



multi asset, multi manager

quant Mutual Fund

(Formerly known as Escorts Mutual Fund)

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DIVIDEND TRANSFER PLAN (DTP) - ENROLMENT FORM

To be filled in capital letters and in blue / black ink only.

1. DISTRIBUTOR / BROKER INFORMATION

Table with 5 columns: Name & Broker Code / ARN, Sub Broker / Sub Agent ARN Code, *Employee Unique Identification Number, Sub Broker / Sub Agent Code, RIA Code. Includes a disclaimer and signature lines for First, Second, and Third Applicants.

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

2. EXISTING UNIT HOLDER INFORMATION

FOLIO NO. [Grid]

3. APPLICANT DETAILS

Form for 1st, 2nd, and 3rd holders with fields for Name, PAN No / PEKRN, and KYC checkboxes.

4. CONTACT DETAILS OF SOLE/FIRST APPLICANT (Mobile No or Email Id is mandatory.)

Fields for Email ID, Mobile no., Office, and Residence.

Please register your Mobile No & Email Id with us to get instant transaction alerts via SMS & Email. Investors providing Email Id would mandatorily receive only E - Statement of Accounts in lieu of physical Statement of Accounts.

5. DIVIDEND TRANSFER PLAN (DTP) (Refer Instruction No. 6, 7 & 18) (If the investor wishes to invest in Direct Plan please mention Direct Plan against the scheme name)

Form with two columns: I/We would like to transfer Dividend from: and I/We would like to transfer Dividend to: with fields for Scheme Name and Plan/Option.

6. DECLARATION & SIGNATURE/S

I/We would like to opt for Dividend Transfer Plan subject to terms of the Scheme Information Document and subsequent amendments thereto. I/We have read the instructions of the Enrolment Form, Scheme Information Document of the Transferor and Transferee Scheme and Statement of Additional Information before filling up the Enrolment Form. I/We have understood the details of the scheme and I/We have not received nor been induced by any rebate or gifts, directly or indirectly, in making this investment. 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 hereby declare that the above information is given by the undersigned and particulars given by me/us are correct and complete. Applicable for NRI Investors: [] I confirm that I am resident of India. [] I/We confirm that I am/We are Non-Resident 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. I/We undertake that all additional purchases made under this folio will also be from funds received from abroad through approved banking channels or from funds in my/our NRE/FCNR Account.

Place: [Grid]

Date: [Grid]

Signature lines for First, Second, and Third Applicants.

Acknowledgment Receipt of DTP Application Form (To be filled in by the Unit holder)

FOLIO NO. [Grid]

APP No.:

Received from _____ DTP application

From Scheme / Plan / Option _____

to Scheme / Plan / Option _____

Stamp of receiving branch & Signature

INSTRUCTIONS

- (1) Dividend Transfer Plan (DTP) is a special facility available in selected Schemes of quant Mutual Fund (qMF). Under this facility, all the unit holders in the Dividend Plans whether in Dividend Reinvestment Option or Dividend Payout Option with any Dividend frequency can transfer their dividend to any other open ended Scheme of qMF by availing such facility. **Investors are requested to note that the Mutual Fund is not assuring that it will make periodical dividend distributions in the Transferor Scheme. Dividend will be declared in the Transferor Scheme subject to availability of distributable surplus in the Scheme.**
- (2) The DTP facility is available to all the unit holders whether in Retail Plan or Institutional Plan of all the Open Ended Schemes except Exchange Traded Funds and Interval Funds.
- (3) Unit holders are advised to read the Statement of Additional Information (SAI), Scheme Information Document (SID) and Key Information Memorandum (KIM) of the respective Transferor & Transferee Scheme(s) available at all the Designated Investor Service Centers (DISC), brokers / distributors and on our website www.quant-mutual.com carefully before investing.
- (4) New Unit holders are required to fill up Common Application Form for investing in Transferor Scheme along with DTP Enrolment Form. Existing Unit holders in Transferor Scheme are required to provide their Folio No. and submit only DTP Enrolment Form.
- (5) Please submit separate enrolment form for more than one Transferor and / or Transferee schemes.
- (6) The Dividend declared in the Transferor scheme will be automatically invested into the Transferee Scheme at the applicable NAV and accordingly the equivalent units will be allotted in the Transferee Scheme. The units will be allotted in the Transferee Scheme subject to the other terms and conditions mentioned in the Scheme Information Document (SID) of Transferee Scheme after deduction of applicable taxes, if any.
- (7) In Daily and Weekly Dividend frequency, the Dividend declared (as reduced by the amount of applicable statutory levy) in the Transferor scheme will be automatically invested into the Transferee Scheme at the applicable closing NAV as on Dividend Record Date (if Dividend Record Date is Non Business Day in Transferee Scheme then Dividend amount will be invested in Transferee scheme at Closing NAV of immediate next Business Day) and accordingly the equivalent units will be allotted in the Transferee Scheme.
- (8) In case of any other dividend frequency, the Dividend declared (as reduced by the amount of applicable statutory levy) in the Transferor scheme will be automatically invested into the Transferee Scheme at the Closing NAV of immediate next Business Day of the Record Date.
- (9) The unitholder who wish to opt for this facility has to submit the Enrolment form complete in all respects at any of the Designated Investor Service Centre (DISC) at least 7 calendar days before the commencement of first execution date of DTP.
- (10) The provision of "Minimum Application Amount" specified in the SID of the opted Transferee Scheme will not be applicable for availing DTP facility.
- (11) Pursuant to SEBI Circular No. SEBI/IMD/CIR No. 14/120784/08 dated March 18, 2008, no entry and/or exit load will be charged for the units allotted on reinvestment of dividend. Accordingly no exit load will be charged to the Transferor Scheme and no entry load will be charged for the investments in Transferee Scheme. The exit load applicable at the time of registration / enrolment will be applicable for the Transferee Scheme.
- (12) Unit holders should clearly mention from and to which Scheme / option he / she wish to transfer their Dividend. Please note that if no Transferor Scheme or Transferee Scheme is mentioned or in case of an ambiguity the application is liable to be rejected.
- (13) This facility will not be available for units which are under any Lien/Pledged or any lock-in period.
- (14) Unit holders can discontinue DTP facility by providing a written notice to the DISC atleast 7 calendar days (excluding date of submission) prior to the due date of the next transfer date. The following information need to be mentioned while submitting a cancellation request for DTP (a) Folio holder Name (b) Folio Number (c) Transferor Scheme (d) Transferee Scheme (e) Cancellation effective date atleast 7 calendar days (excluding date of submission) prior to the DTP date.
- (15) DTP will be automatically terminated if all the units are liquidated or withdrawn from the Transferor Scheme or pledged or upon receipt of intimation of death of the unit holder.
- (16) Unit holders should note that Unit holders' details and mode of holding (single, joint, anyone or survivor) in the Transferee Scheme will be as per the existing folio number of the Transferor Scheme. Units will be allotted under the same folio number.
- (17) For Direct Investments, please mention "Direct" in the column "Name & Broker Code / ARN".
- (18) Investors are required to clearly indicate the plans/options in the application form of the scheme.

Investor may note that following shall be applicable for default plan

Scenario	Broker Code mentioned by the investor	Plan mentioned by the investor	Default Plan to be captured
1	Not mentioned	Not mentioned	Direct Plan
2	Not mentioned	Direct Plan	Direct Plan
3	Not mentioned	Regular Plan	Direct Plan
4	Mentioned	Direct Plan	Direct Plan
5	Direct	Not mentioned	Direct Plan
6	Direct	Regular Plan	Direct Plan
7	Mentioned	Regular Plan	Regular Plan
8	Mentioned	Not mentioned	Regular Plan

In cases of wrong/ invalid/ incomplete ARN codes mentioned on the application form, the application shall be processed under Regular Plan. The AMC shall contact and obtain the correct ARN code within 30 calendar days of the receipt of the application form from the investor/distributor. In case, the correct code is not received within 30 calendar days, the AMC shall reprocess the transaction under Direct Plan from the date of application without any exit

load. Similarly, in the absence of clear indication as to the choice of option (Growth or Dividend Payout), by default, the units will be allotted under the Growth Option of the default /selected plan of the scheme.

(19) Communication for the investors :

If the investor(s) has/have provided his/their email address in the application form or any subsequent communication in any of the folio belonging to the investor(s), qMF / Asset Management Company reserves the right to use Electronic Mail (email) as a default mode to send various communication which include account statements for transactions done by the investor(s).

The investor(s) may request for a physical account statement by writing or calling qMF's Investor Service Center/ Registrar & Transfer Agent. In case of specific request received from the investor(s), qMF shall endeavor to provide the account statement to the investor(s) within 5 working days from the receipt of such request.

With effect from October 1, 2011, in accordance with SEBI Circular No. Cir/ IMD/ DF/16/ 2011 dated September 8, 2011, the investor whose transaction has been accepted by the qMF shall receive the following:

(i) On acceptance of the application, a confirmation by way of email and/or SMS within 5 Business Days from the date of receipt of transaction request will be sent to the Unit holders registered email address and/or mobile number.

(ii) Thereafter, a Consolidated Account Statement (CAS) shall be issued for each calendar month on or before 10th of the immediately succeeding month to the Unit holder(s) in whose folio(s) transaction(s) has/have taken place during the month by physical/e-mail mode.

CAS shall contain details relating to all the transactions carried out by the investor across all schemes of all mutual funds during the month and holding at the end of the month including transaction charges paid to the distributor.

The word 'transaction' shall include purchase, redemption, switch, dividend payout, dividend reinvestment, systematic investment plan, systematic withdrawal plan, systematic transfer plan and bonus transactions.

(iii) For the purpose of sending CAS, common investors across mutual funds shall be identified by their Permanent Account Number (PAN). In case of a specific request received from the Unit holders, qMF will provide the account statement to the investors within 5 Business Days from the receipt of such request. In the event the account has more than one registered holder, the first named Unit holder shall receive the CAS/ account statement.

CAS shall not be received by the Unit holders for the folio(s) not updated with PAN details. The Unit holders are therefore requested to ensure that the folio(s) are updated with their PAN. For Micro SIP and Sikkim based investors whose PAN details are not mandatorily required to be updated Account Statement will be dispatched by qMF for each calendar month on or before 10th of the immediately succeeding month.

Further, CAS detailing holding of investment across all schemes of all mutual funds at the end of every six months (i.e. September/ March), shall be sent by mail/e-mail on or before 10th day of succeeding month as the case may be, to all such Unit holders in whose folios no transaction has taken place during that period. The half yearly consolidated account statement will be sent by e-mail to the Unit holders whose e-mail address is available, unless a specific request is made to receive in physical.

(20) The Unit holders may approach/ consult their tax consultants with regards to the treatment of the transfer of units from the tax point of view.

(21) The application is subject to detailed scrutiny and verification. Applications which are not complete in all respect are liable for rejection either at the collection point itself or subsequently after detailed scrutiny / verification at the back office of the Registrar.

(22) qMF in consultation with Trustees reserves the right to withdraw this offering, modify the procedure, frequency, dates, load structure with prior notice in accordance with the SEBI (Mutual Funds) Regulations 1996 read with various amendments and circulars issued thereto and any such change will be applicable only to units transacted pursuant to such change on a prospective basis.

(23) Employee Unique Identification Number (EUID) would assist in tackling the problem of mis selling even if the employee/relationship manager/sales person leave the employment of the distributor.

(24) In line with SEBI letter no. OW/16541/2012 dated July 24, 2012 addressed to AMFI, Investments in the mutual fund schemes (including investments through Systematic Investment Plans (SIPs)) up to ₹ 50,000/- per investor per year shall be exempted from the requirement of PAN. Investor seeking exemption of PAN will need to submit the PAN Exempt KYC Reference No (PEKRN) acknowledgment issued by KRA along with the application Form. This exemption is applicable only for individuals including NRIs, minors acting through guardian, Sole proprietorship firms and joint holders. In case of joint holders, first holder must not possess a PAN. Other categories of investors e.g. PIOs, HUFs, QFIs, non - individuals, etc. are not eligible for such exemption.

FORMS REQUIRED TO BE FILLED UP : • For Existing Investor : (a) Only DTP Enrolment Form • For New Investors : (a) Common Application Form of Transferor Scheme (b) DTP Enrolment Form.

Acknowledgment Receipt of DTP Application Form (To be filled in by the Unit holder)