

KYC acknowledgement is mandatory for all investors w.e.f. 01/01/2011. However in the case of Micro SIP/Purchase of an individual investor (if the total amount of investment including SIP is less than Rs 50,000 per investor in any rolling 12-month period or in a financial year) instead of PAN proof other approved document can be accepted.

Agent's Name and ARN 67723	Sub Broker ARN code	Sub Agent Code	EUIN	Folio No
Transaction charges For Rs. 10,000 and above: ☐ Existing Investor-Rs.100 ☐ New Investor-Rs.150			Upfront commission shall be paid directly by the investor to the AMFI-registered distributors based on the investors' assessment of various factors including services rendered by the distributor.	

☐ 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 inappropriate, if any, provided by the employee/relationship manager/sales person of the distributor/sub broker.

Signature	First Applicant
	Second Applicant
	Third Applicant

Name of First/Sole Applicant (capital Letters)

Name of Guardian in case First / Sole Applicant is a Minor (capital Letters)

E-Mail **Mobile No**

You will receive an account statement by e-mail. If you wish to receive a physical statement please tick ☐

Fund Name	Plans: ☐ Regular ☐ Direct	Options: ☐ Dividend Payout ☐ Dividend Re-Investment ☐ Dividend Sweep ☐ Growth ☐ Bonus ☐ Others.....
If Micro SIP, please tick ☐ Yes (Micro SIP: Less than Rs 50,000 per person in any rolling 12-month period)	Each SIP Amount Rs 	
If Micro SIP, supporting document/identification number: 	SIP Date (for monthly and quarterly options) ☐ 1 ☐ 7 ☐ 14 ☐ 20 ☐ 25	
SIP Frequency ☐ Weekly (Minimum amount Rs 1000 Every Wednesday) ☐ Monthly (Minimum amount Rs 250 Minimum No of installments 20) ☐ Quarterly (Minimum amount Rs 750 Minimum No of installments 7)	SIP Period SIP Starting SIP Ending OR ☐ Till further notice*	

(*The date may be taken as 31/12/2031 in case the bank needs to input a specific date in their system) (refer Guide to investing through SIP)

Name of Account Holder (as in bank account)	Account No	Cheque MICR No
Bank	Branch/City	Account Type ☐ SB ☐ NRE* ☐ NRO* ☐ FCNR* ☐ Current ☐ Others.....

*If source of fund is not clear on the Cheque leaf, please provide a copy of FIRC.

Declaration: I/We • having read and understood the contents of the Statement of Additional Information/Scheme Information Document/addenda issued to the SID and KIM till date • hereby apply for units under the scheme(s) as indicated in the application form • agree to abide by the terms, conditions, rules and regulations of the scheme(s) • agree to the terms and conditions for Auto Debit • have not received nor been induced by any rebate or gifts, directly or indirectly in making this investment • do not have any existing Micro SIPs/investments which together with the current application will result in the total investments exceeding Rs. 50,000 in a financial year or a rolling period of twelve months (applicable for PAN exempt category of investors). The ARN holder has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us.

Applicable to NRIs only: Please ☒ I/We confirm that I am/We are Non-Resident of Indian Nationality/Origin and I/We hereby confirm that the funds for subscription have been remitted from abroad through normal banking channels or from funds in my/our Non-Resident External/Ordinary Account/FCNR Account on a ☐ Repatriation Basis ☐ Non-Repatriation Basis. **I/We confirm that I am/we are not United States persons within the meaning of Regulation (S) under the United States Securities Act of 1933, as amended from time to time or a resident of Canada.**

I/We hereby declare that all the particulars given herein are true, correct and complete to the best of my/our knowledge and belief. I/ We further agree not to hold Sundaram Asset Management, its sponsor, their employees, authorised agents, service providers, representatives of the distributors liable for any consequences/losses/costs/damages in case of any of the above particulars being false, incorrect or incomplete or in case of my/our not intimating/delay in intimating any changes to the above particulars. I/We hereby authorise Sundaram Asset Management to disclose, share, remit in any form, mode or manner, all/any of the information provided by me/ us, including all changes, updates to such information as and when provided by me/us, to any Indian or foreign governmental or statutory or judicial authorities/agencies, the tax/revenue authorities and other investigation agencies without any obligation of advising me/us of the same. I/We hereby agree to provide any additional information/documentation that may be required in connection with this application.

Authorisation & Signature of the Bank Account Holder

To, The Branch Manager,.....(Name of Bank)

This is to inform that I/We have registered for the RBI's Electronic Clearing Service (Debit Clearing) / Direct Credit / Standing Instruction and that my payment towards my investment in Sundaram Mutual Fund shall be made from my/our below mentioned bank account with your bank. I/We authorise the representative carrying this ECS (Debit Clearing) / Direct Debit / Standing Instruction mandate Form to get it verified & executed.

I/We hereby declare that the particulars given above are correct and express my willingness to make payments referred above through participation in ECS (Debit Clearing) / Direct Debit / Standing Instruction. If the transaction is delayed or not effected at all of reasons of incomplete or incorrect information, I/We would not hold the user institution responsible. I/We will also inform Sundaram Mutual Fund / Sundaram Asset Management Company Limited, about any changes in my bank account. I/We have read and agreed to the terms and conditions mentioned overleaf.

Bank Account Number		
First / Sole Applicant / Guardian	Second Applicant	Third Applicant

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Sundaram Mutual Fund

With effect from August 01, 2009 PAN not required for Micro SIP

KYC acknowledgement is mandatory for all investors (w.e.f. 01/01/2011). Further, SEBI has introduced enhanced KYC process for Investors effective from January 01, 2012. Existing KYC compliant investors can continue to invest as per current practice. In cases where total amount of SIP installments exceed Rs 50,000 per investor (who is currently not KYC compliant) in any rolling 12-month period or in a financial year, the investor has to undergo the revised KYC process. Please visit the branch office(s) of Sundaram Asset Management Company Limited at your location for further details.

However, Permanent Account Number (PAN) is not required for Micro SIP of an individual investor if the total amount of installments is less than Rs 50,000 per investor in any rolling 12-month period or in a financial year. This exemption is not applicable to other purchase transactions even if the amount is less than Rs 50,000 in any rolling 12-month period or in a financial year.

Investors who are Individuals are exempt from furnishing details of Permanent Account Number (PAN) for investments through Systematic Investment Plans (SIPs) up to Rs. 50,000/- per year per investor (hereinafter called Micro SIP).

Investors who wish to invest through Micro SIP will be required to produce a copy of any one of the specified photo identification documents instead of PAN. Supporting document must be current and valid. Supporting document copy shall be self attested by the investor / attested by the ARN holder mentioning the ARN number. While making subsequent Micro SIP applications with a mutual fund, investor can quote the existing folio number where a Micro SIP has been registered for all subsequent investment through Micro SIP in that folio and therefore need not resubmit the supporting document.

List of Specified Photo Identification Documents

1. Voter Identity Card
2. Driving License
3. Government / Defense identification card
4. Passport
5. Photo Ration Card
6. Photo Debit Card (Credit card not included because it may not be backed up by a bank account).
7. Employee ID cards issued by companies registered with Registrar of Companies (database available in the following link of Ministry of Company affairs <http://www.mca.gov.in/DCAPortalWeb/Default.aspx?MenuID=1&ModuleID=1&PageID=1>)
8. Photo Identification issued by Bank Managers of Scheduled Commercial Banks / Gazetted Officer / Elected Representatives to the Legislative Assembly / Parliament
9. ID card issued to employees of Scheduled Commercial / State / District Co-operative Banks.
10. Senior Citizen / Freedom Fighter ID card issued by Government.
11. Cards issued by Universities / deemed Universities or institutes under statutes like ICAI, ICWA, ICSI.
12. Permanent Retirement Account No (PRAN) card issued to New Pension System (NPS) subscribers by CRA (NSDL).
13. Any other photo ID card issued by Central Government/ State Governments/ Municipal authorities/ Government organizations like ESIC/ EPFO

Eligibility for Exemption: This exemption will be applicable only to investments made by individuals including minors, joint holders, sole proprietary entities and NRIs but not PIOs. HUFs and other categories will not be eligible for Micro SIPs. The exemption will be available where the total amount of installments under SIP in a rolling 12-month period or in a financial year i.e. April to March, does not exceed Rs 50,000. This exemption will not be applicable to purchase transactions other than through SIP. The Registrar & Transfer Agents (RTA) – Sundaram BNP Paribas Fund Services Limited will adopt the procedures prescribed by Association of Mutual Funds in India from time to time in this regard.

Transactions not covered: If the Supporting Documents are not submitted or once the cumulative investment exceeds in a rolling 12 month period / financial year Rs 50,000, the Investor will be required to comply with the procedures relating to PAN/KYC norms as applicable to investments under other categories, failing which the application for investment will be rejected.

Read before enrolling for an SIP

- SIP facility is available for schemes covered in the KIM.
- First-time investors must use SIP Application Form and existing investors in the schemes of Sundaram Mutual must use SIP Enrollment/Renewal Form.
- SIP investment can be made on any stock market working day. An investor must choose specific

dates of the month/quarter by

- (i) Auto debit or (ii) Cheques facility
- SIP Application Form and SIP Renewal Form must be completed in English using block letters and submitted at offices of Sundaram Asset Management or Investors Service Centres of SBNPFS. Please do not submit SIP forms to collection banks.
- For the first installment a cheque must be issued. For second and subsequent installments, an investor can choose auto debit (recommended as it is efficient, easy, more secure and timely) or provide post dated cheques.
- SIP dates –
 - (i) 1, 7, 14, 20 or 25 of the month as SIP date for monthly option.
 - (ii) 1, 7, 14, 20 or 25 of the beginning month of each quarter as SIP date for quarterly option.
- Only one installment per month/quarter is allowed under one SIP registration.
- You can invest a fixed amount every week, month or quarter. Minimum investment amount: Rs.1,000/- for weekly, Rs.250/- for monthly SIP and Rs.750/- for quarterly SIP.
- The minimum number of cheques under monthly installment should be 20 and for quarterly installment should be 7 for SIP based on the minimum amount. For higher amounts the number of installments and cheques can be lower subject to investing at least Rs 5000 during the SIP period.
- The cheque should be drawn in favour of the fund name and crossed "a/c payee only". It should be made payable at the location of the branch of Sundaram Asset Management or Investors Service Centre of SBNPFS. On receipt of the post-dated cheques the Registrar and Share Transfer Agent - SBNPFS - will send a letter to the unit holder confirming that his or her name has been enrolled for the SIP.
- An investor must submit only one cheque for each month/quarter for the SIP period. All cheques must be for the same amount and carry the same date that is selected by the investor.
- If an investor opts for SIP through post dated cheques, all cheques must be for the SIP date that has been chosen. The cheque will be presented on the same or the next working day and units will be allotted at the applicable NAV.
- Units will be allotted on the above applicable dates. In case the date is a Non-Business Day, the immediate next Business Day will be considered for the purpose of determining the applicability of NAV.
- A consolidated account statement (CAS)* for each calendar month to the Unit holder(s) in whose folio(s) transaction** (s) has/have taken place during the month shall be sent on or before 10th of the succeeding month by mail/e-mail.
- *Consolidated Account Statement (CAS) shall contain details relating to all the transactions** carried out by the investor across all schemes of all mutual funds during the month and holding at the end of the month including transaction charges paid to the distributor.
- **The word 'transaction' shall include purchase, redemption, switch, dividend payout, dividend reinvestment, systematic investment plan, systematic withdrawal plan, systematic transfer plan and bonus transactions.
- In case of a specific request received from the Unit holders, the AMC/Mutual Fund will provide the account statement to the investors within 5 Business Days from the receipt of such request. For the purpose of sending CAS, common investors across mutual funds shall be identified by their Permanent Account Number (PAN). The CAS shall not be received by the Unit holders for the folio(s) not updated with PAN details. The Unit holders are therefore requested to ensure that the folio(s) are updated with their PAN.
- Investors are requested to note that the existing practice of sending of Statement of Account to the unitholders will continue until the date of sending Consolidated Account Statement is finalized by all the AMCs.
- Investors should, as far as possible, opt to receive account statement by e-mail to make a contribution to the environment.
- If two consecutive post-dated cheques are returned unpaid by the bank, the SIP will be terminated and the balance cheque(s) if any, will be returned.
- Investor will have the right to discontinue the SIP facility at any time by sending a written request to offices of Sundaram Asset Management or Investors Service Centres of R&T. This request notice should be received at least 21 days prior to the due date of the next payment. On receipt of such request, the SIP facility will be terminated and the unused post dated cheque(s) will be returned to the investor. If the investor has opted for the auto debit facility, the instructions for this purpose would also be deactivated.
- Investors can opt for the facility of 'full further notice' for SIP through ECS/Direct Debit by ticking the appropriate box in 'Application Form' and 'SIP Enrollment and Auto Debit form'. The date

may be taken as 31/12/2031 in case the bank needs to input a specific date in their system. Investor will have the right to discontinue the SIP facility at any time by sending a written request to offices of Sundaram Asset Management or Customer Care Centres of R&T. This request notice should be received at least 21 days prior to the due date of the next payment. On receipt of such request, the instructions for the auto debit facility would also be deactivated.

SIP Auto Debit facility: Terms & Conditions

- This facility is offered using RBI's Electronic Clearing Service (ECS). By opting for this facility, you agree to abide by the terms and conditions of the ECS facility of Reserve Bank of India available at www.rbi.gov.in and www.sundarammutual.com.
- To avail this facility you must submit SIP Auto Debit form with a cancelled cheque. You must also indicate 9-digit MICR number available in your cheque leaf.

9 digit MICR No. as appearing in the cheque



- SIP Auto Debit Form along with first cheque should be submitted to offices of Sundaram Asset Management or Investors Service Centres of R&T.
- The first cheque should preferably be drawn on the same bank account that is to be registered for ECS (Debit Clearing). If the cheque is drawn on any other bank, an investor must provide a photocopy of the cheque of the bank / branch for which ECS (Debit Clearing) is to be registered. Investors need not submit the First Cheque for SIP enrollment if:
 - The SIP Auto Debit Facility Enrollment Form is attested by the Bank from which SIP installment will be debited or
 - Copy of the cancelled cheque or photocopy of the cheque of bank account from which the SIP installment will be debited is attached to the form.
- There shall be a gap of at least 30 days between the dates of the initial investment and the first SIP auto-debit installment for a monthly SIP. This gap must at least 90 days for a quarterly SIP.
- The following documents may be submitted at least 40 days before the first SIP date:

New Investors	Existing Investors
SIP Application Form	SIP Enrollment/Renewal Form
SIP Auto Debit Facility Form	SIP Auto Debit Facility Form
First SIP Cheque	First SIP Cheque

- Your Bank Branch through which you want your SIP Auto Debit to take place should participate in local MICR Clearing.
- If investor mentioned the At Par MICR number for ECS i.e. MICR starting with 000 or ending 000, investor should mention the branch name and city name of bank particulars column.
- In case your bank decides to cross-verify the ECS auto-debit mandate with you as the bank's customer, you will have to complete the process.
- An investor who opts for this facility will receive an acknowledgement of registration for Auto Debit.
- The amount of the first cheque need not correspond to the value indicated for each SIP installment using Auto Debit facility. The SIP installments will be for the same amount.
- Auto Debit of the SIP amount will usually be processed on the date chosen by you or the next working day. SIP is available only on select dates of a month: 1, 7, 14, 20 and 25.
- Auto Debit of SIP will start after 30 days from the date of SIP Application.
- Three consecutive Auto Debit failures/rejections will lead to closure of the SIP.
- Sundaram Mutual Fund, its Investment Manager, Registrar and other service providers will not be liable:
 - For any transaction failures due to the refusal of the bank to register the SIP mandate or rejection of the transaction by your bank / branch.
 - If the transaction is delayed or not effected or your bank account is debited in advance or after the specific SIP date due to various clearing cycles of ECS.
 - For any damages / compensation for any loss/damage, to name few, incurred by you as a result of use of this facility by you.
- Sundaram Mutual Fund holds the right to reject application forms with incomplete information regarding SIP preferences. Such applications along with cheques will be returned to the investor with a communication.
- Cities in which ECS facility is available may be modified / updated / changed / removed entirely at the discretion of Sundaram Mutual Fund without assigning any reasons or prior notice.

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Sundaram Mutual Fund