.)

Name of First/Sole Applicant (as per PAN Card)#	Mr. Ms. M/s.																				
PAN / PEKRN (Mandatory)																					
CKYC Number	(Prefix if any)																				
Name of the Second Applicant (as per PAN Card)#	Mr. Ms. M/s.																				
PAN / PEKRN (Mandatory)																					
CKYC Number	(Prefix if any)																				

\*\* Mandatory  
#The application is liable to get rejected if does not match with PAN card

### Acknowledgement Slip (To be filled in by the Investor)

### ADITYA BIRLA SUN LIFE RETIREMENT FUND

Date : \_\_\_/\_\_\_/\_\_\_

Received from Mr./Ms. \_\_\_\_\_

an application for allotment of Units of the Plan (as mentioned overleaf) of the ABSL Retirement Fund - \_\_\_\_\_ along with Cheque / Demand Draft / Payment Instrument as detailed overleaf.

**Please Note :** All Purchases are subject to realisation of Cheques / Demand Drafts / Payment Instrument.

Collection Centre /  
ABSLAMC Stamp & Signature

**Aditya Birla Sun Life AMC Limited** (Investment Manager to Aditya Birla Sun Life Mutual Fund)  
(Formerly known as Birla Sun Life Asset Management Company Limited)  
Regn. No.: 109. Regd Office: One Indiabulls Centre, Tower 1, 17th Floor, Jupiter Mill Compound,  
841, Senapati Bapat Marg, Elphinstone Road, Mumbai - 400013  
+91 22 4356 7000 | care.mutualfunds@adityabirlacapital.com | www.adityabirlasunlifemf.com | CIN: U65991MH1994PLC080811

Contact Us:  
1800-270-7000

adityabirlacapital.com





**5. INVESTMENT DETAILS** [Please tick (✓)] (Refer Instruction No. 6, 9 & 10) (If this section is left blank, only folio will be created)

Single cheque/ demand draft must be issued for multiple investment drawn in favour of Aditya Birla Sun Life Retirement Fund and the instrument should be crossed "A/c Payee Only". Please write appropriate scheme name as well as the Plan/Option/Sub Option

S. No.	Cheque / DD Favouring Scheme Name* (refer Instruction 6)	Plan	Option	Amount Invested (₹)	Cheque/DD No./UTR No. (in case of NEFT/RTGS)	Cheque Date	DD Charges^	Net Amount Paid (₹)
1.	Aditya Birla Sun Life Retirement Fund - 'The 30s Plan'	<input checked="" type="checkbox"/> Regular	<input type="checkbox"/> Growth <input type="checkbox"/> Dividend Payout <input type="checkbox"/> Dividend Reinvestment					
2.	Aditya Birla Sun Life Retirement Fund - 'The 40s Plan'	<input checked="" type="checkbox"/> Regular	<input type="checkbox"/> Growth <input type="checkbox"/> Dividend Payout <input type="checkbox"/> Dividend Reinvestment					
3.	Aditya Birla Sun Life Retirement Fund - 'The 50s Plan'	<input checked="" type="checkbox"/> Regular	<input type="checkbox"/> Growth <input type="checkbox"/> Dividend Payout <input type="checkbox"/> Dividend Reinvestment					
4.	Aditya Birla Sun Life Retirement Fund - 'The 50s Plus - Debt Plan'	<input checked="" type="checkbox"/> Regular	<input type="checkbox"/> Growth <input type="checkbox"/> Dividend Payout <input type="checkbox"/> Dividend Reinvestment					

Drawn on Bank/Branch: \_\_\_\_\_ A/c no. \_\_\_\_\_ A/c Type: \_\_\_\_\_

In case of valid application received without indicating choice between options under the scheme, the same shall be considered as Growth Option and processed accordingly.  
# (Type of Account : Saving / Current / NRE / NRO / FCNR / NRSR) \*All purchases are subject to realization of funds ^Refer to Instruction No. 6

**KYC DETAILS (Mandatory)**

**OCCUPATION** [Please tick (✓)]

FIRST APPLICANT	<input type="checkbox"/> Private Sector Service <input type="checkbox"/> Public Sector Service <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Sole Proprietor <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Others ..... (please specify)
SECOND APPLICANT	<input type="checkbox"/> Private Sector Service <input type="checkbox"/> Public Sector Service <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Sole Proprietor <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Others ..... (please specify)
THIRD APPLICANT	<input type="checkbox"/> Private Sector Service <input type="checkbox"/> Public Sector Service <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Sole Proprietor <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Others ..... (please specify)

**GROSS ANNUAL INCOME** [Please tick (✓)]

FIRST APPLICANT	<input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> > 25 Lacs - 1 Crore <input type="checkbox"/> > 1 Crore Net worth Rs. _____ as on <table border="1" style="display: inline-table; vertical-align: middle;"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table> [Not older than 1 year]	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y		
SECOND APPLICANT	<input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> > 25 Lacs - 1 Crore <input type="checkbox"/> > 1 Crore OR Net Worth _____								
THIRD APPLICANT	<input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> > 25 Lacs - 1 Crore <input type="checkbox"/> > 1 Crore OR Net Worth _____								

**For Individuals**

	I am Politically Exposed Person	I am Related to Politically Exposed Person	Not Applicable
Sole/First Applicant	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Second Applicant	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Third Applicant	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**6. DEMAT ACCOUNT DETAILS (OPTIONAL)** (Please ensure that the sequence of names as mentioned in the application form matches with that of the A/c. held with the depository participant.) Refer Instruction No. 3(B)

NSDL: Depository Participant Name: \_\_\_\_\_ DPID No.: 

I	N								
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 Beneficiary A/c No. 

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CDSL: Depository Participant Name: \_\_\_\_\_ Beneficiary A/c No. 

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Enclosed:  Client Master  Transaction/ Statement Copy/ DIS Copy

**7. NOMINATION DETAILS (Mandatory)** (Refer Instruction No. 8)

I/We wish to nominate  I/We DO NOT wish to nominate and sign here ..... 1st Applicant Signature (Mandatory)

	Nominee Name and Address	Applicant's Relationship with the Nominee	Guardian Name (in case of Minor)	Allocation %	Nominee/ Guardian Signature
Nominee 1					
Nominee 2					
Nominee 3					



**8. FATCA & CRS INFORMATION [Please tick (✓)] For Individual Investors (Refer Instruction No. 14)**

The below information is required for all applicant(s)

Address Type:  Residential or Business  Residential  Business  Registered Office (for address mentioned in form/existing address appearing in Folio)

Is the applicant(s) Country of Birth / Citizenship / Nationality / Tax Residency other than India?  Yes  No

If Yes, please provide the following information [mandatory]

Please indicate all countries in which you are resident for tax purposes and the associated Tax Reference Numbers below.

Category	First Applicant	Second Applicant	Third Applicant
Name of Applicant			
Place/ City of Birth			
Country of Birth			
Country of Tax Residency#			
Tax Payer Ref. ID No <sup>^</sup>			
Identification Type [TIN or other, please specify]			
Country of Tax Residency 2			
Tax Payer Ref. ID No. 2			
Identification Type [TIN or other, please specify]			
Country of Tax Residency 3			
Tax Payer Ref. ID No. 3			
Identification Type [TIN or other, please specify]			

#To also include USA, where the individual is a citizen/green card holder of USA. ^In case Tax Identification Number is not available, kindly provide its functional equivalent.

**9. DECLARATION(S) & SIGNATURE(S) (Refer Instruction No. 1)**

To,

The Trustee,

Aditya Birla Sun Life AMC Ltd.

Date	D	D	M	M	Y	Y	Y	Y
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Having read and understood the contents of the Statement of Additional Information / Scheme Information Document of the Scheme, I/We hereby apply for units of the scheme and agree to abide by the terms, conditions, rules and regulations governing the scheme. I/We hereby declare that the amount invested in the scheme is through legitimate sources only and does not involve and is not designed for the purpose of the contravention of any Act, Rules, Regulations, Notifications or Directions 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 have understood the details of the scheme & I/we have not received nor have been induced by any rebate or gifts, directly or indirectly in making this investment.

**For NRIs 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/Non-Resident Ordinary/FCNR account. (Refer Inst. No. 6)

I/We confirm that details provided by me/us are true and correct.\*\*

I have voluntarily subscribed to the on-line access for transacting through the internet facility provided by Aditya Birla Sun Life AMC Ltd. (Investment Manager of Aditya Birla Sun Life Mutual Fund) and confirm of having read, understood and agree to abide the terms and conditions for availing of the internet facility more particularly mentioned on the website www.adityabirlacapital.com and hereby undertake to be bound by the same. I further undertake to discharge the obligations cast on me and shall not at any time deny or repudiate the on-line transactions effected by me and I shall be solely liable for all the costs and consequences thereof.

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 acknowledge that the RIA has entered into an agreement with the AMC / MF for accepting transaction feeds under the code. I / We hereby indemnify, defend and hold harmless the AMC / MF against any regulatory action, damage or liability that they may suffer, incur or become subject to in connection therewith or arising from sharing, disclosing and transferring of the aforesaid information."

I/We hereby provide my /our consent in accordance with Aadhaar Act, 2016 and regulations made thereunder, for (i) collecting, storing and usage (ii) validating/authenticating and (ii) updating my/our Aadhaar number(s) in accordance with the Aadhaar Act, 2016 (and regulations made thereunder) and PMLA.

I/We hereby provide my/our consent for sharing/disclosing of my Aadhaar number(s) including demographic information with the asset management companies of SEBI registered mutual fund and their Registrar and Transfer Agent (RTA) for the purpose of updating the same in my/our folios.

FATCA & CRS Declaration: I/ We have understood the information requirements of this Form (read along with FATCA & CRS Instructions) and hereby confirm that the information provided by me/ us on this Form is true, correct, and complete. I/ We also confirm that I/ We have read and understood the FATCA & CRS Terms and Conditions and hereby accept the same. (Refer Inst. No. 14)

Signature of First Applicant / Authorised Signatory	Signature of Second Applicant	Signature of Third Applicant
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**CONFIRMATION CLAUSE**

I/We hereby give consent to the Company or its Authorized Agents and third party service providers to use information/data provided by me to contact me through any channel of communication including but not limited to email, telephone, sms, etc. and further authorise the disclosure of the information contained herein to its affiliates/group companies or their Authorized Agents or Third Party Service Providers in order to provide information and updates to me on various financial and investment products and offering of other services. I/We agree that all personal or transactional related information collected/provided by me can be shared/transferred and disclosed with the above mentioned parties including with any regulatory, statutory or judicial authorities for compliance with any law or regulation in accordance with privacy policy as available at the website of the Company.  Yes  No

**VALUE ADD**

I/We am/are interested in knowing my/our credit score and am/are happy to receive help in this regard.

I/ We hereby provide my consent to :-

- Aditya Birla Sun Life AMC Limited and its group companies & associates to conduct check on my/our credit information with any of the credit bureau.
  - Aditya Birla Sun Life AMC Limited and its group companies & associates to conduct a background check either by their employees or through any third party vendor.
- Yes  No

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# SIP FACILITY APPLICATION FORM - ADITYA BIRLA SUN LIFE RETIREMENT FUND

(An open-ended retirement solution oriented scheme having a lock-in of 5 years or till retirement age (whichever is earlier))

## Your Investment for your Retirement

(PLEASE READ THE INSTRUCTIONS BEFORE FILLING UP THE FORM.)

Distributor Name & ARN/ RIA No.	Sub Broker Name & ARN/ RIA No.	Sub Broker Code	Employee Unique ID. No. (EUIIN)
<b>ARN - 48012</b>			<b>E053085</b>

EUIIN is mandatory for "Execution Only" transactions. Ref. Instruction No. B-3

I/we hereby confirm that the EUIIN 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 Applicant / Authorised Signatory	Second Applicant	Third Applicant
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### Transaction Charges for Applications routed through Distributors/agents only (Refer Instruction B-7)

In case the subscription (lumpsum) amount is ₹ 10,000/- or more and your Distributor has opted to receive Transaction Charges, ₹ 150/- (for first time mutual fund investor) or ₹ 100/- (for investor other than first time mutual fund investor) will be deducted from the subscription amount and paid to the distributor. Units will be issued against the balance amount invested.

Existing Investor Folio No.	Application No.	Date
		D D M M Y Y Y Y

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

NAME OF FIRST / SOLE APPLICANT	Mr. Ms. M/s.
Date of Birth*	D D M M Y Y Y Y (*MANDATORY)

### 2. INVESTMENT DETAILS (Refer Instruction A)

(\*MANDATORY)

SCHEME NAME	Aditya Birla Sun Life Retirement Fund - 'The 30s Plan'	Aditya Birla Sun Life Retirement Fund - 'The 40s Plan'	Aditya Birla Sun Life Retirement Fund - 'The 50s Plan'	Aditya Birla Sun Life Retirement Fund - 'The 50s Plus - Debt Plan'
PLAN	<input checked="" type="checkbox"/> Regular Plan	<input checked="" type="checkbox"/> Regular Plan	<input checked="" type="checkbox"/> Regular Plan	<input checked="" type="checkbox"/> Regular Plan
OPTION				
SIP Frequency	<input type="checkbox"/> Monthly SIP Date <input type="text"/> <input type="text"/> (any date between 1-28) OR <input type="checkbox"/> Weekly _____ (Please mention any day between Monday to Friday)	<input type="checkbox"/> Monthly SIP Date <input type="text"/> <input type="text"/> (any date between 1-28) OR <input type="checkbox"/> Weekly _____ (Please mention any day between Monday to Friday)	<input type="checkbox"/> Monthly SIP Date <input type="text"/> <input type="text"/> (any date between 1-28) OR <input type="checkbox"/> Weekly _____ (Please mention any day between Monday to Friday)	<input type="checkbox"/> Monthly SIP Date <input type="text"/> <input type="text"/> (any date between 1-28) OR <input type="checkbox"/> Weekly _____ (Please mention any day between Monday to Friday)
Tenure (Start date should be on or after 11th April 2019)	From: <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> To: <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> Or <input type="checkbox"/> Perpetual <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	From: <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> To: <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> Or <input type="checkbox"/> Perpetual <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	From: <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> To: <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> Or <input type="checkbox"/> Perpetual <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	From: <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> To: <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> Or <input type="checkbox"/> Perpetual <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
SIP Installment Amount				
Step Up (OPTIONAL - and available only for SIP Investments through NACH)	Step Up Amount: <input type="checkbox"/> 500/- <input type="checkbox"/> 1000/- <input type="checkbox"/> Other (In multiple of 500/-) Step Up Frequency: <input type="checkbox"/> Half Yearly <input type="checkbox"/> Yearly *Step Up Max Amount:	Step Up Amount: <input type="checkbox"/> 500/- <input type="checkbox"/> 1000/- <input type="checkbox"/> Other (In multiple of 500/-) Step Up Frequency: <input type="checkbox"/> Half Yearly <input type="checkbox"/> Yearly *Step Up Max Amount:	Step Up Amount: <input type="checkbox"/> 500/- <input type="checkbox"/> 1000/- <input type="checkbox"/> Other (In multiple of 500/-) Step Up Frequency: <input type="checkbox"/> Half Yearly <input type="checkbox"/> Yearly *Step Up Max Amount:	Step Up Amount: <input type="checkbox"/> 500/- <input type="checkbox"/> 1000/- <input type="checkbox"/> Other (In multiple of 500/-) Step Up Frequency: <input type="checkbox"/> Half Yearly <input type="checkbox"/> Yearly *Step Up Max Amount:

First Installment	Cheque Date	Cheque No.	Amount
Drawn on Bank and Branch			
<input type="checkbox"/> Use existing One Time Mandate (To be filled in case of more than one OTM registration)			
Bank Name	A/c No.		
Trigger Facility Opt-in	<input type="checkbox"/> Yes <input type="checkbox"/> No		

In case of valid application received without indicating choice between options under the scheme, the same shall be considered as Growth Option and processed accordingly.

### 3. DECLARATION(S) & SIGNATURE(S)

I/We hereby authorise Aditya Birla Sun Life Mutual Fund and their authorised service provider to debit the above bank account by NACH/ Auto Debit Clearing for collection of SIP payments. I/We understand that the information provided by me/us may be shared with third parties for facilitating transaction processing through NACH/ Auto Debit Clearing or for compliance with any legal or regulatory requirements. I/We hereby declare that the particulars given above are correct and complete and express my/our willingness to make payments referred above through participation in NACH/ Auto Debit. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information, I/We will not hold ABSLAMC/MF or their appointed service providers or representatives responsible. I/We will also inform, about any changes in my bank account immediately. I/We undertake to keep sufficient funds in the funding account on the date of execution of standing instruction. I/We have read and agreed to the terms and conditions mentioned overleaf. 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 acknowledge that the RIA has entered into an agreement with the AMC / MF for accepting transaction feeds under the code. I / We hereby indemnify, defend and hold harmless the AMC / MF against any regulatory action, damage or liability that they may suffer, incur or become subject to in connection therewith or arising from sharing, disclosing and transferring of the aforesaid information."

For Micro SIP only: I hereby declare that I do not have any existing Micro SIPs which together with the current application in rolling 12 month period or in financial year i.e. April to March will result in aggregate investments exceeding ₹ 50,000 in a year. (refer Instruction no: A-16).

Signature(s)	Name of First Unit Holder	Name of Second Unit Holder	Name of Third Unit Holder
	First Applicant	Second Applicant	Third Applicant

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

## A. GENERAL INSTRUCTIONS FOR SIP

### General Instructions

1. New investors who wish to enroll for SIP should fill this form in addition to the Common Application Form. Please quote the application number of the Common Application Form on this SIP Form. Details of the SIP should be provided on this form. Both Forms should be submitted together.
2. Existing investors need to fill up only this form and first purchase cheque with existing folio details. The AMC reserves the right to assign any of the existing Folio Number of the investor against multiple applications and / or subsequent purchases under this new application form lodged, with identical mode of holding and address and such other criterions and integrity checks as may be determined by the AMC from time to time.  
Note: Investors can also start a SIP without any initial investment. New investors need to submit this application form along with Common Application Form, whereas existing investors can start SIP without initial investment by submitting this form along with existing folio details.
3. The name of the bank provided for OTM/ NACH/ Auto Debit should participate in local MICR clearing.
4. The investor hereby agrees to abide by the terms and conditions of OTM/ NACH/ Auto Debit facility of Reserve Bank of India (RBI).
5. SIP form should be submitted 30 days before the first Debit through NACH/ Auto Debit. In case the auto debit start date as mentioned in the form does not satisfy this condition, the first date shall be rolled over to begin from the immediately following month.
6. Investor should provide 9 digit MICR code and complete bank address for SIP auto debit transactions. MICR starting with 000 and end with 000 will not be acceptable.
7. For NFO Post dated Cheque are not allowed. SIP facility is available only through NECS/ Auto Debit.

### Default Details

8. **Default Dates:**  
**Monthly SIP:** In case of any ambiguity in selection of investment dates, the SIP date will be 7 of each month.  
**Weekly SIP:** In case of any ambiguity in selection of investment day, the SIP day will be as 'Wednesday'.
9. **Default Frequency:**  
If investor fails to mention frequency the same shall be considered as 'Monthly' as default option.
10. For Regular SIP - "Default end date is December 31, 2099. In case the 'End Date' is not mentioned by the investor in the Form, the same would be considered as 31st December, 2099 by default".
11. **Minimum Amount**  
**For Monthly and Weekly SIP:**  
Minimum 6 cheques/installments of ₹ 500/- each with multiples of ₹ 1/- thereafter
- 12a. The first investment cheque amount shall be considered as the first installment
- 12b. The initial/ first SIP investment amount can be different from the subsequent SIP amount provided the initial/ first SIP investment amount also confirms to the minimum SIP amount criteria of the respective scheme.
13. Cheques should be drawn payable at locations of Aditya Birla Sun Life AMC Limited branches & authorised centres. Non MICR / outstation post dated cheques will not be accepted for SIP.
14. **Allotment of Units**  
**Monthly SIP:** In case, the SIP transaction date is a non-business day the SIP will be processed on the immediate next business day.  
**Weekly SIP:** Units will be Allotted at the NAV related prices of the Monday and/or Tuesday and/or Wednesday and/or Thursday and/or Friday of every week (or next business day, if Monday and/or Tuesday and/or Wednesday and/or Thursday and/or Friday is a non business day).
15. **Discontinue / Cancellation of SIP**  
The investor has the right to discontinue SIP at any time he/she so desires by sending a written request 30 calendar days in advance of the immediate next due date to any of the offices of Aditya Birla Sun Life Mutual Fund or its Authorized Collection Centres. On receipt of such request SIP will be terminated.
16. **MICRO SIP:-**
  1. As per AMFI notification and Guidelines issued on July 14, 2009, SIPs or lumpsum by eligible investors where aggregate (under all schemes of Mutual Fund) in a rolling 12 month period or in a financial year i.e. April to March does not exceed ₹ 50,000 (known as "Micro SIP") shall be exempted from the requirement of PAN.
  2. This exemption of PAN requirement is only available to individuals (including Joint Holders, NRIs but not PIOs) and Sole proprietary firms who do not possess PAN\*. HUFs and other categories will not be eligible for this exemption.  
*\* In case of joint holders, first holder must not possess a PAN.*
  3. Please note that for availing Micro SIP, investor have to submit KYC/ KRA acknowledgement/confirmation quoting PAN Exempt KYC Reference No. (PEKRN) obtained from KYC Registration Agency (KRA) along with the application form for such investments. Eligible investors must hold only one PEKRN.
  4. Please note that investors holding a valid permanent Account Number (PAN) issued by Income tax Department are mandatorily required to be KYC compliant and submit the KYC/KRA acknowledgement/confirmation.
  5. Additional Micro SIP in same folio: For Subsequent Micro SIP applications, investor can quote the existing folio number where a Micro SIP has been registered and need not resubmit the supporting document.
  6. In case of any deficiencies in the supporting documents or in case of the aggregate of SIP investments exceeding Micro SIP threshold, the Mutual Fund reserves the right to reject the applications.
  7. In case the first Micro SIP installment is processed, and the application is found to be defective, the Micro SIP registration will be ceased for future installments. No refund shall be made for the units already allotted and the investors may redeem their investments.

### 17. STEP-UP SIP

1. **Frequency for Step-Up SIP:**
  - a. **Half Yearly Step-Up SIP:** Under this option, the amount of investment through SIP installment shall be increased by amount chosen/designated by Investor post every 6th (sixth) SIP installment.
  - b. **Yearly Step-Up SIP:** Under this option, the amount of investment through SIP installment shall be increased by amount chosen/designated by Investor post every 12th (twelfth) SIP installment.
2. **Minimum Step-Up SIP Amount:** ₹ 500 and in multiples of ₹ 500 thereafter.
3. **Default Step-Up SIP Frequency and amount:** In case the investor fails to specify any frequency or amount for Step-Up SIP, the same shall be deemed as Yearly Step-Up SIP and ₹ 500 respectively and the application form shall be processed accordingly. In case the investor fails to specify both, i.e. the frequency for Step-Up SIP and amount for Step-Up SIP, the application form may be processed as conventional SIP, subject to it being complete in all other aspects.
4. SIP application form has "Max Cap Amt", Step up will be registered till each SIP amount reaches max cap amt. Further max cap amount would remain constant for continuing future installments till its SIP End date.
  - OTM max amt and Cap amt should be same, if it is different then which ever is less would be considered as Cap amt.
  - If investor fails to mention the "Max Cap Amt" then step up would continue as per the frequency/step up amt mentioned on the application form considering the OTM max amt.
18. In case 3 (three) consecutive instalments are not honoured/failed on account of reasons attributable to the investors like insufficient balance etc. Aditya Birla Sun Life AMC Limited shall discontinue SIP registrations.
19. **Multi SIP Investment Details:**
  - a. Please mention the names of the Schemes where you plan to make your investment and your preferred options. If you do not indicate your preferred options, your application would be processed based on the terms & conditions set out in the Scheme Information Document.
  - b. The SIP frequency for Multi Scheme SIP Investment is Monthly and Weekly.
  - c. If you are not investing through a Distributor, please suffix "Direct Plan" after the scheme name.
  - d. Currently, the maximum number of Schemes in which investments can be made using a single SIP application Form shall be 4 (four). Aditya Birla Sun Life AMC Limited reserves right to extend the facility to more than 4 (four) schemes in future.
20. **First Installment Details:**
  - a. Single investment cheque should be submitted, crossed "Account Payee only" and drawn favoring "Aditya Birla Sun Life Retirement Fund".
  - b. Please ensure that the investment cheque issued by you complies with CTS 2010 requirement Stipulated by the Reserve Bank of India. The words "CTS 2010" should appear on the face of the cheque.  
Payments made by Cash/Money Order/Postal Order, Non- MICR cheques Outstation cheques are not accepted.
21. **Trigger Facility**  
Investors opting for this facility will be able to automatically shift/switch their investments from one plan to the other based on the age of the investor. For example, if the investor has availed the trigger facility and is invested in The 30s Plan at 36 years of age then as he turns 40 his investments will automatically be switched in The 40s Plan and subsequently as he turns 50 his investments will be switched from The 40s Plan to The 50s Plan. This switch within plans based on trigger can also happen within the lock-in period.
  1. Once the trigger option is selected, on the date of trigger all investments in the existing/ previous plan will be switched to next plan as per age.
  2. The trigger will be processed on the 10th of the subsequent month upon the investor attaining the relevant age. In case, the same falls on Non business day the same will be triggered on next business day. For e.g if the investor's is turning 40 on 1st Jan 2019 all investment in the previous plans will be moved to 40s plan on 10 Feb 2019.
  3. Last Auto trigger facility can be availed at the age of 59.
  4. Future instalments through Systematic investment in existing plan will be invested in next plan.
  5. The trigger will be processed within the lock-in period. The date of lock in for such units created will be considered from the original date of allotment in the previous plan(s).
  6. The opt in for the trigger facility will be considered for the scheme at a folio level and not at a transaction or plan level.
  7. The investor who has opted -in may choose to opt-out at least 10 working days prior to scheduled trigger date.
  8. Any investor initiated switch to or from the source scheme during the period of units transfer under the Trigger facility would lead to termination of the trigger facility.
  9. This facility will not be available for units held in demat mode.



