

Systematic Transfer Plan / Systematic Withdrawal Plan / Dividend Sweep Plan - Registration Form



DISTRIBUTOR / BROKER INFORMATION

Name & Broker Code / ARN / RIA / PMRN	Sub Broker / Sub Agent ARN Code	*EUIIN	Internal Code for Sub-broker/ Employee
ARN-4464	ARN-	E032737	

*Please sign below in case the EUIIN is left blank/not provided. I/We hereby confirm that the EUIIN 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.

#By mentioning RIA/PMRN code, I/we authorize you to share with the Investment Adviser the details of my/our transactions in the scheme(s) of IDFC Mutual Fund.

Declaration for "execution-only" transaction (only where EUIIN box is left blank) (Refer Instruction No. XIII). - I/We hereby confirm that the EUIIN 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.

Signature of First / Sole Applicant /
Guardian / Authorised Signatory

EXISTING UNIT HOLDER INFORMATION (Please mention the PAN/PERN without which, this application form will be considered incomplete and is liable to be rejected.)

MANDATORY	Name of the First Holder																												
	Folio No.															PAN/PERN (mandatory)											Enclosed	<input type="checkbox"/> PAN/PERN Proof	<input type="checkbox"/> KYC Compliant
	KIN															KYC Identification Number													

SYSTEMATIC TRANSFER PLAN (STP) (Please read overleaf instructions carefully)

FROM Scheme	IDFC	Plan	<input type="checkbox"/> Regular	<input type="checkbox"/> Direct
Option	<input type="checkbox"/> Growth <input type="checkbox"/> Dividend <input type="checkbox"/> Dividend-Payout <input type="checkbox"/> Dividend - Reinvestment <input type="checkbox"/> Div. frequency			
TO Scheme	IDFC	Plan	<input type="checkbox"/> Regular	<input type="checkbox"/> Direct
Option	<input type="checkbox"/> Growth <input type="checkbox"/> Dividend <input type="checkbox"/> Dividend-Payout <input type="checkbox"/> Dividend - Reinvestment <input type="checkbox"/> Div. frequency			

SYSTEMATIC TRANSFER PLAN - FIXED

SYSTEMATIC TRANSFER PLAN - CAPITAL APPRECIATION

Transfer Frequency (Please tick (✓) any one of the below frequencies) <input type="checkbox"/> Daily <input type="checkbox"/> Weekly - Daywise (Transfer on every Monday of the month) <input type="checkbox"/> Weekly - Datewise (Transfer date will be 7 th /14 th /21 st /28 th of the month) <input type="checkbox"/> Fortnightly (Transfer date will be 1 st /16 th of the month) <input type="checkbox"/> Monthly (Any day of the month except 29 th , 30 th & 31 st)	Transfer Frequency (Please tick (✓) any one of the below frequencies) <input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Half Yearly <input type="checkbox"/> Annual Any day of the month except 29 th , 30 th & 31 st .
Transfer Instalment ₹	₹ in words
STP Period Start	End
OR	No. of Installments

SYSTEMATIC WITHDRAWAL PLAN (SWP) (Please read overleaf instructions carefully)

FROM Scheme	IDFC	Plan	<input type="checkbox"/> Regular	<input type="checkbox"/> Direct
Option	<input type="checkbox"/> Growth <input type="checkbox"/> Dividend <input type="checkbox"/> Dividend-Payout <input type="checkbox"/> Dividend - Reinvestment <input type="checkbox"/> Div. frequency			
SWP Period Start	End			
Option#	Frequency	Date	Amount (Rs.)	
<input type="checkbox"/> Fixed Amount*	<input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Half Yearly <input type="checkbox"/> Annual	<input type="checkbox"/> 1 st <input type="checkbox"/> 10 th <input type="checkbox"/> 20 th		
<input type="checkbox"/> Capital Appreciation*	<input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Half Yearly <input type="checkbox"/> Annual <input type="checkbox"/> Payout only in March	<input type="checkbox"/> 1 st <input type="checkbox"/> 10 th <input type="checkbox"/> 20 th	N. A.	
	2 nd last business day - Debt and Liquid scheme 4 th last business day - Equity, Balanced & FOF		N. A.	

#Please tick only one Option. *Fixed Plan : Start date for Fixed Plan under SWP is the date from which the first withdrawal will begin. *Capital Appreciation : Start date for Capital appreciation under SWP is the date from which capital appreciation, if any, will be calculated till the first withdrawal date.

DIVIDEND SWEEP OPTION

FROM Scheme	IDFC	Plan	<input type="checkbox"/> Regular	<input type="checkbox"/> Direct
Option	<input type="checkbox"/> Dividend (Not available under Growth Option) <input type="checkbox"/> Dividend-Payout <input type="checkbox"/> Dividend - Reinvestment <input type="checkbox"/> Div. frequency			
TO Scheme	IDFC	Plan	<input type="checkbox"/> Regular	<input type="checkbox"/> Direct
Option	<input type="checkbox"/> Growth <input type="checkbox"/> Dividend <input type="checkbox"/> Dividend-Payout <input type="checkbox"/> Dividend - Reinvestment <input type="checkbox"/> Div. frequency			

DECLARATION & SIGNATURES

I/We have read, understood and agree to comply with the terms and conditions of the Statement of Additional Information, Scheme Information Documents and Key Information Memorandum of the Scheme(s), Foreign Account Tax Compliance Act and Common Reporting Standards, statutory requirements prescribed by SEBI, AMFI, Prevention of Money Laundering Act, 2002 (PMLA) and all applicable rules and regulations and hereby confirm that I/We have not received nor been induced by any rebate or gifts, directly or indirectly, to make this investment. I/We hereby declare that I/we do not have any existing Micro SIPs which together with the current application will result in a total investments exceeding Rs.50,000 in a year. 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. For NRIs / PIOs / FPIs only: I/We confirm that I am / we are Non Resident Indians / Person(s) of Indian Origin / Foreign Portfolio Investors but not (i) United States persons as per applicable Regulations or (ii) residents of Canada, and 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 provide my/our consent to IDFC Asset Management Company Limited ("IDFCAMC") for (i) collecting, storing and usage; (ii) validating/authenticating with Unique Identification Authority of India ("UIDAI") by itself or through its Registrar and Transfer Agent ("RTA"); and (iii) downloading and updating my/our Aadhaar number(s) and associated demographic information (including updated information) in my/our accounts/folios under IDFC Mutual Fund, based on my/our Income Tax Permanent Account Number ("PAN") in accordance with the Aadhaar Act, 2016, PMLA and rules & regulations made thereunder and applicable SEBI guidelines. I/We hereby further authorise IDFCAMC for sharing/disclosed of the Aadhaar number(s) and associated demographic information (including any updated information) by itself or through its RTA, depository participants, and asset management companies of other SEBI registered mutual funds, and their RTAs, for the purpose of updating the same in my/our accounts/folios based on my/our PAN.

First / Sole Applicant / Guardian / Authorised Signatory	Second Applicant	Third Applicant	POA Holder
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INSTRUCTIONS

1. The STP/ Cap STP/ SWP/ Cap SWP Enrolment Form should be completed in English and in Block Letters only. Please tick (✓) in the appropriate box where boxes have been provided. The STP/ Cap STP/ SWP/ Cap SWP Enrolment Form complete in all respects, should be submitted at any of the Official Points of Acceptance of IDFC Mutual Fund.
2. Investors are advised to read the Key Information Memorandum(s) (KIMs) and Scheme Information Document(s) (SIDs) of the Transferor/ Transferee Scheme(s) and Statement of Additional Information (SAI) carefully before investing. The SIDs/ KIMs of the respective Scheme(s) and SAI are available with the ISCs of IDFC Mutual Fund, brokers/distributors and also displayed at the IDFC Mutual Fund website i.e. www.idfcmf.com
3. Unitholders' names should match with the details in the existing folio number, failing which; the application is liable to be rejected.
4. Investment through Distributors/ Agents is not entitled to distribute units of mutual funds unless they are registered with Association of Mutual Funds in India (AMFI). Every employee/ relationship manager/ sales person of the distributor of mutual fund products to quote the Employee Unique Identification Number (EUN) obtained by him/her from AMFI in the Application Form. Individual ARN holders including senior citizens distributing mutual fund products are also required to obtain and quote EUN in the Application Form. Hence, if your investments are routed through a distributor, please ensure that the EUN is correctly filled up in the Application Form. 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 and EUN box is left blank, you are required to provide the duly signed declaration to the effect as given in the form. These requirements do not apply to Overseas Distributors. They also hold an EUN which must be quoted in the application form. In case your application through such distributor is not for an eligible scheme, it is liable to be rejected. Direct Investments Investors applying under Direct Plan must mention "Direct" in ARN column. In case Distributor code is mentioned in the application form, but "Direct Plan" is indicated against the Transferee Scheme name, the Distributor code will be ignored and the application will be processed under Direct Plan.
5. In respect of STP/ Cap STP/ SWP/ Cap SWP enrollments made in the IDFC Mutual Fund Scheme(s), the Load Structure prevalent at the time of enrollment shall govern the investors during the tenure of the facility. For Scheme load structure, please refer to Key Information Memorandum or contact the nearest Investor Service Centre (ISC) of IDFC Mutual Fund or visit our website www.idfcmf.com
6. IDFC Mutual Fund/ IDFC Asset Management Company Limited reserve the right to change/modify the terms and conditions of the STP/ Cap STP/ SWP/ Cap SWP. For the updated terms and conditions of STP, contact the nearest ISC or visit our website www.idfcmf.com
- IV. Monthly Option – Any day STP except for 29th, 30th & 31st; Quarterly Option – Any day STP except for 29th, 30th, 31st of the first month of each quarter which may start from any month; Half yearly Option – Any day STP except for 29th, 30th & 31st of the first month of each 6 month period, Annual - Any day STP except for 29th, 30th & 31st of the first month of a 12 month period.
- V. If the commencement date is 15th December 2016 and if the investor provides the start date 1st January 2017, then capital appreciation for first trigger will be calculated between the commencement date (15th December 2016) and the investor's opted start date (1st January 2017)
 - a. For Monthly frequency the subsequent trigger date is 1st February 2017
 - b. For Quarterly Frequency the subsequent trigger date is 1st April 2017
 - c. For Half- yearly Frequency the subsequent trigger date is 1st July 2017
 - d. For Yearly Frequency the subsequent trigger date is 1st January 2018
- VI. If the investor has not mentioned any date then the default date will be considered as 10th.
- VII. Minimum Capital Appreciation Sweep Amount: INR 500
- VIII. There will be no upper limit on the Capital Appreciation Switch out amount.
- IX. The investor will have to mention the start and end date. The investor may choose to mention the start date and the number of installments. In case the start date is mentioned but end date is not mentioned and number of installments is not mentioned, the application will be registered for the minimum number of installments. In case the end date is mentioned but start date is not mentioned, the application will be registered after the expiry of 10 days from submission of the application from the default date i.e. 10th of every month/ quarter/ half year/ annual provided the minimum number installments are met.
14. The switch will be triggered only if the required minimum capital appreciation clause is achieved. If this is not the case as on the trigger date the switch for that respective month/ quarter/ half year/ year will be skipped. There is no limitation on number of skips.
15. If any trigger is skipped for a particular frequency due to the appreciation amount being less than the minimum amount, the subsequent tracking of the capital appreciation will continue with the amount as on the last executed STP.
16. The calculation of capital appreciation will be done at a transaction level in the respective scheme and folio. For example: If the investor has opted for this facility (monthly frequency) and CAMS (Registrar and Transfer Agent) has registered the STP in their system on 1st January 2017. All subsequent lump sum purchases (including switch-ins) in the source scheme will be tracked from the date of purchase for a period till the next Cap STP date. If at an individual transaction level there has been a minimum appreciation of INR 500, then such a transaction will qualify for switch and accordingly the capital appreciation amount would be calculated and switched to the target scheme. For all qualifying transactions, the switch amount into the target scheme will be a single collective amount after adding transaction level appreciation for all qualifying transactions.

SYSTEMATIC TRANSFER PLAN

1. STP is a facility wherein unit holder(s) of designated open-ended scheme(s) of IDFC Mutual Fund (Transferor Scheme) can opt to transfer a fixed amount at regular intervals to designated open-ended schemes of IDFC Mutual Fund (Transferee Scheme). The STP Facility is available only for units held / to be held in Non - demat Mode in the Transferor and the Transferee Scheme. The schemes are subject to change from time to time. Please contact the nearest Investor Service Centre (ISC) of IDFC Mutual Fund for updated list.
2. Unit holders should note that unit holders' details and mode of holding (single, joint, anyone or survivor) in the Transferee Scheme will be as per the existing folio number of the Transferor Scheme. Units will be allotted under the same folio number.
3. One STP Enrolment Form can be filled for one Scheme/Plan/ Option only.
4. The minimum 6 number of instalments required under all frequencies.
5. The application for enrollment for STP should be submitted at least 10 Days and not more than 90 days before the desired commencement date. In case the Start Date is mentioned but End Date is not mentioned, the application form is liable to be rejected. There will be no maximum duration for STP enrolment. However, STPs will be registered in a folio held by a minor, only till the date of the minor attaining majority, even though the instructions may be for a period beyond that date. The STP facility will automatically stand terminated upon the Unit Holder attaining 18 years of age.
6. Capital Appreciation STP will be terminated / not processed if (i) On marking of lien or pledge of units in the source scheme (ii) On receipt of intimation of death of the unit holder.
7. The provision of 'Minimum Redemption Amount' as specified in the Scheme Information Document(s) of the respective designated Transferor Schemes and 'Minimum Application Amount' specified in the Scheme Information Document(s) of the respective designated Transferee Schemes will not be applicable for STP.
8. Unit holders will have the right to discontinue the STP facility at any time by sending a written request to the ISC. Notice of such discontinuance should be received at least 10 days prior to the due date of the next transfer date. On receipt of such request, the STP facility will be terminated.
9. Units of IDFC Tax Advantage Fund (open-ended equity linked savings schemes with a lock-in period of 3 years) cannot be assigned / transferred / pledged/ redeemed / switched - out until completion of 3 years from the date of allotment of the respective units.
10. A confirmation message (SMS + email) for registration / rejection will be sent by CAMS (Registrar and Transfer Agent) to the investor once the registration has been completed / form has been rejected, as the case may be. The statement of account will be triggered on the STP installment date similar to a normal switch transaction.
11. Change in target or source scheme will not be permitted. Any such request will be construed as de-registration from the existing facility and re-registration for the new facility in the new source / target scheme, as applicable. The tracking will commence post successful registration by CAMS (Registrar and Transfer Agent).
12. Fixed STP Plan:
 - I. Offers unit holders the Fixed Systematic Transfer Plan facility at daily, weekly – Day wise (Transfer on every Monday), weekly – Datewise (Transfer date will be 7th, 14th, 21st, 28th of the month), fortnightly (Transfer date will be 1st, 16th of the month) and monthly (Any date except 29th, 30th, 31st of the month) intervals.
 - II. Unit holder is free to opt for any of the Plans and also choose the frequency of such transfers. If no frequency is chosen, the application form is liable to be rejected.
 - III. Unit holders are requested to refer the individual scheme information document (SID) for 'minimum subscription' and 'subsequent installment amount'.
 - IV. In case there is no minimum amount available in the unit holder's account, the residual amount will be transferred to the Transferee Scheme and account will be closed.
 - V. If STP date/day is a non-Business Day, then the next Business Day shall be the STP Date/ Day and the same will be considered for the purpose of determining the applicability of NAV.
13. Capital Appreciation STP Plan:
 - I. The source scheme should have Growth option.
 - II. The date on which the request is given by the investor is entered in the system as commencement date. The capital appreciation will be calculated from the commencement date and the investor's opted start date.
 - III. Frequency: Monthly, Quarterly, Half yearly, Annual. The capital appreciation will be determined on the next business day if the 30th, 90th, 180th or 366th day turns out to be a non-business day for the switch-out scheme.

SYSTEMATIC WITHDRAWAL PLAN

1. The SWP/ Cap SWP Facility are available only for units held / to be held in Non - demat Mode in the Transferor Scheme. The schemes are subject to change from time to time. Please contact the nearest Investor Service Centre (ISC) of IDFC Mutual Fund for updated list.
2. New Investors who wish to enroll for SWP are required to fill the SWP enrolment form along with the Scheme Application Form. Existing unit holders should provide their Folio Number.
3. Unitholders must use separate 'SWP' enrolment forms for different Schemes/Plans/Options.
4. In case the chosen date falls on a holiday or during a Book Closure period or on a date which is not available in a particular month, the immediate next Business Day will be deemed as the SWP withdrawal date. In case no date is mentioned the application form is liable to be rejected.
5. Fixed SWP Plan:
 - I. Fixed Plan is available for Growth and Dividend Option.
 - II. Fixed Plan is available for Monthly/ Quarterly /Half yearly / Annual intervals. If the frequency is not mentioned the application form is liable to be rejected.
 - III. Unitholders under the Fixed Plan can redeem (subject to completion of lock-in/ pledge period, if any), under each Scheme / Plan / Option a minimum of Rs. 500 and in multiples of Rs. 100 thereafter.
 - IV. The provision for 'Minimum Redemption Amount' specified in the respective Scheme Information Document will not be applicable for SWP.
 - V. Commencement date for Fixed Plan under SWP is the date from which the first withdrawal will commence. If there is inadequate balance on the SWP date, the SWP will be processed for the balance units and SWP will continue. If there is nil balance on the SWP date on 6 consecutive due dates, the SWP will be automatically terminated and there will not be any further trigger.
6. Capital Appreciation SWP Plan:
 - I. It is available for Growth Option only. Cap SWP is available for Monthly/ Quarterly/ Half Yearly / Annual intervals (1st, 10th, 20th date of the month). Other than above mentioned frequency, investor can enroll for Payout only in March option (2nd last business day for Debt and Liquid scheme/ 4th last business day for Equity, Balanced and FOF scheme). If the frequency is not mentioned the application form is liable to be rejected. Commencement date for SWP is the date from which capital appreciation, if any; will be calculated till the first Cap SWP withdrawal date. The capital appreciation, if any, will be calculated (subject to completion of lock-in/ pledge period, if any), from the commencement date of SWP under the folio, till the first SWP withdrawal date. Subsequent capital appreciation, if any, will be the capital appreciation* between the previous SWP date** (where redemption has been processed and paid) and the next SWP withdrawal date. Provided such capital appreciation is at least Rs. 200, on each withdrawal date. In case these dates fall on a holiday or fall during a Book Closure period, the next Business Day will be deemed as the SWP withdrawal date. Capital appreciation, if any, in such cases will be calculated upto such deemed withdrawal date. In case of redemption, capital appreciation will be computed on the balance units post redemption. Date of additional purchase to calculate capital appreciation of units additionally purchased between two SWP dates. Unitholders should note that in the event of there being no capital appreciation, no withdrawal / payment will be effected. If there is nil balance on the Cap SWP date on 6 consecutive due dates, the system will automatically cease the SWP and there will not be any further trigger.
 - II. The Unitholder should submit the duly filled in SWP Enrolment Form at least 10 days & maximum 90 days before the first withdrawal date
 - III. SWP facility may be terminated on receipt of a written notice from the Unitholder. Notice of such discontinuation should be received at least 10 days prior to the due date of the next withdrawal. SWP will be automatically terminated if all units from the Transferor Scheme are pledged or upon receipt of intimation of death of the unit holder.
 - IV. Bank Account for Payout: In order to protect the interest of Unitholders from fraudulent encashment of redemption / dividend cheques, SEBI has made it mandatory for investors to provide their bank details viz. name of bank, branch, address, account type and number, etc. to the Mutual Fund. Unitholders should note that redemption / withdrawal proceeds under the SWP will be paid by forwarding a cheque or by directly crediting the Bank Account registered in the Scheme on the date of each withdrawal.
 - V. Units of IDFC Tax Advantage Fund cannot be redeemed / switched - out until completion of 3 years from the date of allotment of the respective units.