

Escorts Mutual Fund

Systematic Transfer Plan – Enrollment Form

Date

DD	MM	YYYY			

ARN	ARN NAME	Sub Agent ARN/ Bank Branch Code	Internal Code For Sub-Agent Employee	Employee Unique Identification Number (EUIIN)	FOR OFFICE USE ONLY (TIME STAMP)
132061				E352389	

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

DECLARATION for "execution-only" transaction (only where EUIIN box is left blank)

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 inappropriateness, if any, provided by the employee / relationship manager/sales person of the above distributor and the distributor has not charged any advisory fees on this transaction.

Signature (s)

(All Holder to sign in case mode of holding is joint)

First Account Holder	Second Account Holder	Third Account Holder
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Folio: _____ Scheme: _____ Plan: _____

1. Unit Holder Information (Mandatory)

Name of First Holder: _____ PAN _____

Name of Second Holder: _____ PAN _____

Name of Third Holder: _____ PAN _____

Transfer from (Scheme): _____ Option: _____ Sub Option _____

Transfer to (Scheme): _____ Option: _____ Sub Option _____

☐ Fixed Amount (Rs.) _____ (in words) _____ ☐ Capital Appreciation

Transfer Period (mm/yyyy): From: __/__/____ To: __/__/____ Date: ☐ 1st ☐ 10th ☐ 25th

Transfer Frequency: ☐ Monthly (minimum Rs. 1000/-) ☐ Quarterly (minimum Rs. 1500/-)

2. Declaration & Signature

I/We have read and understood the contents of the Scheme Information Document (SID) and Key Information Memorandum (KIM), addenda issued till date of the source scheme as well as destination scheme and the terms/conditions overleaf. I/We hereby apply for enrolment under STP and agree to abide by the terms and conditions of STP. I / We undertake to confirm that this investment has been duly authorised by appropriate authorities in terms of all relevant documents and procedural requirements. I / We have not received nor been induced by any rebate or gifts, directly or indirectly in making investments. **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.**

Signature (s)

(All Holder to sign in case mode of holding is joint)

First Account Holder	Second Account Holder	Third Account Holder
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ACKNOWLEDGEMENT

(To be filled by Unit holder)

[TIMESTAMP (FOR OFFICE USE ONLY)]

Folio No _____

Received From _____ STP application for transfer of units

Transfer from (Scheme): _____ Option: _____ Sub Option _____

Transfer to (Scheme): _____ Option: _____ Sub Option _____

Systematic Transfer Plan (STP) Guidelines

1. STP is a facility wherein unit holder(s) of designated open-ended scheme(s) of Escorts Mutual Fund can opt to transfer a fixed amount or capital appreciation amount at regular intervals to designated open-ended scheme(s) of Escorts Mutual Fund. Currently, the schemes eligible for this facility are as follows: Escorts Growth Fund (EGP), Escorts High Yield Equity Plan (EHYEP), Escorts Leading Sectors Fund (ELSF), Escorts Power & Energy Fund (EPEF), Escorts Tax Plan (ETP*), Escorts Balanced Fund (EBF), Escorts Opportunities Fund (EOF), Escorts Gilt Plan (EGilt), Escorts Income Plan (EIP), Escorts Income Bond (EIB), Escorts Liquid Plan (ELP), Escorts Floating Rate Fund (EFRF)
 - a. An open-ended equity linked savings schemes with a lock-in period of 3 years. This scheme shall not be eligible for Capital Appreciation Systematic Transfer Plan (CASTP). The above list is subject to change from time to time. Please contact the nearest Investor Service Centre (ISC) of Escorts Mutual Fund for updated list.
2. The STP Enrolment Form should be completed in English and in Block Letters only. Please tick in the appropriate box (), where boxes have been provided.
3. A single STP Enrolment Form can be filled for one Scheme/Plan/ Option only.
4. Investors are advised to read the Scheme Information Document(s) and Statement of Additional Information of the Transferee Scheme(s) carefully before investing. The Scheme Information Document(s) and Statement of Additional Information/ Key Information Memorandum(s) of the respective Scheme(s) and Statement of Additional Information are available with the ISCs of Escorts Mutual Fund, brokers/distributors and also displayed at the Escorts Mutual Fund website i.e. www.escortsmutual.com. Unit holders' name should match with the details in the existing folio number, failing which the application is liable to be rejected.
5. Unit holders should note that unit holders' details and mode of holding (single, jointly, anyone or survivor) in the Transferee Scheme will be as per the existing folio number of the Transferor Scheme, Units will be allotted under the same folio number.
6. STP offers unit holders the following two Plans:
 - i. Fixed Systematic Transfer Plan (FSTP)
 - ii. Capital Appreciation Systematic Transfer Plan (CASTP)
7.
 - a. FSTP/CASTP offers transfer facility at monthly and quarterly intervals. Unit holder is free to opt for any of the Plans and also choose the frequency of such transfers.
 - b. Under the FSTP - Monthly Interval, unit holders will be eligible to transfer a fixed amount (minimum Rs. 1,000 and in multiples of Re. 1 thereafter for schemes other than Escorts Tax Plan* and minimum Rs. 500 and in multiples of Re. 1 thereafter for Escorts Tax Plan *) on the 1st, 10th or 25th of each month.
 - b. Under the FSTP - Quarterly Interval, unit holders will be eligible to transfer a fixed amount (minimum Rs. 1500) on the 1st, 10th or 25th of the first month of each quarter. The beginning of the quarter could be of any month e.g. March, August, September, December, etc. In case there is no minimum amount (as specified above under each Option) available in the unit holder's account, the residual amount will be transferred to the Transferee Scheme and account be closed. If STP date is a non-Business Day, then the next Business Day shall be the STP Date and the same will be considered for the purpose of determining the applicability of NAV.
 - d. Unit holders should be aware that if they decide to take up this facility, there is possibility of erosion of capital e.g. If the unit holder decides to withdraw Rs. 1,500 every quarter and the appreciation is Rs. 1,000, then such redemption proceeds will comprise of Rs 1,000 from the capital appreciation and Rs. 500 from the unit holder's capital amount.
8. Under the CASTP- Monthly Interval, unit holders will be eligible to transfer the entire capital appreciation amount (minimum Rs.1000) by way of capital appreciation on the 1st, 10th or 25th of each month. Under the CASTP-Quarterly Interval, unit holders will be eligible to transfer the entire capital appreciation amount (minimum Rs. 1,000) by way of capital appreciation on the 1st, 10th or 25th of the first month of each quarter. The beginning of the quarter could be of any month e.g. March, August, September, December, etc. Please note that no transfers will take place if there is no minimum capital appreciation amount (except for last transfer leading to closure of account). The capital appreciation, if any, will be calculated from the enrolment date of the CASTP under the folio, till the first transfer date. Subsequent capital appreciation, if any, will be the capital appreciation between the previous CASTP date (where redemption has been processed and paid) and the next CASTP date e.g. if the appreciation is Rs. 1,500 in the first quarter and Rs 1,000 in the second quarter, the unit holder will receive only the appreciation i.e. Rs. 1,500 in the first quarter and Rs. 1,000 in the second quarter.
9.
 - a. The minimum number of installments under Monthly (FSTP/CASTP) should be 6 (Six). The minimum number of installment for Quarterly (FSTP/CASTP) should be 4 (Four). Further the minimum amount in unit holder's account at the time of enrolment for STP should be Rs. 12000/-.
 - b. The application for enrollment for FSTP – Monthly & Quarterly Interval and CASTP - Monthly & Quarterly Interval should be submitted at least 10 Days before the commencement date of the same. However, there should be a maximum gap of 30 days between the submissions of a valid STP request and commencement date of the same.
 - c. There will be no maximum duration for STP enrolment.
 - d. Capital Appreciation Systematic Transfer Plan (CASTP) will be restricted to single enrolment per 'transferor scheme' per folio.
10. In respect of STP enrollments made in the above mentioned Scheme(s), the Load Structure prevalent at the time of enrollment shall govern the investors during the tenure of the STP. Load structure for investments through STP to the Schemes eligible for this facility:
 - Exit Load of the Transferor Scheme(s): The amount transferred under the STP from the Transferor Scheme to the Transferee Scheme shall be affected by redeeming units of Transferor Scheme at applicable NAV, after payment of any Exit Load, if any, and subscribing to the units of the Transferee Scheme at Applicable NAV.
 - Exit Load of the Transferee Scheme(s): Applicable Exit Load, if any, in the Transferee Scheme / Plan / Option as on the date of enrollment will also be levied. For Scheme load structure please refer to Key Information Memorandum or contact the nearest Investor Service Centre (ISC) of Escorts Mutual Fund or visit our website www.escortsmutual.com.
11. STP will be automatically terminated if all units are liquidated or withdrawn from the Transferor Scheme or pledged or upon receipt of intimation of death of the unit holder.
12. The provision of 'Minimum Redemption Amount' as specified in the Scheme Information Document(s) of the respective designated Transferor Schemes and 'Minimum Application Amount' specified in the offer document(s) of the respective designated Transferee Schemes will not be applicable for STP.
13. An Account Statement will be issued by mail or by email (if opted by the unit holder) to the unit holder within 10 working days for the first investment through STP. The subsequent account statement will be dispatched once every quarter ending March, June, September and December within 10 working days of the end of respective quarter. In case of specific request received from investors, Mutual Fund will provide the account statement to the investors within 5 working days from the receipt of such request without any charges.
14. Unit holders will have the right to discontinue the STP 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 due date of the next transfer date. On receipt of such request, the STP facility will be terminated.
15. The Trustee/AMC reserve the right to change/modify the terms and conditions of the STP.

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Address of the Registrar

Escorts Mutual Fund, 11, Scindia House, KG Marg, Connaught Place, New Delh-110001

Tel : 011-43587415 / 420