



## SMS TRANSACT - REGISTRATION FORM

ALL INFORMATION IS MANDATORY

Application No. \_\_\_\_\_

### 1. UNITHOLDERS DETAILS

NEW REQUEST

CHANGE REQUEST

#### UNIT HOLDER NAME

Mr. Ms. M/s. \_\_\_\_\_

PAN

\_\_\_\_\_

KYC STATUS

Y  N

#### GUARDIANS NAME (In case of Minor)

Mr. Ms. M/s. \_\_\_\_\_

PAN

\_\_\_\_\_

KYC STATUS

Y  N

#### JOINT HOLDER 1 NAME

Mr. Ms. M/s. \_\_\_\_\_

PAN

\_\_\_\_\_

KYC STATUS

Y  N

#### JOINT HOLDER 2 NAME

Mr. Ms. M/s. \_\_\_\_\_

PAN

\_\_\_\_\_

KYC STATUS

Y  N

MOBILE NO. \_\_\_\_\_

[I/We authorise ABSLAMC to update this mobile no & E-mail ID. for the listed folios.]

Mobile No. provided pertains to  Self  Family Member (Note: If Mobile No. pertains to Family Member please select any one)  
 Spouse  Dependent Parents  Dependent Children

Email ID

\_\_\_\_\_

[This E-mail ID may be used to send transaction confirmation and/or Account Statement.]

Email ID provided pertains to  Self  Family Member (Note: If Mobile No. pertains to Family Member please select any one)  
 Spouse  Dependent Parents  Dependent Children

Folio No.	_____
	_____
	_____
	_____

Mode of Holding: Single  Any one of survivor

I/We authorize ABSLAMC to change the mode of Holding in the listed folios to Any One or Survivor in case the current holding nature is found to be Joint.

Tax Status: Individual  On Behalf of Minor  Non-Resident

### Acknowledgement Slip (To be filled in by the Investor)

### SMS TRANSACT - REGISTRATION FORM

Application No. \_\_\_\_\_

Received from Mr. / Ms. \_\_\_\_\_ Date : \_\_\_\_/\_\_\_\_/\_\_\_\_

[Please Tick (✓)] Enclosed  PAN/PEKRN Proof  KYC Complied

Collection Centre / ABSLAMC Stamp & Signature



## 2. DEBIT BANK ACCOUNTDETAILS

Account No.

Account Type SB  Current  NRE  NRO   
[Please tick (✓)] OTHERS (Please Specify\_\_\_\_\_)

Bank Name

Branch Name

Branch City

Note: Please attach an original cancelled cheque of the bank details provided above.

I/We consent to avail for the facility to transact through SMS. I / We confirm that we have read and understood the terms and conditions of using this facility.

Signature	First Holder	Second Holder	Third Holder



## Terms and Conditions for SMS based transactions

- a. This Facility is currently available for existing investors who are Resident Individuals (including guardians on behalf of minor) and Non-Resident Individuals only. However Birla Sun Life Asset Management Company Limited ('BSLAMC') may extend this Facility to other categories of Unit holder(s) like sole proprietors, and non-individuals later at its discretion.
- b. In order to avail this Facility, the Unit holder(s) in the applicable schemes of the Birla Sun Life Mutual Fund ('Fund') shall be required to submit to BSLAMC a Registration form and a Debit Mandate registration form ('Debit Mandate'), in the physical form, providing all the details as stated therein.
- c. In case the mode of holding of the folio is 'Joint' and the registration form is duly signed by all the joint holder(s), it will be deemed to be an express instruction to the AMC/RTA to change the mode of holding to 'Anyone or Survivor' for enablement of this Facility, such that the facilities are available to the first named holder only. The first named investor shall also be entitled to effect change in address, bank mandate, email id, mobile number, redemption/switch of investment and otherwise operate the folio(s).
- d. Mobile Number Registration: Unit holder(s) of the Fund will have to register a mobile number allotted in India in their folio for availing this Facility. The mobile number provided in the registration form shall be updated as the requisite mobile number in the folio for which the Facility is contemplated.
- Transaction alerts and/or confirmations would be sent to this mobile number. Notwithstanding the above, for any changes in the mobile number for SMS Transact Facilities, Unit holders(s) would be required to explicitly request for change by submitting a new SMS Transact Registration Form.
- e. Email Id Registration: Unit holder(s) of the Fund will have to register an email id in their folio for availing this Facility. The email id provided in the debit mandate shall be updated in the folio for which the Facility is contemplated. Transaction alerts and/or account statement would be sent to this email id by updating the mode of communication in the folio as 'Electronic/Email Only', whereupon, all account statements, annual reports and/or other Statutory Information, as the case may be, shall be sent via email instead of a Physical document
- f. Unit holder(s) shall inform the AMC/RTA about any change in their bank account number, mobile number or email id only through a written request (duly signed) in the format specified by BSLAMC.
- g. Unit holder(s) further accepts that an application for availing this Facility by Unit holder(s) does not automatically lead to acceptance of the same by the AMC. BSLAMC reserves the sole right to reject any application as it shall deem appropriate, and in the event of rejection of application for availing of this Facility, the decision of BSLAMC shall be final, conclusive and binding upon the Unit holder(s).
- h. The time taken to verify and register for this facility will be upto 21 days from receipt of duly completed Registration and Debit mandate form.
- i. Unit holder(s) of the Fund can start transacting using this Facility only after successful registration of the Debit Mandate with their bankers and only upon receipt of confirmation from BSLAMC vide letter/ SMS/email regarding the successful registration of this Facility along with PIN. On successful registration for SMS transact facility, a confirmation along with a PIN would be communicated to you via SMS and email on your registered mobile number and email id. In order to commence transacting, the PIN is required to be changed by sending an SMS in the following format to 56767105: CPIN space <PAN> space <EXISTING PIN> space <NEW PIN> and send it to 56767105.
- A confirmation SMS and email for successful change of PIN shall be sent to your registered email and mobile number.
- j. Investors shall not disclose this PIN to anyone to avoid misuse of this facility. Unit holder(s) of the Fund agrees and acknowledges that any transaction, undertaken using the registered mobile number and PIN shall be deemed to be that of the Unit holder(s) and that the Unit holder(s) shall at all times be responsible and liable for the same. The unit holder further agrees and undertake that he shall exclusively and solely be responsible for any unauthorized usage of PIN and resultant, loss if any and the AMC / Fund shall under no circumstances be responsible for any loss or damage sustained by the unitholders or entertains any dispute for any such unauthorized use of PIN/facility
- k. Currently, this Facility is extended for subscription, switches, redemptions and SIP Registrations and can be discontinued or changed at the sole discretion of the AMC without any prior notice to the Unit holder(s). Switches and SIP registrations made available wef October 21, 2013.
- l. The minimum purchase/redemption amount in the respective plan / option of the Schemes of the Fund will be applicable for each transaction.
- m. In case of subscription and Switch IN into an existing investment under the folio mentioned, the suboption for the additional units corresponding to subscription/Switch In via SMS shall be allotted under same Plan/Option, as found under the existing folio/scheme account.
- In case of investment into a new scheme under the folio, the Default plan/option for scheme will be applicable as per the respective Scheme Information Document (SID)/ Key Information Memorandum (KIM).
- n. Post registration and activation, the unit holder can send their request to transact by sending an SMS to 56767105 as per below mentioned format:

Transaction Type	Keyword	SMS Text
Subscription	BUY	BUY space <PAN or Folio No > space < Scheme Code > space < amount > space <Pin>
Redemption	SELL	SELL space <Folio no> space <Scheme Code >space < Amount or All > space <Pin>
Switch	SWITCH	SWITCH space <Folio> space <SO_Scheme Code> space TO space <SI-Scheme Code> space <Amount or All> space <PIN>
SIP Registration	REGSIP	REGSIP space <Folio or PAN> space <Scheme Code> space <Amount> space <Count of Instalment> space <SIP Date> space <PIN>

### Points to be noted

- The transaction will be accepted in 'amount' only in case of subscription & SIP.
  - For Redemption and Switch Out, investors may mention a valid 'amount' or use the word 'All' to denote an all unit Redemption or Switch Out.
  - In case the subscription or SIP Registration is by PAN and there is more than one folio registered, the last transacted folio would be considered for the subscription
  - In case of SIP Registration, investors would be allowed to select the earliest SIP Start Date of within T+2 days of the same month. If T+2 days are not available between the sms request date and SIP start date, the SIP date would be considered for next month. Example:
- | SMS Date  | SIP Start Date as per SMS | SIP Start Month considered | SIP Start Date considered |
|-----------|---------------------------|----------------------------|---------------------------|
| 19-Sep-13 | 21th                      | September                  | 21-September-2013         |
| 19-Sep-13 | 28th                      | September                  | 28-September-2013         |
| 19-Sep-13 | 1st                       | October                    | 01-October-2013           |
| 19-Sep-13 | 7th                       | October                    | 07-October-2013           |
| 19-Sep-13 | 10th                      | October                    | 10-October-2013           |
| 19-Sep-13 | 14th                      | October                    | 14-October-2013           |
| 19-Sep-13 | 20th                      | October                    | 20-October-2013           |
- Unitholders acknowledge that any cancellation or modification of SIP registered via SMS transact can be carried out by submission of physical request only and the same shall not be accepted by AMC/BSLMF through SMS.
  - The unit holder(s) shall be responsible for transmitting the details as per the correct format and in such manner as may be specified by BSLAMC, from time to time.
- o. Investors availing of SMS transact facility should note that last transacted broker/distributor and the associated EUIN in the folio, would be considered as the default broker for subscriptions through this route in the said folio. Also, in case the subscription (lumpsum) amount is ` 10,000/- or more and your Distributor has opted-in to receive Transaction Charges on basis of type of product, 100/- (for investor other than first time mutual fund investor) will be deducted from the subscription amount received and paid to the distributor. Units will be issued against the balance amount invested. However, Transaction charges in case of investments through SIP from first time mutual fund investor and investor other than first time mutual fund investor shall be deducted only if the total commitment (i.e. amount per SIP installment x No. of installments) amounts to ` 10,000/- or more. The transaction charges shall be deducted in 3-4 installments.
- p. If the transaction is delayed or not effected at all, for reasons of incomplete or incorrect information / key word or due to non-receipt of the SMS message by the RTA or due to late receipt of SMS due to mobile network congestions or due to non-connectivity or due to any reason whatsoever, the Unit holder(s) will not hold the Fund, AMC/Fund /Directors/Shareholders responsible or liable for the same.
- q. The request for transaction is to be considered as accepted, subject to realization of funds towards purchases, and/only on the receipt of the confirmation from RTA on the registered mobile number or email id of the Unit holder(s) of the Fund.
- r. The bank account of the customer shall be debited towards purchases either on the same day of transaction or within one to seven business days depending on the mode of debit adopted. However, in case of non-receipt of the funds, for whatsoever reasons, the transaction shall stand cancelled/null and void and the units allotted, if any would be reversed.
- s. The user declares and confirms that the user has, after being fully aware of, and having duly considered all risks involved, which shall be borne by the user, requested and authorized AMC to rely and act upon the Instructions which may, from time to time, be transmitted by way of SMS in accordance with the Terms and Conditions.
- t. In case of non-receipt of confirmation sms within 30 minutes, Unit holder(s) are advised to immediately call up the call centre on toll free no. 1800-270-7000 to confirm the status of the transaction request.
- u. Any transaction request on a non-Business Day will be processed on the next Business Day in accordance with the provisions provided in the Scheme Information Document ('SID') of the Schemes and/or Statement of Additional Information ('SAI').
- v. If the Unit holder(s) believes or has a reason to believe that there has been an error in any transaction using the Facility, the Unit holder(s) shall notify the AMC or the RTA immediately.
- w. Unit holder(s) of the Fund will have to register and specify a single bank mandate for purchases through this Facility in Debit Mandate. This bank account is intended to be debited towards subscription. If the bank details provided hereunder are different from the currently registered

bank mandates in the folio, the new mandate will be updated to the existing bank mandate/s for pay-in only

- x. The responsibility of the bank account information provided in the Debit Mandate or any other application form for this Facility solely rests with the Unit holder(s) and the AMC / Fund / RTA will not be responsible or liable for any loss, claims, liability that may arise on account of any incorrect, incomplete and / or erroneous data / information supplied by the Unit holder(s).
- y. Unit holder(s) hereby confirms, acknowledges and undertakes to make payments for subscription of units from their respective bank account(s) in compliance with applicable provisions relating to third party payments detailed in the SID / SAI and that the payment will be through legitimate sources as permitted only in accordance with Prevention of Money Laundering Act, 2002 (PMLA) and applicable Anti Money Laundering Guidelines.
- z. It will be the sole responsibility of the unit holder(s) bank and its branch to ensure proper registration of the Debit Mandate and confirm registration. If no confirmation

of registration or rejection is received, the AMC/RTA/it's agents will deem the same to be registered and confirm the registration to Unit holder(s) entirely at the risk of Unit holder(s).

The Unit holder(s) agree that the Fund/AMC / RTA and their agents shall not be held liable for any unsuccessful registration and/or transaction due to any action or inaction of the Unit holder(s) bank, [irrespective of whether it is the bank's prerogative or as per the directions of the RBI, or applicable law] including but not limited to reasons mentioned below and agree(s) to indemnify the Fund / AMC/RTA for all liabilities, losses, damages and expenses which may arise, sustain or incur either directly or indirectly out of:

- Loss of the Debit Mandate in transit from point of acceptance of the form to RTA head office and further to the Unit holder(s)' bank branch;
- Non acceptance or rejection of Debit Mandate for whatsoever reason by the Unit holder(s)' bank branch, with or without any reason assigned by the Unit holder(s) bank;
- Deemed registration due to non confirmation of registration or rejection by the bank and any subsequent rejection of debit of bank account for funds



**DEBIT MANDATE-ONE TIME MANDATE / NACH / AUTO DEBIT** [Applicable for Lumpsum Additional Purchases as well as SIP Registrations] Please attach a cancelled cheque/cheque copy.

(tick✓) UMRN

Date

CREATE  MODIFY  CANCEL

Sponsor Bank Code  Office use only Utility Code  Office use only

I/We hereby authorize:  ADITYA BIRLA SUN LIFE MUTUAL FUND to debit (tick✓)  SB / CA / CC / SB-NRE / SB-NRO / Other

Bank A/c No.:

With Bank:  Bank Name & Branch IFSC  OR MICR

an amount of Rupees  ₹

FREQUENCY  Monthly  Quarterly  Half Yearly  Yearly  As & when presented DEBIT TYPE  Fixed Amount  Maximum Amount

Reference 1 Folio No:  Mobile

Reference 2 Appln No:  Email:

I agree for the debit of mandate processing charges by the bank whom I am authorizing to debit my account as per latest schedule of charges of bank.

PERIOD

From

to

or  Until-Cancelled

1. Sign ..... 2. Sign ..... 3. Sign .....

Name as in bank records (mandatory) Name as in bank records (mandatory) Name as in bank records (mandatory)

**Declaration:** This is to confirm that the declaration has been carefully read, understood & made by me/us. I am authorizing Birla Sun Life Mutual Fund to debit my account based on the instructions as agreed and signed by me. I have understood that I am authorised to cancel/amend this mandate by appropriately communicating the cancellation/amendment request to Birla Sun Life Mutual Fund or the bank where I have authorised the debit.

I/We hereby declare that the particulars provided in this mandate are correct and complete and hereby agree to participate in the One Time Mandate / NACH / Auto Debit facility and make payments through the platform according to the terms and conditions thereof. I/We further hereby agree and acknowledge that I/we will not hold the AMC and/or responsible for any delay and/or failure in debiting my bank account for reasons not attributable to the negligence and/or misconduct on the part of the AMC .I/We hereby consent to the Bank communicating with me/us in any manner whatsoever on the said mobile number with respect to the transactions carried out in my/our aforementioned bank account(s). I/We hereby agree to abide by the terms and conditions that may be intimated to me/us by the AMC/Bank with respect to the One Time Mandate / NACH / Auto Debit from time to time.

**Authorisation to Bank:** This is to inform that I/We have registered for One Time Mandate / NACH / Auto Debit facility and that the payment towards my/our investments in the Schemes of Birla Sun Life Mutual Fund shall be made from my/our above mentioned bank account with your Bank. I/We hereby authorize the representatives of Birla Sun Life Asset Management Company Limited, Investment Manager to Birla Sun Life Mutual Fund carrying this mandate form to get it verified and executed. I/We authorize the Bank to debit my/our above-mentioned bank account for any charges towards mandate verification, registration, transactions, returns, etc, as applicable for my/our participation in One Time Mandate / NACH / Auto Debit facility.

## INSTRUCTIONS FOR ONE TIME MANDATE FORM

- Investors who have already submitted a NACH/AUTO DEBIT form or already registered for NACH/AUTO DEBIT facility should not submit NACH/AUTO DEBIT form again as NACH/AUTO DEBIT registration is a one-time process only for each bank account. However, if such investors wish to add a new bank account towards OTM facility may fill the form.
- Investors, who have not registered for NACH/AUTO DEBIT facility, may fill the NACH/AUTO DEBIT form and submit duly signed with their name mentioned.
- Mobile Number and Email Id: Unit holder(s) should mandatorily provide their mobile number and email id on the mandate form. Where the mobile number and email id mentioned on the mandate form differs from the ones as already existing in the folio, the details provided on the mandate will be updated in the folio. All future communication whatsoever would be, thereafter, sent to the updated mobile number and email id.
- Unit holder(s) need to provide along with the mandate form an original cancelled cheque (or a copy) with name and account number pre-printed of the bank account to be registered or bank account verification letter for registration of the mandate failing which registration may not be accepted. The Unit holder(s) cheque/ bank account details are subject to third party verification.
- Date and the validity of the mandate should be mentioned in DD/MM/YYYY format
- Please mention the amount in figures and words.
- Please fill all the required details in the Debit Mandate Form for NACH/Auto Debit. The sole/first holder must be one of the holders in the bank account.
- The UMRN, the Sponsor Bank Code and the Utility Code are meant for office use only and need not be filled by the investors.
- The 9 digit MICR and the 11 digit IFSC are mandatory requirements without which your registration will be rejected. You should find these codes on your cheque leaf.
- Investors are deemed to have read and understood Statement of Additional Information and Scheme Information Document, Key Information Memorandum of the respective Scheme(s) of Birla Sun Life Mutual Fund.