Kotak Mutual Fund

Systematic Transfer / Withdrawal Form

Strike off sections that are not applicable

ARN-95070 ARN/ RIA Code#	Sub-Broker's ARN	Sub-Broker's Code	Folio Number	E-101834

☐ #By mentioning RIA/PMS code, I/ We authorize you to share with the Investment Adviser/ Portfolio Manager the details of my/our transactions in the scheme(s) of Kotak Mahindra Mutual Fund. Declaration for"Execution-only" transactions (only where EUIN box is left blank)

☐ "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."

SIGNATURE(S)

Sole/Frist Applicant	Second Applicant	Third Applicant

To be signed by **All Applicants** if mode of operation is **"Joint"**

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

Investor's Information

Application No.
(For New Investors, Please attach the application form)

Sole/ First Applicant	Second Applicant	Third Applicant
Name of Applicant	Name of Applicant	Name of Applicant
PAN	PAN	PAN

I would like to opt for ☐ **Systematic Transfer Plan** ☐ **Systematic Withdrawal Plan**

Systematic Transfer Plan: Kindly strike-off unused rows (which are not being filled-out by you)

1

From Source Scheme: Kotak **To Target Scheme**: Kotak

Transfer Option *(Please ✓)* ☐ **Fixed Sum OR** ☐ **Entire Appreciation*** ______ *Not applicable for 'Daily' frequency

Frequency: ☐ Daily* ☐ Weekly Specify Day (Mention any day, Monday to Friday) ☐ Monthly ☐ Quarterly D D (Mention any date of the month)

STP Period: Start Date D D M M Y Y End Date D D M M Y Y

No. of Installments: ______ *Not applicable for 'Daily' frequency

Amount (Rs.) ☐1,000 ☐2,000 ☐5,000 ☐Other______

2

From Source Scheme: Kotak **To Target Scheme**: Kotak

Transfer Option *(Please ✓)* ☐ **Fixed Sum OR** ☐ **Entire Appreciation*** ______ *Not applicable for 'Daily' frequency

Frequency: ☐ Daily* ☐ Weekly Specify Day (Mention any day, Monday to Friday) ☐ Monthly ☐ Quarterly D D (Mention any date of the month)

STP Period: Start Date D D M M Y Y End Date D D M M Y Y

No. of Installments: ______ *Not applicable for 'Daily' frequency

Amount (Rs.) ☐1,000 ☐2,000 ☐5,000 ☐Other______

Systematic Withdrawal Plan

1

From Source Scheme: Kotak **Plan** ☐ Regular ☐ Direct **Option** ☐ Growth ☐ IDCW Payout ☐ IDCW Reinvestment

Withdrawal Option *(Please ✓)* ☐ **Fixed Sum OR** ☐ **Entire Appreciation** ______ *Not applicable for 'Daily' frequency

Frequency: ☐ Daily* ☐ Weekly Specify Day (Mention any day, Monday to Friday) Commencement Date D D M M Y Y To D D M M Y Y

☐ Monthly ☐ Quarterly ☐ Half-yearly ☐ Annually D D (Mention any date of the month) No. of Installments ______

2

From Source Scheme: Kotak **Plan** ☐ Regular ☐ Direct **Option** ☐ Growth ☐ IDCW Payout ☐ IDCW Reinvestment

Withdrawal Option *(Please ✓)* ☐ **Fixed Sum OR** ☐ **Entire Appreciation** ______ *Not applicable for 'Daily' frequency

Frequency: ☐ Daily* ☐ Weekly Specify Day (Mention any day, Monday to Friday) Commencement Date D D M M Y Y To D D M M Y Y

☐ Monthly ☐ Quarterly ☐ Half-yearly ☐ Annually D D (Mention any date of the month) No. of Installments ______

Declaration and Signatures

I/We have read and understood the contents of the SID/ SAI of the above referred Scheme(s) of Kotak Mahindra Mutual Fund. I/We hereby apply for allotment / purchase of Units in the Scheme(s) indicated as above and agree to abide by the terms and conditions applicable there to. I/We hereby declare that I /We authorized to make this investment in the above mentioned Scheme(s) and that the amount invested in the Scheme(s) is through legitimate sources only and is not designed for the purpose of any contravention or evasion of any Act, Rules, Regulations, Notifications or Directions of the provisions of Income Tax Act, Anti Money Laundering Act, Anti Corruption Act or any other applicable laws enacted by the Government of India from time to time. I/We hereby authorize Kotak Mahindra Mutual Fund, its investment Manager and its agents to disclose details of my investment to my / our Investment Advisor and / or banks.

I/We have neither received nor been induced by any rebate or gifts, directly, in making this investment.

SIGNATURE(S)

Sole/Frist Applicant	Second Applicant	Third Applicant

To be signed by **All Applicants** if mode of operation is **"Joint"**

Acknowledgement Slip (To be filled by Applicant)

Kotak Mutual Fund

Please retain this Acknowledgement Silp for future reference

DATE: D D M M Y Y Y Y

Received from (Investor's Name) ______

Folio Number ______

Request for ☐ **STP** ☐ **SWP**

Official Acceptance Point Stamp & Sign

6th Floor, Kotak Infiniti, Building No. 21, Infinity Park, Off Western Express Highway, Gen. A. K. Vaidya Marg, Malad (East), Mumbai – 400097.

Systematic Transfers / Withdrawals - Snapshot

	Systematic Transfers	Systematic Withdrawals
Schemes where STP / SWP are allowed	All Open-Ended Schemes of Kotak Mahindra Mutual Fund, except Exchange Traded Funds. In case of Kotak ELSS Tax Saver Fund, STP will be available for free units only.	All Open-Ended Schemes of Kotak Mahindra Mutual Fund, except Exchange Traded Funds. In case of Kotak ELSS Tax Saver Fund, SWP will be available for free units only.
Frequency	Daily / Weekly / Monthly / Quarterly	Daily, Weekly, Monthly, Quarterly, Half-yearly, Annually. For Kotak Overnight Fund, available frequency is Weekly/ Monthly/ Quarterly (under Fixed Sum Option and Appreciation Option).
Choice of Day / Date	Any Business Date	Any Business Date
Minimum Transfers / Withdrawals	Applicable as per the SID limits for STP of the Eligible scheme	Applicable as per the SID limits for SWP of the Eligible scheme

Instructions & Information

1 Please refer the Key Information Memorandum and Scheme Information Document of the respective Scheme(s) and Statement of Additional Information for Applicable NAV, Risk Factors, Load Structure and other information on the Scheme(s).

2 KYC is mandatory for STP/ SWP. In case of minor applicants, the Guardian needs to be KYC Compliant.

3 STP/ SWP registration needs to be submitted to the Registrar/ AMC 7 days prior to the date of commencement of STP. In case the STP/ SWP commencement date is less than 7 days from the date of submission of registration form and the date opted for, then the same would be registered for the next cycle. The AMC reserves the right to process the STP registration request received for a period lesser than 7 days in the interest of unit holders.

4 Default day for Weekly STP/ SWP is 'Wednesday'. Default date for Monthly and Quarterly STP/ SWP is 7th of subsequent month/ quarter.

5 Daily STP is available only under Fixed amount Option (Fixed STP) and will not be applicable under Capital appreciation STP (Variable STP).

6 In case the Investor fails to mention the frequency for the STP/ SWP option in the form, then the default option will be considered as monthly frequency.

7 Minimum Amount criteria for Daily STP:
- Minimum commitment amount to be transferred through this facility should be at least Rs. 6,000 per year or that which matches the minimum investment amount of the said schemes whichever is higher for the said year.
- Minimum amount to transfer under Daily STP: Minimum 12 transfers of Rs. 500 each and in multiples of Rs. 100 thereafter.
- Default amount: If investor fails to mention the STP Amount then the default value should be taken as Rs. 500 (minimum transfer amount).

8 STP will be discontinued in case the transfer is not effected due to insufficient balance in the source scheme.

9 If the plan/option of the Source scheme is not mentioned and there is only one plan/option available in the folio, the STP will be processed from that plan/option.

10 If investor carries investments under multiple schemes / plans / options and does not mentioned the Source Scheme along with plans and options, then such request will be rejected.

11 In case Plan/ Option in Target Scheme for STP is not selected by the investor, then the default option/ plan for the Target scheme shall be considered as per Scheme Information Document (SID).

12 Investor needs to clearly mention the "Transfer Period from" and "Transfer Period To" in the STP request Form. In case, the investor fails to specify the "Transfer Period from" the STP will start from the 7th day from the date of receipt of valid registration form.

13 In case, the investor fails to specify the "Transfer Period To" under any STP, STP shall continue to be triggered perpetually until further valid instructions from the investor or until the outstanding balance in "Source scheme".

14 If the available balance falls below the minimum amount of the specified triggered value, the available balance in the Source scheme will get triggered and future STP will be ceased.

15 STP registration from the existing investment (in the Source Scheme) will start from the 7th day from the date of receipt of valid registration form. If the STP form is received along with fresh investment, then the STP will start from the 7th day from the date of realisation of the investment amount with the valid registration form.

16 In case the Daily STP/ SWP is not processed on a particular day on account of an unexpected non-business day, system constraints, technical/operational issues/actions of other parties or any other circumstances beyond the control of Kotak AMC/ Fund, such missed debits will not be re-initiated.

17 Investor need to clearly mention the 'Commencement Period from' and 'To' in the SWP request Form. In case, the investor fails to specify the 'Period', the SWP will start from the 7th day from the date of receipt of valid registration form and SWP shall continue to be triggered perpetually until further valid instructions from the investor or until the outstanding balance in the Source scheme

18 In case the specified date is a non-business day for either the Source Scheme or the Target Scheme, the STP will be processed on the following business day for both the schemes.

19 A STP/ SWP registration confirmation message shall be sent by way of an email and/or letter to the Unit holders registered e-mail address and/or postal address.

20 Confirmation for subsequent systematic transactions will be sent vide a consolidated account statement (CAS) for each calendar month on or before 15th of the succeeding month, by email (wherever investor has provided email id) or physical account statement where investor has not provided email id., across the schemes of the mutual funds, to all the investors in whose folio(s) transaction(s) has/ have taken place during the month.

21 An investor can discontinue his STP/ SWP facility by giving 7 days prior notice in writing to the Registrars (CAMS) office or at any other point of service or at Kotak Mahindra Mutual Fund Offices.

22 All other features of STP as stated in the SID of respective schemes remain unchanged.

23 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 would assist in addressing any instance of mis-selling even if the employee/relationship manager/sales person later leaves the employment of the distributor. 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 provide the declaration to this effect as given in the form.

24 Incorrect, incomplete, ambiguous forms will be liable to be rejected.

INSTRUCTIONS & INFORMATION