

Dividend Transfer Plan (DTP) Enrolment / Cancellation Form

(Please read DTP terms and conditions overleaf)



Application No. _____

1. DISTRIBUTOR INFORMATION (Refer Instruction No. 1)

ARN code	Sub broker ARN code	Sub broker code (as allotted by ARN holder)	Employee Unique Identification Number (EUIIN)
ARN -	ARN -		

Incase the Employee Unique Identification Number (EUIIN) box has been left blank please refer point 4 related to EUIIN.
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.

(Please ✓ any one) New DTP Enrolment Existing DTP Cancellation

2. UNIT HOLDER DETAILS (MANDATORY) (Refer Instruction No.2)

Existing Folio No. _____

NAME OF FIRST/SOLE UNITHOLDER Mr. Ms. M/s. _____
Are you a citizen/tax resident of any country other than India? Yes No (Default) if yes, please specify country/(ies)# _____

NAME OF GUARDIAN (if applicable) Mr. Ms. M/s. _____
Are you a citizen/tax resident of any country other than India? Yes No (Default) if yes, please specify country/(ies)# _____

NAME OF SECOND UNITHOLDER Mr. Ms. M/s. _____
Are you a citizen/tax resident of any country other than India? Yes No (Default) if yes, please specify country/(ies)# _____

NAME OF THIRD UNITHOLDER Mr. Ms. M/s. _____
Are you a citizen/tax resident of any country other than India? Yes No (Default) if yes, please specify country/(ies)# _____

NAME OF POA (if applicable) Mr. Ms. M/s. _____
Are you a citizen/tax resident of any country other than India? Yes No (Default) if yes, please specify country/(ies)# _____

IF YOU ARE A CITIZEN/TAX RESIDENT OF THE USA, PLEASE FILL ANNEXURE I (INDIVIDUALS). ALL NON-INDIVIDUAL INVESTORS HAVE TO MANDATORILY FILL UBO DECLARATION FORM.

3A. DTP ENROLMENT DETAILS (Refer eligible source and target scheme/plan/option in terms & conditions)

SOURCE SCHEME DETAILS
Scheme : _____
Option : Dividend **Dividend Facility** (Please ✓ any one) : Payout Reinvestment # Dividend Frequency : _____

TARGET SCHEME DETAILS
Scheme : _____
Option (Please ✓ any one) : Growth Dividend
Dividend Facility (Please ✓ any one) : Payout Reinvestment # Dividend Frequency : _____

Please refer to the scheme Information Document of the relevant scheme for mentioning the appropriate frequency.

3B. DTP CANCELLATION DETAILS (refer eligible Source and Target scheme/plan/option in terms & conditions)

SOURCE SCHEME DETAILS
Scheme : _____
Option : Dividend **Dividend Facility** (Please ✓ any one) : Payout Reinvestment Dividend Frequency : _____

4. DECLARATION AND SIGNATURE(S) (To be signed by ALL UNIT HOLDERS if mode of holding is 'Joint')

I/we have read and understood the terms and conditions of Dividend Transfer Plan (DTP) for enrolment and cancellation and agree to abide by the same. I/we have also read the Schemes Information Documents (SID)/Key Information Memorandum (KIM) of the Target Scheme(s) carefully before applying for DTP.
For investors investing in Direct Plan: I/we hereby agree that the AMC has not recommended or advised me/us regarding the suitability or appropriateness of the product/scheme/plan.
 Please ✓ if the EUIIN space 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 in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor and the distributor has not charged any advisory fees on this transaction.

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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ACKNOWLEDGMENT SLIP (To be filled in by the investor)

Application No. _____

Dividend Transfer Plan (DTP)

Received, subject to verification, request for DTP Enrolment OR DTP Cancellation

From _____

Folio No. / Application No. _____

Acknowledgment Stamp & Date

V2 - 16.07.15

Terms and conditions:

1. Under the Dividend Transfer Plan (DTP), the investors may opt to automatically transfer (invest) the net dividend amount (i.e., net of statutory levy/taxes, if any) payable under the Scheme (hereinafter referred to as "Source Scheme") into any other scheme (hereinafter referred to as "Target Scheme") of DHFL Pramerica Mutual Fund (DHFLPMF) on the ex-dividend date (i.e., the immediate next business day after the Record Date) into the Target Scheme specified by the investor, at the applicable NAV of the Target Scheme and accordingly applicable number of units will be allotted in the Target Scheme, subject to the terms and conditions of the respective Target Scheme.
2. The minimum amount of investment is not applicable for investment made through DTP in the Target Scheme.
3. The Units allotted in the Target scheme against investment via DTP will be subject to the applicable Exit Load of the Target scheme.
4. Unit Holder(s) are advised to read the SID/KIM of Target Scheme (s) carefully before opting for DTP.
5. Unit holders who wish to enrol for the DTP facility are required to fill in and submit a prescribed DTP Enrolment Form complete in all respects at any of the Investor Service Centres (ISCs) of DHFLPMF, separately for each Scheme/Plan/Option. The enrolment for DTP facility shall be for all units under the Dividend Option of the respective Source Scheme. Request for partial Dividend Transfer and partial Dividend Payout/Reinvestment is not permitted.
6. The DTP enrolment Form is available with the ISCs as as on the website of DHFLPMF, namely www.dhflpramericamf.com
7. Enrolment under the DTP facility will automatically override any previous instructions of the Unit holder for 'Dividend Payout' or 'Dividend Reinvestment' facility, as the case may be, in the Source Scheme and will also apply to additional units allotted in the Source Scheme subsequently on account of additional subscription/switch-in/SIP/STP etc.
8. The request for enrolment for DTP must be submitted at least seven (7) working days prior to the Record Date for the dividend in the Source Scheme. Hence investors should

- submit DTP enrolment request sufficiently in advance. In case of this condition not being met the DTP enrolment would be effective from the immediately, succeeding Record Date of the dividend in the Source Scheme. Consequently, any dividend declared between the date of acceptance of the DTP enrolment Form and date of registration thereof by the Registrar, will be paid out of reinvested in the Source Scheme as applicable.
9. Unit holders will have the right to opt out of DTP facility at any time by submitting a written request. At the time of discontinuation of DTP facility, the unit holders should specify their choice of option i.e. dividend reinvestment or dividend payout, and the dividend frequency in the Source Scheme, failing which, the default option and frequency will be applicable.
10. Request for cancellation of DTP must be submitted at least seven (7) working days prior to the Record Date for the dividend in the Source Scheme. Any dividend declared in the Source Scheme during the interim period will be transferred to the Target Scheme.
11. The Account Statement for DTP transactions will be sent by post or by email (if email address is provided) within 30 days of dividend transfer.
12. It is expressly clarified that the dividends so transferred and invested in Target Scheme shall be constructive payment of dividends to the Unit holder/s and constructive receipt of the same amount from each Unit holder for investment units of Target Scheme. It is further clarified that the dividend amount transferred would be treated as switch-in/subscription transaction in the Target Scheme and will be liable to PAN and KYC provisions, as may be applicable.
13. DHFLPMF is not guaranteeing or assuring any dividend under any of the schemes. All dividend distribution is subject to investment performance of the respective schemes, availability of distributable surplus and at the discretion of the Trustee.
14. The AMC reserves the right to change/modify the terms and conditions of the DTP without prior notice or without assigning any reason thereof. If DTP facility is withdrawn from any Source Scheme or Target Scheme, all investors who have opted for DTP will be shifted under Dividend Reinvestment Option in the Source Scheme and the Unit Holder(s) will be sent suitable intimation.

INSTRUCTIONS

1. Distributor Information

- a) In case, the investor is directly applying, then they should clearly mention 'DIRECT' in the ARN column.
- b) Any edition or cancellation of the Distributor Information should be countersigned by the investor else the same is liable to be rejected.
- c) Quoting of EUIN is mandatory in case of advisory transactions.
- d) Distributors are advised to ensure that the sub broker affixes his/her ARN code in the column "Sub broker ARN code" separately provided in addition to the current practice of affixing the internal code issued by the main ARN holder in the "Sub broker code (as allotted by ARN holder)" column and the EUIN of the Sales Person (if any) in the "EUIN" column.
- e) Investors are requested to note that EUIN is applicable for transactions such as Purchases, Switches, Registrations of SIP/STP/Trigger STP/Dividend Transfer Plan and Zero Balance Folio creation and instalments under Dividend Transfer Plans.
- f) Investors are requested to note that EUIN is largely applicable to sales persons of non individual ARN holders only (whether acting in the capacity of the main distributor or sub broker). Further, EUIN will not be applicable for overseas distributors who comply with the requirements as per AMFI circular CIR/ARN-14/12-12 dated July 13, 2012.

2. Applicant's Details

- a) Please furnish the name of the Sole/First Unit holder and the existing Folio Number in section 2.
- b) **Additional Information for FATCA compliance**
To comply with the requirements of Foreign Account Tax Compliance Act (FATCA), it is mandatory for all investors to provide additional information as explained below:

Please indicate whether you are a citizen/tax resident of any country other than India.

- Please select Yes if you are a tax resident of a country other than India and specify the name of the country (ies) in the space provided. Additionally, if you are a citizen/ tax resident of the USA, please fill & submit Individual Self Certification (Annexure I) and the W-9 Form.
- Please select No if you are only a tax resident of India.

All Non Individual applicants are required to fill & submit the Ultimate Beneficial Owner (UBO) Declaration Form (Annexure II).

Exception to UBO Declaration Form - This declaration is not needed for Companies that are listed on any recognized stock exchange or is a Subsidiary of such Listed Company or is a beneficial owner of such Companies.

3. DTP Enrolment Details

- a) Please specify the Source and Target- Scheme/Option.
- b) **Where Units under a scheme are held under both Regular and Direct Plans and the DTP request pertains to the Direct Plan, the same must be clearly be mentioned on the request, failing which the request would be processed from the Regular Plan. However, where Units under the requested Option are held only under one Plan, the request would be processed under such Plan.**
- c) A fresh DTP mandate shall be required as the existing DTP mandate shall cease to be effective in following events:
 - In the case of death of the first unit holder (Transmission)
 - In case of consolidation of Folios where the target Folio's scheme/plan is not enrolled for DTP.



Registered Office:

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