# Application Form: Systematic Transfer Plan (STP), Systematic Withdrawal Plan (SWP)

Investor must read the instructions section before completing this form. First time investors need to submit this form along with the main application form



	Distributor Name & Broker Sub Broke Code / ARN / RIA Code ARN Code				EUIN*	Internal Code for AMC		ISC Date Time Stamp, Sign, Reference No.			
*EUIN Declaration: Declaration for "Execution Only" Transaction (where Employee Unique Identification Number-EUIN* box is left blank). Please refer instruction 12 of KIM for complete details on EUIN. 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. RIA Declaration: "I/We hereby give you my/our consent to share/prov the transactions data feed/portfolio holdings/ NAV etc. in respect of my/our investments under Direct Plan of all Schemes managed by you, to the above mentioned SEBI-Registered Investment Adviser/ RI											
Signature of 1st Applicant/Guardian/ Authorised Signatory/PoA/Karta			Signature of 2nd Applicant/Guardian/ Authorised Signatory/PoA			Signature of 3rd Applicant/Guardian/ Authorised Signatory/PoA					
1. 🖻	KISTING UNIT HOLDER INFORMA	TION (The detai	ls in our red	cords under the folio nu	mber mentioned will	apply	for this appli	cation.)			
Folio N	o.:			CKYC Identificat	tion No. (KIN)						
Name o	of 1⁵t Unit Holder:										
	YSTEMATIC TRANSFER PLAN (S	TP) (For instruct	tions please								
From	Scheme					Payout Div frequency*					
To Scł	neme					Payout Reinvestmen	Payout Div frequency*				
Dividend frequency is applicable only for Mirae Asset Cash Management Fund & Mirae Asset Savings Fund. Default option will be daily frequency if not selected any dividend frequency.											
Please (✓) STP Frequency from the below options (Please refer over leaf Instruction point no.:3) Please use multiple forms for multiple dates.         □ Daily (Monday to Friday)       □ Weekly (Every Wednesday)       □ Fortnightly (Alternate Wednesday)       □ Monthly (Default)       □ Quarterly											
For Dail	y, Weekly, Fortnightly, Monthly & Qua	rterly option minim	um 5 transfe	rs of ₹ 1000 each.							
Please	(✔) STP date:	1 <sup>st</sup>		☐ 10 <sup>th</sup> (Default)	☐ 15	5 <sup>th</sup>		21 <sup>st</sup>		28 <sup>th</sup>	
Amount per transfer (₹ In Figures): STP Start Date from: D D M M Y Y Y To: D D M M Y Y										ммүүүү	
	YSTEMATIC WITHDRAWAL PLAN	l (SWP) (For ins	tructions pl	ease refer the next page	2)	1					
Scheme			□ Regular Plan □ Direct Plan				Growth SWP is allowed only under Growth option				
_	(✓) SWP Frequency from the opt hly (Default) □ Quar		_		e date of submission) annually	Minimu	um 5 transacti	on and ₹ 100	0 each and	above	
Start Date from: D D M M Y Y Y Y To: D D M M Y Y Y Y Fixed Withdrawal Amount Per installment ₹:											
Withdr	awal Date: Please (✔)	1 <sup>st</sup>		☐ 10 <sup>th</sup> (Default)	<u> </u>	5 <sup>th</sup>		21 <sup>st</sup>		28 <sup>th</sup>	
4. DECLARATION AND SIGNATURES / THUMB IMPRESSION OF APPLICANT(s) [Refer Instructions 2(f) of KIM] To The Trustees, Mirae Asset Mutual Fund (The Fund) – (A) Having read and understood the contents of the SID/SAIKIM of the Scheme applied for (Including the scheme(s) available during the New Fund Offer period); IWe hereby apply for units of the said such scheme and agree to abide by the terms, conditions rules and regulations governing the scheme. (B) IWe hereby declare that the amount invested in the scheme is brown by the Government of India form time to time. (C) Spanture of the nomine acAnovelaging receipts of mylour credit will constitue and scores only and does not involve and is not designed for the purpose of the contravention of any provisions of the Income Tax Act, MI Money Laundering Laws or any other applicable to the Source and UIP the ainformation giver in invit this application from is the and Correct and further agrees to furnish additiona information sought by Mirae Asset Investment Managers (India) Private Limited* (ARC) Fund and undertake to update the information dictabilities of Mirae Asset Mutual Fund. (D) The information giver in invitor the subtraction of mylour transactions. (E) IWe further doctare that TThe ARTN holder has disclosed to medius and the ommissions (in the form of rail commission or any other mode), payable to init for the investment. (J) Applicable to Investore savaling the online facility. We have not been offered communicated any indicability will all and the registrar on threagenes that MIC Fund/Registrars and Transet Agent (RTA) from time to time. (J) We hareby occel and the set applicable to investore the AMC (Fund/Registrars and Transet/Agent (RTA) from time to time. (J) We hareby accel to the scheme as presende to any indicable investore that AMC (Fund/Registrars and Transet/Agent (RTA) from time to time. (J) We hareby accel the the set of this investment. (J) Applicable to investore that the AMC (Fund/Registrars and Transet/Agent (RTA) from tinto the AMC (F											
Signature of 1st Applicant/Guardian/ Authorised Signatory/PoA/Karta			Signature of 2nd Applicant/Guardian/ Authorised Signatory/PoA				Signature of 3rd Applicant/Guardian/ Authorised Signatory/PoA				
SLIP	Received Application from		Folio No.:					as per details below:			
GEMENT SLIP	Scheme Name and	Details			Date &	Stamp of C	ollection	Centre / ISC			
DGEI			SWP Amount (₹)								

STP Amount (₹)

ACKNOWLE

Please Read All Instructions as given in KIM, to help you complete the Application Form Correctly

Cheque / DD is subject to realisation



#### Α. **INSTRUCTIONS - COMMON TO SWP / STF**

- New investors who wish to enrol for SWP / STP should fill the form in addition to the Common Application Form. Please complete all details in the Common Application Form. Details of SWP / STP should be provided on this form. Existing investors need to fill up this form only.
- For multiple transactions under more than 1 scheme, separate form should be used
- STP / SWP the form should be submitted at least 5 days (inclusive of the date of submission before Cut-off however, excluding Saturday, Sunday and other non-business day) before the 3 commencement date.
- a) The installment start date shall not be later than 100 calender days from the date of application submission date
- The investor has the right to discontinue SWP / STP at any time he/she so desires by sending cancellation form at least 7 business days in advance of the immediate next due date to any of the offices of Mirae Asset Mutual Fund or its Authorised Collection Centres. On receipt of such request the SWP / STP will be terminated and in case of SIP balance post-dated cheques will be returned to the investor.
- Units will be Allotted / Redeemed / Transferred at the NAV related prices of the 1st, 10th, 15th, 21st, 28th of every month (or next business day, if 1st and/or 10th and/or 15th and/or 21st and/or 5 28th is a non business day). In case of Post Dated Cheques submitted for any dates, other than the dates offered, immediate next offered date would be considered as the SIP date(s). An updated account statement will be sent after each transaction under the Special Products, wherever, email address has been provided, the account statements will be sent through email only. Other investors will be sent on a quarterly basis.

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

#### **Options available and Minimum Amount :**

- Investors can withdraw fixed amount of Rs. 1,000/- each and above, only under the Growth option of the scheme under which SWP is allowed
- SWP is not available for investments under lock-in period and for investments which are pledged. 2.
- SWP can be made through Fixed withdrawals only. 3.
- The SWP will be registered at the requested frequency after 5 days (inclusive of the date of submission before Cut-off however, excluding Saturday, Sunday and other non- business day). 4.
- SWP payment will be made in the bank account registered under the folio. 5.
- 6 In case of Fixed Withdrawal, if the amount of installment is more than the amount available in that account for redemption, the entire available amount will be redeemed and the SWP will be terminated.
- 7 Investors can withdraw fixed amount on 1st, 10th, 15th, 21st and 28th under the 4 frequencies which is Monthly, Quarterly, Semi Annually and Annually.
- SWP shall be registered for a default of 5 installments across each frequency for a minimum of Rs.1000 or above Default frequency will be Monthly and 10th of each month in case of option selected or any ambiguity in selection of frequency or date. 9
- 10. Applicable Exit Load under SWP, which will be on First In First Out Basis (FIFO):

a) SWP for 15% of the units allotted (including Switch-in/STP - in) on or before completion of 365 days from the date of allotment of units: Exit Load Nil. Not eligible for Mirae Asset Focused Fund.

b) Any redemption by virtue of SWP in excess of such above limits in the first 365 days from the date of allotment, Exit Load of 1% shall apply. There shall be NIL Exit Load, for the units that are redeemed after 1 year (365 days) from the date of allotment.

11. If there are 3 Consecutive failures on account of SWP execution, by virtue of insufficient balance in the Scheme opted for the designated frequency/date, SWP shall be automatically ceased/ terminated for all future installments.

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

- 1. Transfer fixed sums from their Unit accounts in the Scheme to the existing schemes or other schemes launched by the Mirea Asset Mutual Fund from time to time.
- 2. Minimum Amount: A] Daily - Monday to Friday: 5 transfers of ₹ 1,000/- each and above.
- Weekly Every Wednesday / Fortnightly Every Alternate Wednesday Monthly Plan: Minimum 5 transfers of ₹ 1,000/- each and above. B1
- Quarterly Plan: Minimum 5 transfers of ₹ 1,000/- each and above. Cl
- D] For STPs under Mirae Asset Tax Saver Fund (MATS) minimum amount of STP shall be of ₹ 500/- and in multiples of ₹ 500/- thereafter. Each STP Installment 'OUT' of Mirae Asset Tax Saver Fund shall be subject to lock in period of 3 years from the date of allotment of Units proposed to be redeemed. In the interest of investors, it is hereby clarified that where the switch request has been made from one scheme to another specifying the number of Units or Amount (during NFO as well as ongoing), the request will be processed for the corresponding value of such units or amount and that the allotment in the resultant scheme may be done in fractional units, subject to fulfillment of the minimum purchase amount of the scheme where it is being switched. STP is not available for investments under lock-in period.
- In case of insufficient balance, the transfer will not be effected. In case of absence /ambiguity in selection of frequency, default will be monthly for 10 of each month,
- 5.
- Transfer Dates/ Days: Daily Monday to Friday, Weekly Every Wednesday, Fortnightly Every Alternate Wednesday Monthly Plan: Transfers can be on 1st, 10th, 15th, 21st, 28th of each month for minimum 5 transfers.
- Quarterly Systematic Transfer Plan: Transfers can be on 1st, 10th, 15th, 21st, 28th of each quarter or minimum 5 quarters.
- Transactions will be triggered after 5 days (inclusive of the date of submission before Cut-off however, excluding Saturday, Sunday and other non-business day). In case of any ambiguity in 6 selection transfer frequency or start date, the STP date will be 10th of the month / quarter, and STP will start from the immediate available applicable day for the respective frequency option after the expiry of Said Period. Further, if there is a discrepancy in terms of Transfer Period, STP will continue as long as there is suffcient balance under the OUT scheme.
- At every installment, the system will check for the Balance amount in the Transferor Scheme with "STP Amount": 1. If "Balance Amount in the Transferor Scheme" is more than or equal to "2 x STP Amount", then only the STP amount will be transferred and the balance amount will continue to remain in the Scheme
  - 2. If "Balance Amount in the Transferor Scheme" is less than "2 x STP Amount", the entire Balance Amount in the Transferor Scheme (OUT Scheme) will be switched out in to the Transferee Scheme (IN Scheme).

Further, if there are 3 consecutive failures on account of STP execution from the Transferor Scheme (OUT Scheme), on the designated frequency, STP shall be ceased / terminated for all future installments. The provision relating to "Minimum Redemption Amount" of the designated Transferor Scheme(s) and "Minimum Application Amount" of the designated Transferee Scheme(s) shall not be applicable for such STP executions on a residual note.

Example: If an investor having investment of ₹ 15,000 in Mirae Asset Cash Management Fund (MACMF) starts monthly STP of ₹ 1,000 in Mirae Asset Emerging Bluechip Fund (MAIEF) • If at the time of STP installment, the Balance amount in the MACMF is more than or equal to ₹ 2,000 – only STP Amount of ₹ 1,000 will be transferred to MAIEF

- If at the time of STP installment, the Balance amount in the MACMF is less than ₹2,000 the entire balance amount in MACMF will be transferred to MAIEF.

## D. EUIN

Employee Unique Identification Number (EUIN): SEBI has made it compulsory for every employee / relationship manager / sales person of the distributor of mutual fund products to quote the EUIN obtained by him / her from AMFI in the Application Form. EUIN, particularly in advisory transaction, would assist in addressing any instance of mis-selling even if the employee / relationship manager/sales person later leaves the employment of the distributor. individual ARN holders including senior citizens distributing mutual fund products are also required to optain and quote EUIN in the Application Form. Hence, if your investments are routed through a distributor please ensure that the EUIN is correctly filled up in the Application Form. However, if your distributor has not given you any advice pertaining to the investment, the EUIN box may be left blank. In this case, you are required to tick mark the box provided above the signature box. However, in case of any exceptional cases where there is no interaction by the employee/ sales person/ relationship manager of the distributor/ sub broker with respect to the transaction, AMCs shall take the requisite declaration separately signed by the investor.