# 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 Code / ARN / RIA Code		Sub Broker / Agent ARN Code RIA No.		Sub Agent Code	EUIN*	Internal Code for AMC		me Stamp, Sign, rence No.	
103807					E133071				
EUIN Declaration: Declaration for "Execution Only" Transaction (where Employee Uniqu				e Identification Number-EUIN*	box is left blank). Please	refer instruction 12 of KIM	for complete details or	n 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/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".									
					Signature of 3rd Applicant/Guardian/				
Signature of 1st Applicant/Guardian/ Authorised Signatory/PoA/Karta				Authorised Signatory/PoA  Authorised Signatory/PoA					
1. Folio N		TION (The deta	ils in our red	cords under the folio number mentioned will apply for this application.)  CKYC Identification No. (KIN)					
	of 1 <sup>st</sup> Unit Holder:								
AADHAAR No.: Aadhaar Copy (Please ✓) Enclosed									
2. SYSTEMATIC TRANSFER PLAN (STP) (For instructions please refer the next page)									
Direct Plan Growth Div Reinvestment								Div frequency*	
To Sc	heme			Regular Plan Direct Plan	Growth (Default)	Div. Payout Div. Reinvestme	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 (Transactions will be triggered after 5 days from the date of submission) Please use multiple forms for multiple dates.  □ Daily (Monday to Friday) □ Weekly (Every Wednesday) □ Fortnightly (Alternate Wednesday) □ Monthly (Default) □ Quarterly									
For Daily, Weekly, Fortnightly, Monthly & Quarterly option minimum 5 transfers of ₹ 1000 each.									
<b>Please (</b> ✓) <b>STP date</b> :								28 <sup>th</sup>	
Amount per transfer (₹ In Figures):  STP Start Date from: D D M M Y Y Y Y To: D D M M Y Y Y Y  3. SYSTEMATIC WITHDRAWAL PLAN (SWP) (For instructions please refer the next page)									
Scheme Scheme				Regular Plan					
Please (✓) SWP Frequency from the option (Transactions will be triggered after 5 days from the date of submission) Minimum 5 transaction and ₹ 1000 each and above									
Start E	Date from: D D M M Y Y Y Y	To: D D M M	/ Y Y Y Y	Fixed V	Per installment ₹:				
Withdrawal Date: Please (✓) ☐ 1 <sup>st</sup> ☐ 10 <sup>th</sup> (			(Default)	15 <sup>th</sup>	21 <sup>st</sup>	28 <sup>th</sup>			
To The Trustees, Mirae Asset Mutual Fund (The Fund) – (A) Having read and understood the contents of the SID/SAI/KIM of the Scheme applied for (Including the scheme(s)) available during the New Fund Offer period); I/We hereby apply for units of the said such scheme and agree to abide by the terms, conditions, rules and regulations governing the scheme. (B) I/We hereby apply for units of the said such scheme and agree to abide by the terms, conditions, rules and regulations governing the scheme. (B) I/We hereby apply for units of the said such scheme and agree to abide by the terms, conditions, rules and regulations governing the scheme. (B) I/We hereby apply for units of the said such scheme and agree to abide by the terms, conditions, rules and regulations governing the scheme. (C) Signature of the rominee acknowledging receipts of myour credit will constitute full utilisation and provides and interest the school and the scheme in the school of the regulatory and government authorities as and when necessal, which is the school and the school and the regulatory and government authorities as and when necessal, which is the school and the regulatory and government authorities as and when necessal, which is the school and the school and the regulatory and government authorities as and when necessal, which is the school and the school and the regulatory and government authorities as and when necessal, which is the school and the regulatory and government authorities as and when necessal, which is the school and school and the sch									
and regulati by the Gove Mirae Asset	stees, Mirae Asset Mutual Fund (The Fund) — (A) Having read a ons governing the scheme. (B) IWe hereby declare that the amo riment of India from time to time. (C) Signature of the nominee a Global Investments (India) Private Limited (AMC)/ Fund and ur taytherities as and who needed. IWe will indeprify the Sund. A	and understood the contents of punt invested in the scheme is acknowledging receipts of my dertake to update the inform	through legitimate so /our credit will constit ation/details with the A	he Scheme applied for (Including the scheme urces only and does not involve and is not des ute full discharge of liabilities of Mirae Asset N AMC / Fund/Registrars and Transfer Agent (F of any discuss occuping the alcibility solidibility	e(s) available during the New Fund Off signed for the purpose of the contraver Mutual Fund. (D) The information give RTA) from time to time. I/We hereby of and authorization of mylour transaction	er period); I/We hereby apply for units ntion of any provisions of the Income en in / with this application form is true onfirm that the AMC/Fund shall have	of the said such scheme and agri fax Act, Anti Money Laundering L and correct and further agrees to the right to share my information	ee to abide by the terms, conditions, rules aws or any other applicable laws enacted o furnish additional information sought by and other details with the regulatory and	
of trail com indicative y the PIN agre Residency t	imission or any other mode), payable to him for the difference in ld by the Fund/AMC/its distributor for this investment. I/We element available on the AMC website for transacting online. (H) I est as prescribed under FEMA provisions. I/We further declare it	nt competing Schemes of 'e have not received nor have RIA: I/We hereby agree to co hat I/We am/are "Person Resi	various Mutual Fund been induced by any r nsent the AMC to shar dent in India" and are	Is from amongst which the Scheme is bei ebate or gifts, directly or indirectly in making the e my transaction details to the registered inve allowed to invest into the Scheme as per the s	ing recommended to me/us. (F) I/W his investment. (G) Applicable to Investment advisor (RIA) through the regisaid FEMA regulations and other appl	We hereby confirm that I/We have r estors availing the online facility: I/ istrar or otherwise. (I) Applicable to F icable laws and regulations. (J) I/We	ot been offered/ communicate We have read, understood and sl oreign Resident's Residing in confirm that I am / We are not L	ed any indicative portfolio and/ or any hall be bound by the terms & conditions of India:- I/ We confirm that I/We satisfy the Jnited States person(s) under the laws	
of United S the FATCA & presumed the undertake to	tates or resident(s) of Canada. In case of change to this status & CRS Instructions) and hereby confirm that the information pro nat applicant is the ultimate beneficial owner, with no declaration o keep you informed in writing about any changes/modification to	us, I/We shall notify the AM vided by me / us on this Form to submit. In such case, the the above information in futur	C, in which event the i is true, correct, and concerned SEBI regis re & also undertake to	eAMC reserves the right to redeem my / ou complete. I / We also confirm that I / We have stered intermediary reserves the right to rejec provide any other additional information as m.	Ir investments in the Scheme(s). (K) read and understood the FATCA& C to the application or reverse the allotm ay be required at your end. (L) Aadha	) FATCA/CRS Certification: I/We has RS Terms and Conditions and hereby ent of units, if subsequently it is found ar: I/We hereby voluntarily submit Aar	ave understood the information re accept the same. In case the ab I that applicant has concealed the dhar card to the Fund/AMC for up	equirements of this Form (read along with bove information is not provided, it will be e facts of beneficial ownership. I/We also dating the same in my folio.	
Signature of 1st Applicant/Guardian/ Authorised Signatory/PoA/Karta			Signature of 2nd Applicant Authorised Signatory	Sign	Signature of 3rd Applicant/Guardian/ Authorised Signatory/PoA				
NOWLEDGEMENT SLIP									
SEMEN	Scheme Name and Plan		Details			Stamp of Collec	ction Centre / ISC		
VLEDG			SWP Amount (₹)						
Ŏ		STP Amount (₹)							

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



### INSTRUCTIONS - COMMON TO SWP / STI

- 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 commencement date
  - a) The installment start date shall not be later than 2 months 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
- 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 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

#### Aadhaar

- Investors are requested to note that pursuant to the direction issued by Honorable Supreme Court on March 13, 2018 in Writ Petition (Civil) no. 494/2012, the last date for mandatory submission of Aadhaar in respect of the existing mutual fund folios / accounts, including accounts / folios opened up to March 31, 2018, has been deferred till further notice. Existing unitholders are however encouraged to link their Aadhaar to their mutual fund folio(s).
  - However, in partial modification of the notice-cum-addendum dated February 14, 2018, the requirement of submission of Addhaar at the time of opening a folio/account by a new customer (i.e., an investor who is investing for the first time in Mirae Asset Mutual Fund and does not have any folio in Mirae Asset Mutual Fund), from April 1, 2018, shall not be mandatory. However, such new investors are encouraged to link their Aadhaar to their mutual fund folio(s).
- Effective Jan 1, 2018 Customer initiated transactions will not be allowed. However, Non-Customer initiated transactions however, will be permitted.
- Customer initiated transactions include new or additional Purchase, Redemptions & Switches, New Registration (SIP, SWP, STP, DTP), Unclaimed money (dividends / redemptions), New Lien Marking, Transmission (unless Aadhaar is made available for the person in whose favor units are proposed to be transmitted).
- Non-Customer initiated transactions include Corporate Action (Dividend Reinvestment/Payouts), Pre-existing standing instructions (SIP, SWP, STP), Close Ended Fund Maturity proceeds payout, KRAled changes, Non-Financial / Non Commercial Transactions, Lien Invocation by Fin Institution or pledgee, Any transaction pursuant to a Court or Regulatory order.
- Investors may please note that if the Name given in the application does not match the name as appearing on the PAN Card/Aadhaar card, authentication, application may be liable to get rejected or further transactions may be liable to get rejected'.
- The purpose of collection usage of Aadhaar number including demographic information is to comply with applicable laws/rules/regulations and provision of the said data is mandatory as per applicable laws/rules/regulations. Post obtaining the Aadhaar number, we shall authenticate the same in accordance with the Aadhaar Act, 2016. We shall receive your demographic information which shall be used only to comply with applicable laws/rules/regulations.

### 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. SWP can be made through Fixed withdrawals only.
- 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).
- SWP payment will be made in the bank account registered under the folio.
  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.
- 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.
- 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.

## INSTRUCTIONS - SYSTEMATIC TRANSFER PLAN (STP)

- 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.
- Minimum Amount: A] Daily Monday to Friday: 5 transfers of ₹ 1,000/- each and above.
  - B] Weekly Every Wednesday / Fortnightly Every Alternate Wednesday Monthly Plan: Minimum 5 transfers of ₹ 1,000/- each and above.

  - C] Quarterly Plan: Minimum 5 transfers of ₹ 1,000/- each and above.
    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<sup>th</sup> of each month, 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 selection of 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 sufficient 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 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.

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.