

APP No.:

SYSTEMATIC TRANSFER PLAN (STP) ENROLMENT FORM

Please read the instructions carefully, before filling up the application

1. DISTRIBUTOR / BROKER INFORMATION

Name & Broker Code / ARN	Sub Broker / Sub Agent Code

FOR OFFICE USE ONLY

Date and Time of Receipt	Bank / Register Serial No.

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

2. EXISTING UNIT HOLDER INFORMATION FOLIO NO./Application No.

3. PARTICULARS OF APPLICANT (Refer Instruction No.22)

Name of First / Sole applicant	<input type="checkbox"/> Mr. <input type="checkbox"/> Ms. <input type="checkbox"/> M/s.	1st holder/Guardian's PAN	PAN Proof Enclosed <input type="checkbox"/>	M a n d a t o r y
Name of Guardian	<input type="checkbox"/> Mr. <input type="checkbox"/> Ms. <input type="checkbox"/> M/s.	(in case of First / Sole Applicant is a Minor) / Contact Person - Designation (in case of non-individual Investors)		
Name of Second Applicant [Please tick (✓)]	<input type="checkbox"/> Mr. <input type="checkbox"/> Ms.	2nd holder PAN	PAN Proof Enclosed <input type="checkbox"/>	M a n d a t o r y
Name of Third Applicant [Please tick (✓)]	<input type="checkbox"/> Mr. <input type="checkbox"/> Ms.	3rd holder PAN	PAN Proof Enclosed <input type="checkbox"/>	M a n d a t o r y

4. CONTACT DETAILS OF SOLE/FIRST APPLICANT (Refer Instruction No.24)

Tel. No. STD Code	Office	Residence	Mobile no.	(For Receiving SMS Alert)
Email ID	(For Receiving Email Alert)			

5. SYSTEMATIC TRANSFER PLAN (STP) (Refer Instruction No.1 & 5)

Name of 'Transferor' Scheme/Plan/Option	
Name of 'Transferee' Scheme/Plan/Option	

Fixed Transfer STP (Refer Instruction No.6)					Capital Appreciation STP (Refer Inst No.6)	
STP Frequency (Refer Instruction No.9)					STP Frequency (Refer Instruction No.9)	
<input type="checkbox"/> Daily (Minimum One Month)	<input type="checkbox"/> Weekly	<input type="checkbox"/> Fortnightly	<input type="checkbox"/> Monthly	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Monthly	<input type="checkbox"/> Quarterly
First execution date should be on or after 7 calendar days from the date of submission of the form (excluding date of submission)	1 st , 8 th , 15 th & 22 nd of every month	1 st & 15 th of every month	of every month	of the starting month of every Quarter	1 st of every Month	1 st of the starting month of every Quarter
Amount of Transfer per Instalment Rs.						

Enrolment Period	
From : M M / Y Y Y Y	To : M M / Y Y Y Y
Only for Daily STP Enrolment Period	
From : D D / M M / Y Y Y Y	To : D D / M M / Y Y Y Y

6. DECLARATION & SIGNATURE/S

I/We would like to opt for Systematic Transfer Plan subject to terms of the Scheme Information Document and subsequent amendments thereto. I/We have read the instructions of the Enrolment Form, Scheme Information Document of the Transferor and Transferee Scheme and Statement of Additional Information before filling up the Enrolment Form. I/We have understood the details of the scheme and I/We have not received nor been induced by any rebate or gifts, directly or indirectly, in making this investment. 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. I hereby declare that the above information is given by the undersigned and particulars given by me/us are correct and complete. **APPLICABLE TO NRIs ONLY**; I am a Non-Resident of Indian Nationality/Origin and I/We hereby confirm that the funds for subscription have been remitted from abroad through normal banking channels or from funds in my/our Non-Resident External / Ordinary Account/FCNR Account.

Place : Date: D D / M M / Y Y Y Y

SIGNATURE		
Sole/ 1 st applicant/Guardian Authorised Signatory	2 nd applicant / Authorised Signatory	3 rd applicant Authorised Signatory

Acknowledgement Receipt of STP Application Form (To be filled in by the Unit holder)

INSTRUCTIONS

- (1) Systematic Transfer Plan (STP) is a special facility available in selected Schemes of RMF. It is a facility wherein unit holders of designated open ended schemes of Reliance Mutual Fund (RMF) can opt to transfer a fixed amount (capital) or variable amount (capital appreciation) at regular intervals to another designated open ended scheme of RMF.
- (2) Unit holders are advised to read the Statement of Additional Information (SAI), Scheme Information Document (SID) and Key Information Memorandum (KIM) of the respective Transferor & Transferee Scheme(s) available at all the Designated Investor Service Centers (DISC), brokers / distributors and on our website www.reliancemutual.com carefully before investing.
- (3) New Unit holders are required to fill up Common Application Form for investing in Transferor Scheme alongwith STP Enrolment Form. Existing Unit holders in Transferor Scheme are required to provide their Folio No. and submit only STP Enrolment Form.
- (4) Please submit separate enrolment form for more than one Transferor and / or Transferee schemes.
- (5) An investor whether existing or new is required to select any one of the Transferor Scheme and any one of the Transferee Scheme. Unit holders should clearly mention from and to which scheme / option he / she wish to transfer their investment. Please note that if no Transferor Scheme or Transferee Scheme is mentioned or in case of an ambiguity the application is liable to be rejected.
- (6) An investor has to opt between the Fixed Systematic Transfer Plan & Capital Appreciation Systematic Transfer Plan. In case none of the plans or options are mentioned in the application form or in case of an ambiguity the application for enrolment will be rejected. Further in case plans are not mentioned but options are mentioned, the plan will be selected on the basis of sub - option selected.
- (7) Unit holders are required to select any one of the option under Fixed Systematic Transfer Plan. In case the Frequency is not mentioned or in case of an ambiguity the application for enrolment will be rejected. The options available are Daily Option - where STP will be executed on Daily basis, Weekly Option - where STP will be executed on 1st, 8th, 15th and 22nd of every month, Fortnightly Option - where STP will be executed on 1st and 15th of every month, Monthly Option - where STP will be executed on any pre-specified date of every month to be chosen by the unit holders, Quarterly Option - where STP will be executed on any pre-specified date of the first month of the quarter to be chosen by the unit holder.
- (8) Unit holders are required to select any one of the option under Capital Appreciation Systematic Transfer Plan. In case the Frequency is not mentioned or in case of an ambiguity the application for enrolment will be rejected. The options available are Monthly Option - where STP will be executed on 1st of every month, Quarterly Option - where STP will be executed 1st of the starting month of every quarter.
- (9) Under Fixed Systematic Transfer Plan, minimum of Rs. 100 and in multiples of Rs. 100 each will be transferred on execution date subject to applicable exit load of the transferor Scheme in case of Daily Option. Minimum of Rs. 1000 and in multiples of Rs 100 thereof in case of for Weekly / Fortnight / Monthly option and Rs. 3000 and in multiples of Rs 100 thereof in case of Quarterly option can be transferred on STP execution date subject to applicable exit load. However applications not in multiple of Rs.100 will be processed for the nearest lower multiple of Rs.100, subject to minimum amount specified. However under Capital Appreciation STP, minimum of Rs. 500 and above thereof in case of Monthly option or Quarterly option can be transferred on STP execution date subject to applicable exit load. In case the capital appreciation amount is less than Rs.500 on any STP due date, the systematic transfer will not be processed for that due date.
- (10) Unit holders are required to mention date of execution in case of Monthly and Quarterly Option under both the plans. In case the execution date is not mentioned or in case of an ambiguity the application will be rejected.
- (11) In case execution date mentioned is a non - transaction or non - working day, the STP will be executed on next business / transaction / working day.
- (12) New investors are required to maintain below mentioned minimum balance in a particular option of the Transferor scheme at the time of enrolment of this facility (Please check the mentioned balance in your folio before filling up this form) (i) Non-Liquid scheme: Rs. 10,000.00 or the minimum amount as stated in the SID of the respective Transferor scheme, whichever is higher. (ii) Liquid scheme (Except Reliance Liquid Fund - Treasury Plan - Retail Plan): Rs. 25,000.00 or the minimum amount as stated in the SID of the respective Transferor scheme, whichever is higher. No minimum balance will be required for Reliance Liquid Fund - Treasury Plan - Retail Plan to start investing via STP.
- (13) Existing investors are required to maintain below mentioned minimum balance in a particular option of the Transferor scheme. (i) Non-Liquid scheme: Rs. 10,000.00 (ii) Liquid scheme (Except Reliance Liquid Fund - Treasury Plan - Retail Plan): Rs. 25,000.00 No minimum balance will be required for Reliance Liquid Fund - Treasury Plan - Retail Plan to start investing via STP.
- (14) In case of insufficient balance in the account / folio, the application for enrolment of STP will be rejected.
- (15) Unit holder has to ensure to maintain minimum balance in accordance with Plans selected in the Transferor Scheme on the transfer date / execution date under Fixed Systematic Transfer Plan. In case of insufficient balance / unclear units on the date of transfer in the folio, STP for that particular due date will be rejected. However, future STPs will continue to be active. Also if the investor continues to have insufficient balance / unclear units for three consecutive months, RCAM will have the right to discontinue the future STPs at its own discretion.
- (16) Please note that no transfers will take place if there is no minimum capital appreciation amount (except for last transfer leading to closure of account). The capital appreciation, if any, will be calculated from the enrolment date of the STP under the folio, till the first transfer date. Subsequent capital appreciation, if any, will be the capital appreciation between the previous STP date (where transfer has been processed and paid) and the next STP date.
- (17) Minimum number of transfers required for a STP shall be two. In case of Daily STP, minimum number of transfer is one month.
- (18) In case the investor opts for Daily STP and provides the enrolment period in MM/YYYY format, then the first execution date will be the 7th calendar day from the date of submission of the form (excluding date of submission).
- (19) The Enrolment form completed in all respects can be submitted at any of the DISC at least seven calendar days before the commencement of first execution date of STP.
- (20) In accordance with the requirements specified by the SEBI circular no. SEBI/IMD/CIR No.4/168230/09 dated June 30, 2009 no entry load will be charged. Exit Load as applicable in the respective Transferor and Transferee Scheme at the time of enrolment / registration will be applicable.
- (21) STP facility is available for all sub options except for Daily Dividend Option (wherever applicable) of the mentioned Transferor Scheme
- (22) 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.
- (23) For Direct Investments, please mention "Direct" in the column "Name & Broker Code / ARN".
- (24) **Communication for the investors. :**
If the investor(s) has/have provided his/her email address in the application form or any subsequent communication in any of the folio belonging to the investor(s), RMF / Asset Management Company reserves the right to use Electronic Mail (email) as a default mode to send various communication which include account statements for transactions done by the investor(s).
The investor(s) may request for a physical account statement by writing or calling RMF's Investor Service Center/ Registrar & Transfer Agent. In case of specific request received from the investor(s), RMF shall endeavor to provide the account statement to the investor(s) within 5 working days from the receipt of such request.
With effect from October 1, 2011, in accordance with SEBI Circular No. Cir/ IMD/ DF/16/ 2011 dated September 8, 2011, the investor whose transaction has been accepted by the RCAM/RMF shall receive the following:
(i) On acceptance of the application, a confirmation by way of email and/or SMS within 5 Business Days from the date of receipt of transaction request will be sent to the Unit holders registered e-mail address and/or mobile number.
(ii) Thereafter, a Consolidated Account Statement (CAS) shall be issued for each calendar month on or before 10th of the immediately succeeding month to the Unit holder(s) in whose folio(s) transaction(s) has/have taken place during the month by physical/e-mail mode.
CAS shall contain details relating to all the transactions carried out by the investor across all schemes of all mutual funds during the month and holding at the end of the month including transaction charges paid to the distributor.
The word 'transaction' shall include purchase, redemption, switch, dividend payout, dividend reinvestment, systematic investment plan, systematic withdrawal plan, systematic transfer plan and bonus transactions.
(iii) For the purpose of sending CAS, common investors across mutual funds shall be identified by their Permanent Account Number (PAN). In case of a specific request received from the Unit holders, RCAM / RMF will provide the account statement to the investors within 5 Business Days from the receipt of such request. In the event the account has more than one registered holder, the first named Unit holder shall receive the CAS/account statement.
CAS shall not be received by the Unit holders for the folio(s) not updated with PAN details. The Unit holders are therefore requested to ensure that the folio(s) are updated with their PAN. For Micro SIP and Sikkim based investors whose PAN details are not mandatorily required to be updated Account Statement will be dispatched by RCAM/RMF for each calendar month on or before 10th of the immediately succeeding month.
Further, CAS detailing holding of investment across all schemes of all mutual funds at the end of every six months (i.e. September/ March), shall be sent by mail/e-mail on or before 10th day of succeeding month as the case may be, to all such Unit holders in whose folios no transaction has taken place during that period. The half yearly consolidated account statement will be sent by e-mail to the Unit holders whose e-mail address is available, unless a specific request is made to receive in physical.
- (25) All valid transfer requisitions would be treated as switch-out / redemption for the Transferor Scheme and switch-in/ subscription transactions for the Transferee scheme and would be processed at the applicable NAV (subject to applicable exit load) of the respective schemes. The difference between the NAVs of the two Schemes/ Plans will be reflected in the number of units allotted. All valid transactions would be processed as per the applicable cut off timing on the business days as mentioned in the respective SID.
- (26) The provision of 'Minimum Redemption Amount' as specified in the Scheme Information Document of the opted Transferor Schemes and 'Minimum Application Amount' specified in the Scheme Information Document of the opted Transferee Schemes will not be applicable.
- (27) This facility will not be available for units which are under any Lien/Pledged or any lock-in period.
- (28) The Unit holders may approach/ consult their tax consultants in regard to the treatment of the transfer of units from the tax point of view.
- (29) Unit holders can discontinue STP facility by providing a written notice to the DISC at least 7 calendar days (excluding day of submission) prior to the due date of the next transfer date. The following information need to be mentioned while submitting a cancellation request (a) Folio holder Name (b) Folio Number (c) Transferor Scheme (d) Transferee Scheme (e) STP Amount (f) Frequency (g) Cancellation effective date.
- (30) STP will be automatically terminated if all the units are liquidated or withdrawn from the Transferor Scheme or pledged or upon receipt of intimation of death of the unit holder.
- (31) The application is subject to detailed scrutiny and verification. Applications which are not complete in all respect are liable for rejection either at the collection point itself or subsequently after detailed scrutiny / verification at the back office of the Registrar.
- (32) RCAM in consultation with Trustees reserves the right to withdraw this offering, modify the procedure, frequency, dates, load structure with prior notice in accordance with the SEBI (Mutual Funds) Regulations 1996 read with various amendments and circulars issued thereto and any such change will be applicable only to units transacted pursuant to such change on a prospective basis.

FORMS REQUIRED TO BE FILLED UP : • For Existing Investor : (a) Only STP Enrolment Form • For New Investors : (a) Common Application Form of Transferor Scheme (b) STP Enrolment Form.

ACKNOWLEDGMENT SLIP (To be filled in by the Applicant)

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