

APP No.:

### RELIANCE SMART STEP ENROLMENT FORM

Use this form if you wish to transfer your investment systematically through Reliance SMART STEP. Please read the instructions before filling up the form

#### 1. DISTRIBUTOR / BROKER INFORMATION

Name & Broker Code / ARN	Sub Broker / Sub Agent ARN Code	*Employee Unique Identification Number	Sub Broker / Sub Agent Code	Date and Time of Receipt	Bank / Register Serial No.
ARN-109217		E150257			

\*Please sign below in case the EUIN is left blank/not provided.

I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this transaction is executed without any interaction or advice by the employee/relationship manager/sales person of the above distributor/sub broker or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor/sub broker.

SIGN HERE

First / Sole Unit Holder / Guardian

Second Unit holder

Third Unit holder

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

#### 2. EXISTING UNIT HOLDER INFORMATION (Refer Instruction. 6)

FOLIO NO. \_\_\_\_\_

New Investors are required to fill up Common Application Form for investing in Transferor (Liquid/Debt) Scheme along with Enrolment form of Reliance SMART STEP.

#### 3. PARTICULARS OF APPLICANT

Name of First / Sole applicant ☐ Mr. ☐ Ms. ☐ M/s.

Name of Guardian ☐ Mr. ☐ Ms. ☐ M/s. (in case of First / Sole Applicant is a Minor) / Contact Person - Designation (in case of non-individual Investors)

Name of Second Applicant [Please tick (✓)] ☐ Mr. ☐ Ms.

Name of Third Applicant [Please tick (✓)] ☐ Mr. ☐ Ms.

#### 4. TRANSFEROR / TRANSFeree SCHEME (Refer Instruction No. 10) (If the investor wishes to invest in Direct Plan please mention Direct Plan against the scheme name)

Name of 'Transferor' Scheme/Plan/Option Refer Instruction 14 & 17	Scheme	Plan	Option
		<input type="checkbox"/> Growth	<input type="checkbox"/> Growth Option
		<input type="checkbox"/> Dividend	<input type="checkbox"/> Bonus Option
			<input type="checkbox"/> Reinvestment
			<input type="checkbox"/> Payout
Name of 'Transferee' Scheme/Plan/Option Refer Instruction 15 & 18	Scheme	Plan	Option
		<input type="checkbox"/> Growth	<input type="checkbox"/> Growth Option
		<input type="checkbox"/> Dividend	<input type="checkbox"/> Bonus Option
			<input type="checkbox"/> Reinvestment
			<input type="checkbox"/> Payout

#### 5 FREQUENCY & TENURE (Refer Instruction No. 13)

Frequency : Monthly (10th of every month)	From
Enrolment Period :	_____
Refer Instruction 23	No. of Years _____ (Minimum 1 year and in multiples of 1 years thereafter)

#### 6. PLAN (Refer Instruction No. 11)

Plan	<input type="checkbox"/> Plan A	<input type="checkbox"/> Plan B	<input type="checkbox"/> Plan C	<input type="checkbox"/> Plan D	<input type="checkbox"/> Plan E (Refer Instruction No. 19)
Low	Rs.500	Rs.1500	Rs.8000	Rs.15000	Rs. _____ (Minimum Rs. 30,000 & in multiples of Rs.500/- thereafter)
Medium	Rs.1000	Rs.3000	Rs.12000	Rs.22500	Rs. 1.5X
High	Rs.1500	Rs.4500	Rs.16000	Rs.30000	Rs. 2X

I/We would like to opt for Reliance SMART STEP in the schemes mentioned on the application form subject to terms of the Statement of Additional Information (SAI) and Scheme Information Document (SID) and subsequent amendments thereto. I/We have read, understood (before filling application form) and is/are bound to the details of the SAI and SID of the Transferor (Liquid/Debt) Scheme and Transferee (Equity) Scheme. I/We have not been induced by any rebate or gifts, directly or indirectly, in making this investment. I understand that the Reliance Capital Asset Management Limited may, at its absolute discretion, discontinue any of the services completely or partially without any prior notice to me. 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 hereby declare that the above information is given by the undersigned and particulars given by me/us are correct and complete. I/We hereby confirm that I/We are not United States persons within the meaning of Regulation (S) under the United States Securities Act of 1933, or as defined by the U.S. Commodity Futures Trading Commission, as amended from time to time or residents of Canada.

☐ I confirm that I am resident of India.

☐ 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 normal banking channels or from funds in my/our Non-Resident External /Ordinary Account/FCNR Account. I/We undertake that all additional purchases made under this folio will also be from funds received from abroad through approved banking channels or from funds in my/our NRE/FCNR Account.

First/Sole Unit holder / Guardian

Second Unit holder

Third Unit holder

#### Acknowledgement Receipt of Reliance SMART STEP PLAN Enrolment Form (To be filled in by the Unit holder)

RELIANCE

Mutual Fund

Received from \_\_\_\_\_ Reliance SMART STEP PLAN application

Amount of Transfer as per ☐ Plan A ☐ Plan B ☐ Plan C ☐ Plan D ☐ Plan E

From Scheme / Plan / Option \_\_\_\_\_

to Scheme / Plan / Option \_\_\_\_\_

Stamp of receiving branch

& Signature

## INSTRUCTIONS

1. Investors are advised to read the Statement of Additional Information (SAI), Scheme Information Document (SID) and Key Information Memorandum (KIM) of the respective Transferor (Liquid/Debt) & Transferee (Equity) Scheme(s) carefully before investing. This facility is not available for Exchange Traded Schemes, Interval Schemes & Close Ended Schemes of Reliance Mutual Fund.
2. Reliance SMART STEP can be opted by all the investors. Investors should refer section "Who can invest" of respective SID.
3. The investor (existing or new) is required to select any one of the Transferor (Liquid/Debt) Scheme, any one of the Transferee (Equity) Scheme (Refer Point 14 and 15 mentioned below) and one plan out of the five plans as mentioned in the application form.
4. The investor (existing or new) shall invest initially in Transferor (Liquid/Debt) Scheme (whether in Lumpsum / Systematic Investment Plan (SIP) mode, if available) and shall also be subject to terms of Common Application Form.
5. New Investors are required fill up Common Application Form for investing in Transferor (Liquid/Debt) Scheme along with Enrolment form of Reliance SMART STEP.
6. Existing investors in Transferor (Liquid/Debt) Scheme are required to provide their Folio No. and submit only Application form for Reliance SMART STEP.
7. Investors are required to submit separate application form for different schemes.
8. Investors should note that investors' details and mode of holding (single, joint, anyone or survivor) in the Transferee (Equity) Scheme will be as per the existing folio number of the Transferor (Liquid/Debt) Scheme. Units will be allotted under the same folio number.
9. For Direct Investments, please mention "Direct" in the column "Name & Broker Code / ARN".
10. Investors subscribing under Direct Plan of XYZ Fund will have to indicate the Scheme / Plan name in the application form as "XYZ Fund - Direct Plan". Investors should also indicate "Direct" in the ARN column. In case ARN code is mentioned in the application form, but "Direct Plan" is indicated against the Scheme name, ARN code will be ignored and the application will be processed under Direct Plan. If the investor does not mention Direct against the scheme name and the ARN code is also not provided the default allotment would be made in the Direct Plan.
11. Investors should clearly indicate from and to which scheme / option he / she wish to transfer their investment. Please note that if no Transferor (Liquid/Debt) Scheme is mentioned in the application form the application shall be rejected.
12. Investors should clearly indicate any one plan out of the five plans mentioned in the application form. If no Plan is mentioned / indicated in the Application Form, Plan A shall be considered as default Plan.
13. Application shall be submitted atleast fifteen calendar days before the commencement of first execution date of Reliance SMART STEP. If the STP start date is less than seven calendar days, then the STP will be registered from next eligible cycle date falling after 15th calendar day.
14. The transfer date from Transferor (Liquid/Debt) Scheme to Transferee (Equity) Scheme shall be 10th of every month. In case 10th is a non transaction day, the amount shall be transferred in the Transferee (Equity) Scheme on the next working day.
15. Eligible Transferor(Liquid/Debt) Schemes for Reliance SMART STEP are All Eligible Open Ended Debt/Liquid Schemes.
16. Eligible Transferee(Equity) Schemes for Reliance SMART STEP are All Eligible Open Ended Debt/Liquid Schemes except Reliance NRI Equity Fund.
17. Reliance Capital Asset Management Limited (RCAM) reserves the right to introduce or withdraw any of the mentioned Transferor (Liquid/Debt) / Transferee (Equity) Schemes.
18. Reliance SMART STEP facility shall be available for all sub options of the mentioned Transferor (Liquid/Debt) Scheme.
19. Investors have to clearly indicate the Transferee (Equity) Scheme in the application form. In case the same is not mentioned, Reliance Growth Fund - Direct Plan - Growth Option shall be considered as default scheme and in case no Plan is selected in Transferee (Equity) Scheme, Retail Plan (if applicable), Growth Option shall be considered as default plan / option.
20. The lowest investment amount (X) in "Plan E" will be Rs.30,000 & in multiples of Rs.500 thereafter. Reliance Tax Saver (ELSS) Fund will not be considered as eligible Transferee Scheme in "Plan E". In case of any ambiguity or incorrectness in minimum application amount of "Plan E", the application will be liable to be rejected.
21. New Investors are required to maintain below mentioned minimum balance in a particular option of the transferor scheme at the time of enrollment of this facility (Please check below mentioned balance in your folio before filling up this form).
  - a. Non-Liquid scheme: Rs. 10,000/- or the minimum amount as stated in the SID of the respective transferor scheme, whichever is higher.
  - b. Liquid scheme (Except Reliance Liquid Fund Treasury Plan): Rs. 25,000/- or the minimum amount as stated in the SID of the respective transferor scheme, whichever is higher.
  - c. No minimum balance shall be required for Reliance Liquid Fund Treasury Plan - Retail Plan to start investing via Reliance SMART STEP.
22. Existing Investors are required to maintain below mentioned minimum balance in a particular option of the transferor scheme.
  - a. Non-Liquid scheme: Rs. 10,000/-
  - b. Liquid scheme (Except Reliance Liquid Fund Treasury Plan): Rs. 25,000/
  - c. No minimum balance shall be required for Reliance Liquid Fund Treasury Plan to start investing via Reliance SMART STEP.
23. In case of insufficient balance in the account / folio, at the time of enrolment, the application for Reliance SMART STEP shall be rejected.
24. Investors shall ensure to maintain minimum balance in accordance with Plans selected in the Transferor (Liquid/Debt) Scheme on the transfer date / execution date. In case of insufficient balance / unclear units on the date of transfer in the folio the transaction will be rejected. However, Reliance SMART STEP will be continued.
25. Investors are required to opt for Reliance SMART STEP for minimum tenure is 1 year & in multiples of 1 year thereafter. There is no maximum tenure of investment under Reliance SMART STEP.
26. Load shall be applicable as mentioned in respective SID of Transferor (Liquid/Debt) Scheme and Transferee (Equity) Scheme
27. Investors may please note that Reliance SMART STEP is a new offering under special product category of the respective Transferor (Liquid/Debt) Scheme and is different from the existing STP being offered by RMF. RCAM reserves the right to change the load structure of Transferor (Liquid/Debt) Schemes and / or Transferee (Equity) Schemes. However, any imposition or enhancement in the load shall be applicable on prospective investments only.
28. **Communication for the investors. :**

If the investor(s) has/have provided his/her email address in the application form or any subsequent communication in any of the folio belonging to the investor(s), RMF / Asset Management Company reserves the right to use Electronic Mail (email) as a default mode to send various communication which include account statements for transactions done by the investor(s).

The investor(s) may request for a physical account statement by writing or calling RMF's Investor Service Center/ Registrar & Transfer Agent. In case of specific request received from the investor(s), RMF shall endeavor to provide the account statement to the investor(s) within 5 working days from the receipt of such request.

With effect from October 1, 2011, in accordance with SEBI Circular No. Cir/ IMD/ DF/16/ 2011 dated September 8, 2011, the investor whose transaction has been accepted by the RCAM/RMF shall receive the following:

  - (i) On acceptance of the application, a confirmation by way of email and/or SMS within 5 Business Days from the date of receipt of transaction request will be sent to the Unit holders registered e-mail address and/or mobile number.
  - (ii) Thereafter, a Consolidated Account Statement (CAS) shall be issued for each calendar month on or before 10th of the immediately succeeding month to the Unit holder(s) in whose folio(s) transaction(s) has/have taken place during the month by physical/e-mail mode. CAS shall contain details relating to all the transactions carried out by the investor across all schemes of all mutual funds during the month and holding at the end of the month including transaction charges paid to the distributor. The word 'transaction' shall include purchase, redemption, switch, dividend payout, dividend reinvestment, systematic investment plan, systematic withdrawal plan, systematic transfer plan and bonus transactions.
  - (iii) For the purpose of sending CAS, common investors across mutual funds shall be identified by their Permanent Account Number (PAN). In case of a specific request received from the Unit holders, RCAM / RMF will provide the account statement to the investors within 5 Business Days from the receipt of such request. In the event the account has more than one registered holder, the first named Unit holder shall receive the CAS/account statement. CAS shall not be received by the Unit holders for the folio(s) not updated with PAN details. The Unit holders are therefore requested to ensure that the folio(s) are updated with their PAN. For Micro SIP and Sikkim based investors whose PAN details are not mandatorily required to be updated Account Statement will be dispatched by RCAM/RMF for each calendar month on or before 10th of the immediately succeeding month. Further, CAS detailing holding of investment 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 10th day of succeeding month as the case may be, to all such Unit holders in whose folios no transaction has taken place during that period. The half yearly consolidated account statement will be sent by e-mail to the Unit holders whose e-mail address is available, unless a specific request is made to receive in physical.
29. All valid transfer requisitions would be treated as switch-out / redemption for the Transferor (Liquid/Debt) Scheme and switch-in/ subscription transactions for the Transferee (Equity) scheme and would be processed at the applicable NAV (subject to applicable exit load) of the respective schemes. The difference between the NAVs of the two Schemes/ Plans will be reflected in the number of units allotted. All valid transactions would be processed as per the applicable cut off timing on the business days as mentioned in the respective SID and are subject to SEBI regulations.
30. This facility will not be available for units which are under any Lien/Pledged or any lock-in period.
31. The investors may approach/ consult their tax consultants in regard to the treatment of the transfer of units from the tax point of view.
32. Investors can discontinue Reliance SMART STEP facility by providing a written notice to the Designated Investor Service Centers atleast 15 calendar days prior to the due date of the next transfer date.
33. Reliance SMART STEP shall be automatically terminated if all the units are pledged from the Transferor (Liquid/Debt) Scheme or upon receipt of intimation of death of the unit holder.
34. Investor will not hold Reliance Mutual Fund/Reliance Capital Asset Management Limited, its registrars and other service providers responsible if the transaction is delayed or not effected or the investors bank account is debited in advance or after the STP date due to various clearing cycles of Autodebit/ECS/Local Holidays.
35. Reliance Mutual Fund/Reliance Capital Asset Management Limited, its registrars and other service providers shall not be responsible nor liable for any damages/compensation for any loss, damage etc. incurred by the investor. The investor assumes the entire risk of using this facility and takes full responsibility.
36. Reliance Mutual Fund/Reliance Capital Asset Management Limited reserves the right to reject any application without assigning any reason thereof.
37. Investor will not hold Reliance Mutual Fund / Reliance Capital Asset Management Limited, its registrars and other service providers responsible if the transaction is delayed or not effected due to any reason.
38. Reliance Mutual Fund / Reliance Capital Asset Management Limited, its registrars and other service providers shall not be responsible nor liable for any damages/compensation for any loss, damage etc. incurred by the investor. The investor assumes the entire risk of using this facility and takes full responsibility. Reliance Mutual Fund / Reliance Capital Asset Management Limited reserves the right to reject any application without assigning any reason thereof.
39. Employee Unique Identification Number (EUIIN) would assist in tackling the problem of mis-selling even if the employee/relationship manager/sales person leave the employment of the distributor.

### ACKNOWLEDGMENT SLIP (To be filled in by the Applicant)

One Indiabulls Centre, Tower 1, 12th Floor, Jupiter Mill Compound, 841, Senapati Bapat Marg Elphinstone Road, Mumbai-400 013

**Call : 30301111 Toll free: 1800-300-1111**

**www.reliancemutual.com**

Please note your Statement of Account is sent once a month through CAS or ECAS if email id is updated in the folio. To have an access to the folio statement visit our website to generate an instant account statement.

