

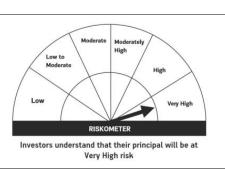
# Key Information memorandum

# ADITYA BIRLA SUN LIFE NIFTY ETF

(An open ended scheme replicating NIFTY 50 TR Index)

## This Product Is Suitable For Investors Who Are Seeking\*:

- long term capital growth
- investments in stocks in line with Nifty 50 TRI to generate comparable returns, subject to tracking errors



\*Investors should consult their financial advisers if in doubt whether the product is suitable for them.

## Continuous Offer for Units in Creation Unit size at NAV based prices

NAME OF THE ASSET MANAGEMENT COMPANY	NAME OF MUTUAL FUND
ADITYA BIRLA SUN LIFE AMC LIMITED	ADITYA BIRLA SUN LIFE MUTUAL FUND (ABSLMF)
One World Centre, Tower-1, 17th floor, Jupiter Mill Compound,	One World Centre, Tower 1, 17th Floor, Jupiter Mill Compound,
841, Senapati Bapat Marg, Elphinstone Road, Mumbai - 400	841, Senapati Bapat Marg, Elphinstone Road, Mumbai - 400
013	013
Tel.: +91-22 43568000	Tel. +91-22 43568000
Fax No. +91-22 43568110 / 8111	Fax No. +91-22 43568110 / 8111
CIN: U65991MH1994PLC080811	Website www.mutualfund.adityabirlacapital.com

This Key Information Memorandum (KIM) sets forth the information, which a prospective investor ought to know before investing. For further details of the scheme/Mutual Fund, due diligence certificate by the AMC, Key Personnel, investors' rights & services, risk factors, penalties & pending litigations etc. investors should, before investment, refer to the Scheme Information Document and Statement of Additional Information available free of cost at any of the Investor Service Centres or distributors or from the website www.mutualfund.adityabirlacapital.com

The Scheme particulars have been prepared in accordance with Securities and Exchange Board of India (Mutual Funds) Regulations 1996, as amended till date, and filed with Securities and Exchange Board of India (SEBI). The units being offered for public subscription have not been approved or disapproved by SEBI, nor has SEBI certified the accuracy or adequacy of this KIM.

The units of Aditya Birla Sun Life Nifty ETF are listed on the National Stock Exchange of India Limited (NSE). All investors including Authorised Participants and Large Investors can subscribe (buy) / redeem (sell) units on a continuous basis on the NSE on which the Units are listed during the trading hours on all the trading days. In addition, Authorised Participants and Large Investors can directly subscribe to / redeem units of the Scheme on all Business Days with the Fund in 'Creation Unit Size' at NAV based prices on an ongoing basis

DISCLAIMER CLAUSE OF NSE: It is to be distinctly understood that the permission given by National Stock Exchange of India Limited (NSE) should not in any way be deemed or construed that the Scheme Information Document has been cleared or approved by NSE nor does it certify the correctness or completeness of any of the contents of the Draft Scheme Information Document. The investors are advised to refer to the Scheme Information Document for the full text of the 'Disclaimer Clause of NSE'

This KIM is dated April 22, 2021



Name of the Scheme	Aditya Birla Sun Life Nifty ETF
Type of Scheme	An open ended scheme replicating NIFTY 50 TR Index
Investment Objective	The investment objective of the scheme is to provide returns that closely correspond to the total returns of securities as represented by Nifty 50, subject to tracking errors. The Scheme does not guarantee/indicate any returns. There can be no assurance that the schemes' objectives will be achieved.
Inception Date	July 21, 2011
No. of Investors & AUM (as on March 31, 2021)	AUM in Crs: 333.61 Folios: 1,976
Dematerialization	Units of the scheme shall be available and compulsorily be issued / repurchased and traded in dematerialized form.
	An Investor intending to invest in the Scheme is required to have a beneficiary account with a Depository Participant (DP) (registered with NSDL / CDSL) and will be required to indicate in the application the DP's name, DP ID Number and the beneficiary account number of the applicant held with the DP.
Liquidity / Listing	The Units of the scheme will be listed on National Stock Exchange of India Limited (NSE) and/or any other recognised stock exchanges as may be decided by AMC from time to time. The Units of the scheme may be bought or sold on all trading days at prevailing listed price on such Stock Exchange(s).
	The AMC will appoint Authorised Participant(s) to provide liquidity in secondary market on an ongoing basis. The Authorised Participant(s) would offer daily two-way quote (buy and sell quotes) in the market.
	Alternatively, the Authorised Participants and Large Investors may subscribe to and/or redeem the units of the scheme with the Mutual Fund on any business day at a price equivalent to applicable NAV and transaction charges, if any, provided the units offered for subscription and/or redemption are not less than Creation Unit size & in multiples thereof.
	Further, if the average discount, of the bid price to the applicable NAV over a continuous period of 30 trading days is greater than 3%, then an investor can sell units of the Scheme directly to the Fund for a period of 3 consecutive trading days with an exit load of 1% of the applicable NAV of the Scheme. The notification of the same would be displayed on our website.
Creation Unit Size	Creation Unit is fixed number of units of the Scheme, which is exchanged for a basket of securities underlying the index called the "Portfolio Deposit" and a "Cash Component" or cash of equivalent value.
	The Portfolio Deposit and Cash Component are defined as follows:
	<b>Portfolio Deposit:</b> Portfolio Deposit consists of pre-defined basket of securities that represent the underlying index and announced by AMC from time to time.
	<b>Cash Component:</b> Cash component represents the difference between the applicable net asset value of a creation unit and the market value of the Portfolio deposit.
	The Portfolio Deposit and Cash Component may change from time to time.
	The Creation Unit size for the scheme shall be 50,000 units and in multiples thereof.
	The Creation Unit size may be changed by the AMC at their discretion and the notice of the same shall be published on website of Mutual Fund (www.mutualfund.adityabirlacapital.com)



Asset Allocation Pattern of the Scheme	Under normal circumstances, the asset allocation of the	Scheme will b	e as follows:	
	Instruments	Allo	ve Asset cation al assets)	Risk Profile
		Minimum	Maximum	
	Securities comprising of underlying benchmark Index	95%	100%	Medium
	Debt & Money market instruments*	0%	5%	Low to Medium
	* Money Market Instruments include commercial pa Government securities having an unexpired maturity up deposit, usance bills, Tri-party Repo on Government s instruments as specified by the Reserve Bank of India fro	o one year, c securities or t	all or notice m reasury bills a	oney, certificate of
	Exposure to equity derivatives of the index itself or its equity shares are unavailable, insufficient or for reba temporary period. Exposure to such derivatives will be re	alancing in c	ase of corpor	ate actions for a
	The net assets of the scheme will be invested predomi would be done by investing in all the stocks compris weightage that they represent in the Nifty 50.			
	The scheme may take exposure through derivative tran may be specified by SEBI from time to time.	nsactions in t	ne manner and	d upto the limit as
	A small portion of the net assets will be invested in Deb SEBI / RBI including call money market or in alternative be provided by the RBI, to meet the liquidity requirement	investment for	or the call mon	
	The scheme does not intend to invest in Securitised deb	t instruments	and Foreign se	ecurities.
	Change in Asset Allocation			
	The Scheme is a passively managed exchange traded or investment pattern is normally not foreseen. However, pending for deployment, in cases of extreme market co like declaration of IDCW by the companies comprising the	for short dura onditions, spe	ations part of t	he corpus may be
nvestment Strategy	The Fund would invest not less than 95% of its corpus endeavor to track the benchmark index while minimizing a passive investment strategy. The scheme would aim t & avoid investment in debt & money market securit redemption requirements	g the tracking o maintain lea	error and ther ast amount of o	efore would follow cash & will also try
Risk Profile of the Scheme	Mutual Fund Units involve investment risks including the Scheme Information Document carefully for details on rise Risk Factors are summarized below:			
	<ul> <li>Liquidity Risk: Trading in units of the scheme on the conditions or for reasons that in view of the Exchar scheme is not advisable. In addition, trading in extraordinary market volatility and pursuant to Stock applicable from time to time. There can be no assur- necessary to maintain the listing of units of the so- unchanged.</li> </ul>	nge authoritie units is subj Exchange(s) ance that the	s or SEBI, trac ect to trading and SEBI "cir requirements	ling in units of the halts caused by cuit filter'' rules as of the exchange/s
	<ul> <li>Regulatory Risk: Any changes in trading regulati affect the ability of Authorised Participant/Market ma discount to NAV.</li> </ul>			
	<ul> <li>Passive Management of Investments: Scheme s shall provide exposure to constituents of the underly and yield as closely as possible. The scheme's perfor decline in the stock markets relating to the und constituents of the underlying index regardless of aim to take any defensive position in case of falling individual stock selection. ETF being a passive man</li> </ul>	ving index with ormance may derlying Inde their investme markets nor s	h an aim to tra be affected by x. The schen ent merit. The hall the schem	ck its performance y the general price he shall invest in scheme does not e attempt to make



	While these measures are expected to mitigate the above risks to a large extent, there can be no
Risk Control Strategies	The Scheme is a passively managed and linked to the Nifty 50 Index, which is well-diversified comprising fifty Indian companies whose equity scrips predominantly comprise large capitalisation companies with high liquidity. The Mutual Fund has built adequate internal risk management controls and safeguards including ongoing oversight to ensure that the Scheme, which is passively managed is in line with the defined investment objectives as per the Scheme Information Document and in compliance with SEBI (MF) Regulations.
	<ul> <li>The units of the scheme will be compulsorily issued in dematerialised form through depositories. The records of the depository are final with respect to the number of Units available to the credit of Unit holder. Settlement of trades, repurchase of Units by the Mutual Fund will depend upon the confirmations to be received from depository(ies) on which the Mutual Fund has no control. Further, Investors may note that buying and selling units on stock exchange requires the investor to engage the services of a broker and are subject to payment of margins as required by the stock exchange/broker, payment of brokerage, securities transactions tax and such other costs.</li> <li>Please refer to Section on Risk Factors in Scheme Information Document for detailed scheme specific risk factors.</li> </ul>
	<ul> <li>any composition change made by the index service provider in terms of weightage or stocks selection will have an impact on the scheme.</li> <li>The scheme may not be able to acquire or sell the desired number of securities due to conditions prevailing in the securities market, such as, but not restricted to circuit filters in the securities, liquidity and volatility in security prices.</li> </ul>
	<ul> <li>The index reflects the prices of securities at a point in time, which is the price at close of business day on NSE. The scheme, however, may trade these securities at different points in time during the trading session and therefore the prices at which the scheme trades may not be identical to the closing price of each scrip on that day on the NSE. In addition, the scheme may opt to trade the same securities on different exchanges due to price or liquidity factors, which may also result in traded prices being at variance from NSE closing prices.</li> <li>The performance of the index will have a direct bearing on the performance of the scheme. Hence,</li> </ul>
	• The market price of the ETF unit like any other listed security is largely dependent on two factors viz. the intrinsic value of the unit (or NAV) and demand and supply of the units in the market. Sizeable demand or supply of the units in exchange may lead to market price of the units to quote at premium or discount to NAV. And hence the units of the scheme may trade above or below the NAV. However given that the investors can transact with AMC directly beyond the creation unit size of the scheme there should not be a significant variation (large premium or discount) and it may not sustain due to the arbitrage opportunity available.
	• <b>Redemption Risk:</b> Investors may note that even though this is an open ended scheme, the Scheme would repurchase units in creation unit size only. Thus, if the unit holding is less than the creation unit size then it can be sold only through the secondary market on the exchange where the units are listed, subject to rules and regulations of the Stock Exchange. The AMC will appoint Authorised Participant(s) to provide liquidity in secondary market on an ongoing basis. The Authorised Participant(s) would offer daily two-way quote in the market.
	• <b>Tracking Error:</b> The Fund manager may not be able to invest the entire corpus in the same proportion as in the underlying index due to various factors such as fees, expenses of the scheme, corporate action, cash balance, changes in underlying index and regulatory policies which may affect the AMCs/schemes ability to achieve close correlation with the underlying index. Tracking error may be accounted by the various reasons which includes expenses, cash balance to meet redemptions, payout of IDCW, time to reallocate the portfolio subsequent to changes in the underlying index etc. AMC will endeavor to keep the tracking error as low as possible.
	• Active Market: Although the scheme is proposed to be listed on exchanges, there can be no assurance that an active secondary market will be developed or maintained. The AMC and the Trustees will not be liable for delay in trading of Units on Stock Exchange due to the occurrence of any event beyond their control. For an investor in less than creation unit size, exchange quotes may not be always available.
	management. An actively managed mutual fund manager, on the other hand, can tailor portfolio holdings which are beyond the mandate of an ETF. ETFs are passively managed and hence the risk associated with the particular ETF corresponds closely to the risk of the underlying asset subclass the scheme is tracking.



	assurance that these risks would be completely eliminated.
Plans/Options	The Scheme will have Growth Plan only.
Applicable NAV	For Subscriptions/Purchases of units directly with Mutual Fund
(repurchase and sale in Creation Unit size directly with Mutual Fund)	For any valid application for subscription of units, the applicable NAV shall be determined on the basis of confirmation of transfer of Portfolio Component and Cash Component or transfer of cash equivalent for Creation Unit size received by Mutual Fund.
	Accordingly, in respect of valid applications received by Mutual Fund alongwith
	<ul> <li>the confirmed status of Transfer of funds upto 3 .00 p.m and and where funds for the entire amount are available for utilization before the cut-off time i.e. credited to the bank account of the scheme before the cut-off time - the closing NAV of the day shall be applicable</li> </ul>
	<ul> <li>the confirmed status of Transfer of Portfolio, if applicable, upto 3.00 p.m, and where funds for the entire amount are available for utilization before the cut-off time i.e. credited to the bank account of the scheme before the cut-off time - the closing NAV of the day shall be applicable, on which the above confirmations are received by Mutual Fund, shall be applicable.</li> </ul>
	<ul> <li>In respect of valid applications received alongwith Confirmed status of Transfer of funds and/ou Confirmed status of Transfer of Portfolio after 3.00 p.m. and where the funds for the entire amount are credited to the bank account of the scheme before the cut-off time of the next business day i.e. available for utilization before the cut-off time of the next business day – the closing NAV of the next business day shall be applicable, on which either of the confirmations are received by Mutual Fund, shall be applicable.</li> </ul>
	<ul> <li>Irrespective of the time of receipt of application on any given day, where the funds for the entire amount are credited to the bank account of the scheme before the cut-off time on any subsequent business day i.e. available for utilization before the cut-off time on any subsequent business day the closing NAV of such subsequent business day shall be applicable.</li> </ul>
	For Redemptions/Sales of units directly with Mutual Fund
	<ul> <li>In respect of valid applications received upto 3 p.m. by the Mutual Fund, same day's closing NAV shall be applicable.</li> </ul>
	<ul> <li>In respect of valid applications received after 3 p.m. by the Mutual Fund, the closing NAV of the next business day shall be applicable</li> </ul>
	While the Applicable NAV shall be as per cut-off time specified above, the NAV shall be declared in accordance with the provisions as mentioned in this SID.
	For transactions done on the stock exchange
	An investor can buy/sell Units on a continuous basis on the NSE and BSE on which the Units are listed during the trading hours on all trading days. Therefore, the provisions of Cut-off timing for subscriptions/redemptions will not be applicable.
Minimum Application	For Subscription / Redemption of units directly with Mutual Fund:
Amount / Number of Units	<ul> <li>Subscription / Redemption facility directly with the Mutual Fund would be restricted to Authorized Participants and Large Investors.</li> </ul>
	<ul> <li>Units of scheme may be subscribed to / redeemed only in Creation Unit size &amp; in multiples thereof.</li> </ul>
	<ul> <li>Authorised Participants and Large Investors may subscribe to/redeem the units of the scheme on any business day directly with the Mutual Fund at applicable NAV and transaction charges, it any, by depositing/receiving stocks comprising the benchmark index and/or cash, value of which is equivalent to Creation Unit size.</li> </ul>
	<ul> <li>The Creation Unit size in case of Aditya Birla Sun Life Nifty ETF shall be 50,000 units and in multiples thereof.</li> </ul>
	<ul> <li>For Purchase / Sale of units through Stock Exchange: All categories of Investors may purchase/sell the units of the scheme through Stock exchange on which the units of the scheme are listed on any trading day in round lot of 1(one) Unit at the prevailing listed price.</li> <li>No switch-ins/switch-outs shall be allowed under the scheme on an ongoing basis</li> </ul>
Units in Fractions	Not applicable
Despatch of Proceeds of Repurchase (Redemption) Request	Within 10 working days of the receipt of the redemption request by Aditya Birla Sun Life Mutual Fund subject to confirmation with the depository records of the Scheme's DP account.



Benchmark Index	Nifty 50 TRI				
	The Trustee / AMC reserves the right to change the interest of Unitholders, subject to SEBI Regulation time.				
IDCW Policy	Not Applicable				
Name of the Fund					
Manager and Tenure for	Fund Manager(s)	Manag	ing Since	Т	enure
which the fund manager has been managing the	Mr. Lovelish Solanki		t 26, 2015	5.6	4 years
Scheme			,		
Name of the Trustee Company	Aditya Birla Sun Life Trustee Private Limited				
Performance of the Scheme	I. PERFORMANCE OF THE SCHEME AS A	AT MARCH 3	1, 2021		
	Scheme Name / Benchmark Index	Last 1 year	Last 3 year	Last 5 year	Since Inception
	Aditya Birla Sun Life Nifty ETF	72.09	14.32	14.85	11.50
	NIFTY 50 Total Return	72.54	14.58	15.12	11.73
	Scheme Inception date: July 21, 2011				
	for period less than 1 year & CAGR for period 1 year <b>II. ABSOLUTE RETURNS FOR EACH FINANCIAL</b> 60.00% 50.00% 40.00% 30.00% 20.00% 10.00% -10.00% -20.00% -30.00% Apr 2020 - Mar Apr 2019 - Mar Apr 2020 <b>Past performance may or may not be sustained</b> for period less than 1 year & CAGR for period 1 *Benchmark is TRI.	• YEAR (FY A • Aditya Birl • Aditya Birl • 9.66% • 9.66% • 10 2018 - Mar 2019 • 10 • 10	APR-MAR)	= ONIIIIy 18.20% 18.20% ar Apr 20 20 18 0% and abs	50 18.45% 16 - Mar 017 solute returns
Expenses of the Scheme	Entry Load*: Nil				
(i) Load Structure	Exit Load#: Nil				
	The units of the scheme are compulsorily traded in entry/exit load for the units purchased or sold thro have to bear costs in form of bid/ask spread or brok for transacting in units of the scheme through secon *In terms of SEBI circular no. SEBI/IMD/CIR No.4/ be charged by the Scheme to the investor effective # Further, if the average discount, of the bid price to trading days is greater than 3%, then an investor ca period of 3 consecutive trading days with an exit loa notification of the same would be displayed on our w	ugh stock ex kerage or suc idary market. 168230/09 d August 1, 20 the applicab in sell units of ad of 1% of th	cchanges. Ho ch other cost ated June 30 09. Ile NAV over a f the Scheme	wever, the as charged , 2009, no e a continuous directly to t	investor shall by his broker entry load will s period of 30 he Fund for a



(ii) Recurring expenses (Maximum, as a % of daily net assets)	Actual (unaudited) expenses for the financial year ended March 31, 2021: 0.05% Maximum estimated permissible expenses, including investment management fees, as a % per annum of daily net assets:	and advisory
	A. Expense Head / Nature of expense	% of daily net assets
	Investment Management and Advisory Fees (AMC fees)	
	Trustee fee	
	Registrar & Transfer Agent (RTA) Fees	
	Audit fees	
	Custodian fees	
	Marketing & Selling expense including agent commission	
	Cost related to investor communications	
	Cost of fund transfer from location to location	Linta
	Cost of providing account statements/allotment advice and IDCW/ redemption cheques and warrants	Upto 1.00%
	Costs of Statutory advertisements	
	Cost towards investor education & awareness (at least 2 bps)^	
	Brokerage & transaction cost over and above 12 bps and 5 bps for cash and derivative market trades respectively.	
	Goods and Service Tax (GST) on expenses other than investment management and advisory fees	
	GST on brokerage and transaction cost	
	Other expenses \$	
	Maximum total expense ratio (TER) permissible under Regulation 52(6)(b)	Upto 1.00%
	<b>B.</b> Additional expense for gross new inflows from specified cities under Regulation 52 (6A) (b) to improve geographical reach of scheme.	Upto 0.30%
	\$ Listing expenses are part of other expenses.	
	<ul> <li>Note: <ul> <li>(a) The TER of the Direct Plan will be lower to the extent of the abovementione expenses/ commission which is charged in the Regular Plan.</li> <li>(b) An terms of SEBI Circular No. CIR/IMD/DF/21/2012 dated September 13, 2012, the Fund shall annually set apart at least 2 basis points (i.e. 0.02%) on daily net assets within the maximum limit of Total Expense Ratio as per Regulation 52 of th Regulations for investor education and awareness initiatives.</li> <li>(c) In terms of SEBI Circular No. CIR/IMD/DF/21/2012 dated September 13, 2012, AM GST on following Fees and expenses as below:</li> <li>(i) Investment Management and Advisory Fees: AMC may charge GST or management and advisory fees to the scheme in addition to the maximum Expense Ratio as prescribed under Regulation 52 of the SEBI (MF) Regulations</li> <li>(ii) Other than Investment Management and Advisory Fees: AMC may charge the expenses other than investment management and advisory fees to the scheme in addition to the scheme maximum limit of Total Expense Ratio as prescribed under Regulation 52 of the Regulation 52 of the scheme in addition for the scheme in addition to the scheme in add</li></ul></li></ul>	AMC / Mutua of the schem he SEBI (MF C may charg on investmer limit of Tota s. arge GST o me within th the SEBI (MF execution of scribed under



	necessarily be paid from the Scheme only with ABSLAMC, its associate, sponsor, trustee or any Investors should note that, all scheme related en necessarily be paid from the Scheme only with ABSLAMC, its associate, sponsor, trustee or any The total recurring expenses of the Scheme exc borne by the Mutual Fund or by the AMC, but in shall not exceed the limits as prescribed under F are requested to refer to SID under "Section	expenses including commission paid to distributors will in the regulatory limits and not from the books of the y other entity through any route. Expenses including commission paid to distributors will in the regulatory limits and not from the books of the y other entity through any route. Cluding issue or redemption expenses, whether initially cluding the investment management and advisory fee, Regulation 52 of the SEBI (MF) Regulations. <b>Investors</b> on <b>IV-FEES AND EXPENSES - B. Annual Scheme</b> total expenses permissble to be charged to the
Waiver of Load for Direct Applications	Not Applicable	
Tax treatment for the Investors (Unitholders)	Investors are advised to refer to the details independently refer to his tax advisor.	in the Statement of Additional Information and also
Daily Net Asset Value (NAV) Publication	calculated upto four decimals. AMC shall updat	very Business Day. The NAVs of the Scheme will be the NAV on the AMFI website (www.amfiindia.com) nutualfund.adityabirlacapital.com) by 11.00 pm on the
For Investor Grievances	Aditya Birla Sun Life AMC Limited	Registrar & Transfer Agents:
	One World Center, Tower 1, 17th Floor, Jupiter Mill Compound, 841, Senapati Bapat Marg, Elphinstone Road, Mumbai 400 013 Tel.: 1800-270-7000 / 1800-22-7000, E-mail: care.mutualfunds@adityabirlacapital.com CIN: U65991MH1994PLC080811	Computer Age Management Services Limited (CAMS) Rayala Towers, 158, Anna Salai, Chennai - 600002. Contact Details: 1800-425-2267 E-mail: adityabirlacapital.mf@camsonline.com Website Address:www.camsonline.com
Unitholders' Information	APPLICABLE TO INVESTORS WHO OPT TO AND DO NOT HAVE DEMAT ACCOUNT :	HOLD UNITS IN PHYSICAL (NON-DEMAT) MODE
	For normal transactions during ongoing sale	s and repurchase:
	<ul> <li>of units allotted to the investor shall be service registered email address and/or mobile number of receipt of the application.</li> <li>Thereafter, a Consolidated Account Statemer in whose folio(s) transaction(s) has/have ta of the succeeding month shall be sent by e transactions** carried out by the investor,</li> </ul>	ption, an allotment confirmation specifying the number and by way of email and/or SMS's to the investors' ber not later than 5 (five) business days from the date ent (CAS) for each calendar month to the Unitholder(s) ken place during the month, on or before fifteenth day e-mail/mail. CAS shall contain details relating to all the including details of transaction charges paid to the mutual funds, during the month and holding at the end
	of IDCW, Systematic Investment Plan, Syste bonus transactions.	se, redemption, switch, payout of IDCW, reinvestment ematic Withdrawal Plan, Systematic Transfer Plan and in investors, account statement shall be issued to the
	investors within 5 (five) business days from unitholder may request for a physical accoun	the receipt of such request without any charges. The t statement by writing/calling the AMC/ISC/R&T.
	receive the CAS/account statement.	ne registered holder, the first named Unitholder shall n, switch, payout of IDCW, etc., carried out by the
	Unitholders shall be reflected in the CAS on t	he basis of Permanent Account Number (PAN). Iders for the folio(s) not updated with PAN details. The



<ul> <li>No Account statements will be issued to investors opted to hold units in electronic (demat) mode, since the statement of account furnished by depository participant periodically will contain the details of transactions</li> </ul>
APPLICABLE TO INVESTORS WHO OPT TO HOLD UNITS IN ELECTRONIC (DEMAT) MODE:
<ul> <li>On acceptance of the application for subscription, an allotment confirmation specifying the number of units allotted to the investor shall be send by way of email and/or SMS's to the investors' registered email address and/or mobile number not later than 5 (five) business days from the date of receipt of application.</li> <li>The asset management company shall issue units in dematerialized form to a unit holder in a scheme within 2 (two) working days of the receipt of request from the unit holder</li> </ul>
<ul> <li>Thereafter, Single Consolidated Account Statement (SCAS), based on PAN of the holders, shall be sent by Depositories, for each calendar month on or before fifteenth day of the succeeding month to the unitholders in whose folio(s)/demat account(s) transactions have taken place during that month.</li> </ul>
<ul> <li>SCAS shall be sent by Depositories every half yearly (September/ March), on or before twenty first day of the succeeding month, detailing holding at the end of the sixth month, to all such unitholders in whose folios and demat accounts there have been no transactions during that period.</li> </ul>
• In case of demat accounts with nil balance and no transactions in securities and in mutual fund folios, the depository shall send account statement in terms of regulations applicable to the depositories.
<ul> <li>Consolidation shall be done on the basis of Permanent Account Number (PAN). In the event the folio         / demat account has more than one registered holder, the first named Unit holder / Account holder         shall receive the SCAS. For the purpose of SCAS, common investors across mutual funds /         depositories shall be identified on the basis of PAN. Consolidation shall be based on the common         sequence/ order of investors in various folios/ demat accounts across mutual funds / demat accounts         across depository participants.</li> </ul>
• In case of multiple accounts across two depositories, the depository with whom the demat account has been opened earlier will be the default depository which will consolidate the details across depositories and Mutual Fund investments and dispatch the SCAS to the unitholders.
• Unitholders whose folio(s)/demat account(s) are not updated with PAN shall not receive SCAS. Unitholders are therefore requested to ensure that their folio(s)/demat account(s) are updated with PAN.
<ul> <li>For Unitholders who have provided an e-mail address in KYC records, the SCAS will be sent by e- mail.</li> </ul>
• The Unitholders may request for account statement for mutual fund units held in physical mode. In case of a specific request received from the Unitholders, account statement shall be provided to the unitholders within 5 business days from the receipt of such request.
• No account statements will be issued to unitholders opted to hold units in demat mode, since the statement of account furnished by depository participant periodically will contain the details of transactions.
<ul> <li>SCAS sent within the time frame mentioned above is provisional and is subject to realisation of payment instrument and/or verification of documents, including the application form</li> </ul>
Half Yearly Consolidated Account Statement:
<ul> <li>A CAS detailing holding 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 twenty first day of the</li> </ul>



		HDFC Bank Limited	10.23	
		Issuer	% to net assets	
Monthly Disclosures	Portfolio		0/ 4	1
	<b>D</b>	September), host a soft copy of its unaudited (www.mutualfund.adityabirlacapital.com). Further, the Mu advertisement disclosing the hosting of such unaudited half y a) Top 10 holdings (as on March 31, 2021)	financial resu utual Fund / A	ults on its website MC shall publish an
		Mutual Fund / AMC shall within one month from the close of		
		Half Yearly Results:		
		<b>Portfolio Disclosures:</b> In terms of SEBI Regulation, Mutual Funds/ AMCs will disc last day of the month / half-year for all Schemes on its websi and on the website of AMFI (www.amfiindia.com) within 10 year respectively in a user-friendly and downloadable spread send to Unitholders a complete statement of the scheme p each month / half-year whose email addresses are regist Mutual Fund / AMC shall publish an advertisement disclosin portfolio on its website www.mutualfund.adityabirlacapita (www.amfiindia.com). Mutual Funds/ AMCs will also provid scheme portfolio, without charging any cost, on specific reque	ite www.mutualfur days from the clo lsheet format. The ortfolio, within ten ered with the Mu ing the hosting of s al.com and on e a physical copy	nd.adityabirlacapital.com se of each month/ half- Mutual Fund/AMCs will days from the close of itual Fund. Further, the such half yearly scheme the website of AMFI of the statement of its
		Further, the Mutual Fund / AMC shall publish an advertiseme annual report on its website www.mutualfund.adityabirlaca (www.amfiindia.com).		
		The physical copy of the abridged summary shall be provid cost, if a specific request through any mode is received from	the unitholder.	
		Annual Report: The scheme wise annual report or an abridged summary the not later than four months from the date of closure of the addresses are registered with the Mutual Fund. The physical also be made available to the unitholders, at the registered annual report will also be hosted on (www.mutualfund.adityabirlacapital.com) and on the website	e relevant accour copies of Scheme d offices at all tin the website	nting year whose email e wise Annual report will nes. The scheme wise on its website
		For those unitholders who have provided an e-mail address, email. Unitholders who receive e-mail statements may down from the Mutual Fund. Should the Unitholder experience ar delivered documents, the Unitholder shall promptly advise the make the delivery through alternate means. It is deemed that including possible third party interception of the documents known to third parties. For ease of communication, first app should be provided.	load the documer by difficulty in acc Mutual Fund to er the Unitholder is a and contents of th	nts after receiving e-mail essing the electronically hable the Mutual Fund to aware of all security risks he documents becoming
		Statement of Additional Information (SAI).		
		<ul> <li>Investors should note that, no separate account statem hold units in electronic (demat) mode since the statem participant will contain the details of transactions.</li> <li>For more details, Investors are requested to refer the So</li> </ul>	ment of account	furnished by depository
		<ul> <li>succeeding month, to all such Unitholders in whos during that period.</li> <li>The half yearly consolidated account statement will b e-mail address is available, unless a specific request</li> </ul>	e sent by e-mail t	o the Unitholders whose



Reliance Industries Limited	10.19
Infosys Limited	7.97
Housing Development Finance Corporation Limited	7.08
ICICI Bank Limited	6.34
Tata Consultancy Services Limited	5.17
Kotak Mahindra Bank Limited	4.05
Hindustan Unilever Limited	3.41
ITC Limited	3.01
Axis Bank Limited	2.76

## b) Sector-wise Allocation (as on March 31, 2021)

Sector Classification	% to net assets
BANKS	26.42
SOFTWARE	16.75
PETROLEUM PRODUCTS	11.19
CONSUMER NON DURABLES	10.47
FINANCE	9.23
AUTO	5.40
PHARMACEUTICALS	3.26
CEMENT & CEMENT PRODUCTS	2.71
CONSTRUCTION PROJECT	2.70
INSURANCE	2.37
TELECOM - SERVICES	1.97
FERROUS METALS	1.67
POWER	1.67
CONSUMER DURABLES	1.02
TRANSPORTATION	0.81
NON - FERROUS METALS	0.75
OIL	0.59
PESTICIDES	0.55
MINERALS/MINING	0.43
OTHERS	0.05
Cash & Cash Equivalent	-0.01

 The monthly portfolio of the scheme (alongwith ISIN) shall also be made available on the website of the Mutual Fund (www.mutualfund.adityabirlacapital.com) on or before tenth day of the succeeding month.

 Transaction Charges
 SEBI has, with the intent to enable investment by people with small saving potential and to increase reach of Mutual Fund products in urban areas and in smaller towns, wherein the role of the distributor is considered vital, allowed AMCs vide its circular No. Cir/ IMD/ DF/13/ 2011 dated August 22, 2011 to



routed through distributor/	deduct transaction charges for subscription of ₹10,	,000/- and above.									
agent)	In accordance with the said circular, ABSLAMC / Mutual Fund will deduct the transaction charges from the subscription amount and pay to the distributors as shown below (who have opted-in to receive the transaction charges basis the type of product). Thereafter, the balance of the subscription amount shall be invested.										
	1. Transaction charges shall be deducted for Applications for purchase/ subscription relating to new inflows and routed through distributor/ agent:										
	Investor Type	Transaction charges <sup>^</sup>									
	First Time Mutual Fund Investor (across Mutual Funds)	<b>Rs. 150</b> for subscription application of ₹10,000 and above.									
	Investor other than First Time Mutual Fund Investor	Rs. <b>100</b> for subscription application of ₹10,000 and above.									
	and paid to the distributor; and the balance sh	ted by the ABSLAMC from the subscription amount hall be invested and accordingly units allotted. The t investment as gross subscription less transaction gainst the net investment amount.									
	3. Transaction charges shall not be deducted/ap	oplicable for:									
	(a) purchases / subscriptions for an amount less	than ₹10,000/-;									
	(b) Transaction other than purchases / subscripti	ons relating to new inflows such as Switches, etc.									
	(c) Purchases / subscriptions made directly v distributor / agent).	vith the Mutual Fund (i.e. not routed through any									
	(d) Transactions carried out through the Stock E	xchange Platforms for Mutual Funds.									

Notwithstanding anything contained in the Key Information Memorandum, the provisions of SEBI (Mutual Funds) Regulations, 1996 and Guidelines thereunder shall be applicable. Further, investors may ascertain about any further changes from the Mutual Fund/Investor Service Centres /Distributors or Brokers.

Date: April 22, 2021

Place: Mumbai



PROTECTING INVESTING FINANCING ADVISING

# Aditya Birla Sun Life NIFTY ETF

(An open ended scheme replicating NIFTY 50 TR Index)

Investments in stocks in     *Investors should consult t					0									0	rrors							Investor	Low s under	stand that	RISKOME t their prin		Very	High ry High risk	1
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plicable only for Regular Schemes. Pl	ease note	the Di	istributor	Mobile	& Email	Id will						r and v	will be	restricted	to this t	ransacti	on only.												
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Regit No.: 105. Regit Once: one wond center, rower in Profession outputs Min Composition,
 841, Senapati Bapat Marg, Prabhadevi, Mumbai - 400013
 +91 22 4356 7000 | care.mutualfunds@adityabirlacapital.com | www.adityabirlasunlifemf.com | CIN: U65991MH1994PLC080811

adityabirlacapital.com

1.	FIRST	/ SOLE	APPLICANT	INFOR	IOITAM	N (MANI	DATOR	(Y) (Co	ntd)																					
	Proof	of the	Relationship	with M	linor**																	**	Mandato	ory in	case t	he First	: / Sole	Applic	ant is	Minor
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S.					Payment Details
No.	Scheme Name	Plan / Option <sup>\$</sup>	Net Amount Paid (₹)	Cheque/DD No./UTR No. (in case of NEFT/RTGS)	Bank and Branch
1.	Aditya Birla Sun Life NIFTY ETF				

\_\_\_\_\_

\$ The amounts can be distributed out of investors capital (Equalization Reserve), which is part of sale price that represents realized gains

	GROSS ANNUAL INCOM	E [Please tick (	<ul><li>✓)]</li></ul>									
		Below 1 L	ac 🗌 1-5 La	acs 🗌 5-10 L	.acs 🗌 10-25 Lacs 🔲 > 25 L	_acs - 1 Crore 🗌 > 1 Crore						
	FIRST APPLICANT	Net worth (Ma	andatory for No	n - Individuals)	Rs	as on	DD	M M Y Y	Y Y [Not	older than	n 1 year]	
	SECOND APPLICANT	Below 1 L	.ac 🗌 1-5 La	acs 🗌 5-10 L	.acs 🗌 10-25 Lacs 🔲 > 25 L	acs - 1 Crore 🗌 > 1 Crore OF	Net Worth					
	THIRD APPLICANT	Below 1 L	.ac 🗌 1-5 La	acs 🗌 5-10 L	.acs 🗌 10-25 Lacs 🗌 > 25 L	_acs - 1 Crore 🔲 > 1 Crore OR	Net Worth					
	For Individuals				For Non-Individual Investors	s (Companies, Trust, Partners	hip etc.)					
		l am Politically Exposed Person	l am Related to Politically Exposed Person	Not Applicable	(If No, please attach mandat		Company or (	Controlled by a Li	sted Company:	_	No	
	Sole/First Applicant				Foreign Exchange / Money C	Charger Services				Yes	No	
	Second Applicant				Gaming / Gambling / Lotter	y / Casino Services	Services					
	Third Applicant				Money Lending / Pawning					Yes	No	
5.	<b>DEMAT ACCOUNT DETAIL</b> the A/c. held with the deposit				s will be compulsorily given in Demat fo	orm only) (Please ensure that the seq	uence of names	as mentioned in the	application form ma	tches with t	that of	
	NSDL: Depository Par	ticipant Name	9:		DPID No.:	IN	Benef	iciary A/c No.				
	CDSL: Depository Par	rticipant Name	9:			Beneficiary A/c No.						
	Enclosed: Client Ma	ster 🗌 Tr	ansaction/ St	atement Copy,	/ DIS Copy							
6.	NOMINATION DETAILS (M	<b>landatory)</b> (Re	fer Instruction No	. 7)								
	I/We wish to nomina	te 🗌 I/We I	DO NOT wish	to nominate ar	nd sign here		1st Ap	oplicant Signature	e (Mandatory)			
		Nominee N	lame and Add	ress	Applicant's Relationship with the Nominee	Guardian Name (in case o	of Minor)	Allocation %	Nominee/ Gu	ardian Sig	gnature	
	Nominee 1											
	Nominee 2											

Nominee 3

## 7. FATCA & CRS INFORMATION [Please tick (🗸)] For Individual Investors including Sole Proprietor (Non Individual Investors should mandatorily fill seperate FATCA detail form)

The below information is required for all applicant(s)/ guardian

Address Type: Residential or Business Residential Business Registered Office (for address mentioned in form/existing address appearing in Folio) Is the applicant(s)/ guardian's Country of Birth / Citizenship / Nationality / Tax Residency other than India?

If Yes, please provide the following information [mandatory]

Please indicate all countries in which you are resident for tax purposes and the associated Tax Reference Numbers below.

Category	First Applicant (including Minor)	Second Applicant/ Guardian	Third Applicant
Name of Applicant			
Place/ City of Birth			
Country of Birth			
Country of Tax Residency#			
Tax Payer Ref. ID No^			
Identification Type [TIN or other, please specify]			
Country of Tax Residency 2			
Tax Payer Ref. ID No. 2			
Identification Type [TIN or other, please specify]			
Country of Tax Residency 3			
Tax Payer Ref. ID No. 3			
Identification Type [TIN or other, please specify]			

#To also include USA, where the individual is a citizen/green card holder of USA. Aln case Tax Identification Number is not available, kindly provide its functional equivalent.

DECLARATION(S) & SIGNATURE(S) (Refer Instruction No. 1)

## То

## The Trustee,

# Date D D M M Y Y Y Y

## Aditya Birla Sun Life Trustee Private Limited.

Having read and understood the contents of the Statement of Additional Information / Scheme Information Document of the Scheme, I/We hereby apply for units of the scheme and agree to abide by the terms, conditions, rules and regulations governing the scheme. I/We hereby declare that the amount invested in the scheme is through legitimate sources only and does not involve and is not designed for the purpose of the contravention of any Act, Rules, Regulations, Notifications or Directions of the provisions of the Income Tax Act, Anti Money Laundering Laws, Anti Corruption Laws or any other applicable laws enacted by the government of India from time to time. I/We have understood the details of the scheme & I/we have not received nor have been induced by any rebate or gifts, directly or indirectly in making this investment.

For Non-Individual Investors: I/We hereby confirm that the object clause of the constitution document of the entity (viz. MOA / AOA / Trust Deed, etc.), allows us to apply for investment in this scheme of Aditya Birla Sun Life AMC Limited and the application is being made within the limits for the same. I/We are complying with all requirements / conditions of the entity while applying for the investments and I/We, including the entity, if the case may arise so, hereby agree to indemnify ABSLAMC / ABSLMF in case of any dispute regarding the eligibility, validity and authorization of the entity and/or the applicants who have applied on behalf of the entity.

For NRIs only: I/We confirm that I am/we are Non Residents of Indian Nationality/Origin and that 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. (Refer Inst. No. 6)

I/We confirm that details provided by me/us are true and correct.\*\*

\*\* I have voluntarily subscribed to the on-line access for transacting through the internet facility provided by Aditya Birla Sun Life AMC Limited (Investment Manager of Aditya Birla Sun Life Mutual Fund) and confirm of having read, understood and agree to abide the terms and conditions for availing of the internet facility more particularly mentioned on the website www.adityabirlasunlifemf.com and hereby undertake to be bound by the same. I further undertake to discharge the obligations cast on me and shall not at any time deny or repudiate the on-line transactions effected by me and I shall be solely liable for all the costs and consequences thereof.

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 / We acknowledge that the RIA has entered into an agreement with the AMC / MF for accepting transaction feeds under the code. I / We hereby indemnify, defend and hold harmless the AMC / MF against any regulatory action, damage or liability that they may suffer, incur or become subject to in connection therewith or arising from sharing, disclosing and transferring of the aforesaid information."

FATCA & CRS Declaration: I/ We have understood the information requirements of this Form (read along with FATCA & CRS Instructions) and hereby confirm that the information provided by me/ us on this Form is true, correct, and complete. I/ We also confirm that I/ We have read and understood the FATCA & CRS Terms and Conditions and hereby accept the same. (Refer Inst. No. 14)

Signature of First Applicant / Authorised Signatory	Signature of Second Applicant	Signature of Third Applicant

### 1. GENERAL INSTRUCTIONS

- i) Please read the terms of the Key Information Memorandum, the Statement of Additional Information/Scheme Information Document and addenda issued from time to time carefully before filling the Application Form. Investors should also appraise themselves of the prevailing Load structure on the date of submitting the Application Form. Investors are deemed to have accepted the terms subject to which this offer is being made and bind themselves to the terms upon signing the Application Form and tendering payment.
- Application form should be completed in English and in BLOCK LETTERS. Please tick in the appropriate boxes wherever applicable.
- iii) The signature should be in English or in any of the Indian languages specified in the eighth schedule of the Constitution of India. Thumb Impressions must be attested by a magistrate or a notary public or a special executive magistrate under his/her official seal. Applications by minors should be signed by the guardians. In case of H. U. F., the Karta should sign on behalf of the H.U.F.
- iv) The application complete in all respects along with the cheque / demand draft must be submitted to the nearest designated Investor Service Centre. Applications incomplete in any respect or not accompanied by cheque or demand draft of the amount payable are liable to be rejected and the money paid will be refunded without interest.
- No receipt will be issued for the application money. The designated Investors Service Centre will stamp and return the acknowledgment slip in the application form, to acknowledge receipt of the application.
- vi) All cheques and bank drafts must be drawn in favour of "Scheme Name" and crossed "Account Payee Only". A separate cheque or bank draft must accompany each application /each Scheme. In case the Scheme name as provided by investor on the application form and on the payment instrument are different, the application shall be processed and units allotted of the Scheme as mentioned in the application Form duly signed by investor.
- vii) Investors already holding a folio in Aditya Birla Sun Life AMC Limited can provide their existing Folio Number and Name of applicants(s) corresponding to the said folio. It is the responsibility of the Investor to ensure correctness of such details provided. The personal details and Bank Account details as registered in the existing folio number as provided would apply to the said investment and the registered details would prevail over any conflicting information finnished in this form. The AMC reserves the right to assign any of the existing Folio Number of the investor against multiple applications and / or subsequent purchases under this new application form lodged, with identical mode of holding and address and such other criterions and integrity checks as may be determined by the AMC from time to time.

### viii) TRANSACTION CHARGES

SEBI with the intent to enable investment by people with small saving potential and to increase reach of Mutual Fund products in urban areas and in smaller towns, wherein the role of the distributor is considered vital, has allowed AMCs vide its circular No. Cir/IMD/DF/13/2011 dated August 22, 2011 to deduct transaction charges for subscription of ₹ 10,000/- and above. In accordance with the said circular, if the distributor is considered vital, has on the AMC Limited shall deduct the Transaction Charges of ₹ 150/- (for First Time Mutual Fund Investor) form your subscription amount and pay the same to such distributor. Thereafter, the units shall be allotted against the balance amount invested after deduction of Transaction charges payable to the distributor. The statement of account shall clearly state the net investment amount.

Please note that Transaction Charges shall not be deducted in the following cases:

a. Purchases / subscriptions for an amount less than ₹10,000/-;

b. Transaction other than purchases / subscriptions relating to new inflows such as Switches / STPs / Income Distribution cum capital withdrawal option - Sweep facility etc.

c. Purchases / subscriptions made directly with the Mutual Fund (i.e. not routed through any distributor / agent). In case of investments through Systematic Investment Plan (SIP):

Transaction charges in case of investments through Systematic Investment Plan (SIP) 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.

### 2. INVESTOR PARTICULARS

- Name and address must be given in full. P.O. Box address is not sufficient. In case of NRIs/ FPIs investors an overseas address must be provided.
- ii) "On behalf of Minor" Accounts: Name of Guardian must be mentioned if investments are being made on behalf of a minor. Date of birth is mandatory in case of minor. The minor shall be the first and the sole holder in the account (folio). No joint holder will be allowed in an account (folio) where minor is the first or sole holder. Guardian in the account (folio) on behalf of the minor should either be a natural guardian (i.e. father or mother) or a court appointed legal guardian and the same must be mentioned in the space provided in application form. Copy of document evidencing the date of birth of the minor and relationship of the guardian with the minor (whether natural or legal guardian) should mandatorily be provided while opening of the account (folio). Also, nomination shall not be allowed in a folio/account held on behalf of a minor.
- iii) In case of an application under Power of attorney or by a limited company, body corporate, registered society, trust or partnership, etc the relevant Power of attorney or the relevant resolution or authority to make the application as the case maybe, or duly notarised copy thereof, along with the Memorandum and Articles of Association/ Bye Laws must be lodged with the application form.
- iv) Documentation to be submitted by Corporate Investors/Societies / Trusts /Partnership Firms/ FPIs

	Corporate Investors	Trusts	Societies	Partnership Firms	FPls	POA
Board/ Committee Resolution/ Authority Letter	1	1	1	1	1	
Trust Deed		1				
Partnership Deed				1		
Bye-laws			1			
List of authorised Signatories with name, designation & Specimen Signature	1	1	1	1	1	
Overseas Auditor's certificate					1	
Power of Attorney						1

The Power of Attomey should necessarily be signed by both the investor and the constituent Power of Attomey. Where only uncertified photocopies of the documents are submitted / attached to the application form, the onus for authentication of the documents so submitted shall be on investors and the ABSLAMC / ABSLMF will accept and act in good faith on uncertified / not properly authenticated documents submitted/attached with the application form. Submission of such documents by investors shall be full and final proof of the non individual investor's authority to invest and the ABSLAMC/MF shall not be liable under any circumstances for any defects in the documents so submitted. Non-Individual investors are required to ensure that the object clause of the constitution document (viz. MOA / AOA / Trust Deed, etc.) permits investment in the scheme(s) of Aditya Birla Sun Life Mutual Fund. ABSLAMC / ABSLMF shall accept and process the applications made by these entities in good faith by relying on the undertaking given with respect to the authority, validity and compliance with Aldtya Birla Sun Life Mutual Fund. Further, ABSLAMC/ABSLMF/Trustees or any of its affiliates shall not be liable in case of any dispute arising with respect to eligibility, validity and authorization of the entity and/or the applicants who have applied on behalf of the entity, as applicable. v) Applicants can specify the mode of holding in the application form as "Single" or "Joint" or "Anyone or Survivor". In the case of holding specified as "Joint", redemption and all other request/ transactions would have to be signed by all unit holders. However, in cases of holding specified as "Anyone or Survivor", any one of the unit holders will have the power to make all necessary requests, without it being necessary for all the unit holders to sign. In the event the account has more than one registered unit holders and the mode of holding is not specified in the application form, the default option for holding would be considered to be "anyone or survivor".

However, in all cases, the proceeds of all Income Distribution cum capital withdrawal option/redemption will be paid to the first named holder. All communications will also be sent to the first named holder.

vi) Investors should clearly indicate their preference of Plan/option on the application form. If no plan is selected in the application form, the investment will be deemed to be for the default option.

## (A). BANK AND PERMANENT ACCOUNT NUMBER DETAILS

3

Bank Details: In order to protect the interest of investors from fraudulent encashment of cheques, the SEBI Regulations have made it mandatory for investors to mention in their application / Redemption request, the bank name and account number.

## Please note that the bank account details of the minor investor/unit holder are required for the purpose of receiving redemption proceeds/Payout of Income Distribution cum capital withdrawal option and in its absence the payment of redemption/Income Distribution cum capital withdrawal option proceeds will be made in the name of the minor Unit holder but with guardian bank account details as provided in the Application Form.

PAN Details: It is compulsory for all investors to quote their Permanent Account Number (PAN) and submit copy of the PAN card issued by the Income Tax Department, irrespective of the amount of investment, while making an application for Purchase of Units. In case of joint applicants, PAN details of all holders should be submitted. In case the investor making the application is a minor, PAN details of the Guardian must be submitted. Investors residing in the state of Sikkim are exempt from the mandatory requirement of PAN proof submission, however sufficient documentary evidence shall have to be submitted to Aditya Birla Sun Life Mutual Fund for verifying that they are residents of State of Sikkim. Investors (being individuals) applying for Micro SIP registrations are exempt from mandatory requirement of PAN submission. For further details on Micro SIP, documents required et please refer instructions in SIP Application Form.

## (B). DEMAT ACCOUNT DETAILS: Option to hold Units in dematerialized (demat) form

Pursuant to SEBI Circular no. CIR/IMD/DF/9/2011 dated May 19, 2011, effective October 01, 2011, investors have an option to subscribe to/hold units of Scheme(s)/Plan(s) viz. open ended, close ended, Interval (except for exchange traded fund/s) in dematerialized (demat) form.

Consequently, the Unitholders under the Scheme(s)/Plan(s) shall have an option to subscribe to/ hold the units in electronic (demat) form in accordance with the provisions laid under the respective Scheme(s)/Plan(s) and in terms of the guidelines/procedural requirements as laid by the Depositories (NSDL/CDSL) from time to time. Units under Plan(s)/Option(s) of all Schemes of Aditya Birla Sun Life Mutual Fund with Income Distribution cum capital withdrawal option of daily, weekly or fortnightly frequency, as defined under respective Scheme Information Document, shall be available in physical (non-demat) mode only. Also, various Special Products/Facilities such as Century SIP, Systematic Withdrawal Plan, Systematic Transfer Plan, Switching etc. offered by AMC/Mutual Fund shall be available for unitholders in case the units are held/opted to be held in physical (non-demat) mode.

Investors intending to hold units in electronic (demat) form will be required to have beneficiary account with a Depository Participant (DP) (registered with NSDL / CDSL) and will be required to indicate, in the application form, the DP's name, DP ID Number and the Beneficiary account number of the application form, the DP's name, DP ID Number and the Beneficiary account number of the application held with the DP at the time of subscribing to the units. Applicants must ensure that the sequence of the names as mentioned in the application form matches with that of the Beneficiary account held with the DP. Names, PAN details, KYC details etc. mentioned in the Application Form will be verified against the Depository records. If the details mentioned in the application form are found to be incomplete / incorrect or not matching with the depository records, the application shall be treated as application for physical (non-demat) mode, subject to it being complete in all other aspects. Unitholders who have opted to hold and thereby allotted units in electronic (demat) form will receive payment of redemption / Incore Distribution cum capital withdrawal option proceeds into bank account linked to their Demat account.

Units held in electronic (demat) form will be transferable subject to the provisions laid under the respective Scheme(s)/Plan(s) and in accordance with provisions of Depositories Act, 1996 and the Securities and Exchange Board of India (Depositories and Participants) Regulations, 1996 as may be amended from time to time.

In case, the Unitholder desires to hold the Units in a Dematerialized /Rematerialized form at a later date, the request for conversion of units held in physical (non-demat) mode into electronic (demat) form or vice-versa should be submitted alongwith a Demat/Remat Request Form to their Depository Participant(s). Investors should ensure that the combination of names in the account statement is the same as that in the demat account.

#### 4. KNOW YOUR CUSTOMER (KYC)

According to guidelines issued by SEBI under 'The Prevention of Money Laundering Act, 2002', Mutual Funds are required to follow enhanced know your customer (KYC) norms. Investors can visit branches of ABSLAMC or may visit www.adityabirlacapital.com, www.amfiindia.com and www.cdslindia.com to know detailed procedure for KYC compliance.

Effective January 01, 2011 it is mandatory for all category of investors to be KYC compliant for all investment transactions made on or after January 01, 2011, irrespective of amount of investment.

To further clarify, the above category of investors shall include:

i. their constituted Power of Attorney (PoA) holder, in case of investments through a PoA

ii. each of the applicants, in case of investments in joint names; and

iii. Guardian in case of investments on behalf of minor.

Applications without KYC Acknowledgement letter for the specified category of investors are liable to be rejected.

Provided further, where it is not possible to verify the KYC compliance status of the investor at the time of allotment of units, the ABSLAMC shall verify the KYC compliance status of the investor within a reasonable time after the allotment of units. In the event of non compliance of KYC requirements, the ABSLAMC reserves the right to freeze the folio of the investor(s) for any kind of transactions or affect mandatory redemption of unit holdings of the investors at the applicable NAV, subject to payment of exit load. Investors should note that on completion of KYC Compliance all details of the investor in the Mutual Fund records will be replaced by the details as given in KYC Application Form by the investor. Any change in these details like change of Name / Address / Status /Signature, etc. should be given by Investor directly in the prescribed manner.

Pursuant to SEBI Circular No. MIRSD/ Cir-26/ 2011 dated December 23, 2011, SEBI (KYC Registration Agency) Regulations, 2011 and SEBI Circular No. MIRSD/SE/Cir-21/2011 dated October 05, 2011, regarding uniformity in the Know Your Customer (KYC) process in the securities market and development of a mechanism for centralization of the KYC records to avoid duplication of KYC Process across the intermediaries in the securities market, the following changes are being made to KYC process:

- SEBI has introduced a common KYC Application Form for all the SEBI registered intermediaries viz. Mutual Funds, Portfolio Managers, Depository Participants, Stock Brokers, Venture Capital Funds, Collective Investment Schemes, etc. New Investors are therefore requested to use the common KYC Application Form and carry out the KYC process including In-Person Verification (IPV) with any SEBI registered intermediaries including mutual funds. The KYC Application Forms are also available on our website www.adityabirlacapital.com.
- 2. The Mutual Fund shall perform the initial KYC of its new investors and may undertake enhanced KYC measures commensurate with the risk profile of its investors. The Mutual Fund shall upload the details of the investors on the system of the KYC Registration Agency (KRA). Registrar & Transfer Agent (RTA) of the Mutual Fund may also undertake the KYC of the investors on behalf of the Mutual Fund. KRA shall send a letter to the investor within 10 working days of the receipt of the initial/updated KYC documents from the Mutual Fund, confirming the details thereof.

- 3. Once the investor has done KYC with a SEBI registered intermediary, the investor need not undergo the same process again with another intermediary including mutual funds. However, the Mutual Fund reserves the right to carry out fresh KYC of the investor.
- 4. It is mandatory for intermediaries including mutual funds to car out In-Person Verification (IPV) of its new investors w.e.f January 01, 2012. The IPV carried out by any SEBI registered intermediary can be relied upon by the Mutual Fund. ABSLAMC and NISM/AMFI certified distributors who are KYD compliant are authorized to undertake the IPV for Mutual Fund investors. Further, in case of any applications received directly (i.e. without being routed through the distributors) from the investors, the Mutual Fund may rely upon the IPV (on the KYC Application Form) performed by the scheduled commercial banks.

Further, as per SEBI circular dated April 24, 2020, earlier circular on IPV stands modified as under:

- IPV/ VIPV would not be required when the KYC of the investor is completed using the Aadhaar authentication / verification of UIDAI.
- IPV / VIPV will not be required by the RI when the KYC form has been submitted online, documents have been provided through digiocker or any other source which could be verified online.
- As per SEBI Circular dated April 24, 2020, The eSign mechanism of Aadhaar will be accepted in lieu of wet signature on the documents provided by the investor and the cropped signature affixed on the online KYC form under eSign will be accepted as valid signature.
- Existing KYC compliant investors of the Mutual Fund can continue to invest as per the current practice. However, existing investors are also urged to comply with the new KYC requirements including IPV as mandated by SEBI.

For further details with respect to KYC process, please read Statement of Additional Information.

## 5. MODE OF PAYMENT

 Resident investors may make payment by cheque payable locally in the city where the application form is submitted at the local Aditya Birla Sun Life AMC Limited (ABSLAMC) Offices / Authorised Collection Centres.

ii) The cheque should be drawn on any bank which is situated at and is a member/sub member of the bankers clearing house or the cheque should be drawn on Bank branch which is participating in "Speed Clearing' facility made available by Reserve Bank of India (RBI) [i.e. if the presenting bank branch and location is appearing in list of "Speed Clearing' locations as prescribed by RBI from time to time for Core Banking Solution (CBS) branches]. Investors are requested to note that only cheques of value of upto  $\overline{\P}$  1 lacs shall be accepted under this "Speed Clearing' facility. Further, the list of Speed Clearing-enabled bank branches are hosted on the website of the RBI under the link http://www.rbi.org.in/Scripts/bs\_viewcontent.aspx?ld=2016.

iii) Payment through Stock invest, outstation cheques and third party payments will not be accepted.

iv) For all mode of payments, details of source account, source bank name and source branch name should be mentioned.

## v) Restriction on acceptance of Third Party Payment:

- a) Pursuant to the AMFI Best Practice Guidelines circular on 'Risk mitigation process against Third-Party Cheques in mutual fund subscriptions' read with compliance with 'Know your Customer (KYC)' norms under Prevention of Money Laundering Act, 2002 (PMLA), Aditya Birla Sun Life AMC Limited (ABSLAMC)/ Aditya Birla Sun Life Mutual Fund (ABSLMF) shall not accept applications for subscriptions of units accompanied with Third Party Payments, except in the cases as enumerated below in para (c).
- b) "Third Party Payment" means payment through an instrument issued from a bank account other than that of the beneficiary investor. In case of payments from a joint bank account, the first named investor/holder of the mutual fund folio has to be one of the joint holders of the bank account from which payment is made.
- c) ABSLAMC shall not accept subscriptions accompanied with Third Party Payments except in the following exceptional situations subject to submission of requisite documentation/declarations enumerated in para (0) below:

i. Payment by Employer on behalf of employee under Systematic Investment Plans (SIP) through Payroll deductions.

ii. Custodian on behalf of an FPI or a client.

In case of 'exceptional situations' mentioned above, investors are required to submit following documents/declarations alongwith the application form without which such applications will be rejected/ not processed/refunded:

i. Mandatory KYC for all Investors (guardian in case of minor). In order for an application to be considered as valid, investors and the person making the payment should attach their valid KYC Acknowledgement Letter to the application form.

ii. A separate, complete and valid 'Third Party Payment Declaration Form', inter alia, containing the details of the bank account from which the payment is made and the relationship with the investor(s). The declaration has to be given by the person making the payment i.e. Third Party. Please contact the nearest Investor Service Centre (ISC) of ABSLAMC or visit our website www.adityabirlacapital.com for the said Declaration Form.

ABSLAMC/ABSLMF shall verify the source of funds to ensure that funds have come from the drawer's account only.

e) Investors are requested to note that, in case of:

i. Payment by Cheque: An investor at the time of his/her purchase must provide the details of his pay-in bank account (i.e. account from which a subscription payment is made) and his pay-out bank account (i.e. account into which redemption/Income Distribution cum capital withdrawal option proceeds are to be paid).

If the name/bank account number is not pre-printed on the cheque and signature on the cheque does not match with signature on the application, then the first named applicant/investor should submit any one of the following documents:

a. a copy# of the bank passbook or a statement of bank account having the name and address of the account holder and account number;  $% \left( {{\left[ {{{\rm{A}}} \right]}_{{\rm{A}}}} \right)_{{\rm{A}}} \right)_{{\rm{A}}} = \left( {{\left[ {{{\rm{A}}} \right]}_{{\rm{A}}}} \right)_{{\rm{A}}} \right)_{{\rm{A}}} = \left( {{{\rm{A}}} \right)_{{\rm{A}}} \right)_{{\rm{A}}} = \left( {{{\rm{A}}} \right)_{{\rm{A}}} \right)_{{\rm{A}}} = \left( {{{\rm{A}}} \right)_{{\rm{A}}}} = \left( {{{\rm{A}}} \right)_{{\rm{A}}} = \left( {{{\rm{A}}}$ 

b. a letter\* (in original) from the bank on its letterhead certifying that the investor maintains an account with the bank, along with information like bank account number, bank branch, account type, the MICR code of the branch & IFSC Code (where available).

# Investors should also bring the original documents along with the documents mentioned in (a) above to the ISCs/Official Points of Acceptance of ABSLMF. The copy of such documents will be verified with the original documents to the satisfaction of the ABSLAMC/ABSLMF. The original documents will be returned across the counter to the investor after due verification.

\* In respect of (b) above, it should be certified by the bank manager with his/her full signature, name, employee code, bank seal and contact number.

Investors should note that where the bank account numbers have changed on account of the implementation of core banking system at their banks, any related communication from the bank towards a change in bank account number should accompany the application form for subscription of units.

## ii. Payment by Prefunded Instrument:

(1) If the subscription is settled with pre-funded instruments such as Pay Order, Demand Draft, Banker's cheque, etc., a Certificate (in original) from the Issuing banker must accompany the purchase application, stating the Account holder's name and the Account number which has been debited for issue of the instrument.

The account number mentioned in the Certificate should be a registered bank account or the first named unitholder should be one of the account holders to the bank account debited for issue of such instruments. Investors may also submit a copy of the acknowledgement from the bank, wherein the instructions to debit carry the bank account details and name of the investor as an account holder, or a copy of the passbook/bank statement evidencing the debit for issuance of a DD, provided bank account number has to match with the details provided in the application form and name should match with the name of the first named unitholder.

(2) A pre-funded instrument issued by the Bank against Cash shall not be accepted for investments of ₹ 50,000/- or more. This also should be accompanied by a certificate from the banker giving name, address and PAN (if available) of the person who has requested for the payment instrument. The name mentioned on the Certificate should match with the name of the first named unitholder and certificate must state such investor's bank account number and PAN as per bank record, if available.

The Certificate(s) mentioned in (1) and (2) above should be duly certified by the bank manager with his/her full signature, name, employee code, bank seal and contact number.

iii. Payment by RTGS, NEFT, ECS, NECS, Bank transfer, etc: A copy of the instruction to the bank stating the account number debited must accompany the purchase application. The account number mentioned on the transfer Instruction copy should be a registered bank account or the first named unitholder should be one of the account holders to the bank account.

### iv. Cash acceptance towards subscription

In accordance with SEBI circular CIR/IMD/DF/10/2014 dated May 22, 2014, Investors who are KRA-KYC compliant and do not belong to the top 30 cities\* may avail of facility of subscribing to units of the Scheme through cash to the extent of ₹ 50,000/- per investor per financial year. However, repayments in form of redemptions, Income Distribution cum capital withdrawal option, etc. with respect to investments through cash, shall be paid only through banking channel. Currently, cash shall be accepted at designated Investor Services Centers of Computer Age Management Services Pvt. Ltd (CAMS) in Guntur, Bhagalpur, Palanpur, Satara, Sangli, Bhatinda, Kota, Namakkai, Bareilly and Haldia. For detailed Address of Investor Services Centers of CAMS, refer address at the end of the document. Also, for the detailed procedures for making cash applications, Investors may enquire at the said designated ISCs for further assistance. "Top 30 cities shall on Association of Mutual Funds in India (MNFI) data on 'AUM by Geography - Consolidated Data for Mutual Fund Industry' as at the end of the previous financial year. In case the application for subscription does not comply with the above provisions, ABSLAMC/ABSLMF retains the Sole and absolute discretion to reject/not process such application and refund the subscription money and shall not be liable for any such rejection.

vi. Investors residing in Centres, where the Investors service Centres of the mutual fund are not located, are requested to make payment by demand drafts payable at the Centre where the application is to be lodged. D.D. charges would be borne by the fund only for the investors residing at places which are not covered by our office / authorised centres & DD Charges are mentioned in the form. The maximum charges so borne by the fund would be restricted to limits as prescribed by State Bank of India.

## 6. NRI INVESTORS

## Repatriation basis:

Payments by NRIs/FPIs may be made by way of Indian rupee drafts purchased abroad or out of funds held in NRE/FCNR account or by way of cheques drawn on non-resident external accounts payable at par and payable at the cities where the Investor Service Centres are located. In case of Indian rupee dras purchased and subscriptions through NRIs / FCNR account, an account debit certificate from the bank issuing the dra confirming the debit should also be enclosed.

## Non Repatriation basis:

NRIs investing on a non repatriable basis may do so by issuing cheques/ demand drafts drawn on Non-Resident of India (NRO) account payable at the cities where the Investor Service Centres are located.

## 7. NOMINATION

- i) Unit holder can nominate (in the manner prescribed under the SEBI Regulations), maximum upto 3 person(s) in whom the Units held by him/her shall vest in the event of his/her death. It shall be mandatory to indicate clearly the percentage of allocation / share in favour of each of the nominees against their name and such allocation / share is haven of each of the decimals making a total of 100 percent. In the event of the Unitholders not indicating the percentage of allocation / share for each of the nominees, the AMCs, by invoking default option shall settle the claim equally amongst all the nominees.
- Nomination made by unitholder shall be applicable for investments in all the Schemes in the folio or account and every new nomination for a folio or account will overwrite the existing nomination.
   Thus, a new nomination request will imply simultaneous cancellation of existing nomination and request for fresh nomination.
- iii) The nomination can be made only by individuals applying for / holding units on their own behalf singly or jointly in favour of one or more persons. Non-individuals including society, trust, body corporate, partnership firm, Karta of Hindu Undivided Family, holder of Power of Attorney cannot nominate. Nomination form cannot be signed by Power of attorney (PoA) holders.
- In case a folio has joint holders, all joint holders should sign the request for nomination/ cancellation of nomination, even if the mode of holding is not "joint".
- v) A minor can be nominated and in that event, the name and address of the guardian of the minor nominee shall be provided by the unit holder. The Applicant is advised that, in case of Single Holding, the Guardian to a Minor Nominee should be a person other than the Applicant.
- vi) Nomination can also be in favour of the Central Government, State Government, a local authority, any person designated by virtue of these offices or a religious or charitable trust.
- vii) The Nominee shall not be a trust (other than a religious or charitable trust), society, body corporate, partnership firm, Karta of Hindu Undivided Family or a Power of Attorney holder. A non-resident Indian can be a Nominee subject to the exchange controls in force, from time to time.
- viii) Nomination shall not be allowed in a folio/account held on behalf of a minor.
- ix) Nomination in respect of the units stands rescinded upon the transfer of units.
- x) Transfer of units in favour of a Nominee shall be valid discharge by the AMC against the legal heir.
- xi) The cancellation of nomination can be made only by those individuals who hold units on their own behalf single or jointly and who made the original nomination.
- xii) On cancellation of the nomination, the nomination shall stand rescinded and the AMC shall not be under any obligation to transfer the units in favour of the Nominee.
- xiii) The nomination details as registered with the Depository Participant shall be applicable to unitholders who have opted to hold units in Demat mode.
- xiv) Nomination shall be mandatory for new folios/accounts opened by individuals especially with sole/single holding and no new folios/accounts for individuals in single holding shall be opened without nomination. However, in case investors do not wish to nominate must sign separately confirming their non-intention to nominate, failing which the form may be rejected at the discretion of the AMC/Mutual Fund.

## 8. ELECTRONIC PAYOUT OF REDEMPTION/INCOME DISTRIBUTION CUM CAPITAL WITHDRAWAL OPTION

ABSLAMC will endeavor to credit the redemptions/Payout of Income Distribution cum capital withdrawal option directly to the designated Bank A/c of the unitholders of Aditya Birla Sun Life Mutual Fund schemes through any of the available electronic mode (i.e. RTGS/NETF/Direct Credit/NECS/ ECS). ABSLAMC reserves the right to use any of the above mode of payment as deemed appropriate for all folios where the required information is available. The Mutual Fund, however, reserves the right to issue a cheque / demand draft inspite of an investor opting for Electronic Payout.

## 9. DIRECT APPLICATIONS AND EUIN

a. Investment in Direct Plan: Investors applying under Direct Plan, are advised to write the word 'DIRECT' in the column 'ARN No' or 'Broker Code' in their applications for purchases/additional purchases/switches in all such cases where applications are not routed through any distributor/ agent/ broker. In cases where unit holder uses a pre-printed transaction slip/application form where details in the 'ARN No' or 'Broker Code' column is already printed, unit holder should cancel the ARN No/ Broker Code, write 'DIRECT' in the said column. Also, in case ARN No/ Broker Code is mentioned in the application form, but "Direct Plan" is indicated, the ARN No/ Broker Code will be ignored and the application will be processed under Direct Plan, subject to it being complete in all other aspects. Further, where application is received for Regular Plan without Distributor code or "Direct" mentioned in the ARN Column, the application will be processed under Direct Plan.

b. Employee Unique Identification Number (EUIN) is a unique number allotted to Sales personnel i.e. employee/relationship manager/ sales person of the distributor interacting with the investor for the sale of mutual fund products. Such sales personnel associated with Distributor, should also be holding a valid NISM certificate. Thus, in case of applications routed through distributors, in addition to the AMFI Registration Number (ARN) of the distributor, Investors are requested to also provide the EUIN of the individual ARN holder or of employee/relationship manager/sale person of the Distributor, investors in tackling the providing appropriate EUIN in the application/transaction forms would assist in tackling the problem of mis-selling even if the Sales personnel on whose advice the transaction was executed by investor leaves the employment of the distributor or his/her sub broker. If the distributor have not given any advice pertaining to the investment (i.e. transaction is 'execution only'), then the EUIN be application form.

## 10. E-MAIL COMMUNICATION

Account Statements, Quarterly Newsletter, Annual Reports and Transaction Confirmation can be sent to Unit holders by post / email. Should the Unit holder experience any difficulty in accessing in the electronically delivered documents, the unit holder shall promptly inform the same to the Mutual Fund. It is deemed that the Unit holder is aware of all security risks including possible third party interception of the documents and contents of the documents becoming known to third parties. For ease of communication, first applicant's own email ID and mobile number should be provided.

## 11. TERMS AND CONDITIONS FOR ON-LINE ACCOUNT ACCESS

- User of Customer Identification PIN (CIP) facility in the parlance of Aditya Birla Sun Life AMC Limited (ABSLAMC) means a Unitholder being serviced by ABSLAMC.
- A CIP will enable the user to view the Account Statement on the Aditya Birla Sun Life website (www.adityabirlacapital.com) and other services mentioned herein aer.
- iii) The user shall have no objection to ABSLAMC verifying the identity before allotting the CIP
- iv) The CIP allotted to the user is confidential in nature and the user confirms that he/she will keep the CIP confidential and will not divulge it to anybody else. The user also agrees to take all possible care to prevent discovery of the CIP by any person. The responsibility for misuse of the CIP of the User is solely of the user and ABSLAMC shall not be responsible for the use/misuse of the CIP in any manner whatsoever.
- v) The User shall inform ABSLAMC immediately in case the CIP becomes known to any other person. ABSLAMC may in its absolute discretion, issue to the user a new CIP on similar terms and conditions or under such terms and conditions as ABSLAMC may deem fit.
- vi) ABSLAMC will take reasonable efforts to keep its website updated so as to provide most current information to the user. The user acknowledges that ABSLAMC expressly disclaims liability for errors or omissions in the information on the website. The user also recognises that because of communication and other issues, it is possible that the site may not be operating/working on many occasions. The user also agrees that the look and feel of the Web screen and outputs there from may differ based on the nature of the soware used by the user to browse the site. The user agrees not only to the terms and conditions herein contained but also the disclaimer and other matters, as may be displayed/posted on the site.
- vii) ABSLAMC may, in the interest of the user request a fax confirmation of the Instructions and any additional information that ABSLAMC may require. ABSLAMC shall not be bound to act on instructions/ requests received until the said fax confirmation and additional information is received from the user.
- viii) The user shall be fully liable to ABSLAMC for eve transaction entered into using the CIP facility, whether with or without the knowledge of the user and consequences thereof.
- ix) The user shall not use the online services on a PC or other Internet access device which belongs to any other person or which is provided to the user by his/her employer without such person's or, as the case may be, his/her employer's previous written permission. ABSLAMC will not be responsible for any harm or loss caused to any person as a result of the user not complying with this condition. The user indemnifies and agrees to keep ABSLAMC at all times saved, defended, harmless and indemnified from and against any and all loss, costs, outgoings, expenses, claims, damages or consequences whatsoever that ABSLAMC may suffer as a result of the user using any PC or Internet device without the permission of the owner thereof and he/she shall be bound to compensate. ABSLAMC shall not be liable for the non-suitability thereof or if any other data or soware contained in such PC or Internet access device through which the online services are accessed by the user is damaged or lost in any manner whatsoever.
- x) The user is aware of all security risks including possible third party interception of his/her account and the content of his/her account becoming known to third parties. The user accepts that the use of online services is not a secure method of viewing, accepting and transmitting information and that it involves security hazards and the risk of any loss of information or obtaining of information by any third party will be to his/her account and ABSLAMC shall, in no way, be held responsible for the same and this shall not be considered as a breach of its or its constituent company—user confidentiality.
- xi) The user agrees that the use and storage of any information including without limitation, the CIP, account information, transaction activity, account balances and any other information available on the user personal computer is at his/her own risk and is his/her sole responsibility.
- xii) The user shall not interfere with, alter, amend, tamper with or misuse in any manner whatsoever the Online Services and in the event of any damage due to improper or fraudulent use by the user, he / shall be liable in damages to ABSLAMC.
- xiii) In case of any discrepancy in the details of any transaction carried out in respect of the user's Account, the user shall be obliged to intimate ABSLAMC thereof in writing within 10 (ten) days of receipt of the Statement of Account / policy document in respect of the user, failing which the statement / policy will be deemed to be correct and accepted by the user.
- xiv) ABSLAMC is authorized to provide any information or details relating to the user or his/her account to any third person so far as is necessary to give effect to any instructions or to comply with any order of Court or of any competent/ statutory authority or as is required under applicable law.

xv) The user hereby acknowledges that he/she is utilizing this facility at his/her own risk. These risks would, among others, include the following:

a) Misuse of Password: The user acknowledges that if any third person obtains access to his/her password such third person would be able to provide transaction request to ABSLAMC. The user shall ensure that the terms and conditions applicable to the use of the password as contained herein are complied with at all times.

b) Internet Frauds: The Internet per se is susceptible to a number of frauds, misuse, hacking and other actions, which could affect Instructions to ABSLAMC. Whilst ABSLAMC shall aim to provide security to prevent the same, there cannot be any guarantee from such Internet frauds, hacking and other actions, which could affect Instructions to ABSLAMC. The user shall separately evaluate all risks arising out of the same.

c) The technology for enabling the services offered by ABSLAMC could be affected by virus or other malicious, destructive or corrupting code, programme or macro. This could result in delays in the processing of Instructions or failure in the processing of instructions and other such failures and inabilities. The user understands that ABSLAMC disclaims all and any liability, whether direct or indirect, whether arising out of loss of profit or otherwise arising out of any failure or inability by ABSLAMC to honour any user instruction for whatsoever reason. The user understands and accepts that ABSLAMC shall not be responsible for any of the aforesaid risks. The user also accepts that ABSLAMC shall disclaim all liability in respect of the said risks.

- xvi) The user acknowledges having read and understood the Terms and Conditions relating to opening of an account and various services. The user accepts and agrees to be bound by the said Terms and Conditions including those excluding ABSLAMC's liability.
- xvii) The user understands that ABSLAMC may, at its absolute discretion, alter, suspend or terminate any of the services completely or partially without any notice to the Unitholder and without assigning any reasons thereof.
- xviii) The user agrees that at present online services are offered as a privilege services to the users without any charge. However, ABSLAMC may levy any service charges as applicable from time to time in consideration for the services provided herein. However users not consenting to the charge then, may opt out of the CIP facility.
- xix) ABSLAMC reserves the exclusive right to amend the terms and conditions for issue and use of CIP to the users witho any prior approval of the user concerned, and thereafter such amended terms and conditions will apply to the user.
- xx) In consideration of ABSLAMC providing the user with the online services, user agrees to indemnify and keep safe, harmless and indemnified ABSLAMC, its constituent companies, their officers, employees, successors and assigns from and against all actions, claims, demands, proceedings, loss, damages, costs, charges and expenses whatsoever which ABSLAMC or its constituent companies may at any time incur, sustain, suffer or be put to as a consequence of or arising out of the user' use of the said online services.
- xxi) The user hereby indemnifies and agrees to keep ABSLAMC saved, defended, harmless and indemnified for all liabilities, losses, damages and expenses which ABSLAMC may sustain or incur either directly or indirectly as a result of: a) lilegal, unauthorized, fraudulent usage or misuse of the user's CIP to access ABSLAMC's Website; all requests carrying the user's CIP as evidenced by electronic records available at ABSLAMC will be the user's sole responsibility b) Non-compliance of the terms and conditions relating to online services on ABSLAMC's website.
- xxii) The Courts in Mumbai alone shall have jurisdiction over all disputes arising out of or in respect of this arrangement.

## 12. RTGS/ NEFT

Funds Transfer shall be effected only if the recipient/destination Bank/Branch is participating in RTGS/NEFT.

It is the responsibility of the Investor to ensure the correctness of the message especially the IFSC code of the recipient / destination branch & account number. The collecting bank as well as ABSLMF will get valid discharge if the amount is credited to the account number mentioned in the Application even if the name of the Investor account holder differs. ABSLMF shall not assume any liability or responsibility arising out of or made liable for any incorrect request or message.

If the date of payment happens to be a holiday at the centre where the recipient branch is situated, the credit will be passed on to the Investor on next working day.

ABSLMF shall not be liable for delay in payments to the Investor if:

a. Incorrect and insufficient details are provided.

b. If there is dislocation of work due to circumstances beyond the control of Remitting/ Destination Banks including but not limited to circumstances like non-functioning of computer system, disruption of work due to natural calamities, strike, riot etc or Netware or intermet problem or other causes beyond the control of the Branch/bank resulting in disruption of communication, such cases will be settled on the next working day when RTGS/NEFT is functioning properly.

The Investor hereby agrees and undertakes that he is aware of all the RTGS/NEFT rules set by RBI & to abide by all the rules, terms, conditions and administrative guidelines issued or which may be issued by the RBI or any other regulatory authorities applicable to the transactions relating to RTGS/ NEFT whether directly or/and indirectly.

## 13. DETAILS UNDER FATCA & CRS

The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities / appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuing appropriate withholding from the account or any proceeds in relation thereto. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. Please note that you may receive more than one request for information if you have multiple relationships with (Insert FI's name) or its group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

 In case 3 (three) consecutive instalments are not honoured/ failed on account of reasons attributable to the investors like insufficient balance etc. Aditya Birla Sun Life AMC Limited shall discontinue SIP, SWP and STP registrations

APPLICATION NOT COMPLETE IN ANY RESPECT ARE LIABLE TO BE REJECTED.

Contact Us: 1800-270-7000

adityabirlacapital.com



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