



ADITYA BIRLA CAPITAL

ASSET MANAGEMENT

COMMON TRANSACTION FORM (for One Transaction Only)

(PLEASE READ THE INSTRUCTIONS BEFORE FILLING UP THE FORM.)

Distributor Name / ARN No. /RIA No. Sub Broker Name / ARN No. /RIA No. Sub Broker Code Employee Unique ID. No. (EUIIN)

Please sign below, in case the EUIIN is left blank/not provided: I/We hereby confirm that the EUIIN box has been intentionally left blank by me/us as this is an "execution-only" transaction without any interaction or advice by the employee/relationship manager/sales person of the above distributor or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor and the distributor has not charged any advisory fees on this transaction. (refer inst no. A-4) [To be signed by all applicants, if mode of holding is joint]

Signature First Unitholder / Authorised Signatory Second Unitholder Third Unitholder

FOLIO NUMBER (Mandatory) : Date: D D M M Y Y

1st Unitholder Name 2nd Unitholder Name 3rd Unitholder Name PAN (Mandatory) CKYC Number (Prefix if any) 14 digit CKYC Number

ADDITIONAL PURCHASE (Cheque payment favouring "Investment Strategy Name") Refer Instruction Section B & D

Investment Strategy : Plan : Option:

Payment Mode: OTM (One Time Mandate) NEFT/RTGS Fund Transfer Others payable to the above Investment Strategy drawn on (Bank Name & Branch Address) Mandatory for OTM

Amount (₹): Chq No.: / UTR / REF. No. Dated: D D M M Y Y

In case you do not mention the Plan and Option, units will be allotted under default option as per respective Investment Strategy related documents. Note: ₹ 10 lakhs and in multiples of ₹ 1 thereafter subject to the minimum investment threshold guidelines as per the SIF framework.

Accredited Investor Yes No Certificate Number Validity Upto D D M M Y Y Y Y

ALLOT UNITS IN DEMAT MODE (OPTIONAL) (Please ensure that the sequence of names in the folio matches with that of the A/c. held with the depository participant)

NSDL: Depository Participant Name: DP ID No.: I N Beneficiary A/c No. Enclosed: Client Master

CDSL: Depository Participant Name: Beneficiary A/c No. Transaction/ Statement Copy/ DIS Copy

REDEMPTION

Investment Strategy : Plan : Option:

Please redeem (₹): or units.

If you have registered for multiple bank account facility in the above folio please specify the bank details in which you wish to receive the redemption proceeds. The bank account should be one of the registered bank account in the folio else the payout will be released to the default bank account registered in the folio.

Bank Name Account No.

DECLARATION(S) & SIGNATURE(S)

To, The Trustee, APEX SIF Having read and understood the contents of the Apex SIF Scheme Additional Information / Investment Strategy Information Document of the Investment Strategy, I/We hereby apply for units of Investment Strategy & agree to abide by the terms, conditions, rules and regulations governing the Investment Strategy. I/We hereby declare that the amount invested in the Investment Strategy 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 Investment Strategy & I/we have not received nor have been induced by any rebate or gifts, directly or indirectly in making this investment. The ARN holder has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him for the different competing Investment Strategies of various APEX SIF from amongst which the Investment Strategy is being recommended to me/us. I / We acknowledge that the RIA has entered into an agreement with the APEX SIF for accepting transaction feeds under the code. I / We hereby indemnify, defend and hold harmless the APEX SIF 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. I/We confirm that details provided by me/us are true and correct.

Signature First Unitholder / Authorised Signatory Second Unitholder Third Unitholder

Acknowledgement Slip (To be filled in by the Investor) COMMON TRANSACTION FORM

Folio No.: Purchase Redemption Date: Investment Strategy : Amount (₹) or Units Collection Centre / ABSLAMC Stamp & Signature

## General Instructions

### A. Common Instructions:

1. Please read the Investment Strategy related documents, Addenda, KIM carefully before submitting the form.
2. **KYC:** According to guidelines issued by SEBI under 'The Prevention of Money Laundering Act, 2002, it is made compulsory for all unitholders to be KRA-KYC compliant while making an application for subscription of units. For more information on KRA-KYC, please log on to [www.birlasunlife.com](http://www.birlasunlife.com) before investing. Applications are liable to be rejected without any intimation to the applicants, if required KRA-KYC compliance is not complied by all the unit holders.
3. If the broker details are changed / re-written, please countersign near the broker box for confirmation.
4. **Employee Unique Identification Number (EUID):** For applications routed through distributors, in addition to the ARN of the distributor, Unitholders are requested to also provide the EUID of the individual ARN holder or of employee/relationship manager/sale person of the Distributor interacting with the investor. Providing appropriate EUID 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 has not given any advice pertaining to the investment (i.e. transaction is 'execution only'), then the EUID box may be left blank, but it would be mandatory for the investor to provide signed confirmation as mentioned in the form. EUID is not required to be provided for redemption transactions.
5. In case ARN No/ Broker Code is mentioned in the form, but 'Direct Plan' is indicated, the ARN No/ Broker Code will be ignored and the application will be processed under Direct Plan under respective Investment Strategy, 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' of the Investment Strategy.

### B. Specific Instructions For Additional Purchases:

1. To make an additional purchase, the first unit holder should be one of the bank account holders in the pay-in bank account i.e. the bank account used for issuing the payments to the APEX SIF. Unitholder should attach necessary supporting documents as required by the APEX SIF, if this is not evidenced on the payment cheque/funds transfer/RTGS/NEFT or OTM request.
2. Additional Purchase request should necessarily mention the pay-in bank account details i.e. account number and bank, branch name used for issuing the payments to the APEX SIF.
3. Payment through Stock invest, outstation cheques, and third party payments will not be accepted.

- C. Specific Instructions For Redemption:** Redemption may not be processed if folio number and full Investment Strategy name including plan and option is not mentioned. Redemptions will be processed only if amount/ units is clearly mentioned. If there is no sufficient amount/ units, the balance available free units in the respective account/folio will be redeemed/ shifted. Proceeds of any redemption request will be sent only to a bank account that is already registered in the folio at the time of redemption transaction processing.

#### Redemption frequency

- i. The Investment Strategy will offer redemption two times a week i.e. every Monday and Wednesday of the week.
- ii. \*In case the Redemption frequency falls on a non-business day then immediate next business day of the week.
- iii. Redemption requests received after Wednesday 3.00 PM till Monday 3.00PM would be considered for processing with Monday NAV, and requests received after Monday 3.00 PM till Wednesday 3.00 PM would be processed with Wednesday NAV.

### D. Minimum threshold requirement and consequences of non maintenance for APEX SIF.

1. The AMC will monitor compliance with the Minimum Investment Threshold on a daily basis and ensure that there are no active breaches. The AMC will ensure that the investor's total investment value does not fall below the Minimum Investment Threshold due to redemption transactions initiated by the investor.
2. Passive breaches (occurrence of instances not arising out of omission and commission by AMC), such as those caused by decline in Net Asset Value (NAV), shall not be treated as a violation of the Minimum Investment Threshold. However, if the total investment value falls below the threshold due to a passive breach, the investor shall only be permitted to redeem the entire remaining investment amount from the SIF.
3. In case of any active breach of the Minimum Investment Threshold by an investor, including through transactions on stock exchanges or off-market transfers:
  - i. All units of such investor held across investment strategies of the SIF shall be frozen for debit, and
  - ii. A notice of 30 calendar days shall be given to such investor to rebalance the investments in order to comply with the Minimum Investment Threshold.
4. Pursuant to the notice to the investor as mentioned above:
  - In case investor rebalances his/her investments in SIF within the notice period of 30 calendar days, the units of SIF of such investor shall be unfrozen, and no further action shall be taken with regard to compliance with Minimum Investment Threshold.
5. In case the investor fails to rebalance the investments within the aforesaid 30 calendar day period, the frozen units shall be automatically redeemed by the AMC, at the applicable Net Asset Value of the next immediate business day after the 30th calendar day of the notice period.

