

Application Form for PE STP (FORM 1)

(For New Investors)



IDFC MUTUAL FUND

Distributor Code	Sub-Distributor Code	EUIN No.	Application No.
ARN-4464	ARN-	E032737	
EUIN Declaration	RIA Code		Internal Code for Sub-broker/ Employee
I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this is an "execution-only" transaction without any interaction or advice by the employee/relationship manager/sales person of the above distributor or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor and the distributor has not charged any advisory fees on this transaction.	First Holder		Second Holder
RIA Declaration	First Holder		Second Holder
I/We hereby give you my/our consent to share/provide 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/ RIA*	Third Holder		Third Holder

TRANSACTION CHARGES (Please ✓ any one of the below) (Refer Instruction No. R)

☐ I am a first time investor in mutual funds (₹ 150 will be deducted) OR ☐ I am an existing investor in mutual funds (₹ 100 will be deducted)

Applicable for transactions routed through a distributor who has 'opted in' for transaction charges.

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

1. INVESTOR DETAILS (Please refer to the Instruction No. A, C, D, Q, Z2)

☒ FIRST HOLDER DETAILS (please ✓) ☐ Individual ☐ Non Individual (Please refer instruction D for UBO) *Date of Birth (*Mandatory for Minor) DD MM YY

PAN/PERN (Mandatory) PAN/PERN Proof enclosed KYC Compliant KIN KYC Identification Number

Name

Correspondence Address

City State Pin Code

Overseas Address for NRIs / PIOs / FIIs (Mandatory)

City Country Zip Code

You must fill in Mobile No. Email ID

Status of First / Sole Applicant ☐ Resident Individual (Indian National) ☐ NRI - Repatriable ☐ NRI - Non Repatriable ☐ PIO ☐ HUF

☐ Minor (through Guardian) ☐ FII / Sub-account ☐ Sole-proprietor ☐ Partnership Firm ☐ LLP ☐ Company (other than Bank/FI)

☐ Bank ☐ Financial Institution ☐ Other Body Corporate ☐ Government Body ☐ Charitable / Religious / Non-profit organisation

☐ Educational Institution ☐ Mutual Fund ☐ PF Trust ☐ Gratuity Fund ☐ NPS Trust ☐ Pension / Retirement / Superannuation Fund

☐ Private Trust ☐ Co-op. Society ☐ Society / AOP/ BOI ☐ Other [Please specify]

Note : • For Individual investor: Please attach the mandatory Form for Additional KYC, FATCA & CRS Annexure for Individual Accounts - Form 1A.

• For Non-individual investor: Please attach the mandatory Details of Ultimate Beneficial Owner including additional FATCA & CRS information - Form 1B.

☒ SECOND Holder Details PAN/PERN (Mandatory) KYC Compliant KIN KYC Identification Number

Name DOB DD MM YY

☒ Third Holder Details PAN/PERN (Mandatory) KYC Compliant KIN KYC Identification Number

Name DOB DD MM YY

☒ Guardian/POA/Proprietor PAN/PERN (Mandatory) KYC Compliant KIN KYC Identification Number

Name DOB DD MM YY

Mode Of Holding / Operation ☐ Single ☐ Anyone or Survivor ☐ Joint ☐ As per resolution (Default option is anyone or survivor)

2. NOMINATION DETAILS Individuals (single or joint applicants) are advised to avail Nomination facility.

☐ I/We wish to nominate.

☐ I/We DO NOT wish to nominate and sign here 1st Applicant signature (mandatory)

Witness Name Signature

Nominee Name & Address In case of Minor Allocation % Relationship with Investor Nominee/ Guardian sign

Guardian Name & Address Date of birth

Nominee 1 DD MM YY YY YY

Nominee 2 DD MM YY YY YY

Nominee 3 DD MM YY YY YY

3. All communications will be sent by default to the registered E-mail ID / Mobile No. In case you wish to receive physical communication please

☐

IDFC MUTUAL FUND - ACKNOWLEDGMENT SLIP (To be filled in by the investor.)

Received, subject to realisation, verification and conditions

Application No.

☐ Application for purchase of PE STP Units as mentioned in the application form ☐ FACTA / CRS / UBO Declaration, as applicable.

From

Instrument No. Dated Amount (Rs.) Scheme

Stamp & Signature

4. INVESTMENT & PAYMENT DETAILS (Please refer to the Instruction No. E, J, N, L)

Payment Type (please ✓): ☐ Self ☐ Third Party Payment (please fill the 'Third Party Payment Declaration Form')

SECTION - I

Source Scheme IDFC

☐ MMF-TP☐ Ultra-Short Term Fund☐ Cash Fund☐ Arbitrage Fund☐ Arbitrage Plus Fund

Plan

Option

☐ Growth☐ Div-Reinvest☐ Div-Payout☐ Div-Sweep*

Div Frequency

*Dividend Sweep Option to (Scheme & Plan Name) IDFC

☐ Growth☐ Div-Payout☐ Div-Reinvest

Dividend Sweep Option is available from all Debt Schemes to Equity and Equity to Debt Schemes of IDFC Mutual Fund. Please fill in all details of Sweep.

SECTION II

LUMP SUM PAYMENT DETAILS

Lumpsum Amount Rs.

Amount in figures

Amount in words

Payment Mode

☐ Cheque☐ DD☐ RTGS/NEFT☐ Funds Transfer

Instrument No.

Date

D

D

M

M

Y

Y

☐ CAMS OTM

CAMS OTM NO.

Account No.

Amount (₹) (i)

Bank Name

DD charges, (₹)(ii)

Branch & City

Total Amount (₹) (i) + (ii)

in figs

Account Type

☐ Current☐ Savings☐ NRO☐ NRE☐ FCNR

SECTION III

STP DETAILS (Refer Instruction x)

STP Installment amt (Rs.) (x)

Plan (please ✓)

☐ Default

☐ My Plan

My Plan investors - please specify the installment multiple for Yellow & Green Zones

Red Zone

1

x

Yellow Zone

2

x

Green Zone

5

x

Red Zone

1

x

Yellow Zone

x

Green Zone

x

Minimum STP installment amount in target scheme is Rs. 2,000/- for IDFC Premier Equity Fund / Rs. 500/- and in multiples of Rs. 500/- for Tax Advantage (ELSS) Fund / Rs. 100/- for Nifty Fund / Rs. 1,000/- for all other eligible schemes and any amount thereafter for all schemes except ELSS.

Target Scheme IDFC

☐ Premier Equity Fund☐ Sterling Equity Fund☐ Classic Equity Fund☐ Focused Equity Fund

☐ Equity Fund☐ Infrastructure Fund☐ Dynamic Equity Fund☐ Nifty Fund☐ Tax Advantage (ELSS)

Plan

Fund

Balanced Fund (Refer Instruction no. E (v) for Default Options).

Option

☐ Growth☐ Div-Reinvest☐ Div-Payout☐ Div-Sweep*

Div Frequency

*Dividend Sweep Option to (Scheme & Plan Name) IDFC

☐ Growth☐ Div-Payout☐ Div-Reinvest

Dividend Sweep Option is available from all Debt Schemes to Equity and Equity to Debt Schemes of IDFC Mutual Fund. Please fill in all details of Sweep.

SECTION IV

STP Frequency (Default STP Frequency is Monthly) (Refer instruction M)

☐ Weekly - Daywise (Every Monday)

☐ Weekly - Datewise (Date will be 7th/14th/21st/28th of the month)

☐ Fortnightly (Date will be 1st/16th of the month)

☐ Monthly

D

D

(Default STP date is 5th) (Any date except 29th, 30th and 31st of the month)

STP Enrollment Period (Default End Date is Dec., 2099)

From

M

M

Y

Y

Y

Y

To

M

M

Y

Y

Y

Y

5. BANK DETAILS (Mandatory) Redemption / Dividend / Refund payouts will be credited into this bank account in case it is in the current list of banks with whom IDFC MF has DC facility (Please refer to the Instruction No. I)

Name of the Bank																	Branch										
Account Number																	City										
Account Type	<input type="checkbox"/> Current		<input type="checkbox"/> Savings		<input type="checkbox"/> NRO		<input type="checkbox"/> NRE		<input type="checkbox"/> FCNR		<input type="checkbox"/> Others		(please specify)														
MICR Code											RTGS/NEFT Code																

Note : In case the registered bank mandate is different from that used to source the investment, please enclosed the a cheque copy.

I / We understand that the instructions to the bank for Direct Credit / NEFT will be given by the Mutual Fund, and such instructions will be adequate discharge of the Mutual Fund towards redemption / dividend / refund proceeds. In case the bank does not credit my / our bank account with / without assigning any reason thereof, or if the transaction is delayed or not effected at all or credited into the wrong account for reasons of incomplete or incorrect information, I / We would not hold IDFC Mutual Fund responsible. Further the Mutual Fund reserves the right to issue a demand draft / payable at par cheque in case it is not possible to make payment by DC/NEFT.

☛ If however the unit holders wish to receive a cheque (instead of a direct credit into their bank account) please tick the box alongside ☐

6. DECLARATION & SIGNATURES (Please refer to the Instruction No. K)

1. I/We have read and understood the terms and conditions of the scheme(s) and associated risk factors. Having read and understood the contents of the Statement of Additional Information (SAI) of IDFC Mutual Fund, Scheme Information Document (SID) and Key Information Memorandum (KIM) of the scheme(s) and the Addenda issued till date, I/we hereby apply for the units of the Scheme(s) and agree to abide by the terms, conditions, rules and regulations governing the Scheme(s). I/We hereby declare that the amount invested in the Scheme(s) 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 Taxation Laws, Anti Money Laundering Laws, Anti Corruption Laws or any other applicable laws as applicable to me/us from time to time. I/We confirm that the funds invested in the Scheme(s), legally belong to me / us and I / we have not received nor have been induced by any rebate or gifts, directly or indirectly in making this investment. I/We am/are eligible investor(s) as per the scheme related documents and am/are authorised to make this investment as per the Constitutive documents/ authorisation(s). I/We further confirm that I am not / we are not prohibited from accessing capital markets under any order/ruling/judgment etc., of any judicial or regulatory authority. 2. In the event "Know Your Customer" process is not completed by me / us to the satisfaction of the Mutual Fund, I / we hereby authorise the Mutual Fund, to redeem the funds invested in the Scheme(s), in favour of the applicant, at the applicable NAV prevailing on the date of such redemption subject to applicable exit load and undertake such other action with such funds that may be required by the Law. 3. I/We hereby acknowledge and confirm that the information provided above is/are true, correct and complete to the best of my/our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/we shall be liable for it. I/We also undertake to keep you informed immediately in writing about any changes/modification to the above information in future and also undertake to provide any other additional information as may be required at your end. I/We hereby authorise you 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 the Mutual Fund, its Sponsor, Asset Management Company, Trustees, their employees, agents / service providers, other SEBI registered intermediaries or 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. 4. 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. 5. For micro-investments only : I/We confirm that I/we do not have any other existing investment in the schemes of IDFC Mutual Fund which together with this proposed investment will result in aggregate investments exceeding Rs.50,000/- in a year. 6. For NRIs / PIOs / FPIs only : I/We confirm that I am / we are Non Residents Indians / Person(s) of Indian Origin / Foreign Portfolio Investors but not United States persons within the meaning of Regulation (S) of the United States Securities Act of 1933, or as defined by the U.S. Commodity Futures Trading Commission, as amended from time to time or residents of Canada, 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 maintained in accordance with applicable RBI guidelines.

☐ I/We hereby confirm that, I/We have read and understood the Privacy Policy hosted on www.idfcmf.com. I/ We hereby consent IDFC AMC/IDFC MF/Trustee to share information (including sensitive personal data or information) provided in relation to our Investment in IDFC MF to any Associate / Group company / Affiliate of IDFC AMC/IDFC MF / Trustee, for offering, marketing or solicitation of their products and services.

First/ Sole Applicant/ Guardian/ Authorised Signatory	Second Applicant	Third Applicant	POA Holder	Date	D	D	M	M	Y	Y	Y	Y
				Place								

For Financial Transactions
Toll free 1-800-2-666688
 Available between 8.00 am to
 5.00 pm on business days only.

For Non Financial Queries/Requests
Toll free 1-800-300-66688
Available between 8.00 am to
7.00 pm on business days only.

Please note our investor
service email id
investormf@idfc.com

www.idfcmf.com