



Dividend Sweep Option (DSO) Enrolment/Cancellation Form (Please read DSO terms and conditions overleaf)

To be submitted along with the Application Form: 1. Your FATCA Details (Foreign Account Tax Compliance Act) & KYC Additional Details (if not already submitted), and 2. Ultimate Beneficial Owner(s) (UBO) information (for non-individuals only). Please quote the Central KYC (CKYC) number in the boxes provided above or submit your filled-in CKYC Form in case of new investor and additional CKYC form in case of existing investors irrespective of the investment amount. The forms are available on our website.

DSO-Application No. _____

1. Distributor Information

Distributor's ARN & Name	Sub-broker's ARN (Code)	Sub-broker Code (internal)	EUIN* (Employee Unique Identification Number)	Registered Investment Adviser (RIA) Code
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ISC's signature & Time Stamping

* Declaration for "Execution only" transaction (only where EUIN box is left blank) 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 inappropriateness, if any, provided by the employee/relationship manager/sales person of the distributor/sub broker.

First/Sole Applicant/Guardian	Second Applicant	Third Applicant
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Transaction charges For Rs. 10,000 and above:
 Existing Investor-Rs.100 New Investor-Rs.150
 Upfront commission shall be paid directly by the investor to the AMFI-registered distributors based on the investors' assessment of various factors including services rendered by the distributor.

2. Unit Holder Details (Mandatory) (Mandatory to submit FATCA & CRS declaration form if not submitted earlier or in case of change in status.) (Refer Instruction No. 2)

Existing Folio No.											
Name of Sole/First Applicant	Mr.	Mrs.	M/s								
Name of Second Applicant	Mr.	Mrs.									
Name of Third Applicant	Mr.	Mrs.									
Name of Guardian (in case of First / Sole Applicant is a Minor)/Contact Person-Designation (in case of non-individual Investors) / POA Holder Name											

3A. DSO Enrolment Details (Refer eligible source and target scheme/plan/option in terms & conditions)

Source Scheme Details
 Scheme: _____
 Option: **Dividend**

Target Scheme Details
 Scheme: _____
 Option: (Please any one) Growth Dividend
 Dividend Facility (Please any one): Payout Reinvestment

3B. DSO Cancellation Details

Source Scheme Details
 Scheme: _____
 Option: **Dividend**

Declaration & Signature (s): Having read and understood the contents of the Scheme Information Document (SID), Statement of Additional Information (SAI) & Key Information Memorandum (KIM) 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, Prevention of Money Laundering Act, Prevention of Corruption Act and / 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. **Applicable for NRI's 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. **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 confirm that details provided by me/us are true and correct. Please Repatriation basis Non-Repatriation basis

* Please strike out whichever is not applicable.

SIGNATURE		
First/Sole Applicant/Guardian	Second Applicant	Third Applicant

Acknowledgement Sundaram Asset Management Company Limited, CIN: U93090TN1996PLC034615, I & II Floor, 46 Whites Road, Chennai - 600 014. Contact No. 1860 425 7237 (India) +91 44 4083 1500 (NRI)

DSO-Application No. _____

Received, subject to verification, request for DSO Enrolment **OR** DSO Cancellation
 From
 Mr./Mrs./M/s.....

Folio No. _____

ISC's Signature & Stamp

The terms and conditions of the Dividend Sweep Option (DSO)

- 1) Dividend Sweep Option (DSO) is a facility wherein unit holder(s) of eligible scheme(s) [hereinafter referred to as “**Source Scheme(s)**”] of Sundaram Mutual Fund can opt to automatically invest the dividend (as reduced by the amount of applicable statutory levy, if any) declared by the eligible Source Scheme(s) into other eligible Scheme(s) [hereinafter referred to as “**Target Scheme(s)**”] of Sundaram Mutual Fund.
- 2) DSO facility is available to unit holder(s) only under the Dividend Plan / Option of the Source Scheme(s). However, the DSO facility will not be available to unit holder(s) under the Daily Dividend Option in the Source Scheme(s). Unit holder’s enrolment under the DSO facility will automatically override any previous instructions for ‘Dividend Payout’ or ‘Dividend Reinvestment’ facility in the Source Scheme.
- 3) The enrolment for DSO facility should be for all units under the respective Dividend Plan / Option of the Source Scheme. Instructions for part Dividend Transfer and part Dividend Payout / Reinvestment will not be accepted. The dividend amount will be invested in the Target Scheme under the same folio. Accordingly, the unit holder(s) details and mode of holding in the Target Scheme will be same as in the Source Scheme.
- 4) The enrolment to avail of DSO facility has to be specified for each Scheme/Plan/Option separately and not at the folio level.
- 5) Under DSO, dividend declared (as reduced by the amount of applicable statutory levy and deductions, if any) in the Source scheme (subject to minimum of Rs.500/-) will be automatically invested into the Target Scheme, as opted by the unit holder, on the immediate next Business Day after the Record Date at the applicable NAV of the Target Scheme, subject to applicable load as specified under paragraph 8 below and accordingly equivalent units will be allotted in the Target Scheme, subject to the terms and conditions of the Target Scheme.
- 6) The provision for ‘**Minimum Application Amount**’ specified in the respective Target Scheme’s Scheme Information Document (SID) **will not be applicable** under DSO.
- 7) The Minimum amount of dividend eligible for transfer under Dividend Sweep Option is 500/- (Rupees Five Hundred Only). In case the dividend sweep is being less than eligible amount, then the dividend will be re-invested in source scheme.
- 8) **Load Structure:**

The dividend amount to be invested under the DSO from the Source Scheme to the Target Scheme shall be invested by subscribing to the units of the Target Scheme at applicable NAV, subject to payment of Entry/Exit Load as under:

Entry Load (Target Scheme)
Direct Applications & Applications routed through any distributor/agent/broker: Nil

Exit Load (Target Scheme): As per the relevant SID(s)
The Trustee/AMC reserves the right to change the load structure under the DSO Facility at any time in future on a prospective basis.
- 9) The Account Statement will be issued by mail or by email (if opted by the unit holder) to the unit holder once in every month giving details of all the transactions during that period. In case of specific request received from unitholders, the Mutual Fund shall endeavour to provide the account statement to the unitholders after every transaction of Dividend sweep.
- 10) Unitholders who wish to enroll for DSO facility are required to fill DSO Enrolment Form available with the ISCs, distributors/agents and also displayed on the website www.sundarammutual.com. The DSO Enrolment Form should be completed in English in Block Letters only. Please tick () in the appropriate box, where boxes have been provided. The DSO Enrolment Form complete in all aspects should be submitted at any of the Investor Services centre (ISCs) of Sundaram Mutual Fund.
- 11) The request for enrolment for DSO must be submitted at least 10 days prior to the Record Date for the dividend. In case of this condition not being met, the enrolment would be considered valid from the immediately succeeding Record Date of the dividend.
- 12) Unitholder(s) are advised to read the SID(s) of Target Scheme(s) carefully before investing. The SID(s) / Key Information Memorandum(s) of the respective Scheme(s) are available with the ISCs of Sundaram Mutual Fund, brokers / distributors and also displayed on the Sundaram Mutual Fund website i.e. – www.sundarammutual.com
- 13) Unit holders will have the right to discontinue the DSO facility at any time by sending a written request to the ISC. Notice of such discontinuance should be received at least 10 days prior to the Dividend Record Date. On receipt of such request, the DSO facility will be terminated. At the time of discontinuation of DSO facility, the Unit holders should indicate their choice of option i.e. dividend reinvestment or dividend payout. In the event the Unitholder does not indicate his choice of dividend option, the dividend, if any, will be reinvested (compulsory payout if dividend reinvestment option is not available) in the Source Scheme. Once the request for DSO is registered, then it shall remain in force unless it is terminated as aforesaid.
- 14) The Trustee reserves the right to change/ modify the terms and conditions of the DSO at a later date on a prospective basis.
Dividend Sweep Option will be available for enrolment **with effect from July 07, 2017**.

All other terms and conditions of the Scheme Information Document(s) / Key Information Memorandum(s) / Statement of Additional Information will remain unchanged.