

## SWP OR STP / OptiSTP OR DSO FORM

(Please read instructions carefully before filling up the form)

Please (✓) any one.  Systematic Withdrawal Plan  Systematic Transfer Plan  Dividend Sweep Option  
 OptiSystematic Transfer Plan

ARN Code & Name	Sub-Broker's ARN Code	Employee Unique Identity Number*	Internal Code for Sub-broker/Employee	Time Stamp (for office use only)

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. Investors subscribing under the "DIRECT" plan of the scheme should mention "DIRECT" in the ARN column.

### 2. INVESTOR DETAILS

Name of Sole/First Applicant	Mr. Ms./M/s												
Name of Second Applicant	Mr. Ms.												
Name of Third Applicant	Mr. Ms.												
Name of Guardian (for Minor applicant) / POA Holder / Contact person (for Non-indl. Applicant)													
Mr. Ms.													

### 3. SYSTEMATIC WITHDRAWAL PLAN (SWP)

I/We wish to redeem units through Systematic Withdrawal Plan as per the details below -

From → Folio No.		Scheme Name		Plan/Option	
Fixed SWP Amount / No. of Units		Frequency	<input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly		
SWP date (Please ✓)	<input type="checkbox"/> 1st <input type="checkbox"/> 5th <input type="checkbox"/> 10th <input type="checkbox"/> 15th <input type="checkbox"/> 28th				
Enrolment Period	Start From	MM / YY YY YY	End on	MM / YY YY YY	No. of Installments

### 4. SYSTEMATIC TRANSFER PLAN (STP)

I/We wish to switch units through STP/ OptiSTP as per the details below -

<input type="checkbox"/> Systematic Transfer Plan (STP) DETAILS	<input type="checkbox"/> Opti Systematic Transfer Plan (OptiSTP) DETAILS	
Fixed STP Installment Amount (₹)	Fixed Min. Installment Amt. <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Fixed Max. Installment Amt. <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> (Amount greater than Fixed Min. Installment amount by ₹500/- & multiple of ₹1/- thereof)	
From → Folio No.	Scheme Name	Plan/Option
To → Folio No.	Scheme Name	Plan/Option
Transfer Frequency	<input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly	
Transfer date (Please ✓)	<input type="checkbox"/> 1st <input type="checkbox"/> 5th <input type="checkbox"/> 10th <input type="checkbox"/> 15th <input type="checkbox"/> 28th ((applicable ONLY for Monthly/Quarterly transfers))	
Enrolment Period	Start From	MM / YY YY YY
	End on	MM / YY YY YY
		No. of Installments

### 5. DIVIDEND SWEEP OPTION (DSO) DETAILS (Refer instructions overleaf)

I/We wish to transfer the Dividends declared through Dividend Sweep Option as per the details below -

From → Folio No.		Scheme Name		Plan/Option	
To → Folio No.		Scheme Name		Plan/Option	

**Declaration & Signature (s):** Having read and understood the contents of the Scheme Information Document (SID), Statement of Additional Information (SAI) & Key Information Memorandum (KIM) I/We hereby apply for units of the scheme and agree to abide by the terms, conditions, rules and regulations governing the scheme. I/We hereby declare that the amount invested in the scheme is through legitimate sources only and does not involve and is not designed for the purpose of the contravention of any Act, Rules, Regulations, Notifications or Directions of the provisions of the Income Tax Act, Prevention of Money Laundering Act, Prevention of Corruption Act and / or any other applicable laws enacted by the government of India from time to time. I/We have understood the details of the scheme & I/we have not received nor have been induced by any rebate or gifts, directly or indirectly in making this investment. **Applicable for NRI's only -** I/We confirm that I am/we are Non Residents of Indian Nationality/Origin and that I/we have remitted funds from abroad through approved banking channels or from funds in my/our Non-Resident External / Non-Resident Ordinary / FCNR account. The ARN holder has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us. I/We confirm that details provided by me/us are true and correct. Please  Repatriation basis  Non-Repatriation basis \* Please strike out whichever is not applicable.

Please sign here  
 First Account Holder/Guardian Signature \_\_\_\_\_ Second Account Holder's Signature \_\_\_\_\_ Third Account Holder's Signature \_\_\_\_\_

### EXECUTION ONLY

"I/We hereby confirm that the EUIN 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.

Please sign here  
 First Account Holder/Guardian Signature \_\_\_\_\_ Second Account Holder's Signature \_\_\_\_\_ Third Account Holder's Signature \_\_\_\_\_

Folio No.

Received from Mr./Ms./M/s. \_\_\_\_\_  
 Received for  SWP  STP  OptiSTP  DSO Frequency  \_\_\_\_\_  
 Scheme / Plan / Option \_\_\_\_\_  
 Amount or Units \_\_\_\_\_

Collection Centre / AMC Stamp / Signature  
 \_\_\_\_\_

## INSTRUCTIONS FOR SYSTEMATIC WITHDRAWAL PLAN (SWP)

- New Investors investing in a scheme for the first time and wishing to avail of SWP, should fill in all the sections in the Common Application Form. The withdrawal details should be indicated in the SWP section of this form.
- Existing Investors are required to submit only this form indicating the existing Folio/Account Number and withdrawal details in the SWP section.
- Investors should ensure that they have complied with PAN and KYC requirements mentioned in KIM and general instructions, as may be applicable to them while opting for SWP facility.
- Please allow upto 7 days for SWP to be registered and the first SWP transaction to happen. Hence, form should be submitted at least 7 days before the SWP start date.
- SWP Facility is available only on specific dates of the month viz. 1st / 5th / 10th / 15th/28th. In case of ambiguity / incomplete form, "1st" will be treated as the default option date.
- SWP period has to be for minimum of 6 installments irrespective of frequency i.e. 6 installments in case of monthly option or 6 quarters in case of quarterly option.
- SWP withdrawal request should not be below ₹500/-.
- Where start date is not specified clearly, SWP will be registered to start from a period after 7 days on the SWP date as available/mentioned. Where end date is not specified clearly, SWP will be registered for a period of three years.
- Investors may choose to discontinue this facility by giving 30 days' written notice to AMC or Registrar.

## INSTRUCTIONS FOR SYSTEMATIC TRANSFER PLAN (STP)/OptiSTP

- Systematic Transfer Plan (STP) is a facility wherein unit holder(s) of open-ended scheme(s) of Taurus Mutual Fund (Transferor or Source scheme) can opt to transfer a fixed amount at regular intervals to any other open-ended scheme(s) of Taurus Mutual Fund (Transferee or Target scheme). While, OptiSTP is a facility wherein a variable amount (as per the formula\*\*) can be transferred at regular interval by an investor.
- The STP/OptiSTP Enrollment Form should be completed in English and in Block Letters only. The STP/OptiSTP Enrollment Form complete in all respects, should be submitted at any of the designated Investor Service Centres (ISCs) of Karvy or any of the branches of Taurus Asset Management Co. Ltd. (TAMCO)
- For OptiSTP, an investor will have to decide a monthly Fixed minimum installment amount (A) and a monthly Fixed Maximum installment amount (B), which has to be greater than (A) by ₹500/- & in multiple of ₹1/- thereof. The actual Opti STP installment amount will be calculated by a formula\*\*; but irrespective of the formula amount, the final monthly OptiSTP investment will neither exceed the Fixed Maximum installment amount (B) nor be lower than the Fixed minimum installment amount (A), as decided by the investor.
- Formula\*\* - i) A= Fixed Minimum Installment amount ii) Fixed Maximum Installment amount = B iii) [(A \* current number of installment) - Account value of investments via Opti STP as on date of transfer] = C iv) Opti STP Installment amount = C, provided it is not less than A or greater than B. For example :

Scenario	A	B	C	Opti STP Installment Amount
1	1000	2000	800	1000
2	1000	2000	2100	2000
3	1000	2000	1500	1500

- The minimum number of STP/OptiSTP Installments and minimum amount are as under:

Frequency	Minimum No. Instalments	Minimum STP/OptiSTP Amount
Daily	12 Installments	₹500/-
Weekly (Friday)	12 Installments	₹500/-
Monthly	6 Installments	₹1000/-
Quarterly	4 Installments	₹1500/-

- For effecting one STP/OptiSTP, a single form is sufficient. However for more than one transfer and more than one scheme, please use separate forms for every such transfer.
- The STP/OptiSTP Enrollment Form will be registered within 15 business days from the receipt of request. The 1st STP/OptiSTP shall commence -  
A) For clear balance of units, 3 business days after registration.  
B) For unclear balance of units, 7 business days after registration.
- Daily STP/OptiSTP will be carried out on every business day. The Monthly and Quarterly STP/OptiSTP will be carried out on fixed dates - 1st, 5th, 10th, 15th & 28th, while the Weekly STP/OptiSTP will be carried out on every Friday of the week.
- Investors are advised to read the Scheme Information Document(s), Statement of Additional Information & Key Information Memorandum (s) of the Transferee Scheme(s) carefully before investing. The Scheme Information Document(s)/Key Information Memorandum(s) of the respective Scheme(s) are available with the ISCs or TAMCO and also displayed at the Taurus Mutual Fund website: [www.taurusmutualfund.com](http://www.taurusmutualfund.com).
- 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.
- In case the chosen STP/OptiSTP date falls on a Non-Business Day or falls during a book closure period, the immediate next Business Day will be considered for the purpose of determining the applicability of NAV.
- Exit load, as applicable, will be levied on the transfer of units from the transferor (source) scheme.
- If the amount of units in the folio of Transferor scheme falls short than the stipulated STP amount in the application or the OptiSTP installment amount, calculated as per the formula, then the entire such balance will be transferred to the transferee scheme.
- STP/OptiSTP 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.
- The provision of 'Minimum Redemption Amount' as specified in the Scheme Information document(s) of the Transferor Schemes and 'Minimum Application Amount' specified in the scheme information document of the respective designated Transferee Schemes will not be applicable for STP/OptiSTP.
- A Statement of Account will be issued in physical form or by e-mail (if opted by the unit holder) to the unit holder. In case of Physical Form - For the first transaction, the Statement will be dispatched within 10 working days and for subsequent frequency of transactions, the Statement will be dispatched within 10 working days at the end of every quarter. In case of specific requests of the investor, Mutual Fund will endeavor to dispatch within 5 working days from date of receipt of such request. In case of electronic form - The Statement shall be sent by e-mail as provided in the form if so mandated. The statement shall be sent on the next business day of the transaction day in a secured password protected form.
- Unit holders shall have the right to discontinue the STP/OptiSTP facility at any time by sending a written request on a plain paper to the ISC or any of the branches of TAMCO. Notice of such discontinuance must be received at least 15 days prior to the due date of the next transfer date. On receipt of such request, the STP/OptiSTP facility will be terminated.
- Units of Taurus Tax Shield cannot be assigned / transferred / pledged / redeemed / switched - out until completion of 3 years from the date of allotment of the respective units.
- The Trustee reserves the right to change/modify the terms and conditions of the STP/OptiSTP.

## INSTRUCTIONS FOR DIVIDEND SWEEP OPTION (DSO)

- Under the Dividend Sweep Option (DSO), 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 Taurus Mutual Fund on the ex-dividend date (i.e., immediate next business day after the Record Date) into the Target Scheme as 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.
- "Dividend Sweep" sub option available under Dividend Option for the following schemes :Taurus Liquid Fund (retail plan only), Taurus Ultra Short Term Bond Fund, Taurus Dynamic Income Fund, Taurus Starshare, Taurus Bonanza Fund, Taurus Discovery Fund, Taurus Ethical Fund, Taurus Infrastructure, Taurus Tax Shield, Taurus Nifty Index Fund, Taurus Short Term Income Fund & Taurus MIP Advantage.
- The minimum amount of investment is not applicable for investment made through DSO in the Target Schemes.
- The Units allotted in the Target scheme against investment via DSO will be subject to the applicable Exit Load of the Target scheme.
- Unit holder(s) are advised to read the Scheme Information Documents, Statement of Additional Information and Key Information of Memorandum of Target Scheme(s) carefully before opting for DSO.
- Unit holders who wish to enroll for the DSO facility are required to fill in and submit a prescribed Dividend Sweep Form duly signed and complete in all respects and submit at any of the Official Point of Acceptance (OPA) of Taurus Mutual Fund, separately for each Scheme/Plan/Option.
- The enrollment for DSO facility shall be for all units under the Dividend Option of the respective Source Scheme. Request for dividend sweep into multiple schemes are not allowed, partial Dividend Sweep and partial Dividend Payout /Reinvestment are also not permitted. If the unit holder fails to specify the option i.e growth, bonus or dividend of the target schemes then, the default shall be growth and the default option under dividend shall be dividend re-investment.
- The DSO Enrollment Form is available with the OPAs of TMF and as well as on the website of TMF, namely, [www.taurusmutualfund.com](http://www.taurusmutualfund.com)
- Enrollment under the DSO 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.
- The request for enrollment for DSO 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 the DSO enrolment request sufficiently in advance. In case of this condition not being met, the DSO 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 DSO Enrollment Form and date of registration thereof by the Registrar, will be paid out or reinvested in the Source Scheme, as applicable.
- Unit holders will have the right to opt out of DSO facility at any time by submitting a written request. At the time of discontinuation of DSO facility, the unit holders should specify their choice of option i.e. Dividend Reinvestment or Dividend Payout, in the Source Scheme, failing which, the default sub-option, i.e., Dividend Reinvestment will be applicable.
- Request for cancellation of DSO 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 swept to the Target Scheme.
- The Account Statement for DSO transactions will be sent by post or by email (if email id. is provided) within 30 days of dividend sweep.
- It is expressly clarified that the dividends so swept 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 in 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.
- TAMCO is not guaranteeing or assuring any dividend under any of the schemes. All dividend distributions are subject to investment performance of the respective schemes, availability of distributable surplus and at the discretion of the Trustee.
- The AMC reserves the right to change/ modify the terms and conditions of the DSO without prior notice or without assigning any reason thereof. If DSO facility is withdrawn from any Source Scheme or Target Scheme, all investors who have opted for DSO will be shifted under Dividend Reinvestment Option in the

Across all TAMCO Schemes, an investor can choose to invest in the "Existing" plan or in the "Direct" plan.

For investors applying through an ARN holder (distributor), it is important to also mention the EUIN code on the application form, as applicable; in addition to the ARN code of the distributor. This EUIN is a unique number, given to the sales person/RM/employee of the distributor, and will assist in resolving complaints.