




|                              |                  |                   |      |
|------------------------------|------------------|-------------------|------|
| Distributor's ARN/ RIA Code# | Sub-Broker's ARN | Sub-Broker's Code | EUIN |
| <b>ARN-118251</b>            |                  |                   |      |

\*By mentioning RIA code, I/We authorize you to share with the Investment Adviser the details of my/our transactions in the scheme(s) of Kotak Mahindra Mutual Fund. Declaration for "Execution-only" transactions (only where EUIN box is left blank)

"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."

|              |   |  |   |
|--------------|---|--|---|
| SIGNATURE(S) |  Sole/Frist Applicant |  Second Applicant |  Third Applicant |
|              | To be signed by <b>All Applicants</b> if mode of operation is "Joint"                                 |  |   |

Upfront commission shall be paid directly by the investor to the AMFI registered distributors based on the investor's assessment of various factors including the service rendered by the distributor.

## Investor's Information

|   |  |                   |
|---|--|-------------------|
| <b>Folio No.</b><br><i>(For Existing Investors)</i> | <b>Application No.</b><br><i>(For New Investors, Please attach the application form)</i> |                   |
| Sole/ First Applicant                               | Second Applicant   | Third Applicant   |
| Name of Applicant                                   | Name of Applicant  | Name of Applicant |
| PAN   | PAN  | PAN               |
| E-mail  | E-mail   | E-mail            |

I would like to opt for  **Systematic Transfer Plan**  **Systematic Withdrawal Plan**

## Systematic Transfer Plan




|   |  |
|---|--|
| <b>From</b>   | <input type="checkbox"/> Growth  |
| <b>Scheme</b> _____ <b>Plan</b> _____ <b>Option</b> (Please ✓)  | <input type="checkbox"/> Dividend <input checked="" type="checkbox"/> Payout OR <input type="checkbox"/> Re-investment |
|   | Dividend Frequency _____   |
| <b>To</b>   | <input type="checkbox"/> Growth  |
| <b>Scheme</b> _____ <b>Plan</b> _____ <b>Option</b> (Please ✓)  | <input type="checkbox"/> Dividend <input checked="" type="checkbox"/> Payout OR <input type="checkbox"/> Re-investment |
|   | Dividend Frequency _____   |
| <b>Transfer Option</b> (Please ✓) <input type="checkbox"/> Fixed Sum OR <input type="checkbox"/> Entire Appreciation                | Min. Rs. 1000/-  |
| <b>Frequency</b> (Please ✓) <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="text" value="Specify Day"/> | No. of Installments <input type="text" value=""/>  |
| <input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="text" value="Specify Date"/>                       | Transfer Period From <input type="text" value="mm/yyyy"/>  |
| (Please mention any date of the month)  | Transfer Period To <input type="text" value="mm/yyyy"/> OR <input type="checkbox"/> Till further instruction           |

## Systematic Withdrawal Plan


|  |  |
|--|--|
| <b>From</b>  | <input type="checkbox"/> Growth  |
| <b>Scheme</b> _____ <b>Plan</b> _____ <b>Option</b> (Please ✓)   | <input type="checkbox"/> Dividend <input checked="" type="checkbox"/> Payout OR <input type="checkbox"/> Re-investment |
|  | Dividend Frequency _____   |
| <b>Withdrawal Option</b> (Please ✓) <input type="checkbox"/> Fixed Sum OR <input type="checkbox"/> Entire Appreciation   | Min. Rs. 1000/-  |
| <b>Frequency</b> (Please ✓) <input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly  | Commencement Date <input type="text" value="dd/mm/yy"/> To <input type="text" value="mm/yyyy"/>                        |
| <b>Date</b> <input type="radio"/> 1 <sup>st</sup> <input type="radio"/> 7 <sup>th</sup> <input type="radio"/> 14 <sup>th</sup> <input type="radio"/> 21 <sup>st</sup> <input type="radio"/> 25 <sup>th</sup> | No. of Installments _____  |

## Declaration and Signatures

I/We have read and understood the contents of the SID/SAI of the above referred Scheme(s) of Kotak Mahindra Mutual Fund. I/We hereby apply for allotment / purchase of Units in the Scheme(s) indicated as above and agree to abide by the terms and conditions applicable there to. I/We hereby declare that I/We authorized to make this investment in the above mentioned Scheme(s) and that the amount invested in the Scheme(s) is through legitimate sources only and is not designed for the purpose of any contravention or evasion of any Act, Rules, Regulations, Notifications or Directions of the provisions of Income Tax Act, Anti Money Laundering Act, Anti Corruption Act or any other applicable laws enacted by the Government of India from time to time. I/We hereby authorize Kotak Mahindra Mutual Fund, its Investment Manager and its agents to disclose details of my investment to my / our Investment Advisor and / or banks. I/We have neither received nor been induced by any rebate or gifts, directly, in making this investment.

|              |   |  |   |
|--------------|---|--|---|
| SIGNATURE(S) |  Sole/Frist Applicant |  Second Applicant |  Third Applicant |
|              | To be signed by <b>All Applicants</b> if mode of operation is "Joint"                                   |  |   |

## Acknowledgement Slip (To be filled by Applicant)

|   |   |   |  |
|---|---|---|--|
|  | Please retain this Acknowledgement Slip for future reference          | DATE: <input type="text" value="D"/> <input type="text" value="D"/> <input type="text" value="M"/> <input type="text" value="M"/> <input type="text" value="Y"/> <input type="text" value="Y"/> <input type="text" value="Y"/> <input type="text" value="Y"/> | Official Acceptance Point Stamp & Sign |
|   | Received from (Investor's Name) _____                                 |   |  |
|   | Folio Number _____  |   |  |
|   | Request for <input type="checkbox"/> STP <input type="checkbox"/> SWP |   |  |

## Systematic Transfers / Withdrawals - Snapshot

|  | Systematic Transfers  |                     | Systematic Withdrawals  |
|--|---|---------------------|---|
| <b>Schemes where STP / SWP are allowed</b> | All Open-Ended Schemes of Kotak Mahindra Mutual Fund, except Exchange Traded Funds. In case of Kotak Tax Saver Scheme, STP will be available for free units only. |                     | All Open-Ended Schemes of Kotak Mahindra Mutual Fund, except Exchange Traded Funds. In case of Kotak Tax Saver Scheme, SWP will be available for free units only. |
| <b>Frequency</b>                           | Daily / Weekly  | Monthly / Quarterly | Monthly / Quarterly   |
| <b>Choice of Day / Date</b>                | Any Business Day  | Any Business Date   | 1 <sup>st</sup> , 7 <sup>th</sup> , 14 <sup>th</sup> , 21 <sup>th</sup> & 25 <sup>th</sup>  |
| <b>Minimum Transfers / Withdrawals</b>     | 6 (in case of Daily, it would be 12)  |                     | 6   |

## Instructions &amp; Information

- Please refer the Key Information Memorandum and Scheme Information Document of the respective Scheme(s) and Statement of Additional Information for Applicable NAV, Risk Factors, Load Structure and other information on the Scheme(s).
- KYC is mandatory irrespective of STP amount. In case of minor applicants, the Guardian needs to be KYC Compliant.
- STP/SWP registration needs to be submitted to the Registrar/ AMC 7 days prior to the date of commencement of STP. In case the STP/SWP commencement date is less than 7 days from the date of submission of registration form and the date opted for, then the same would be registered for the next cycle. The AMC reserves the right to process the STP registration request received for a period lesser than 7 days in the interest of unit holders.
- STP frequency available are Daily, Weekly, Monthly and Quarterly.
- Daily STP is only available under Fixed amount Option (Fixed STP) and will not be applicable under Capital appreciation STP (Variable STP).
- In case the Investor fails to mention the frequency for the STP option in the form, then the default option will be considered as monthly frequency.
- Minimum Amount:
  - Minimum Instalment amount to be transferred through this facility should be at least Rs. 6,000 per year or that which matches the minimum investment amount of the said schemes whichever is higher for the said year.
  - Minimum amount to transfer under Daily STP: Minimum 12 transfers of Rs. 500/- each and in multiples of Rs. 100/- thereafter.
  - Default amount: If investor fails to mention the STP Amount then the default value should be taken as Rs. 500 (minimum transfer amount).
- STP will be discontinued in case the transfer is not effected due to insufficient balance in the source scheme.
- If the plan/option of the Source scheme is not mentioned and there is only one plan/option available in the folio, the STP will be processed from that plan/option.
- If investor carries investments under multiple schemes / plans / options and does not mention the Source Scheme along with plans and options, then such request will be rejected.
- In case Plan/ Option in Target Scheme for STP is not selected by the investor, then the default option/ plan for the Target scheme shall be considered as per Scheme Information Document (SID).
- Investor need to clearly mention the "Transfer Period from" and "Transfer Period To" in the STP request Form. In case, the investor fails to specify the "Transfer Period from" the STP will start from the 7th day from the date of receipt of valid registration form.
- In case, the investor fails to specify the "Transfer Period To" under Daily STP, STP shall continue to be triggered perpetually until further valid instructions from the investor or until the outstanding balance in "Source scheme" does not cover the Daily STP transfer amount.
- If the available balance falls below the minimum amount of the specified triggered value, the available balance in the Source scheme will get triggered and future STP will be ceased.
- STP registration from the existing investment (in the Source Scheme) will start from the 7th day from the date of receipt of valid registration form. If the STP form is received along with fresh investment, then the STP will start from the 7th day from the date of realisation of the investment amount with the valid registration form.
- In case the specified date is a non-business day for either the Source Scheme or the Target Scheme, the STP will be processed on the following business day for both the schemes. When the value of STP is more than Rs. 2 lakhs or the Target scheme is a liquid fund then the allotment in the Target scheme will be processed based on the utilisation/ realisation of funds from Source scheme (for more details refer NAV applicability clause for respective Target scheme).
- In case the STP commencement date is less than 7 days from the date of submission of registration form and the date opted for, then the same would be registered for the next cycle. The AMC reserves the right to process the STP registration request received for a period lesser than 7 days in the interest of unit holders.
- A STP/SWP registration confirmation message shall be sent by way of an email and/or letter to the Unit holders registered e-mail address and/or postal address.
- Confirmation for subsequent systematic transactions will be sent via a consolidated account statement (CAS) for each calendar month on or before 10th of the succeeding month, by email (wherever investor has provided email id) or physical account statement where investor has not provided email id., across the schemes of the mutual funds, to all the investors in whose folio(s) transaction(s) has/have taken place during the month.
- An investor can discontinue his STP/ SWP facility by giving 7 days prior notice in writing to the Registrars (CAMS) office or at any other point of service or at Kotak Mahindra Mutual Fund Offices.
- All other features of STP as stated in the SID of respective schemes remain unchanged.
- Incorrect, incomplete, ambiguous forms will be liable to be rejected.
- Employee Unique Identification Number (EUIIN): SEBI has made it compulsory for every employee/relationship manager/ sales person of the distributor of mutual fund products to quote the EUIIN obtained by him/her from AMFI in the Application Form. EUIIN would assist in addressing any instance of mis-selling even if the employee/relationship manager/sales person later leaves the employment of the distributor. Hence, if your investments are routed through a distributor please ensure that the EUIIN is correctly filled up in the Application Form. However, if your distributor has not given you any advice pertaining to the investment, the EUIIN box may be left blank. In this case you are required to provide the declaration to this effect as given in the form.

## Checklist

Please ensure that:

- > Your Name, Folio No. / Application No. is mentioned.
- > The Form is complete in all respects & signed by all Applicants / Unitholders.
- > Scheme (Plan) - Option in / from which you wish to do your systematic withdrawal / transfer is clearly indicated in the Systematic Transfer / Withdrawal Form.
- > KYC letter is attached.

## Systematic Transfer Plan

- > Scheme / Plan / Option from and to which you wish to transfer (switch) your investment is clearly indicated.
- > Your choice of Fixed Sum Transfer or Entire Appreciation Transfer is indicated clearly. If you have chosen transfer of a Fixed Sum, your transfer request is for an amount not below Rs. 1000/-.
- > Your preferred STP Day/ Date, Frequency [Daily or Weekly (Monday to Friday), Monthly or Quarterly (1st to 30th/31st)] and period is clearly indicated.

## Systematic Withdrawal Plan

- > Your choice of Withdrawal either Fixed Sum or Entire Appreciation is indicated clearly. If you have opted for Withdrawal of a Fixed Sum, your withdrawal amount should not be below Rs. 1000/-.
- > Your preferred SWP Date, Frequency (Monthly or Quarterly) and period is clearly indicated.

## CAMS Investor Service Centers

**Ahmedabad:** 111-113, 1st Floor, Devpath Building, Off C G Road, Behind Lal Bungalow, Ellis Bridge, Ahmedabad - 380006. **Bangalore:** Trade Centre, 1st Floor, 45, Dikensen Road, ( Next to Manipal Centre), Bangalore - 560042. **Bhubaneswar:** 3rd Floor, Plot No - 111, Varaha Complex Building, Station Square, Kharvel Nagar, Unit 3, Bhubaneswar - 751001. **Chandigarh:** Deepak Tower, SCO 154-155, 1st Floor, Sector 17-C, Chandigarh - 160017. **Chennai:** Ground Floor No.178/10, Kodambakkam High Road, Opp. Hotel Palmgrove, Nungambakkam, Chennai - 600034. **Cochin:** 1st Floor, K C Centre, Door No. 42/227-B, Chittoor Road, Opp. North Town Police Station, Kacheripadym, Cochin - 682018. **Coimbatore:** No 1334; Thadagam Road, Thirumoorthy Layout, R.S. Puram, Behind Venkateswara Bakery, Coimbatore - 641002. **Durgapur:** Plot No.3601, Nazrul Sarani, City Centre, Durgapur - 713216. **Goa:** Lawande Shamalkar Bhavan, 1st Floor, Office No.2, Next to Mahalakshmi Temple, Panaji, Goa - 403001. **Hyderabad:** 208, 2nd Floor, Jade Arcade, Paradise Circle, Secunderabad - 500003. **Indore:** 101, Shalimar Corporate Centre, 8-B, South tukogunj, Opp. Greenpark, Indore - 452001. **Jaipur:** R-7, Yudhisthir Marg ,C-Scheme, Behind Ashok Nagar Police Station, 63/ 2, The Mall, Jaipur - 302001. **Kanpur:** 1st Floor, 106 to 108, City Centre, Phase II, 63/2, The Mall, Kanpur - 208001. **Kolkata:** Saket Building, 44 Park Street, 2nd Floor, Kolkata - 700016. **Lucknow:** Off No 4, 1st Floor, Centre Court Building, 3/c, 5 - Park Road, Hazratganj, Lucknow - 226001. **Ludhiana:** U/ GF, Prince Market, Green Field, Near Traffic Lights, Sarabha Nagar Pulli, Pakhowal Road, Ludhiana - 141002. **Madurai:** 1st Floor, 278, North Perumal Maistry Street (Nadar Lane), Madurai - 625 001. **Mangalore:** No. G 4 & G 5, Inland Monarch, Opp. Karnataka Bank, Kadri Main Road, Kadri, Mangalore - 575003. **Mumbai:** Rajabahdur Compound, Ground Floor, Opp Allahabad Bank, Behind ICICI Bank, 30, Mumbai Samachar Marg, Fort, Mumbai - 400023. **Nagpur:** 145 Lendra, New Ramdaspath, Nagpur - 440010. **New Delhi:** 7-E, 4th Floor, Deen Dayaal Research Institute Building, Swami Ram Tirath Nagar, Near Videocon Tower, Jhandewalan Extension, New Delhi - 110055. **Patna:** G-3, Ground Floor, Om Vihar Complex, SP Verma Road, Patna - 800001. **Pune:** Nirmiti Eminence, Off No. 6, 1st Floor, Opp Abhishek Hotel Mehandale Garage Road, Erandawane, Pune - 411004. **Surat:** Plot No.629, 2nd Floor, Office No.2-C/2-D, Mansukhlal Tower, Beside Seventh Day Hospital, Opp.Dhiraj Sons, Athwalines, Surat - 395001. **Vadodara:** 103 Aries Complex, BPC Road, Off R.C. Dutt Road, Alkapuri, Vadodara - 390007. **Vijayawada:** 40-1-68, Rao & Ratnam Complex, Near Chennupati Petrol Pump, M.G Road, Labbipet, Vijayawada - 520010. **Visakhapatnam:** Door No 48-3-2, Flat No 2, 1st Floor, Siddhi Plaza, Near Visakha Library, Srinagar, Visakhapatnam- 530 016.

Computer Age Management Services Pvt. Ltd. New No. 10, Old No. 178, MGR Salai, Nungambakkam, Chennai 600034



assetmanagement.kotak.com



1800-222-626 or (022) 6115 2100



mutual@kotak.com