



# SYSTEMATIC TRANSACTION FORM (PDC SIP/STP/SWP)

India's 1<sup>st</sup> Direct to Investor Mutual Fund

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Please fill this form in ENGLISH in BLACK/DARK COLOURED INK in CAPITAL LETTERS.

1 INTERMEDIARY INFORMATION				
Name & ARN Code	Sub-Broker Code	EUIN	RIA Code	E- Code / RM code

Please refer instruction No. 4 for EUIN. Please read the instructions carefully, before filling up the application. Fields marked with (\*) are mandatory.

New Registration  Cancellation

2 NEW / EXISTING UNIT HOLDER INFORMATION	
Folio / Application No. <input type="text"/>	PAN No. <input type="text"/>
Name of the Sole/1st Applicant <input type="text"/>	

3 SCHEME DETAILS (Please ✓)	
Scheme	<input type="text"/>
Option	<input type="text"/>
Facility	<input type="text"/>

4 FREQUENCY DETAILS (Please ✓)				
<input type="checkbox"/> Daily	<input type="checkbox"/> Weekly	<input type="checkbox"/> Fortnightly	<input type="checkbox"/> Monthly	<input type="checkbox"/> Quarterly
All Business Days	7th, 15th, 21st, 28th of a week	<input type="radio"/> 5th, 21st OR <input type="radio"/> 7th & 25th	<input type="radio"/> 5th OR <input type="radio"/> 21st OR <input type="radio"/> 7th OR <input type="radio"/> 25th	<input type="radio"/> 15th OR <input type="radio"/> 28th

5 SYSTEMATIC INVESTMENT PLAN (SIP) DETAILS (Please ✓)		Post Dated Cheque (PDC's) <input type="checkbox"/>
Regular SIP <input type="checkbox"/>	Change in Bank Mandate for existing SIP <input type="checkbox"/>	Micro SIP (MSIP) <input type="checkbox"/>
<b>Enrollment Details</b>		
No of Installments: <input type="text"/>	Amount Per Installment: <input type="text"/> Amount (in words) <input type="text"/>	
<b>1st Installment Cheque Details</b>		
Cheque/DD <input type="text"/>	Date <input type="text"/>	Amount (Rs.) <input type="text"/>
Drawn on Bank & Branch <input type="text"/>		
Photo Identification proof and Residential Proof number in case of Micro SIP of 1st Applicant <input type="text"/>		
2nd Applicant <input type="text"/>		3rd Applicant <input type="text"/>
Cheque Nos From <input type="text"/> To <input type="text"/> # Only monthly & quarterly SIP frequencies are available for Quantum Liquid Fund.		

6 SYSTEMATIC TRANSFER PLAN (STP) DETAILS (Please ✓)		(Please allow 10 days to register STP)
To Scheme <input type="text"/>	Plan <input type="text"/>	Option <input type="text"/>
No of Installments: <input type="text"/>	Amount Per Installment: <input type="text"/> Amount (in words) <input type="text"/>	

7 SYSTEMATIC WITHDRAWAL PLAN (SWP) DETAILS (Please ✓)		(Please allow 10 days to register SWP)
Amount Per Withdrawal: <input type="text"/>	Amount (in words) <input type="text"/>	
No of Installments: <input type="text"/>		

8 CONTACT DETAILS	
Email ID <input type="text"/>	
Mobile No. <input type="text"/>	Tel. No. STD Code <input type="text"/>

### DECLARATION AND SIGNATURES

I/We have read and understood the terms and contents of Statement of Additional Information (SAI), Scheme Information Document (SID) of the scheme(s). I/We hereby apply to the Trustees of Quantum Mutual Fund for units of scheme(s) of Quantum Mutual Fund as indicated above and agree to abide by the terms, conditions, rules and regulations of the scheme(s). I/We hereby declare that the particulars given herein are correct and complete. I/We confirm that I/we have not received and will not receive any commission or brokerage or any other incentive in any form, directly or indirectly, for subscribing to units issued under any of the scheme(s). I/We hereby declare that the amount invested in the scheme(s) is through legitimate sources only and does not involve and is not designed for the purpose of any contravention or evasion of any Act, Rules, Regulations, Notifications or Directions of the provisions of Income Tax Act, 1961, Prevention of Money Laundering Act, 2002, Prevention of Corruption Act, 1988 or any other applicable laws enacted by the Government of India from time to time.

**For Micro SIP investors-** I/we hereby declare that the I/we do not have any existing Micro SIP's which together with current application will result in aggregate investments exceeding ₹ 50,000 in a financial year.

**For NRIs/FIIs 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 Account/FCNR account/NRO/NRSR/NRNR account/NRO/NRSR Account. (Including amount of transactions made in future)

1st Applicant

To be sign by all Applicants if mode of holding is joint

2nd Applicant

To be sign by all Applicants if mode of holding is joint

3rd Applicant

To be sign by all Applicants if mode of holding is joint

# SYSTEMATIC TRANSACTION FORM

## TERMS & CONDITIONS



### General

- Please refer to the Key Information Memorandum (KIM), Scheme Information Document (SID) of respective schemes and Statement of Additional Information (SAI) for Applicable NAV, Risk Factors, Load and other information of the Scheme before investing.
- If any chosen day falls on a non business day, the next business day will be considered as the transaction date.
- Incorrect / Incomplete applications are liable to be rejected.
- Employee Unique Identification Number (EUIDN) - Investor investing through Intermediary shall mandatorily mention the EUIDN on the application form, irrespective whether he/she has been advised by Sales person / Employee / Relationship manager of the Intermediary or not. However, in case of any exception cases, where there is no interaction by Sales person / Employee / Relationship manager of the intermediary with respect to the investment / transaction, the EUIDN box may be left blank. If left blank, AMC will seek the following declaration separately from the investor, "I/We hereby confirm that the EUIDN 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." It is mandatory to obtain EUIDN for every Sales person / Employee / Relationship manager of the Intermediary for dealing (irrespective whether transactions are in the nature of execution or advisory) in mutual fund products.

- An Account statement will be dispatched within 10 business days for the first investment through SIP. Since Common Account statement (CAS) is dispatched to all the active investors every month, SIP transactions will be reflecting in the CAS. In case of specific request received from unit holder, Mutual Fund endeavor to provide the account statement within 5 business days from the receipt of such request without any charges.
- For a new STP / SWP to start it will take minimum 10 calendar days.
- The unit holders can choose to opt out from the SIP/STP/SWP at any point of time by submitting a written request to the nearest designated Investor Service Center. Such request for discontinuation should be received at least 10 business days prior to the next due date of the SIP/SWP/STP.
- Quantum AMC reserves the right to reject any application without assigning any reason thereof and the Trustee reserves the right to change/modify the terms and conditions of SIP/SWP/STP.
- For mandatory requirements like Bank account details, Know Your Customer (KYC) and required documents please refer KIM/SID.
- Dividend Transfer Plan is possible only from Quantum Liquid Fund - Monthly Dividend Payout Option and Quantum Dynamic Bond Fund - Monthly Dividend Payout Option to any other scheme.
- In case of an investor who was a minor, the minor on attaining majority has to submit all the necessary documents and complete all the formalities as mentioned in the SID to start or renew a SIP / STP / SWP.

Installment options available under SIP/STP/SWP		SIP					STP					SWP			
		Daily	Weekly	Fortnightly	Monthly	Quarterly	Daily	Weekly	Fortnightly	Monthly	Quarterly	Weekly	Fortnightly	Monthly	Quarterly
Quantum Long Term Equity Fund/ Quantum Equity Fund of Fund/ Quantum Gold Savings Fund/ Quantum Multi Asset Fund Quantum Dynamic Bond Fund	Minimum SIP amount	₹ 100/- and in multiples of ₹ 1/- thereafter	₹ 500/- and in multiples of ₹ 1/- thereafter	₹ 500/- and in multiples of ₹ 1/- thereafter	₹ 500/- and in multiples of ₹ 1/- thereafter	₹ 500/- and in multiples of ₹ 1/- thereafter	₹ 100/- and in multiples of ₹ 1/- thereafter	₹ 500/- and in multiples of ₹ 1/- thereafter	₹ 500/- and in multiples of ₹ 1/- thereafter	₹ 500/- and in multiples of ₹ 1/- thereafter	₹ 500/- and in multiples of ₹ 1/- thereafter	₹ 500/- and in multiples of ₹ 1/- thereafter	₹ 500/- and in multiples of ₹ 1/- thereafter	₹ 500/- and in multiples of ₹ 1/- thereafter	₹ 500/- and in multiples of ₹ 1/- thereafter
	Minimum SIP Installments	132	25	13	6	4	132	25	13	6	4	25	13	6	4
Quantum Tax Saving Fund	Minimum SIP amount	₹ 500/- and in multiples of ₹ 500/- thereafter	₹ 500/- and in multiples of ₹ 500/- thereafter	₹ 500/- and in multiples of ₹ 500/- thereafter	₹ 500/- and in multiples of ₹ 500/- thereafter	₹ 500/- and in multiples of ₹ 500/- thereafter	₹ 500/- and in multiples of ₹ 500/- thereafter	₹ 500/- and in multiples of ₹ 500/- thereafter	₹ 500/- and in multiples of ₹ 500/- thereafter	₹ 500/- and in multiples of ₹ 500/- thereafter	₹ 500/- and in multiples of ₹ 500/- thereafter	₹ 500/- and in multiples of ₹ 500/- thereafter	₹ 500/- and in multiples of ₹ 500/- thereafter	₹ 500/- and in multiples of ₹ 500/- thereafter	₹ 500/- and in multiples of ₹ 500/- thereafter
	Minimum SIP Installments	132	25	13	6	4	132	25	13	6	4	25	13	6	4
Quantum Liquid Fund	Minimum SIP amount	-	-	-	₹ 500/- and in multiples of ₹ 1/- thereafter	₹ 500/- and in multiples of ₹ 1/- thereafter	₹ 100/- and in multiples of ₹ 1/- thereafter	₹ 500/- and in multiples of ₹ 1/- thereafter	₹ 500/- and in multiples of ₹ 1/- thereafter	₹ 500/- and in multiples of ₹ 1/- thereafter	₹ 500/- and in multiples of ₹ 1/- thereafter	₹ 500/- and in multiples of ₹ 1/- thereafter	₹ 500/- and in multiples of ₹ 1/- thereafter	₹ 500/- and in multiples of ₹ 1/- thereafter	₹ 500/- and in multiples of ₹ 1/- thereafter
	Minimum SIP Installments	-	-	-	6	4	132	25	13	6	4	25	13	6	4

Note: Minimum Balance to Start the STP/SWP is ₹ 5000/-

### Systematic Investment Plan (PDC)

- Existing Unit holders in scheme(s) of Quantum Mutual Fund are required to submit only the Systematic Transaction Form. Existing unit holders should note that the unit holder's details & the mode of holding will be as per the existing account. New investors, who wish to enroll for SIP through Auto Debit/ECS, should fill the Common Application Form & ECS Mandate Form in addition to the Systematic Transaction Form.
- First SIP cheque could be submitted on any business day.
- Investors opting for PDC SIP investment can subscribe to this facility subject to the condition that each of the SIP installments including the initial cheque should be of the same amount and uniformly dated i.e. either 5<sup>th</sup>, 7<sup>th</sup>, 15<sup>th</sup>, 21<sup>st</sup>, 25<sup>th</sup> or 28<sup>th</sup> of any month.
- Returned/Dishonored cheque Rejects will not be presented again for collection. If the 1<sup>st</sup> installment cheque is dishonored, the SIP processing/registration will be rejected (the remaining cheques would be returned).
- SIP enrollment will be discontinued in case the SIP installment is not honored consecutively for 2 SIP installments.
- Please note that Quantum Tax Saving Fund (QTSF) has a lock-in period for 3 years.
- Additional SIP: If an investor wants to enroll in another scheme & continue for the existing folio, then the investor has to submit a duly filled & signed Systematic Transaction Form along with fresh cheques (if investment is in the new scheme).
- Top-up: After completion of the tenure, in case the investor wants to continue his SIP investment for another tenure with the existing folio, then the investor has to submit a duly filled & signed Systematic Transaction Form.
- Pursuant to implementation of Know Your Customer (KYC) norms under Prevention of Money Laundering Act, 2001, with effect from January 1, 2011, it is mandatory for all applicants to attach the KYC acknowledgement letter for all applicants irrespective of the amount of investment in the Application Form/Transaction Slip/Form.
- The minimum number of installments for any frequency will include the first cheque only if the initial amount is the same as that of the remaining PDC SIP installments.
- In case an investor gives full/partial redemption request in a folio where there is an on-going SIP, then redemption will be processed only for the units towards which the amount has been realized.

### Additional instructions for Micro Systematic Investment Plan (MSIP)

- Micro SIP (Systematic Investment Plan) upto ₹ 50,000 per year per investor shall be exempted from the requirement of PAN.
- In case of Micro SIP also KYC is mandatory w.e.f. 1<sup>st</sup> January, 2012.
- In lieu of PAN card copy Investor (including joint holders) to provide the self attested valid Photo ID Proof. Please refer Point 6 below.
- All Micro SIPs where aggregate of installments in a financial year i.e. April to March does not exceed ₹ 50,000.
- This exemption will be applicable only for investments by individuals (including NRIs but not PIOs), Minors and Sole proprietary firms. HUFs and other categories will not be eligible for Micro SIPs. The exemption is

applicable to joint holders also.

- While making additional/subsequent Micro SIP investment, investor can quote the existing folio number where a Micro SIP has been registered and therefore need not resubmit the supporting documents again.
- Photo identification documents to be submitted in case of Micro SIP  
Voter Identity Card, Driving License, Government / Defense identification card, Passport, Photo Ration Card, Photo Debit Card (Credit card will not be accepted), Employee ID cards issued by companies registered with Registrar of Companies, Photo Identification issued by Bank Managers of Scheduled Commercial Banks / Gazetted Officer / Elected Representatives to the Legislative Assembly / Parliament, ID card issued to employees of Scheduled Commercial / State / District Co-operative Banks, Senior Citizen / Freedom Fighter ID card issued by Government, Cards 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 (NSDL), Any other photo ID card issued by Central Government / State Governments / Municipal authorities / Government organizations like ESIC / EPFO.
- Proof of address copy: it is clarified that where photo identification documents contain the address of the investor, a separate proof of address is not required.

### Systematic Transfer Plan / Systematic Withdrawal Plan

- All valid requests for STP/SWP forms from one scheme to the other scheme would be treated as switch-out/redemption & switch-in/purchase at the applicable NAV of the respective scheme(s). The difference between the NAV of two schemes will be reflected in the number of units allotted.
- Minimum Investment Amount in Transfer Out scheme should be as per the respective SID/ Addendum.
- Units marked under Lien, Pledge or Lock-in Period in the Transfer Out scheme will not be eligible for STP/SWP.
- All valid applications will be processed as per the applicable uniform cut off timings on the business days as mentioned in the respective scheme SID.
- A Unit holder who has opted for STP/SWP under a specific Scheme can also redeem or switch his Units to any other eligible Scheme provided he has sufficient balance in his account on the date of such a request
- The Unit holder can make additional subscriptions in accordance to the terms and conditions of the Scheme Information Document (SID). Such additional subscription will alter the functioning of the STP/SWP.
- STP/SWP will be terminated automatically in case minimum STP/SWP installment amount is not available in the folio.
- In case of STP / SWP from Quantum Long Term Equity Fund before 2 years from the date of purchase of existing units, the NAV and load will be charged as applicable.
- STP and SWP for QTSF will be applicable after 3 years of lock-in period.

**Mutual Fund investments are subject to market risks. Please read Statement of Additional Information (SAI) and respective Scheme Information Document (SID) carefully for detailed risk factors and other information before investing.**



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