

NFO Opens on March 8, 2011 • NFO Closes on March 22, 2011



Please read the instructions carefully.

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.

(Refer Instruction No. 2A)

Existing Folio No. _____ Name of Sole / 1st Applicant _____ (please fill Section 6 & 8 only)

(Refer Instruction No. 2B)

Name of Sole/1st Applicant ☐ Mr. ☐ Ms. ☐ M/s. (Please ✓) Date of Birth

D	D	M	M	Y	Y	Y	Y
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Name of 2nd Applicant ☐ Mr. ☐ Ms. ☐ M/s. (Please ✓) Date of Birth

D	D	M	M	Y	Y	Y	Y
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Name of 3rd Applicant ☐ Mr. ☐ Ms. ☐ M/s. (Please ✓) Date of Birth

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	PAN*										KYC Status^	Other Proof of Identity	ID No.	
1 st Applicant											<input type="checkbox"/> Yes <input type="checkbox"/> No			
2 nd Applicant											<input type="checkbox"/> Yes <input type="checkbox"/> No			
3 rd Applicant											<input type="checkbox"/> Yes <input type="checkbox"/> No			
Guardian											<input type="checkbox"/> Yes <input type="checkbox"/> No			
	* Mandatory with an attested PAN Proof										^ Mandatory for any amount, If Yes, attach proof	# Only for Micro SIP. (Please refer instruction no. 2C)		

Mode of Holding	<input type="checkbox"/> Single OR <input type="checkbox"/> Anyone or Survivor OR <input type="checkbox"/> Joint (Default Option)
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Status	<input type="checkbox"/> Resident Individual <input type="checkbox"/> NRI/PIO <input type="checkbox"/> Company/Body Corporate <input type="checkbox"/> Trust <input type="checkbox"/> Partnership <input type="checkbox"/> FII <input type="checkbox"/> Bank <input type="checkbox"/> NGO <input type="checkbox"/> AOP/BOI <input type="checkbox"/> Club/Society
	<input type="checkbox"/> Minor <input type="checkbox"/> Defence Establishment <input type="checkbox"/> Government Body <input type="checkbox"/> HUF <input type="checkbox"/> Others (Please specify)

Occupation	<input type="checkbox"/> Private Sector Service <input type="checkbox"/> Public Sector/Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Please specify)
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(Refer Instruction No. 3)

Correspondence Address of Sole/First Applicant (P.O. Box address is not sufficient)

City	State	Pincode					
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Overseas Address (Mandatory for NRI/FII applicant) (P.O. Box address is not sufficient)

[illegible][illegible][illegible]

*Mandatory, if applying for E-PIN. To apply for E-PIN (refer section 5 in this Application Form). # Investors providing email id would mandatorily receive only E-statement of account in lieu of physical statement of account.

(Refer Instruction No. 4)

Mention your Core Banking Account No. (if applicable). Please check with your bank, if you do not have the same.

[illegible]

(MICR code is the 9 digit code next to the cheque no.)

(IFSC code is the 11 digit no. appearing on your cheque leaf) (Mandatory for credit via NEFT/RTGS)

Mandatory to submit a cancelled cheque leaf of the bank account mentioned here.



(To be filled in by the investor)

Application No.

Received from Mr. / Ms. / M/s. _____ an application for investment in Pramerica Mutual Fund

Scheme Name PRAMERICA DYNAMIC MONTHLY INCOME FUND

Option ☐ Growth ☐ Dividend

for ₹ (in figures) _____ vide Instrument no. _____

Bank

Branch

Citv

All purchases are subject to realisation of cheque/demand draft and furnishing of mandatory information/documents. Please retain this slip till you receive your Account Statement.

Acknowledgement Stamp & Date

5. ELECTRONIC PERSONAL IDENTIFICATION NUMBER (E-PIN) (Please ✓) (Refer Instruction No. 5)

☐ I would like to apply for E-PIN. An E-PIN will allow you to access your account/transact through electronic channels, subject to the Terms & Conditions for the facility as made available by the AMC from time to time.

6. INVESTMENT/ PAYMENT DETAILS (Refer Instruction No. 6)

Scheme Name : PRAMERICA DYNAMIC MONTHLY INCOME FUND		Option <input type="checkbox"/> Growth* <input type="checkbox"/> Dividend	
Dividend Facility <input type="checkbox"/> Payout <input type="checkbox"/> Re-investment*		Dividend Frequency : MONTHLY *Default Option	

☐ **Lumpsum Investment:**

I. Cheque / DD Amount ₹

II. DD Charges ₹

III. Investment Amount ₹ (I + II)

Mode of Payment (✓) ☐ Cheque ☐ Demand Draft ☐ Fund Transfer

Instrument No. Dated D D M M Y Y Y Y

Name of the Bank A/c holder

Drawn on Name of the Bank

Branch & City

☐ **SIP Investment : Monthly**

SIP THROUGH AUTO DEBIT (ECS/Direct Debit) Please also fill and attach the SIP Auto Debit Facility Form

Instalment Amt. (A) ₹ SIP Period

☐ Till I instruct to discontinue the SIP OR ☐ No. of Instalments (B) Total Amount (C) = (Ax B) ₹

I. First SIP Instalment Details: Mode of Payment (Please ✓) ☐ Cheque ☐ Demand Draft

Instrument No. Dated D D M M Y Y Y Y

Name of the Bank A/c holder

Drawn on Name of the Bank

Branch & City

II. Second and Subsequent Instalment Details:

SIP Date (Please ✓) ☐ 1st ☐ 7th ☐ 10th ☐ 15th ☐ 25th ☐ All 5 dates

SIP Period From D D M M Y Y Y Y To D D M M Y Y Y Y

NRI / FII Investors, Please indicate source of funds for your investment (Please ✓) ☐ NRE ☐ NRO ☐ FCNR ☐ Others (Please specify)

Third party cheque / transfer will not be accepted for investment

In case of exception to Third party payment, please fill the Third Party Declaration Form.

(Refer Instruction No. 6)

7. NOMINATION DETAILS (Refer Instruction No. 7)

I/We do hereby nominate the undermentioned Nominee(s) to receive the Units allotted to my/our credit in my/our folio in the event of my/our death. I/We also understand that all payments and settlements made to such Nominee(s) and Signature of the Nominee(s) acknowledging receipt thereof, shall be a valid discharge by the AMC/Mutual Fund/Trustees.

	Name & Address of Nominee(s)	Date of Birth	Name & Address of the Guardian	Signature of Guardian	Proportion(%) (should aggregate to 100%) Default : Equal proportion
1.					
2.					
3.					

8. DECLARATION AND SIGNATURES (MANDATORY - APPLICATION WITHOUT SIGNATURE(S) WILL BE REJECTED) (Refer Instruction No. 8)

I/We have read and understood the contents of the Statement of Additional Information of Pramerica Mutual Fund and the Scheme Information Document(s)/Key Information Memorandum of the respective Scheme(s) and Addenda thereof, issued from time to time and the Instructions overleaf. I/We, hereby apply to the Trustee of Pramerica Mutual Fund for allotment of units of the respective Scheme(s) of Pramerica Mutual Fund, as indicated above and agree to abide by the terms, conditions, rules and regulations of the relevant Scheme(s). I/We have neither received nor been induced by any rebate or gifts, directly or indirectly in making this investment. I/We hereby declare that I/We do not have any existing Micro SIPs which together with the current application will result in aggregate investments exceeding ₹ 50,000 in a year. I/We declare that that I/We am are authorised to make this investment and the amount invested in the Scheme is through legitimate sources only and is not designed for the purpose of contravention or evasion of any Act, Regulation, Rule, Notification, Directions or any other applicable laws enacted by the Government of India or any Statutory Authority. 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(s) is/are being recommended to me/us. I/We declare that the information given in this application form is correct, complete and truly stated. In the event of my/our not fulfilling the KYC process to the satisfaction of the AMC/Pramerica Mutual Fund, I/We hereby authorise the AMC/Pramerica Mutual Fund to redeem the units against the funds invested by me/us at the applicable NAV as on the date of such redemption.

Applicable to NRIs: I/We confirm that I am/We are Non-Resident(s) 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(s).

SIGNATURE(S) (ALL APPLICANTS must sign here)

Date D D M M Y Y Y Y

Sole/1 st Applicant/Guardian/Authorised Signatory/POA	2 nd Applicant/Guardian/Authorised Signatory/POA	3 rd Applicant/Guardian/Authorised Signatory/POA
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If the investment is being made by a Constituted Attorney please furnish Name and PAN of Power of Attorney Holder (POA) in respect of each applicant below:

Name POA Holder for 1 st Applicant	Name POA Holder for 2 nd Applicant	Name POA Holder for 3 rd Applicant
PAN 	PAN 	PAN
KYC Status* <input type="checkbox"/> Yes <input type="checkbox"/> No <small>*(if Yes, attach proof)</small>	KYC Status* <input type="checkbox"/> Yes <input type="checkbox"/> No <small>*(if Yes, attach proof)</small>	KYC Status* <input type="checkbox"/> Yes <input type="checkbox"/> No <small>*(if Yes, attach proof)</small>

CHECK LIST (Please submit the following documents with your application (where applicable). All documents should be original/true copies Certified by a Director/ Trustee/ Company / Secretary/ Authorised signatory/ Notary Public.)

Documents	Ind	Co.	Soc.	Partnership Firms	Investment through POA	Trusts	NRI
PAN Card (not required for Micro SIP)	✓	✓	✓	✓	✓	✓	✓
KYC Acknowledgement (If application for ₹ 50,000 or above)	✓	✓	✓	✓	✓	✓	✓
Resolution/ Authorisation to invest		✓	✓	✓	✓	✓	
List of authorised signatories with specimen signatures		✓	✓	✓	✓	✓	
Memorandum & Articles of Association		✓					
Trust Deed						✓	
Bye-laws			✓				
Partnership Deed				✓			
Notorised POA (signed by investor and POA Holder)					✓		

For more information visit us at
www.pramericamf.com

E-mail us at
customercare@pramericamf.com

Call us (Toll free) at
1800 266 2667

GENERAL GUIDELINES FOR NFO APPLICATION FORM

- a. Please read the Scheme Information Document(s) carefully before investing.
- b. Please furnish all information marked as 'MANDATORY'. In the absence of any mandatory information, the application would be rejected.
- c. APPLICATIONS BY MINOR: Applications for minors should be made on their behalf by their lawful/ registered guardians and signed by them. The name of the Guardian should be filled in the relevant space provided in the Application Form.
- d. Please strike off sections that are not applicable.

INSTRUCTIONS FOR FILLING NFO APPLICATION FORM

1. DISTRIBUTOR INFORMATION

- a. Upfront 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.
- b. Please mention 'DIRECT' in case the application is not routed through any distributor.

2 (A) EXISTING INVESTORS

Existing Investors please fill your existing folio number and fill section 6 & 8 only.

2 (B) APPLICANT'S INFORMATION

- a. Please furnish names of all applicants. The name of the Sole /First Applicant should be mentioned in the same manner in which it appears in the Permanent Account Number (PAN) card. Please note the following:
 - In case the applicant is a Non-Individual investor the Contact Person's name should be stated in the space provided (Name of Guardian / Contact Person)
 - In case the applicant is a minor, the Guardian's name should be stated in the space provided (Name of Guardian / Contact Person). It is mandatory to provide the minor's date of birth in the space provided.
- b. If there is more than one applicant but the mode of holding is not specified, the same would be treated as **Joint**.
- c. Please indicate the tax status of the sole/1st applicant at the time of investment. The abbreviations used in this section are:
NRI : Non-Resident Indian Individual, **PIO** - Person of Indian Origin, **FII** - Foreign Institutional Investor, **NGO** - Non Government Organization, **AOP** - Association of Persons, **BOI** - Body of Individuals, **HUF** - Hindu Undivided Family.
- d. Please note that residents of US & Canada cannot invest in the schemes.
- e. Please mention your Occupation by ticking the appropriate option.

2 (C) PAN & KYC/PROOF OF IDENTITY AND ADDRESS PROOF OF DETAILS

Please furnish PAN & KYC details in this section for each applicant/unit holder, including the Guardian and/or Power Of Attorney (POA) holders as explained in (i) & (ii) below.

i. PAN

- a. It is mandatory for all investors (including guardians, joint holders, NRIs and power of attorney holders) except for **Micro SIP investments**, to provide their Income Tax Permanent Account Number (PAN) and also submit a photo copy of the PAN card at the time of purchase of Units.

Instalments in a rolling 12 months period or in a financial year i.e. April to March does not exceed ₹ 50,000 per year per investor (referred as 'Micro SIP') are exempted from the requirement of Permanent Account Number such investors will be required to submit a copy of proof of address and any one of the following proof of identity:

- Voter Identity Card
 - Driving License
 - Government/Defence identification card
 - Passport
 - Photo Ration Card
 - Photo Debit Card
 - 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
- b. The supporting document must be valid and a recent one and should be self attested by you or attested by the ARN holder mentioning the ARN number.
 - c. While making subsequent Micro SIP applications with Pramerica, you can quote the existing folio number where a Micro SIP has been registered and therefore need not submit the supporting document again.
 - d. This exemption will be applicable **ONLY** to investments by individuals (including NRIs but not PIOs), Minors, Sole propriety firms and Joint holders. HUFs and other categories are not eligible to invest in Micro SIPs.
 - e. Please mention the Type of Photo Identification Document details (including the Identification No., if any) in this section (Section 2 in the Application Form).

ii. Know Your Customer (KYC)

KYC is compulsory for all investors for any amount.

3. CONTACT INFORMATION

- a. Please furnish the full postal address of the Sole/ First Applicant with PIN/Postal Code and complete contact details. P.O. Box address is not sufficient.
- b. Please note that all communication i.e. Account statement, Annual Report, News Letters will be sent via e-mail, if the e-mail id of the investor is provided in the application form. The Account statement will be encrypted with a password before sending the same to the registered email id.
- c. Unit holders who have opted to receive account statement by e-mail are deemed to be aware of all security risks. Should the unit holder experience any difficulty accessing the electronically delivered documents, the unit holder shall promptly advise the Mutual Fund to enable the Fund to make delivery through alternate means.

4. BANK DETAILS

- a. Please furnish complete Bank Account Details of the Sole/First Applicant. This is a mandatory requirement and applications not carrying bank account details would be rejected. Bank details provided in the application form will be considered as the default Bank Mandate for remitting redemption proceeds.
- b. **Please provide your complete Core Banking Account Number, (if applicable), in your Bank Mandate in the Application Form.** In case you are not aware of the Core Banking Account Number, kindly check the same with your Bank.
- c. **You are also requested to attach a cancelled cheque leaf (or copy thereof) if your investment instrument is not from the bank account mentioned in the Application form.**
- d. Pramerica Mutual Fund will endeavour to remit the Redemption and Dividend proceeds through electronic mode, wherever sufficient bank account details of the unit holder are available.
5. **E-PIN** : Please tick in the space provided to apply for E-PIN which would enable you to transact through the Electronic Channels, It is mandatory to provide either the Mobile No. or E-mail Id of the applicant for E-PIN.

6. INVESTMENT/PAYMENT DETAILS

Please submit separate application form for each scheme. Please indicate the Scheme and the Option under which you wish to invest. Also indicate your choice of dividend payout or re-investment along with the dividend frequency (in case there are more than one dividend frequency). If any of the information is left blank, the default option will be applicable.

Payment may be made only by Cheque or Bank Draft or Electronic Fund Transfer. Cheque/Draft should be drawn in favour of the "Scheme name", eg., "**PRAMERICA DYNAMIC MONTHLY INCOME FUND**" or as the case may be and crossed "Account Payee only".

Please choose, tick and fill in the appropriate section based on the Type of Investment i.e. LUMPSUM or SIP investment. Please fill an Auto Debit form in case of investment through SIP - Auto Debit Facility.

As per **AMFI Best Practice Guidelines Circular No.16/2010-11**, third party payments should not be accepted.

In line with these recommendations, Pramerica Mutual Fund ('PMF') / Pramerica Asset Managers Private Limited ('the AMC') shall not accept applications for subscriptions for purchase of units accompanied with third party payment instruments with effect from November 15, 2010.

Third-Party Cheque by definition:

"Third Party Payment" shall mean payment made through an instrument issued from an account other than that of the beneficiary investor. In case of payment instruments issued from a joint bank account, the first named applicant/investor must be one of the joint holders of the bank account from which the payment instrument is issued. 'Related person/s' means such persons as may be specified by the AMC from time to time.

Exception: The AMC/ Registrar of PMF will accept subscriptions to schemes of PMF accompanied by Third-Party Payment Instruments only in exceptional cases mentioned below:

1. Payment by Parents/Grandparents/related persons on behalf of a minor in consideration of natural love and affection or as gift for a value not exceeding ₹ 50,000/- (each regular purchase or per SIP installment);
 2. Payment by employer on behalf of employee under Systematic Investment Plan (SIP) facility through payroll deductions;
 3. Custodian on behalf of an FII or a Client
- The investors making an application under the above mentioned exceptional cases are required to comply with the following, without which their applications for subscriptions for units will be rejected / not processed.

- a) Mandatory KYC compliance of the investor and the person making the payment, in order to determine the identity of the investor and the person issuing the payment instrument.
- b) Submit a separate, 'Third Party Payment Declaration Form' from the beneficiary applicant/s (guardian in case of minor) and the person making the payment i.e., the Third Party, giving details of the bank account from which the payment is made and the relationship of the Third Party with the beneficiary. (The declaration form is available at www.pramericaamf.com)

INSTRUCTIONS FOR FILLING NFO APPLICATION FORM (contd.)

- c) Submit a cancelled cheque leaf or copy of bank statement / pass book page mentioning bank account number, account holders' name and address or such other document as the AMC may require for verifying the source of funds to ascertain that funds have been remitted from the drawer's account only.

The AMC shall adopt the following process for identifying Third Party Payments: and accordingly investors are required to comply with the requirements specified below:

- a. **Payment by Cheque:** An investor at the time of his/her purchase must provide the details of pay-in bank account (i.e. account from which a subscription payment is made) and pay-out bank account (i.e. account into which redemption/dividend proceeds are to be paid). Identification of third party cheques by the AMC / Registrars will be on the basis of either matching of pay-in bank account details with registered/pay-out bank account details or by matching the bank account number/name/signature of the first named investor with the name/account number/signature available on the cheque. If the name/bank account number is not pre-printed on the cheque and signature on the cheque does not match with signature on the application, then the first named applicant/investor should submit any one of the following documents:

- a copy of the bank passbook or a statement of bank account having the name and address of the account holder and account number;
- a letter (in original) from the bank on the bank's letterhead certifying that the investor maintains an account with the bank, along with information like bank account number, bank branch, account type, the MICR code of the branch & IFSC Code (where available).

In respect of (ii) above, it should be certified by the bank manager with his/her full signature, name, employee code, bank seal and contact number.

Investors should note that where the bank account numbers have changed on account of the implementation of core banking system at their banks, any related communication from the bank towards a change in bank account number should accompany the application form for subscription of units.

- b. **Payment by Prefunded Instrument:**

- If the subscription is settled with pre-funded instruments such as Pay Order, Demand Draft, Banker's cheque, etc., a certificate (in original) from the Issuing banker must accompany the purchase application, stating the Account holder's name and the Account number which has been debited for issue of the instrument. The account number mentioned in the Certificate should be a registered bank account or the first named unitholder should be one of the account holders to the bank account debited for issue of such instruments.
- A pre-funded instrument issued against cash shall not be accepted, except in case of payment made by Parents/Grandparents/related persons on behalf of a minor in consideration of natural love and affection or as gift for a value not exceeding ₹ 50,000/-. This also should be accompanied by a certificate from the banker giving name, address and PAN of the person who has procured the payment instrument.

The Certificate(s) mentioned in (i) and (ii) above should be duly certified by the bank manager with his/her full signature, name, employee code, bank seal and contact number.

- c. **Payment by RTGS, NEFT, ECS, Bank transfer, etc:**

A copy of the instruction to the bank stating the account number debited must accompany the purchase application. The account number mentioned on the transfer Instruction copy should be a registered bank account or the first named unitholder should be one of the account holders to the bank account.

The above broadly covers the various modes of payment for mutual fund subscriptions. The above list is only indicative not exhaustive list and any other mode of payment as introduced from time to time will also be covered accordingly. In case the application for subscription does not comply with the above provisions, the AMC / Registrars retains the Sole and absolute discretion to reject/not process such application and refund the subscription money and shall not be liable for any such rejection.

I LUMP SUM INVESTMENT

If you are from a city where there is no Investor Service Centre, you may submit a Demand Draft for the investment amount. Please enter the cheque or DD amount, DD Charges (if applicable) and the investment amount. The AMC shall bear the DD Charges incurred by an applicant as per demand draft charges prescribed by State Bank of India. The AMC shall, however, not refund any DD charges to the investor under any circumstances.

II Via SIP INVESTMENT

- a. The following criteria should be met for an SIP investment as specified below:

- Minimum amount per instalment : ₹ 500
- Minimum number of instalments : ₹ 10
- Aggregate investment via SIP should be at least : ₹ 5,000

If the SIP period is not specified by the investor then the SIP enrolment will be deemed to be for perpetuity and processed accordingly. The SIP facility will be available on the following dates in a month as chosen by the investor: 1st, 7th, 10th, 15th and 25th of every month. If any of the said dates happen to be a holiday / non-transaction day, then the SIP transaction will be processed on the next business day.

- During the NFO, only SIPs investment through Auto Debit are allowed.
- The first SIP instalment can be paid either through a Cheque, a Demand Draft (DD) or a Pay Order (PO). In case of payment of first instalment through DD and PO, the Auto Debit Bank details mentioned by you must be attested by the banker in Section 3 of Auto Debit Facility form.
- SIP through Auto Debit
 - Investors may enrol for SIP facility through ECS (Debit Clearing) of the RBI or for SIP Direct Debit Facility available with specified Banks/Branches, during the NFO and Ongoing Offer Period.

- To enroll for SIP Auto Debit facility, an investor must fill-up the Auto Debit Facility Form and provide his first investment cheque for the initial purchase. Investor is required to submit a cancelled cheque or a photocopy of a cheque of the bank account for which the ECS/Direct Debit mandate is provided.
- Investors should provide the Core Banking Account number, if applicable, in the Bank Mandate in the Auto Debit form.
- The first instalment cheque should be dated with the date of submission of the Application Form.
- Please note the cheques for first instalment and the subsequent instalments through Auto Debit should be for the same amount.
- Auto Debit instructions for subsequent instalments should be dated on or after January 10, 2011 for application made during NFO.
- In case of any mismatch between the No. of instalment' and the 'SIP Period', the SIP period will be considered as per Auto Debit Facility Form.
- In case of any discrepancy between the NFO application form and the Auto Debit Facility Form, the SIP details provided in the latter will be considered for investment.

- e. Please note that the cheque should be made favouring the scheme name. For e.g. **"Pramerica Dynamic Monthly Income Fund"**.

NRI investors

NRIs and PIOs may purchase units of the scheme(s) on a repatriation and non-repatriation basis, while FIIs may purchase units only on a repatriation basis. They shall attach a copy of the cheque used for payment or a Foreign Inward Remittance Certificate (FIRC) or an Account Debit Certificate from the bankers along with the application form to enable the AMC to ascertain the repatriation status of the amount invested. The account type shall be clearly ticked as NRE or NRO or FCNR, to enable the AMC determine the repatriation status of the investment amount. The AMC and the Registrar may rely on the repatriation status of the investment purely based on the details provided in the application form.

Repatriation basis

- NRIs and PIOs may pay their subscription amounts by way of Indian Rupee drafts purchased abroad, cheques drawn on Non-Resident External (NRE) Accounts or Indian Rupee drafts payable at par at any of the centres where the AMC has a designated ISC and purchased out of funds held in NRE Accounts / FCNR Accounts. FIIs may pay their subscription amounts either by way of inward remittance through normal banking channels or out of funds held in Foreign Currency Accounts or Non Resident Rupee Accounts maintained with a designated branch of an authorised dealer with the approval of RBI.
- In case Indian Rupee drafts are purchased abroad or from FCNR/NRE accounts, an account debit certificate from the bank issuing the draft confirming the debit shall also be submitted with the application form. NRIs shall also be required to furnish such other documents as may be necessary and as requested by the AMC/Mutual Fund/Registrar, in connection with the investment in the schemes.

Non-Repatriation basis

NRIs and PIOs may pay their subscription amounts by cheques/demand drafts drawn out of Non-Resident Ordinary (NRO) accounts/ Non-Resident Special Rupee (NRSR) accounts and Non Resident Non-Repatriable (NRRN) accounts payable at the city where the application form is accepted.

7. NOMINATION DETAILS

As per SEBI regulations, you may nominate a maximum of 3 person, to whom the amounts will be payable in the event of death of the sole or all Unit Holders as the case may be, in respect of investment under a folio.

- The nomination may be made only by individuals applying for/holding units on their own behalf, singly or jointly. Non-individuals including society, trust, body corporate, partnership firm, Karta of HUF, holder of POA cannot nominate.
- A minor can be nominated and in that event, the name and address of the guardian of the minor nominee shall be provided in the application. Nomination can also be in favour of the Central Government, State Government, and a local authority, any person designated by virtue of his office or a religious or charitable trust.
- The Nominee shall not be a trust (other than a religious or charitable trust), society, body corporate, partnership firm, Karta of Hindu Undivided Family or a Power of Attorney holder.
- A Non-Resident Indian can be a Nominee subject to the exchange control regulations in force, from time to time.
- Transfer of units in favour of a Nominee shall be valid discharge by the AMC against the legal heir.
- The cancellation of nomination can be made only by the individual(s) who hold units on their own behalf singly or jointly and who made the original nomination. On cancellation of the nomination, the nomination shall stand rescinded and the AMC shall not be under any obligation to transfer the units in favour of the Nominee.
- In the event of the unit holders not indicating the percentage of allocation/share for each of the nominees, the AMC shall settle the claim equally amongst all the nominees.

8. DECLARATION AND SIGNATURES

- All signatures should be hand written in English or any Indian language. Thumb impressions should be from the left hand for males and the right hand for females and in both cases must be attested by a Judicial Magistrate or a Notary Public.
- If the application form is signed by a Power of Attorney (PoA) holder, the form should be accompanied by a notarised photocopy of the PoA. Alternatively, the original PoA may be submitted, which will be returned after verification. If the PoA is not submitted with the application, the Application Form will be rejected.
- In case of corporates or any non-individual investors, a list of authorised signatories should be submitted along with Application form or in case of any change in the authorised signatory list, the AMC / Registrar must be notified within 7 days.

SIP AUTO DEBIT FACILITY REGISTRATION CUM MANDATE FORM



Pramerica
MUTUAL FUND

INVESTORS SUBSCRIBING TO THE SCHEME THROUGH SIP AUTO DEBIT FACILITY TO COMPLETE THIS FORM COMPULSORILY ALONGWITH NEW FUND OFFER

1. DISTRIBUTOR INFORMATION (Refer Instruction No. 1)		FOR OFFICE USE ONLY	
Distributor Code	Sub Broker Code	Branch Serial Code	Registrar Serial No.
ARN -			
Upfront 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.			

2. APPLICANT INFORMATION (Refer Instruction No. 2)

Application No. / Existing Folio No. _____

Name of Sole/1st Applicant _____

3. SIP DETAILS (First SIP cheque and subsequent via Auto Debit Facility in select cities only) (Refer Instruction No. 3)

Scheme Name : PRAMERICA DYNAMIC MONTHLY INCOME FUND

Option ☐ Growth* ☐ Dividend *Default Option

Dividend Facility ☐ Payout ☐ Re-investment (Default)

Dividend Frequency : MONTHLY

SIP Date : ☐ 1st ☐ 7th ☐ 10th ☐ 15th ☐ 25th ☐ All 5 Dates

SIP Period _____

Instalment Amount (In figures) ₹ _____

☐ Till I instruct to discontinue the SIP (A) OR ☐ No. of Instalments (B) _____

Enrolment Period From _____ To _____

(Only in case of Option B in SIP period)

*Please read the Scheme Information Document of the respective Scheme for minimum SIP instalment, minimum SIP period and aggregate amount of investment.

DECLARATION & SIGNATURE: I/We hereby declare that the particulars given above are correct and express my willingness to make payments referred above to debit my/our account directly or through participation in Auto Debit. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information, I/We would not hold the user institution responsible. I/We will also inform AMC, about any changes in my/our bank account. I/We have read and agreed to the terms and conditions mentioned overleaf. I/We confirm that 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 hereby declare that I/We do not have any existing Micro SIPs which together with the current application will result in aggregate investments exceeding ₹ 50,000 in a year.

SIGNATURE (S) (Applicants must sign as per New Fund Offer Application Form)	<input checked="" type="checkbox"/> Sole/1 st Applicant/Guardian/Authorised Signatory/POA	<input checked="" type="checkbox"/> 2 nd Applicant/Guardian/Authorised Signatory/POA	<input checked="" type="checkbox"/> 3 rd Applicant/Guardian/Authorised Signatory/POA

4. PARTICULARS OF BANK ACCOUNT (MANDATORY) (Refer Instruction No. 4)

Account Number _____ (Please provide Core Banking Account Number only)

Account Type ☐ CA ☐ SB ☐ NRO ☐ NRE ☐ FCNR

Name of Sole / 1st Account Holder _____

Name of 2nd Account Holder _____

Name of 3rd Account Holder _____

Name of Bank _____

Branch & City _____ Pin _____

MICR Code (Mandatory) _____ IFSC Code _____

(9 digit code next to the cheque no. MICR code starting and / or ending with 000 is not valid for ECS). (11 digit no. appearing on your cheque leaf)

Mandatory to submit a cancelled cheque leaf of the bank account mentioned here.

DECLARATION & SIGNATURE : I/We hereby, authorise Pramerica Mutual Fund and its authorised service providers, to debit my/our above mentioned bank account directly or by ECS (debit clearing) for collection of SIP payments.

SIGNATURE (S) (as in Bank records)	<input checked="" type="checkbox"/> Sole/1 st Account Holder	<input checked="" type="checkbox"/> 2 nd Account Holder	<input checked="" type="checkbox"/> 3 rd Account Holder

5. BANKER'S ATTESTATION (Mandatory, if your First SIP instalment is through a Demand Draft/Pay Order) (Refer Instruction No. 4(e))

Certified that the signature of account holder and the Details of Bank account are correct as per our records

Signature verification request (To be retained by the Customer's Bank)

Signature of Authorised Official from Bank (Bank stamp and date)

The Branch Manager _____ Date _____

Bank _____ Branch _____

Sub : Mandate verification for A/c. No. _____

This is to inform you that I/We have registered for making payment towards my investments in Pramerica Mutual Fund by debit to my /our above account directly or through ECS (Debit Clearing). I/We hereby authorize to honour such payments and have signed and endorsed the Mandate Form. Further, I authorize my representative (the bearer of this request) to get the above Mandate verified. Mandate verification charges, if any, may be charged to my/our account.

Thanking you,

SIGNATURE (S) (as in Bank records)	<input checked="" type="checkbox"/> Sole/1 st Account Holder	<input checked="" type="checkbox"/> 2 nd Account Holder	<input checked="" type="checkbox"/> 3 rd Account Holder

All sections to be completed legibly in English in Black/Blue coloured ink and in BLOCK letters.

GENERAL GUIDELINES FOR SIP AUTO DEBIT FACILITY

- This form should be used only for Registration of SIP through Auto Debit (ECS/Direct Debit) facility.
- Applicants need to fill in this form together with the New Fund Offer Application Form, for the purpose of availing the facility of Systematic Investments through Auto Debit (ECS/Direct Debit) facility.
- Please read the terms and conditions for SIP in Key Information Memorandum.
- Please furnish all information marked as 'MANDATORY' in the form. In the absence of any mandatory information, your application for investment would be rejected.
- Please refer the 'INSTRUCTIONS' below. This will help you fill in the necessary details in the form correctly and completely.
- SIGNATURES:** This form needs to be signed at three places marked X and XX. Please sign the forms as per instructions below.
 - × To be signed by Applicants for SIP investment in the same order in which the New Fund Offer Application Form is signed.
 - ×× To be signed by Bank Account Holders in the order in which the Bank Account is held and the manner in which their signatures appear in the Bank records.

TERMS AND CONDITIONS FOR AUTO DEBIT FACILITY

- Our SIP Auto Debit (ECS/Direct Debit) Facility is offered to you using Reserve Bank of India's (RBI) Electronic Clearing Service (Debit Clearing Facility). By opting for this facility you agree to abide by the terms and conditions subject to which this facility is offered by RBI.
- The SIP Auto Debit (ECS/Direct Debit) Facility is offered only to investors having Bank Accounts in select cities listed below:
 - Agra • Ahmedabad • Allahabad • Amritsar • Anand • Asansol • Aurangabad • Bangalore • Bardhaman • Baroda • Belgaum • Bhavnagar • Bhillwara • Bhopal • Bhubaneswar • Bikaner • Calicut • Chandigarh • Chennai • Cochin • Coimbatore • Cuttack • Dargeling • Davangere • Dehradun • Delhi • Dhanbad • Durgapur • Erode • Gadag • Gangtok • Goa • Gorakhpur • Gulbarga • Guwahati • Gwalior • Haldia • Hubli • Hyderabad • Indore • Jabalpur • Jaipur • Jalandhar • Jammu • Jamnagar • Jamshedpur • Jodhpur • Kakinada • Kanpur • Kolhapur • Kolkata • Kota • Lucknow • Ludhiana • Madurai • Mandya • Mangalore • Mumbai • Mysore • Nagpur • Nasik • Nellore • Patna • Pondicherry • Pune • Raichur • Raipur • Rajkot • Ranchi • Salem • Shimla • Shimoga • Sholapur • Siliguri • Surat • Thirupur • Tirunelveli • Tirupati • Trichur • Trichy • Trivandrum • Tumkur • Udaipur • Udipi • Varanasi • Vijaywada • Vizag

The cities listed above may be modified/ removed at any time purely at the discretion of Pramerica Mutual Fund without assigning any reason or prior notice.
- Applications for SIP Auto Debit (ECS/Direct Debit) Facility would be accepted only if the Bank Branch in the locations listed above in point 2 participates in local MICR/ECS Clearing. In case your bank chooses to cross-verify the Auto Debit mandate with you as the Bank's customer, you would need to promptly act on the same. Pramerica Mutual Fund (PMF) and its Registrar and other service providers will not be liable for any transaction failures due to rejection of the transaction by your bank/branch or its refusal to register the SIP mandate or any charges that may be levied by your Bank/Branch on you.
- The installment after the NFO period should be dated after the date of declaration of first NAV. Any payments intended for the interim period will not be processed and will be treated void. While mentioning the SIP Auto Debit period (from) in this form, please consider the minimum gap requirement and indicate the correct SIP Auto Debit commencement date. Please refer to point 3 in instructions.
- For cancellation of the Auto Debit (ECS/Direct Debit) Facility, you need to give a notice 21 days in advance to the AMC or its Registrars.
- You will not hold Pramerica Mutual Fund (PMF)/ Pramerica Asset Managers Private Limited (PAMPL)/ Trustees to the Fund, its Registrars and other service providers responsible if the transaction is not/incorrectly effected due to incomplete or incorrect instructions from the applicant. Besides, you will not hold either of the entities listed herein before responsible if the transaction is delayed or not effected or the applicant bank account is debited in advance or after the specific SIP date due to various clearing cycles of RBI's ECS/local holidays.
- PMF/PAMPL reserves the right not to re-present any mandate for Auto Debit facility, if the registration could not be effected in time for reasons beyond its/their control.
- PMF/PAMPL/Trustees to the Fund, its Registrars and other service providers shall not be responsible and liable for any damages/compensation for any loss, damage, etc. incurred/suffered by you as a result of use of this facility.
- As per the RBI circular DPSS (CO) EPPD No. 191/04.01.01/2009-2010, SIP- ECS instructions from January 01, 2010, has to be forwarded only with the Core Banking System (CBS) Account Numbers. In order to enable smooth processing of the debits from your bank account towards purchase of SIP units, we request you to mention the CBS account number, wherever applicable.

INSTRUCTIONS FOR FILLING SIP AUTO DEBIT FACILITY REGISTRATION CUM MANDATE FORM

- Distributor Information**
Please mention "Direct" in case the application is not routed through any distributor.
- Applicant Information**
Please mention the New Fund Offer Application Form number / existing folio number and furnish the name of sole/ 1st applicant as it appears in the New Fund Offer Application Form.
- SIP Details**
Please furnish the following details with respect to your systematic investment:
 - Scheme Details** - Scheme Name, Scheme Plan and Option. (If the Scheme details indicated in the Auto Debit Facility form materially vary from the Scheme details indicated in the New Fund Offer Application Form, the Scheme details mentioned in the New Fund Offer Application Form would be considered).
 - SIP Dates** - 1st, 7th, 10th, 15th & 25th of every month. You also have a choice to have SIP installments on all five dates by ticking the appropriate box provided for All 5 Dates.
 - SIP Instalment Amount (in figures)**
 - SIP Auto Debit Enrollment Period** - Please mention the Auto Debit Enrollment commencement date and end date. In order to save you from the hassle of sending us renewal instructions each time your SIP expires, Pramerica offers you two ways to invest. If you know how long you wish to invest for, specify the From Date and To Date. Alternatively, you can choose the open option - where you specify only the From Date - and can discontinue your SIP by writing to us.
Please note if the SIP Dates, SIP Instalment Amount and the SIP Auto Debit Period indicated in the Auto Debit Registration Form materially vary from the SIP Dates, SIP Instalment Amount and the SIP Auto Debit Period indicated in the New Fund Offer Application Form, the details contained in the Auto Debit Registration Form would be considered for enrolment.
- Particulars of Bank Account**
 - Please furnish your Bank Account details from which the Auto Debit is to be effected. Please note that the sole/first applicant as mentioned in the "Applicants' Personal Details" section on this form need to be one of the a/c holders in the bank records registered for Auto Debit. If your bank is part of the Core Banking System (CBS), then the full CBS Account Number should be provided. Please refer to point 10 of Terms & Conditions for Auto Debit Facility.
 - Please mention names of all bank account holders. If the mode of operation of your bank account is joint, all bank account holders would need to sign at the places marked ×× in the same order and manner in which their signatures appear on bank records.
 - Please indicate the Bank Account Type.
 - It is mandatory to furnish the 9 Digit MICR Code of your Bank in this section.** This is the number appearing next to the cheque number on the MICR band at the bottom of the cheque. **In the absence of this information, your SIP Application would be rejected. Please note MICR code starting and / or ending with 000 is not valid for ECS.**
 - Please provide either a cancelled cheque leaf (or copy thereof) of the bank account from which the Auto Debit is to be effected or the Banker's attestation (in Section 5 of the Auto Debit Registration Form in case the first SIP Instalment is through a DD or a Pay Order). This would help us cross-verify your bank details appearing in the cheque with the bank details furnished in this form and let you know of discrepancies, if any, for early corrective action.

AUTO DEBIT FACILITY FORM- CHECKLIST

✓	Applicant's Information	<input type="checkbox"/> Application Form No.	<input type="checkbox"/> Name of Sole/1 st Applicant		
✓	Scheme Details	<input type="checkbox"/> Scheme	<input type="checkbox"/> Option	<input type="checkbox"/> Dividend Facility	<input type="checkbox"/> Dividend Frequency (if applicable)
✓	SIP Details	<input type="checkbox"/> SIP Instalment Amount	<input type="checkbox"/> Preferred SIP Date	<input type="checkbox"/> SIP Auto Debit Period	
✓	Bank Account Details	<input type="checkbox"/> Name of Sole/1 st Bank A/c Holder	<input type="checkbox"/> Bank A/c No. (CBS A/c, wherever applicable)		
✓	MICR code	<input type="checkbox"/> Cancelled Cheque leaf/Copy of Cheque leaf is attached.			
✓	Banker's attestation in Section 5 where the payment for first instalment is through a Demand Draft or Pay Order.				
✓	Third Party Declaration Form, in case of third party payment.				
✓	Banker's certificate in case of first instalment through a Demand draft.				
✓	All Bank Account Holders have signed the Form at the places marked "× ×" in the same order and manner in which their signatures appear on Bank Records.				

New Fund Offer ASBA Application Form

PRAMERICA DYNAMIC MONTHLY INCOME FUND

NFO Opens on March 8, 2011 • NFO Closes on March 22, 2011

FORM FOR APPLICATION SUPPORTED BY BLOCKED AMOUNT (ASBA)



Pramerica

MUTUAL FUND

PLEASE USE ONLY THIS FORM FOR NFO INVESTMENTS THROUGH ASBA

PLEASE READ THE SCHEME INFORMATION DOCUMENT/KEY INFORMATION MEMORANDUM AND INSTRUCTIONS BEFORE COMPLETING THIS FORM.

Application No. _____

1. BROKER/AGENT INFORMATION		FOR OFFICE USE ONLY			
Name and AMFI Regn No.	Sub Broker Name & Code	SCSB	SCSB IFSC Code	Syndicate Member Code	SL No.
ARN -		Name & Code	11 digit code	Name and Code	

2. APPLICANTS INFORMATION (Name should be as available in Demat Account in case of Demat Account holders)

Name of Sole / 1 st Applicant	Mr. / Ms. / M/s.	
Name of 2 nd Applicant	Mr. / Ms. / M/s.	
Name of 3 rd Applicant	Mr. / Ms. / M/s.	
Name of Guardian/Contact Person	Mr. / Ms. / M/s.	

Category (Please ✓) ☐ Retail Individual Investor(s) ☐ Non-Institutional Investor(s)

PAN No. Sole / 1st Applicant 2nd Applicant 3rd Applicant

Mode of Operation in Demat Account (where there is more than one applicant): ☐ Single ☐ OR ☐ Anyone or Survivor ☐ OR ☐ Joint

3. DEPOSITORY ACCOUNT DETAILS

Depository Name (Please ✓) ☐ National Securities Depository Ltd. ☐ Central Depository Services [India] Limited

Depository Participant Name	DP-ID
Beneficiary Account Number	

4. INVESTMENT DETAILS (Please ✓ where applicable)

Scheme Name	Option (* Default Option)	Dividend Facility (* Default Option)	Dividend Frequency
Pramerica Dynamic Monthly Income Fund	<input type="checkbox"/> Growth* <input type="checkbox"/> Dividend	<input type="checkbox"/> Payout <input type="checkbox"/> Re-investment*	Monthly

5. DETAILS OF BANK ACCOUNT FOR BLOCKING OF FUNDS

Bank Account Number	Bank Name
Branch Name where account is held	
Total Amount to be blocked (₹ In figures)	₹ (in words)

Attn. : NRI Investors : Payment should be made through their NRE/FCNR accounts.

6. UNDERTAKING BY ASBA INVESTOR

1) I/We hereby undertake that I/We am/are an ASBA Investor as per the applicable provisions of the SEBI (Issue of Capital and Disclosure Requirements), Regulations 2009 ('SEBI Regulations') as amended from time to time. 2) In accordance with ASBA process provided in the SEBI Regulations and as disclosed in this application, I/We authorize (a) the SCSB to do all necessary acts including blocking of application money towards the Subscription of Units of the Scheme, to the extent mentioned above in the "SCSB / ASBA Account details" or unblocking of funds in the bank account maintained with the SCSB specified in this application form, transfer of funds to the Bank account of the Scheme/Pramerica Mutual Fund on receipt of instructions from the Registrar and Transfer Agent after the allotment of the Units entitling me/us to receive Units on such transfer of funds, etc. (b) Registrar and Transfer Agent to issue instructions to the SCSB to remove the block on the funds in the bank account specified in the application, upon allotment of Units and to transfer the requisite money to the Scheme's account / Bank account of Pramerica Mutual Fund. 3) In case the amount available in the bank account specified in the application is insufficient for blocking the amount equivalent to the application money towards the Subscription of Units, the SCSB shall reject the application 4) If the DP ID, Beneficiary Account No. or PAN furnished by me/us in the application is incorrect or incomplete or not matching with the depository records, the application shall be rejected and the Pramerica Mutual Fund or SCSBs shall not be liable for losses, if any. All future communication in connection with NFO should be addressed to the SCSB/RTA/AMC quoting the full name of the Sole/First Applicant, NFO Application Number, ASBA Application Number, Depository Account details (if it has been provided), Amount applied for and the account number from where NFO amount was blocked.

Signature of the Applicant(s) _____ Date

Sole / 1 st Applicant	2 nd Applicant	3 rd Applicant
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Signature of Bank Account Holder(S) (to be signed as per holding pattern in the bank account)

Sole / 1 st Account Holder	2 nd Account Holder	3 rd Account Holder
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ACKNOWLEDGEMENT SLIP (To be filled in by the investor)

Application No. _____

Scheme Name : PRAMERICA DYNAMIC MONTHLY INCOME FUND

Option : ☐ Growth ☐ Dividend

Date

Received from Mr./ Ms./ Mrs./ M/s. _____

Address _____

SCSB Account details :

A/c No. _____ Bank Name _____ Branch Name _____

Total Amount to be Blocked:

₹ (in figures) _____ ₹ (in words) _____

Date & time of receipt _____

Acknowledgement Stamp & Date

All sections to be completed legibly in English in Black/Blue coloured ink and in BLOCK letters.

IMPORTANT INFORMATION & INSTRUCTIONS FOR ASBA MUTUAL FUND INVESTORS

Background : In its continuing endeavour to make the existing public issue process more efficient SEBI introduced a supplementary process of applying in public issues, viz : the "Applications Supported by Blocked Amount (ASBA)" process. Accordingly, Securities and Exchange Board of India (Issue of Capital and Disclosure Requirements) Regulations, 2009, as amended have been amended for ASBA process. The salient features of circular no. SEBI/CFD/DIL/ASBA/1/2009/30/12 dated December 30, 2009 available on SEBI website for "Additional mode of payment through Applications Supported by Blocked Amount (hereinafter referred to as "ASBA") are mentioned below for understanding the ASBA process:

- 1. Meaning of ASBA:** ASBA is an application for subscribing to a New Fund Offer Application FORM (NFO), containing an authorisation to block the application money in a bank account.
- 2. Self Certified Syndicate Bank (SCSB):** SCSB is a banker to an issue registered with the SEBI which offers the facility of applying through the ASBA process. The list of SCSBs will be displayed by SEBI on its website at www.sebi.gov.in from time to time. ASBAs can be accepted only by SCSBs, whose names appear in the list of SCSBs displayed on SEBI's website. As on April 15, 2010, 27 Banks have been recognised as SCSBs. Investors maintaining their accounts in of any of these Banks may approach one of the designated branches of these SCSBs for availing this facility. Further it may be noted that from time to time new banks register themselves as SCSBs who become eligible to provide these services and also the existing SCSBs designate additional branches that also provide this facility. An updated list of all the registered SCSBs, their controlling branches, contact details and details of their contact persons, a list of their designated branches which are providing such services is available on the website of SEBI at the address <http://www.sebi.gov.in>. Further these details are also available on the websites of the Stock Exchanges at <http://www.bseindia.com> and <http://www.nseindia.com>. Alternatively, investors may also contact the AMC, R& TA for information about the SCSBs or the ASBA process. These SCSBs are deemed to have entered into an agreement with the Issuer and shall be required to offer the ASBA facility to all its account holders for all issues to which ASBA process is applicable. A SCSB shall identify its Designated Branches (DBs) at which an ASBA bidder shall submit ASBA and shall also identify the Controlling Branch (CB), which shall act as a coordinating branch for the Registrar to the Issue, Stock Exchanges and Merchant Bankers. The SCSB, its DBs and CB shall continue to act as such, for all issues to which ASBA process is applicable. The SCSB may identify new DBs for the purpose of ASBA process and intimate details of the same to SEBI, after which SEBI will add the DB to the list of SCSBs maintained by it. The SCSB shall communicate the following details to Stock Exchanges for making it available on their respective websites. These details shall also be made available by the SCSB on its website: (i) Name and address of the SCSB (ii) Addresses of DBs and CB and other details such as telephone number, fax number and email ids. (iii) Name and contact details of a nodal officer at a senior level from the CB.
- 3. Eligibility of Investors:** An Investor shall be eligible to apply through ASBA process, if he/she: (i) is a "Resident Retail Individual Investor, Non Institutional Investor, QIBs, Eligible NRIs applying on non-repatriation basis, Eligible NRIs applying on repatriation basis i.e. any investor, (ii) is applying through blocking of funds in a bank account with the SCSB; Such investors are hereinafter referred as "ASBA Investors".
- 4. ASBA Facility in Brief:** Investor shall submit his Bid through an ASBA cum Application Form, either in physical or electronic mode, to the SCSB with whom the bank account of the ASBA Investor or bank account utilised by the ASBA Investor ("ASBA Account") is maintained. The SCSB shall block an amount equal to the NFO application Amount in the bank account specified in the ASBA cum Application Form, physical or electronic, on the basis of an authorisation to this effect given by the account holder at the time of submitting the Application. The Bid Amount shall remain blocked in the aforesaid ASBA Account until the Allotment in the New fund Offer and consequent transfer of the Application Amount against the allocated Units to the Issuer's account designated for this purpose, or until withdrawal/failure of the Offer or until withdrawal/rejection of the ASBA Application, as the case may be. The ASBA data shall thereafter be

uploaded by the SCSB in the electronic IPO system of the Stock Exchanges. Once the Allotment is finalised, the R&TA to the NFO shall send an appropriate request to the Controlling Branch of the SCSB for unblocking the relevant bank accounts and for transferring the amount allocable to the successful ASBA Bidders to the AMC account designated for this purpose. In case of withdrawal/Rejection of the Offer, the R&TA to the Offer shall notify the SCSBs to unblock the blocked amount of the ASBA Bidders within one day from the day of receipt of such notification.

- 5. Obligations of the AMC:** AMC shall ensure that adequate arrangements are made by the R&TA for the NFO to obtain information about all ASBAs and to treat these applications similar to non-ASBA applications while allotment of Units, as per the procedure specified in the Securities and Exchange Board of India (Issue of Capital and Disclosure Requirements) Regulations, 2009.

Investors are requested to check with their respective banks about the availability of the ASBA facility.

Other Information for ASBA Investors:

- SCSB shall not accept any ASBA after the closing time of acceptance on the last day of the NFO period.
- SCSB shall give ASBA investors an acknowledgment for the receipt of ASBAs.
- SCSB shall not upload any ASBA in the electronic system of the Stock Exchange(s) unless (i) it has received the ASBA in a physical or electronic form; and (ii) it has blocked the application money in the bank account specified in the ASBA or has systems to ensure that Electronic ASBAs are accepted in the system only after blocking of application money in the relevant bank account opened with it.
- SCSB shall ensure that complaints of ASBA investors arising out of errors or delay in capturing of data, blocking or unblocking of bank accounts, etc. are satisfactorily redressed.
- SCSB shall be liable for all its omissions and commissions in discharging responsibilities in the ASBA process.
- R&TA to the NFO shall act as a nodal agency for redressing complaints of ASBA and non-ASBA investors, including providing guidance to ASBA investors regarding approaching the SCSB concerned.

Grounds for rejection of ASBA applications

ASBA application forms can be rejected by the AMCI/Registrar/ SCSBs, on the following technical grounds:

- Applications by persons not competent to contract under the Indian Contract Act, 1872, including but not limited to minors, insane persons etc.
- Mode of ASBA i.e. either Physical ASBA or Electronic ASBA, not selected or ticked.
- ASBA Application Form without the stamp of the SCSB.
- Application by any person outside India if not in compliance with applicable foreign and Indian laws.
- Bank account details not given/incorrect details given.
- Duly certified Power of Attorney, if applicable, not submitted alongwith the ASBA application form.
- No corresponding records available with the Depositories matching the parameters namely (a) Names of the ASBA applicants (including the order of names of joint holders) (b) DP ID (c) Beneficiary account number or any other relevant details pertaining to the Depository Account.
- Insufficient funds in the investor's account.
- Application accepted by SCSB and not uploaded on/with the Exchange / Registrar.