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 RISKOMETER THIS PRODUCT IS SUITABLE FOR INVESTORS WHO ARE SEEKING\* Name of Scheme/ Investment Plan Aditya Birla Sun Life Retirement Fund - Long term capital growth 'The 30s Plan' investments in equity and equity related securities Moderate Aditva Birla Sun Life Retirement Fund -· Long term capital growth and income 'The 40s Plan investment predominantly in equity and equity related securities as well as debt and money market instruments Aditva Birla Sun Life Retirement Fund - regular income with capital growth over medium to long term investments in debt and money market instruments as well as equity and equity 'The 50s Plan INW related securities Investors understand that their principal will be at moderately high risk Aditya Birla Sun Life Retirement Fund -• Capital appreciation & income over long term to achieve retirement goals 'The 50s Plus - Debt Plan' • investments in debt & money market instruments as well as equity and equity Moderate related securities 1 0 14 Investors understand that their principal will be at moderate risk \*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. Employee Unique ID. No. (EUIN) Application No. Sub Broker Code ARN - 48012 E053085 Distributor Mobile No. Distributor Email Id 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 my 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 Third Applicant Second 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 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 Mr. Ms. M/s. (as per PAN Card) Date of Birth\* (Mandatory) PAN / PEKRN (Mandatory) СКҮС Number Mr. Ms. M/s. Name of the Second Applicant (as per PAN Card)# PAN / PEKRN (Mandatory) М Date of Birth М скус \*\* Mandatory Number #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 : Collection Centre / ABSLAMC Stamp & Signature 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 Aditya Birla Sun Life AMC Limited (Investment Manager to Aditya Birla Sun Life Mutual Fund) Contact Us: (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 1800-270-7000 ADITYA BIRLA CAPITAL

+91 22 4356 7000 | care.mutualfunds@adityabirlacapital.com | www.adityabirlasunlifemf.com | CIN: U65991MH1994PLC080811

adityabirlacapital.com

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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.

Particulars	ADITY	A BIRLA SUN LIFE RE	TIREMENT FUND	
Aditya Birla Sun Life Retirement Fund	- 'The 30s Plan'	Regular Plan		Currently, the Scheme offers
Aditya Birla Sun Life Retirement Fund	- 'The 40s Plan'	Regular Plan		Growth
Aditya Birla Sun Life Retirement Fund	Regular Plan	Dividend Payout and		
Aditya Birla Sun Life Retirement Fund	- 'The 50s Plus - Debt Plan'	Regular Plan		Reinvestment Facility.
Cheque / DD / Payment Instrument No.		Cheque / DD / Payment Ins	strument Date	Amount in Figures (₹)
Drawn on (Name of Bank and Branch)				

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.

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### 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^			
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.

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

To,

9.

The Trustee, Aditya Birla Sun Life AMC Ltd.

## Date

Signature of Third Applicant

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

gnature of Second Applicant

## 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.  $\Box$  Yes  $\Box$  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 :-

- 1. 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.
- 2. 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))

2.

3.

# Your Investment for your Retirement

.....

				0 4511/-							ISTRUC						
Distributor Name	Sub Broker Name & ARN/ RIA No.					Su	b Brok	er Cod	e		Emplo	Employee Unique ID. No. (EUIN)					
ARN - 480											E0	5308	5				
I/we hereby confirm that t of the above distributor/su	cution Only" transactions. Ref he EUIN box has been inten b broker or notwithstanding th	tionally left bla ne advice of in-a	nk my me/u	ess, if any,	provided by t	he emplo						f the distri	ibutor/sul	b broker.	anager/sale	es persor	
	nt / Authorised Signator	· .			econd App							Inir	d Applica	ant			
In case the subscription (	or Applications routed thro umpsum) amount is ₹ 10,00 I fund investor) will be deducte	0/- or more a	nd your Distr	ributor has	opted to rec	ceive Tran								tor) or ₹	100/- (fo	r investo	
Existing Investor Folio No.				Applicat								Date					
FIRST / SOLE APPLICANT								·							·		
NAME OF FIRST / SOLE APPL	CANT Mr. Ms. M/s.																
Date of Birth*	D D M	M	Y Y	Υ (	*MANDATORY	()											
INVESTMENT DETAILS (R	efer Instruction A)														(*MAND/	ATORY)	
SCHEME NAME	Aditya Birla Sun Life Retir 'The 30s Plan		Aditya Bir	rla Sun Life 'The 40:	e Retirement s Plan'	Fund -	Aditya		un Life R The 50s F		ent Fund	- Adit	Aditya Birla Sun Life Retirement Fund - 'The 50s Plus - Debt Plan'				
PLAN	🗹 Regular Plan		Re:	gular Plan				Regula					Regula				
OPTION	-																
SIP Frequency	SIP Frequency Monthly SIP Date D (any date between 1-28) OR Weekly				Date D veen 1-28)	D	OR (2	any date Veekly_	SIP Dat	en 1-28		OR	Weekly				
Tenure (Start date should be on or after 11th April 2019)	(Please mention any day between Monday to Friday)       From:     M       Tenure     To:       (Start date should be on			(Please mention any day between Monday to Friday)         From:       M       Y       Y       Y         To:       M       M       Y       Y       Y         Or       Perpetual       3       1       1       2       2       0       9       9				Monday to Friday)       From:     M     Y     Y     Y       To:     M     M     Y     Y     Y       Or     Perpetual       3     1     1     2     0     9     9					Monday to Friday)         From:       M       M       Y       Y       Y         To:       M       M       Y       Y       Y       Y         Or       Perpetual       Image: Colspan="3">Or         3       1       1       2       2       0       9       9			Y	
SIP Installment Amount																	
Step Up (OPTIONAL - and available only for SIP Investments through NACH)	Step Up Amount: 500/						'- Step Up Amount: □ 500/- □ 1000, □ Other (In multiple of 500/-)						- Step Up Amount: 500/- 1000				
	Step Up Frequency: Half Year *Step Up Max Amount:	ly 🗌 Yearly	Step Up Frequency: ☐ Half Yearly ☐ Yearly *Step Up Max Amount:				Step Up Frequency: □ Half Yearly □ Yearly *Step Up Max Amount:					y Frequ	Step Up Frequency: □ Half Yearly □ Yearly *Step Up Max Amount:			Yearly	
First Installment	Cheque Date		Cheo	que No.					Amoun	ıt			·				
Drawn on Bank and Branch																	
Use existing One Time	Mandate (To be fill	ed in case of m	ore than one	OTM registr	ration)												
Bank Name							A/c N	lo.									
Trigger Facility Opt-in	Yes	No															
In case of valid applicatio	n received without indicatir	ng choice betw	veen options	s under the	scheme, th	ne same s	shall be	conside	ered as C	Growth	Option a	nd proce	ssed acc	ordingly.			
DECLARATION(S) & S	IGNATURE(S)																
I/We understand that the any legal or regulatory re participation in NACH/ service providers or repr the date of execution of form of trail commission "I/ We acknowledge the AMC / MF against any re aforesaid information." For Micro SIP only: I hereb	ditya Birla Sun Life Mutual e information provided by quirements. I/We hereby d Auto Debit. If the transactic esentatives responsible. I/V standing instruction. I/We or any other mode), payabl at the RIA has entered into- igulatory action, damage or y declare that I do not have timents exceeding ₹ 50,001	me/us may be eclare that the eclare that the on is delayed o We will also inf have read and e to him for th an agreement liability that the any existing l	shared with particulars or not effect form, about agreed to t e different c with the AM hey may suf Micro SIPs v	h third part given aboved at all for any chang he terms a competing AC / MF for fer, incur control which toge	ties for facil ve are corrector or reasons of es in my bar ind condition Schemes of or accepting or become subther ether with th	litating tr ct and cou f incomp hk accour ns mention f various transact ubject to	ransacti mplete lete or i nt imme oned ov Mutual ion fee in conn	ion proc and exp incorrec ediately. /erleaf. 1 Funds fi ds unde nection t	essing t ress my, t inform I/We un The ARN rom amo r the coo herewith	hrough /our wi ation, I ndertak I holder ongst w de. I / V h or aris	NACH/ llingness /We will e to keep has disc hich the Ve hereb sing from	Auto Deb s to make not hold sufficien closed to Scheme y indemn n sharing,	bit Clearir payment ABSLAM nt funds i me/us al is being r hify, defer disclosir	ng or for ts referre MC/MF o in the fur I the com recomme nd and h ng and tr	compliance ed above t or their app nding acco nmissions ended to n nold harmle ransferring	ce with hrough pointed punt on (in the ne/us. ess the g of the	
	of First Unit Holder	-			of Second	d Unit	Holde	er			Nan	ne of T	e of Third Unit Holder				
Signature(s)		it					Third Applicant										

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

#### General Instructions

- New investors who wish to enroll for SIP should fill this form in addition to the Common Application 1 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
- Existing investors needs 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
- 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).
- SIP form should be submitted 30 days before the first Debit through NACH/ Auto Debit. In case the 5. 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.
- Investor should provide 9 digit MICR code and complete bank address for SIP auto debit 6. transactions. MICR starting with 000 and end with 000 will not be acceptable.
- For NFO Post dated Cheque are not allowed. SIP facility is available only through NECS/ Auto Debit. 7 Default Details

#### **Default Dates** 8.

- - 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

- 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" 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: Incase, 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).

#### 1.5 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 MICROSIP-

- 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.
- This exemption of PAN requirement is only available to individuals (including Joint Holders, 2. 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.
- 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
- 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.
- In case of any deficiencies in the supporting documents or in case of the aggregate of SIP 6. investments exceeding Micro SIP threshold, the Mutual Fund reserves the right to reject the applications.
- In case the first Micro SIP installment is processed, and the application is found to be 7. 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:
  - Half Yearly Step-Up SIP: Under this option, the amount of investment through SIP installment a. shall be increased by amount chosen/designated by Investor post every 6th (sixth) SIP installment.
  - Yearly Step-Up SIP: Under this option, the amount of investment through SIP installment shall b. be increased by amount chosen/designated by Investor post every 12th (twelfth) SIP installment.
  - Minimum Step-Up SIP Amount: ₹ 500 and in multiples of ₹ 500 thereafter. 2
  - 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.
  - 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 instalments 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.
- Multi SIP Investment Details: 19.
  - 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.
  - The SIP frequency for Multi Scheme SIP Investment is Monthly and Weekly. b.
  - If you are not investing through a Distributor, please suffix "Direct Plan" after the scheme c.
  - Currently, the maximum number of Schemes in which investments can be made using a single d. 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:

- Single investment cheque should be submitted, crossed "Account Payee only" and drawn a. favoring "Aditya Birla Sun Life Retirement Fund".
- 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.
- The trigger will be processed on the 10th of the subsequent month upon the investor 2. 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.
- Last Auto trigger facility can be availed at the age of 59. 3.
- Future instalments through Systematic investment in existing plan will be invested in next 4.
- 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).
- 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.
- Any investor initiated switch to or from the source scheme during the period of units transfer 8. under the Trigger facility would lead to termination of the trigger facility.
- This facility will not be available for units held in demat mode

DISCLAIMER

- Investors will not hold Aditya Birla Sun Life Mutual Fund, its Registrars and other service providers responsible if the transaction is delayed or not effected or the investor bank account is debited in advance or after the specific SIP date due to various clearing cycles of OTM/ NACH/ Auto Debit. (i)
- Aditya Birla Sun Life Mutual Fund, its Registrars and other service providers shall not be (ii) responsible and liable for any damages/compensation for any loss, damage etc. incurred by the investor. The investor assumes the entire risk of using this facility and takes full responsibility
- Aditya Birla Sun Life Mutual Fund reserves the right to reject any application without (iiii)
- Aditya Birla Sun Life Mutual Fund reserves the right to reject any application without assigning any reason thereof. Investors shall not hold the AMC/ Registrar/Service Providers and/or the Bank/s liable for any failure or delay in completion of its obligations where such failure or delay is caused, in whole or in part, by any Force Majeure event including acts of God, civil war, civil commotion, riot, strike, mutiny, revolution, fire, flood, war, earthquake, or any other cause of peril which is beyond the AMC/ Registrar /Service Provider's and/or the Bank/s/' areasonable control. Further no separate intimation will be received from AMC / It's Registrar / Bank and/or There is Device To the American and the service for the test of the test of the American and the test of test of test of the test of te Service Providers in case of non-execution of the instructions in case of such Force Majeure events
- events. It is compulsiony 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. 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 Aditya Birla Sun Life Mutual Fund for verifying that they are residents of State of Sikkim. Investors (being individuals) applying for Micro SIP registrations are exempt from mandatory requirement of PAN submission. For further details on Micro SIP, please refer instructions (A-16) in SIP Application Form. 2
- 3 DIRECT APPLICATIONS AND FUIN
  - INPELICATIONS AND EDIN 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"
  - sup/application form where details in the AKN No or Broker Code column is already printed, unit holder should cancel the AKN 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 AKN 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 (EUIN) 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 EUIN of the individual ARN holder or of employee/relationship manager/sales person of the Distributor interacting with the investor. Providing appropriate EUIN 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 investor form.
     KNOWYOUR CUSTOMER (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.adityabirlacapital.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:

i, their constituted Power of Attorney (PoA) holder, in case of investments through a PoA; and

action software rower or Actioney (POA) noticer, in case of investments through a POA; and ii. each of the applicants, in case of investments in joint names Applications without KYC Acknowledgement letter for the specified category of investors are liable to be rejected.

To be rejected. Provided further, where it is not possible to verify the KYC compliance status of the investor at the time of allottment 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 investor(s) for any kind of transactions or affect mandatory redemption of unit holdings 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. 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

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.adityabirlacapital.com. The Mutual Eurod behl enforce the form the initial VXC of its provingent and provingent compared to the specific and the specific specific specific specific specific specific specific specific specific to the specific spec
- The Mutual Fund shall perform the initial KYC of its new investors and may undertake enhanced 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). Registrat & 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.
- 3.
- the Mutual Fund reserves the right to carry out fresh KYC of the investor. It is mandatory for intermediaries including mutual funds to car 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. ABSLAMC and NISM/AMFI cartified 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 л
- practice. However, existing investors are also urged to comply with the new KYC requirements including IPV as mandated by SEBI.
- RESTRICTION ON ACCEPTANCE OF THIRD PARTY PAYMENT
- RICTION ON ACCEPTANCE OF THIRD PARTY PAYMENT: Pursuant to the AMFI Best Practice Guidelines circular on 'Risk mitigation process against Third-Party Cheques in mutual fund subscriptions' read with compliance with 'Know your Customer (KYC)' norms under Prevention of Money Laundering Act, 2002 (PMLA), Aditya Birla Sun Life AMC Ltd. (ABSLAMC)/ Aditya Birla Sun Life Mutual Fund (ABSLMF) shall not accept applications for subscriptions of units accompanied with Third Party Payments, except in the cases as enumerated below in para (c).
- "Third Party Payment" means payment through an instrument issued from a bank account other than that of the beneficiary investor. In case of payments from a joint bank account, the first named investor/holder of the mutual fund folio has to be one of the joint holders of the bank account from which payment is made. h)

(Contd on Page 4)

DEBIT MANDATE-ONE TIME MANDATE /	NACH / AUTO DEBIT [Applicable for Lumpsum Additional P	Purchases as well as SIP Registrations] Please attach a cancelled cheque/cheque copy.
		Date D D M M Y Y Y
(tick√)		
CREATE Sponsor Bank Code	Office use only	Utility Code Office use only
MODIFY     I/We hereby authorize:	ADITYA BIRLA SUN LIFE MUTUAL FUND	to debit (tick 🗸) SB CA CC SB-NRE SB-NRO Other
Bank A/c No.:		
Vith Bank N	lame & Branch	
n amount of Rupees		₹
REQUENCY Honthly Quarterl	y 🔄 Half Yearly 📄 Yearly 🔽 As & when prese	ented DEBIT TYPE 🕂 Fixed Amount 🗹 Maximum Amount
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	te processing charges by the bank whom I am authorizing to	o debit my account as per latest schedule of charges of bank.
From	1. Sign 2. Sign	3. Sign
to 3 1 1 2 2 0 9 9		
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account based on the instructions as a	eclaration has been carefully read, understood & mac greed and signed by me. I have understood that I am a o Aditya Birla Sun Life Mutual Fund or the bank where	de by me/us. I am authorizing Aditya Birla Sun Life Mutual Fund to debit my authorised to cancel/amend this mandate by appropriately communicating
cknowledgement Slip (To be filled	in by the Investor) SIP FACILITY /	APPLICATION FORM - ADITYA BIRLA SUN LIFE RETIREMENT FUND
Application No.		Collection Centre / ABSLAMC Stamp & Signature
Peceived from Mr. / Ms		Date :/
Formerly known as Birla Sun Life Asset Manag egn. No.: 109. Regd Office: One Indiabulls Centre, 41, Senapati Bapat Marg, Elphinstone Road, Mumb	Tower 1, 17th Floor, Jupiter Mill Compound,	Contact Us: 1800-270-7000 94PLC080811 adityabirlacapital.com

5