

## SIP ENROLMENT - CUM - AUTO DEBIT / ECS APPLICATION FORM

(Please read instructions carefully before filling up the form)

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

ARN No. \_\_\_\_\_

Sub-Broker's ARN No. \_\_\_\_\_

Registrar's Serial No. \_\_\_\_\_

Uprfront commission shall be paid directly by the investor to the AMFI registered Distributors based on the investors' assessment of various factors including the service rendered by the distributor. For Direct Application please write the word "DIRECT" in Distributor & Sub-Broker Box.

Normal SIP     Micro SIP (Refer Instruction 9)    Folio No. \_\_\_\_\_

### REGISTRATION CUM MANDATE FORM FOR AUTO DEBIT / ECS (DEBIT CLEARING)

First investment in SIP via cheque and subsequent investment via Auto Debit, available in select cities only.

New SIP Registration     Change in Bank Account for an existing investor     Extension of SIP Registration

### INVESTOR AND INVESTMENT DETAILS

Name of Sole/First Applicant Mr. Ms. M/s \_\_\_\_\_

Name of Second Applicant Mr. Ms. \_\_\_\_\_

Name of Third Applicant Mr. Ms. \_\_\_\_\_

Name of Scheme \_\_\_\_\_ Plan/Option \_\_\_\_\_

	Sole/First Applicant/ Guardian	Second Applicant	Third Applicant
PAN	_____	_____	_____
KYC	<input type="checkbox"/> KYC Acknowledgement	<input type="checkbox"/> KYC Acknowledgement	<input type="checkbox"/> KYC Acknowledgement
ID & Add Proof Document Name In case of Micro SIP (Refer Instruction 9)	_____	_____	_____

### SIP DEBIT DETAILS (Refer to instruction 2,3 & 5)

Each SIP Amount (₹) \_\_\_\_\_ Frequency  Monthly  Quarterly

First SIP Cheque Number \_\_\_\_\_ Cheque Date DD / MM / YYYY \_\_\_\_\_

SIP Auto Debit dates (Please ✓)  1st  5th  10th  15th  28th of the month

SIP Period Start From MM / YYYY End on MM / YYYY

### PARTICULARS OF BANK ACCOUNT

I/We hereby, authorize Taurus Mutual Fund and their authorized service providers, to debit my/our following bank account by ECS (Debit Clearing)/auto debit to account for collection of SIP payments.

Name of the Account Holder as in Bank Records \_\_\_\_\_

Bank Name \_\_\_\_\_

Branch Address \_\_\_\_\_ City \_\_\_\_\_

Account Number \_\_\_\_\_ Account Type  Savings  Current  NRE  NRO

MICR Code \_\_\_\_\_ This is a 9 digit number next to your cheque no. IFSC Code \_\_\_\_\_

Having read and understood the contents of the Scheme Information Document & Statement of Additional Information of the schemes and subsequent amendments thereto including the sections on 'Prevention of Money Laundering and Know Your Customer', I/We hereby apply to the Trustees of Taurus Mutual Fund for units of the scheme as indicated above and agree to abide by the terms and conditions, rules and regulations of the PMLA. I/We have not received and will not receive nor will be induced by any rebate or gifts, directly or indirectly, in making this investment. The ARN holder has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us. I/We further declare that the amount invested by me/us in the above scheme of Taurus Mutual Fund is derived through legitimate sources and is not held or designed for the purpose of contravention of any act, rules, regulations or any statute or legislation or any other applicable laws or any notifications, directions issued by any governmental or statutory authority from time to time. It is expressly understood that I/we have the express authority from our constitutional documents to invest in the units of the above scheme and the AMC/Trustee/Fund would not be responsible if the investment is thereto and the investment is contrary to the relevant constitutional documents. I/We authorize this Fund to reject the application, revert the units credited, restrain me/us from making any further investment in any of the schemes of the Fund, and take any appropriate action against me/us in case the cheque(s)/payment instrument is/are returned unpaid by my/our bankers for any reason whatsoever. Applicable to NRIs only: I/We confirm that I am / we\* are Non-Resident of Indian Nationality / Origin and I/we\* hereby confirm that the funds for subscription have been remitted from abroad through approved banking channels or from funds in my / our\* Non-Resident External / Ordinary Account / FCNR Account.

Please ✓  Repatriation basis     Non-Repatriation basis \* Please strike out whichever is not applicable.

Please sign here	Please sign here	Please sign here
First Account Holder/Guardian Signature	Second Account Holder's Signature	Third Account Holder's Signature

### AUTHORISATION OF THE BANK ACCOUNT HOLDER (to be signed by account holder as per bank records)

This is to inform that I/We have registered for the RBI's Electronic on Clearing Service (Debit Clearing)/Auto Debit facility and that my payment towards my investment in Taurus Mutual Fund shall be made from my/our below mentioned bank account with your bank. I/We authorize the representative carrying this ECS/Auto Debit account mandate form to get it verified & executed.

Bank Account Number \_\_\_\_\_

Please sign here	Please sign here	Please sign here
First Account Holder/Guardian Signature	Second Account Holder's Signature	Third Account Holder's Signature

### FOR OFFICE USE ONLY (not to be filled in by investor)

Recorded on _____	Scheme Code _____
Recorded by _____	Credit Account No. _____

Bank use mandate Ref. No. \_\_\_\_\_ Customer Ref. No. \_\_\_\_\_

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

SIP Date	Cheque No.	Amount	Scheme/Plan/Option

Frequency  Monthly  Quarterly

# INSTRUCTIONS FOR FILLING UP SIP ENROLMENT FORM ECS/AUTO DEBIT

1. Please read the Scheme Information Document (SID), Statement of Additional Information (SAI) & Key Information Memorandum (KIM) carefully before filling the Application Form. Applicants 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. Name and address should be written in BLOCK LETTERS.

Application Forms will be available at the offices of the Fund and Designated Service Centres of the Registrar and Transfer Agent, i.e. Karvy Computershare Pvt. Ltd. and agents/brokers of the Fund. Application Forms can be supplied by post on request and can also be downloaded from the website of the Fund.

Existing investors of Taurus Mutual Fund wanting to make an SIP investment will need to fill up ONLY the SIP Application Form quoting their Folio/Account No. However, new investors will be required to fill up the Common Application Form as well as the SIP Application Form.

2. Auto Debit facility is offered only to the investors maintaining their bank accounts with Bank of Baroda/ Bank of India/ Punjab National Bank/ Kotak Mahindra Bank/ Indusind Bank/ Citi bank/ HDFC Bank/ IDBI Bank/ AXIS Bank/ State Bank of India/ Union Bank of India/ Corporation Bank. The list may undergo changes from time to time.
3. Electronic Clearing System (ECS) facility will be available in the selected cities. This facility may be modified/ updated/ changed/ removed at any time in future entirely at the discretion of Taurus Asset Management Company Limited without assigning any reasons or prior notice. If any city is removed, SIP instructions for investors in such cities via ECS (Debit) route will be discontinued without prior notice. In such a case, the AMC at its sole discretion may accept Post Dated Cheques (PDC's) from the investors for the balance period. The list of ECS (Debit) cities is available in RBI Website: [www.rbi.org.in](http://www.rbi.org.in)
4. As per the directive issued by SEBI vide circular nos. IIMARP/MF/CIR/07/826/98 dated April 15, 1998, and IMD/CIR/No. 6/4213/04 dated March 1, 2004, it is mandatory for applicants to mention their bank details in their applications for purchase or redemption of units. Further, SEBI has mandated that Permanent Account Number (PAN) will be used as the sole identification number for all investors transacting in mutual funds, irrespective of the amount of transaction, w.e.f July 2, 2007. All investors (including joint investors, guardians of minors, NRIs etc.) are required to enclose a certified copy of the PAN card for investing in the Mutual Fund. The absence of bank detail & pan proof will result in the application getting rejected and the application amount will be refunded without any interest.

5. Investors are required to submit following documents atleast 30 working days before the first SIP Instalment date for Auto Debit & ECS Clearing.: New Investors are required to submit the following documents:

- (a) Common Application Form with SIP Enrolment - cum - Auto Debit/ECS Application Form.
- (b) The cheque for the initial investment should be issued from the same bank account which is to be debited under ECS/Auto Debit for SIP instalments.
- (c) A photo copy/cancelled cheque from ECS Debit Account (as mentioned on the application form) should be submitted along with other requirements if the initial investment cheque, as in (b) above, is not provided.

**Existing Investors are required to submit SIP Enrolment cum Auto Debit/ECS Application Form.**

6. An investor can opt for Monthly or Quarterly frequency. SIP Auto debit / ECS facility is available only on specific dates of the month i.e. 1st /5th/10th/ 15th / 28th. An investor shall have the option of choosing for 1 or more than 1 SIP in the same scheme and in the same month. To register multiple SIPs in the same scheme /same month, please submit separate Auto Debit and ECS Application Form.
7. The first SIP cheque /draft could be of any Business day but subsequent cheques or ECS /Auto Debit Transactions should be dated 1st /5th/10th/ 15th / 28th. If the date on the cheque/draft/ECS/Auto Debit Transactions is a non - Business Day for the scheme, then the units shall be allotted on the next Business Day.
8. Minimum application amount for Monthly SIP Option - 6 instalments of ₹ 1000/- each or in multiples of ₹ 1/- thereafter. For Quarterly SIP Option - 4 instalments of ₹ 1500/- each and in multiples of ₹ 1/- thereafter. (For Taurus Tax Shield Minimum of 12 instalment of ₹ 500/- each)
9. For MICRO SIP maximum SIP amount can be ₹ 4000/- Per Month or ₹ 12000/- Per Quarter. Micro SIP upto ₹ 50,000/- exempt from Permanent Account Number (PAN) In accordance with SEBI letter no. MRD/DoP/PAN/PM/166999/2009 dated June 19, 2009 issued to Association of Mutual Fund in India (AMFI) and subsequent guidelines issued by AMFI vide its circular no. 35P/MEM-COR/4/09 10 dated July 14, 2009 in this regard, SIPs upto ₹ 50,000/- per year per investor i.e. aggregate of investments in a rolling 12 months period or in a financial year i.e. April to March (hereinafter referred to as "Micro SIP") shall be exempted from the requirement of PAN, with effect from August 1, 2009. Micro SIP will not be subject to common KYC process through CVL. This exemption shall be applicable only to investments by individuals (including NRIs but not PIOs), Minors and Sole proprietary firms including joint holders. HUF and other categories of investors will NOT be eligible for this exemption.

This exemption shall not be applicable to normal purchase transactions upto ₹ 50,000/- which will continue to subject to the PAN requirement.

Any one of the following photo identification document can be submitted along with Micro SIP applications as proof of identification in lieu of PAN:

- Voter Identity Card • Driving License o Government /Defense identification card • Passport • Photo Ration Card
- Photo Debit Card • Employee ID card issued by companies registered with Registrar of Companies • Photo Identification issued by Bank Manager of Scheduled Commercial Bank, Gazetted Officer / Elected Representatives to the Legislative Assembly /Parliament • ID card issued to employees of Scheduled Commercial / State / District Co-operative Bank • Senior Citizen / Freedom Fighter ID card issued by Government • Card issued by Universities/deemed Universities or institutes under statutes like ICAI, ICWA, ICSI • Permanent Retirement Account No (PRAN) card issued to New Pension System (NPS) subscribers by CRA (NSD) • Any other photo ID card issued by Central Government /State Government / Municipal authorities / Government organizations like ESIC / EPFO. The photo identification document has to be current and valid and also to be either self attested or attested by

the ARN holder (AMFI Registered Distributor) mentioning ARN number. While making subsequent Micro SIP applications with a mutual fund, investor can quote the existing folio number where a Micro SIP has been registered and therefore need not resubmit the supporting document. The Micro SIP application will be rejected by the AMC where it is found that the registration of the application will result in the aggregate of Micro SIP instalments in a financial year exceeding ₹ 50,000/- or where there are deficiencies in the documents submitted by the investors in lieu of PAN as mentioned above. The rejected application will be sent back to the investor with a deficiency memo. In case the first Micro SIP instalment is processed (as the cheque may be banked), and the application is found to be defective, the Micro SIP registration will be terminated for future instalments. No refunds shall be made by the AMC for the units already allotted and a communication to this effect will be sent to the investors. However, investors shall be allowed to redeem their investments at applicable NAV.

10. Allotment of units would be subject to realisation of cheque or funds
11. If the date of the subsequent SIP instalment is a non-business day for the scheme, then the units shall be allotted on the next / following business day.
12. The Unit holders can choose to opt out from the SIP at any point of time by submitting a written request to the nearest ISC. Such request for discontinuation should be received at least 15 days prior to the next due date of the SIP. On receipt of such a request, the SIP will be discontinued for the respective scheme(s).
13. Taurus Asset Management Company Limited reserves the right to reject any application without assigning any reason thereof. Taurus Asset Management Company Limited in consultation with Trustees reserves the right to withdraw these offerings, modify the procedure, frequency, dates, load structure in accordance with the SEBI Regulations and any such change will be applicable only to units transacted pursuant to such change on a prospective basis.
14. In accordance with the requirements specified by the SEBI circular no. SEBI/IMD/CIR No.4/168230/09 dated June 30, 2009 no entry load will be charged with effect from August 1, 2009. Exit Load as applicable in the respective Scheme at the time of enrolment of SIP will be applicable.
15. A Statement of Account will be issued in physical form or by e-mail (if opted by the unit holder) to the unit holder In case of Physical Form - For the first transaction, the Statement will be dispatched within 10 working days and for subsequent frequency of transactions, the Statement will be dispatched within 10 working days at the end of every quarter. In case of specific requests of the investor, Mutual Fund will endeavor to dispatch within 5 working days from date of receipt of such request. In case of electronic form - The Statement shall be sent by e-mail as provided in the form if so mandated. The statement shall be sent on the next business day of the transaction day in a secure password protected form.
16. Applicants should indicate the option (Dividend/Growth) for which the application is made, by indicating the choice in the appropriate box provided for this purpose in the SIP Application Form.
17. In terms of the Prevention of Money Laundering Act, 2002, the Rules issued there under and the guidelines/ circulars issued by SEBI regarding the Anti Money Laundering (AML Laws), all intermediaries, including Mutual Funds, have to formulate and implement a client identification programme, verify and maintain the record of identity and address(es) of investors.

In order to make the data capture and document submission easy and convenient for the investors, Mutual Fund Industry has collectively entrusted the responsibility of collection of documents relating to identity and address of the investor(s) to an independent agency [presently CDSL Ventures Limited ("CVL")] which will act as central record keeping agency ("Central Agency"). As a token of having verified the identity and address of the investor(s) and for efficient retrieval of records, the Central Agency will issue a KYC Acknowledgement Letter (previously known as Mutual Fund Identification Number -MIN\* Allotment Letter) to each investor who submits an application and the prescribed documents to the Central Agency.

Investors should note that it is mandatory for all applications for subscription receive for any amount, to quote the KYC Compliance Status of each applicant (guardian in case of minor) in the application for subscription and attach proof of KYC Compliance viz. KYC Acknowledgement Letter (or the erstwhile Mutual Fund Identification Number# (MIN) Allotment Letter) / Printout of KYC Compliance Status downloaded from CVL website ([www.cvlindia.com](http://www.cvlindia.com)) using the PAN Number. Applicants intending to apply for units through Power of Attorney (PoA) must ensure that the issuer of PoA and the holder of PoA must mention their KYC compliance status and attach proof of KYC compliance at the time of investment.

The KYC status will be validated with the records of the Central Agency before allotting units. Taurus Mutual Fund will not be held responsible and /or liable for rejection of KYC Form, if any, by the Central Agency. Applications for subscriptions of value of any amount without a valid KYC compliance may 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 Trustee / AMC 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 Trustee / AMC reserves the right to freeze the folio of the investor(s) and affect mandatory redemption of unit holdings of the investors at the applicable NAV, subject to payment of exit load, if any.

\*Valid only where investors who have already obtained the erstwhile Mutual Fund Identification Number (MIN) by submitting the PAN copy as the proof of identity.

## DECLARATION AND SIGNATURES

- A) Signatures should be in English or in any Indian language. Thumb impressions must be attested by a Magistrate/Notary Public under his/her official seal. In case of HUF, the Karta will sign on behalf of the HUF.
- B) Applications on behalf of minors should be signed by their guardian.
- C) Applicant need to sign twice as indicated on the form.