Birla Sun Life Focused Equity Fund - Series 6

(A Close ended Equity Scheme investing in Eligible Securities as per Rajiv Gandhi Equity Savings Scheme, 2013) Offer of units of ₹ 10/- each for cash during the New Fund Offer Period

(PLEASE READ THE INSTRUCTIONS BEFORE FILLING UP THE FORM)



New Fund Offer Opens: Monday, September 07, 2015 | New Fund Offer Closes: Thursday, October 01, 2015

Annlication No

The subscription list may be closed earlier by giving at least one day's notice date of the New Fund Offer Period, subject to the condition that the subscription	in one daily newspaper. The Trustee re on of the New Fund Offer Period shall no	serves the right to extend the closing the best open for more than 30 days.			
This Product is suitable for investors who are seeking*:	Vlos	Moderate Moderati			
long term capital growth	Moderately Low	Moderate Moderately High			
 investments in equity securities specified as Eligible Securities as per Rajiv Gandhi Equal Savings Scheme, 2013, as amended from time to time 	luity Low	11/18/1			
*Investors should consult their financial advisers if in doubt whether the product is suitable for the	LOW	RISKOMETER HIGH			
	Investors understand th	at their principal will be at moderately high risk			
		lo. (EUIN) EUIN is mandatory for "Execution Only" transactions. Ref. Instruction No. 9			
I/we hereby confirm that the EUIN box has been intentionally left blank by me/us as this transaction is executed without any interaction or advice by the employee/relationship manager/sales person of the distributor/sub broker or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor/sub broker.					
TRANSACTION CHARGES FOR APPLICATIONS ROUTED THROUGH I	DISTRIBUTORS/AGENTS ONLY (Ref	er Instruction 1 (viii))			
In case the subscription (lumpsum) amount is ₹10,000/- or more and your Distributor has opted to receive Transaction Charges, ₹150/- (for first time mutual fund investor) or ₹100/- (for investor other time mutual fund investor) will be deducted from the subscription amount and paid to the distributor. Units will be issued against the balance amount invested.					
EXISTING UNITHOLDER please fill in your Folio No., Name & Email ID and then proceed to Section 5 (Applicable details and Mode of holding will be as per the existing F					
FIRST / SOLE APPLICANT INFORMATION (MANDATORY) (Refer Instruction No. 2,3,4) Fresh / New Investors fill in all the blocks. (1 to 9) In case of investment "On behalf of Minor", Please Refer Instruction no. 2(ii)					

						lode of holding will be as per the existing Folio I
	ANT INFURIVIATION (MANDAT	,,	New Investors fill in all	I the blocks. (1 to 9)		of Minor", Please Refer Instruction no. 2(ii)
Mobile No.		Existing Folio No.			PA	N No.
Email Id						
DEMAT ACCOUNT DE	TAILS* (OPTIONAL) (Please	ensure that the sequence of names a		application form		neld with the depository participant.) Refer Instruction No
SDL: Depository Parti	cipant Name:		DPID No.:	I N	Ben	eficiary A/c No.
DSL: Depository Parti	cipant Name:		E	Beneficiary A/	c No.	
AME OF FIRST / SOLE	APPLICANT Mr. Ms. M/s.					
AN (Mandatory)		Date of Birth**	D M M Y	YYY	☐ KYC	
AME OF THE SECOND A	APPLICANT Mr. Ms. M/s.					
AN (Mandatory)		Date of Birth**	D M M Y	YYY	☐ KYC	
AME OF THE THIRD AP	PLICANT Mr. Ms. M/s.					
AN (Mandatory)		Date of Birth**	D M M Y	YYY	☐ KYC	** Mandatory in case the First / Sole Applicant is N
AME OF THE GUARDIA	AN (In case First / Sole App	licant is minor) / CONTACT PE	RSON - DESIGN	ATION / PoA H	HOLDER (In case of Non-in	ndividual Investors)
Mr. Ms. M/s.						
AN (Mandatory)		Date of Birth**	D M M Y	YYY	☐ KYC	
RELATIONSHIP OF GU	ARDIAN (Refer Instruction No. 2(ii))				
SD CODE	TEL: OFF.	S T D -			TEL: RESI S T	D -
TAX STATUS [Please tick (/)]					
Resident Individu			,			Minor Government Body
	NRI - NRE	FI Sole Proprietor	Partnersh	nip Firm	☐ QFI ☐	Others (Please Specify)
(YC DETAILS (Man						
OCCUPATION (Please tick (0 10			
FIRST APPLICANT	Private Sector Service Student	Public Sector Service Forex Dealer			ness	
SECOND APPLICANT	☐ Private Sector Service				ness Professional	
	Student					
THIRD APPLICANT	Private Sector Service Student				ness	Agriculturist Retired Housewife
GROSS ANNUAL INCOMI		TOTOX Dealer	Outors	•••••		(picase specify)
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SECOND APPLICANT	· · · · · ·	acs				1
THIRD APPLICANT		acs				
For Individuals	Dolow 1 Eac 1-3 E	For Non-Individual Investors				
I am Politically Expos	ed Person	Is the company a Listed Compa	•		• •	ed Company: Yes N
I am Related to Politi		(If No, please attach mandatory	, ,			change / Money Charger Services Yes N
Not Applicable		Gaming / Gambling / Lottery / Gambling / Gambling / Lottery / Gambling / Ga	Casino Services	Yes	☐ No Money Len	ding / Pawning
MODE OF HOLDING [Plea	se tick (🗸)] (Please Refer Instruction N	lo. 2(v)) Joint	Single		Anyone or Survivor (Default o	ption is Anyone or survivor)
AILING ADDRESS OF F	IRST / SOLE APPLICANT (P.C	D.Box Address is not sufficient. Please prov	ride full address.) (India	an Address in case o	of NRIs/FIIs)	
CITY		STATE				PIN CODE

ACKNOWLEDGEMENT SLIP (To be filled in by the Investor)

Birla Sun Life Focused Equity Fund - Series 6

Date:

Application No.



Birla Sun Life Asset Management Company Limited

One India Bulls Centre, Tower 1, 17th floor, Jupiter Mill Compound, 841, S.B. Marg, Elphinstone Road, Mumbai - 400 013 CIN: U65991MH1994PLC080811

Toll Free: 1800-270-7000 / 1800-22-7000 | sms FOCUS to 567679 | Email: connect@birlasunlife.com

Received from Mr. / Ms. [Please tick(\checkmark)] ENCLOSED $\ \ \square$ PAN Proof $\ \ \square$ KYC Complied Collection Centre / BSLAMC Stamp & Signature

AND ACCOUNT DETAILS Prices with that a per SEEI Republicion it is manufatory for investors to provide their hank account cleaned for files forgracion to 20% coccurs from the forgracion from the forgrac	ACCOUNT DEALS Phase nate that a per SER Regulation is in anotherly to insertion to provide the hard account figure phase as a 7 ill. SOMMOS CURRENT MINE (MINO PCNI) OTHERS	ACCOUNT DETAILS present and that as put SERT Regulations it is mendering for incomore in product thair hash account dutable Police Recrision 126, 340, Account 106, 106, Account 106, 106, Account 106, 106, Account 106, 106, Account 106, Acc	Email Id							
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*I have voluntarily subscribed to the on-line access for transacting through the internet facility provided by Birla Sun Life Auste Management Company Ltd. (Investment Manager of Birla Sun Life Mulai Fund) and confirm of having read, understood and agree to abide the terms and conditions for availing of the internet facility more particularly mentioned on the website www.birlasunific.com and hereby undertake to be bound by the same. I further undertake to discharge the obligations cast on me and shall not at any time deny or repudiate the on-line transactions effected by me and I shall be solely liable for all the costs and consequences thereof. **He 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 further declare and confirm that I have read and understood the terms and conditions of the Scheme, including conditions applicable to be eligible for availing tax benefits **Third Applicant** Birla Sun Life Focused Equity Fund - Series 6 Plan Regular Direct **Default Plan: Refer KIM for details. Default Option: Dividend Payout	*I have voluntarily subscribed to the on-line access for transacting through the internet facility provided by Birla Sun Life Asset Management Company Ltd. (Investment Manager of Birla Sun Life Mulai Fund) and confirm of having read, understood and agree to abide the terms and conditions for availing of the internet facility more particularly mentioned on the website www.birlasunific.com and hereby undertake to be bound by the same. I further undertake to discharge the obligations cast on me and shall not at any time deny or repudiate the on-line transactions effected by me and I shall be solely liable for all the costs and consequences thereof. **He 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 further declare and confirm that I have read and understood the terms and conditions of the Scheme, including conditions applicable to be eligible for availing tax benefits **Third Applicant** Birla Sun Life Focused Equity Fund - Series 6 Plan Regular Direct Dividend Payout Dividend Pay	*I have voluntarily subscribed to the on-line access for transacting through the internet facility provided by Birla Sun Life Mutual Fund) and confirm of having read, understood and agree to abide the terms and conditions for availing of the internet facility more particularly mentioned on the website www.birlasunlife.com and hereby undertake to be bound by the same. I further undertake to discharge the obligations cast on me and shall not at any time deny or repudiate the on-line transactions effected by me and I shall be solely liable for all the costs and consequences thereof. 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. Further declare and confirm that I have read and understood the terms and conditions of the Scheme, including conditions applicable to be eligible for availing tax benefits under provisions of RGESS under Income Tax Act, 1961. Birla Sun Life Focused Equity Fund - Series 6 Plan Regular Direct Options Growth Dividence	or Non-Individual Investors: I/We her nvestment in this scheme of Bi/Ne Sun I if the entity while applying for the inve- egarding the eligibility, validity and aut or NRIs only: I/We confirm that I am/w rom funds in my/our Non-Resident Extr	reby confirm that the object clause of th Life Mutual fund and the application is b estments and I/We, including the entity thorization of the entity and/or the applic we are Non Residents of Indian Nationalif ternal /Non-Resident Ordinary /FCNR acc	e constitution documen being made within the lin , if the case may arise s cants who have applied o tv/Origin and that I/we h	It of the entity (viz nits for the same so, hereby agree on behalf of the er ave remitted fund	z. MOA / AOA / Trust Dee . I/We are complying with to indemnify BSLAMC / I ntity.	ed, etc.), allows un all requirements BSLMF in case o	s to apply for s/conditions Fi	irst Applicant / Authorised Signatory
Birla Sun Life Focused Equity Fund - Series 6 Plan Regular Direct Options Growth Dividend Payout	Birla Sun Life Focused Equity Fund - Series 6 Plan Regular Direct Options Growth Dividend Payout	Birla Sun Life Focused Equity Fund - Series 6 Plan Regular Direct Options Growth Dividence	"I have voluntarily subscribed to the of Manager of Birla Sun Life Mutual F particularly mentioned on the websi and shall not at any time deny or repute he ARN holder has disclosed to me/us dutual Funds from amongst which the further declare and confirm that I hay	on-line access for transacting through Fund) and confirm of having read, unde	ndertake to be bound by by me and I shall be sole commission or any othe	y the same. I furth By liable for all the	ner undertake to dischar costs and consequence	ge the obligation s thereof.	es of various	
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	nvestment Amount (₹) DD Charges (₹) Net Amount (₹)			udiate the on-line transactions effected is all the commissions (in the form of trail Scheme is being recommended to me/, ue read and understood the terms and come Tax Act, 1961.	onditions of the Scheme		tions applicable to be eli	□ Re	egular	□ Direct

INSTRUCTIONS FOR FILLING APPLICATION FORM

GENERAL INSTRUCTIONS

- Please read the terms of the Key Information Memorandum and the **Statement of Additional Information / Scheme Information Document** carefully before filling the Application Form. Investors should also appraise themselves of the prevailing Load structure on the date of submitting the Application Form. Investors are deemed to have accepted the terms subject to which this offer is being made and bind themselves to the terms upon signing the Application Form and tendering
- m should be completed in English and in BLOCK LETTERS. Please tick in the appropriate boxes wh
- applications.

 The signature should be in English or in any of the Indian languages specified in the eighth schedule of the Constitution of India. Thumb Impressions must be attested by a magistrate or a notary public or a special executive magistrate under his/her official seal. Applications by minors should be signed by the guardians. In case of H. U. F., the Karta should sign on ehalf of the HIII F
- Behalf with the Tr. CT. The application complete in all respects along with the cheque / demand draft must be submitted to the nearest designated Investor Service Centre. Applications incomplete in any respect or not accompanied by cheque or demand draft of the amount payable are liable to be rejected and the money paid will be refunded without interest.

- amount payable are liable to be rejected and the money faid will be refunded without interest.

 No receipt will be issued for the application money. The designated Investors Service Centre will stamp and return the acknowledgment slip in the application form, to acknowledge receipt of the application.

 All cheques and bank drafts must be drawn in favour of "Birla Sun Life Focused Equity Fund Series 6" and crossed "Account Payeo Only". A separate cheque or bank draft must accompany each application /each Scheme. In case the Scheme name as provided by investor on the application form and on the payment instrument are different, the application shall be processed and units allotted of the Scheme as mentioned in the application Form duly signed by investor. Investors already holding a folio in Birla Sun Life Mutual Fund can provide their existing Folio Number and Name of applicantis(s) corresponding to the said folio. It is the responsibility of the Investor to ensure correctness of such details provided. The personal details and Bank Account details are registered in the existing folio number as provished would apply to the said investment and the registered details would prevail over any conflicting information furnished in this form. The AMC reserves the right to assign any of the existing Folio Number of the investor against multiple applications and / or subsequent purchases under this new application form lodged, with identical mode of holding and address and such other criterions and integrity checks as may be determined by the AMC from time to time.

 TRANSACTION CHARGES

TRANSACTION CHARGES

TRANSACTION CHARGES
SEBI with the intent to enable investment by people with small saving potential and to increase reach of Mutual Fund products in urban areas and in smaller towns, wherein the role of the distributor is considered vital, has allowed AMCs vide its circular No. Cirl /MD/ DF/13/2011 dated August 22, 2011 to deduct transaction charges for subscription of ₹ 10,000+2 and above. In accordance with the said circular, if the distributor, through which your application form is being routed, has opted to receive the Transaction Charges, Birla Sun Life Asset Management Co. Ltd. / Birla Sun Life Mutual Fund shall deduct the Transaction Charges, Birla Sun Life Asset Management Investor or ₹ 1000- (for Investor other than First Time Mutual Fund Investor) from your subscription amount and pay the same to such distributor. Thereafter, the units shall be allotted against the balance amount invested after deduction of Transaction charges payable to the distributor. The statement of account shall clearly state the net investment as gross subscription less transaction charge and depict the number of units allotted against the net investment amount.

Please note that Transaction Charges shall not be deducted in the following cases:

- purchases/subscriptions for an amount less than ₹ 10,000-;
 Transaction other than purchases/subscriptions relating to new inflows such as Switches/STPs/Dividend Sweep etc.
- c. Purchases / subscriptions made directly with the Mutual Fund (i.e. not routed through any distributor / agent).

 Transaction charges in case of investments through Systematic Investment Plan (SIP) shall be deducted only if the total commitment (i.e. amount per SIP installment x No. of installments) amounts to ₹ 10,000/- or more. The transaction charges shall be deducted in 3-4 installments.

Investor should note that, as per SEBI circular no. SEBI/IMD/CIR No. 4/ 168230/09, dated June 30, 2009, the upfront commission, if any, on investment made by the investor shall continue to be paid by the investor directly to the Distributor by a separate cheque, based on his assessment of various factors including the service rendered by

INVESTOR PARTICULARS

- Name and address must be given in full. P.O. Box address is not sufficient. In case of NRIs/ FII investors an overseas address must be provided.
- "On behalf of Minor" Accounts: Name of Guardian must be mentioned if investments are being made on behalf of a minor. Date of birth is mandatory in case of minor. The minor shall be the first and the sole holder in the account (folio). No joint holder will be allowed in an account (folio) where minor is the first or sole holder. Guardian in the account (folio) on behalf of the minor should either be a natural guardian (i.e. father or mother) or a court appointed legal guardian and the same must be mentioned in the space provided in application form. Copy of document evidencing the date of birth of the minor and relationship of the guardian with the minor (whether natural or legal guardian) should mandatoly be provided while opening of the account (folio). Also, nomination shall not be allowed in a folio/account held on behalf of a minor.
- In case of an application under Power of attorney or by a limited company, body corporate, registered society, trust or partnership, etc the relevant Power of attorney or the relevant resolution or authority to make the application as the case maybe, or duly notarised copy thereof, along with the Memorandum and Articles of Association/ Bye Laws must be lodged with the application form.
- Documentation to be submitted by Corporate Investors/Societies / Trusts / Partnership Firms/ FIIs

	Corporate Investors	Trusts	Societies	Partnership Firms	Flls	POA
Board/ Committee Resolution/ Authority Letter	1	1	1	✓	1	
Memorandum & Articles of Association	1					
Trust Deed		/				
Partnership Deed				✓		
Bye-laws			1			
List of authorised Signatories with name, designation & Specimen Signature	/	1	1	/	1	
Overseas Auditor's certificate					1	
Power of Attorney						1

The Power of Attorney should necessarily be signed by both the investor and the constituent Power of Attorney. Where only uncertified photocopies of the documents are submitted / attached to the application form, the onus for authentication of the documents so submitted shall be on investors and the BSLAMC/MF will accept and act in good faith on uncertified / not properly authenticated documents submitted/attached with the application form. Submission of such documents by investors shall be full and final proof of the non individual investor's authority to invest and the BSLAMC/MF shall not be liable under any circumstances for any defects in the documents so submitted.

Non-Individual investors are required to ensure that the object clause of the constitution document (viz. MOA / AOA / Trust Deed, etc.) permits investment in the scheme(s) of Birla Sun Life Mutual Fund. BSLAMC/BSLMF shall accept and process the applications made by these entities in good faith by relying on the undertaking given with respect to the authority, validity and compliance with all relevant formalities/conditions etc. in the application for making such investments with Birla Sun Life Mutual Fund. Further, BSLAMC/BSLMF/Trustees or any of its affiliates shall not be liable in case of any dispute arising with respect to eligibility, validity and authorization of the entity and/or the applicants who have applied on behalf of the entity, as applicable.

- entity, as applicable.

 Applicants can specify the mode of holding in the application form as "Single" or "Joint" or "Anyone or Survivor". In the case of holding specified as "Joint", redemption and all other request / transactions would have to be signed by all unit holders. Holding specified as "Anyone or Survivor", any one of the unit holders will have the power in make all necessary requests, without it being necessary for all the unit holders to sign. In the event the account has more than one registered unit holders and the mode of holding is not specified in the application form, the default option for holding would be considered to be "anyone or survivor". However, in all cases, the proceeds of all dividend/redemption will be paid to the first named holder. All communications will also be sent to the first named holder.
- Investors should clearly indicate their preference of Plan/option on the application form. If no plan is selected in the application form, the investment will be deemed to be for the default option.
- application from, the investment wince deeline to be for the default option.

 QUALIFIED FOREIGN INVESTOR (QFI): Qualified Foreign Investor (QFI) can invest in the scheme(s) provided the same is in compliance with SEBI circular CIR / IMD / DF / 14 / 2011 dated August 9, 2011 read with SEBI circular CIR / IMD / FII&C/ 13/2012 dated June 07, 2012, as applicable.

3(A). BANK AND PERMANENT ACCOUNT NUMBER DETAILS

Bank Details: In order to protect the interest of investors from fraudulent encashment of cheques, the SEBI Regulations have made it mandatory for investors to mention in their application / Redemption request, the bank name and account number

PAN Details: It is compulsory for all investors to quote their Permanent Account Number (PAN) and submit copy of the PAN card issued by the Income Tax Department, irrespective of the amount of investment, while making an application for Purchase of Units. In case of joint applicants, PAN details of all holders should be submitted. In case the investor making the application is a minor, PAN details of the Guardian must be submitted. Investors residing in the state of Sikkim are exempt from the mandatory requirement of PAN proof submission, however sufficient documentary evidence shall have to be submitted to Birla Sun Life Mutual Fund for verifying that they are residents of State of Sikkim.

DEMATA ACCOUNT DETAILS: Option to hold Units in dematerialized (demat) form

Pursuant to SEBI Circular no. CIR/IMD/DF/9/2011 dated May 19, 2011, effective October 01, 2011, Investors have an option to subscribe to/hold units of Scheme(s)/Plan(s) viz. open ended, close ended, Interval (except for exchange traded fund/s) in dematerialized (demat) form.

dematerialized (demat) form.

Consequently, the Unitholders under the Scheme(s)/Plan(s) shall have an option to subscribe to/ hold the units in electronic (demat) form in accordance with the provisions laid under the respective Scheme(s)/Plan(s) and in terms of the guidelines/ procedural requirements as laid by the Depositories (NSDL/CDSL) from time to time. Units under Plan(s)/Option(s) of all Schemes of Birla Sun Life Mutual Fund with dividend distribution of daily, weekly or fortnightly frequency, as defined under respective Scheme Information Document, shall be available in physical (non-demat) mode only. Also, various Special Products/Facilities such as, Systematic Withdrawal Plan, Systematic Transfer Plan, Switching etc. offered by AMC/Mutual Fund shall be available for unitholders in case the units are held/opted to be held in physical (non-demat) mode.

Investors intending to hold units in electronic (demat) form will be required to have beneficiary account with a Depository Participant (DP) (registered with NSDL / CDSL) and will be required to indicate, in the application form, the DP's name, DP ID

Number and the Beneficiary account number of the applicant held with the DP at the time of subscribing to the units. Applicants Number and the Beneficiary account number of the application find with the Dr. In that the sequence of the names as mentioned in the application form matches with that of the beneficiary account held with the DP. Names, PAN details, KYC details etc. mentioned in the Application Form will be verified against the Depository records. If the details mentioned in the application form are found to be incomplete / incorrect or not matching with the depository records, the application shall be treated as application for physical (non-demat) mode and accordingly units will be allotted in physical (non-demat) mode, subject to it being complete in all other aspects. Unlitholders who have opted to hold and thereby allotted units in electronic (demat) form will receive payment of redemption / dividend proceeds into bank account likeful their Demat account. account linked to their Demat account.

Units held in electronic (demat) form will be transferable subject to the provisions laid under the respective Scheme(s)/Plan(s) and in accordance with provisions of Depositories Act, 1996 and the Securities and Exchange Board of India (Depositories and Participants) Regulations, 1996 as may be amended from time to time. In case, the Unitholder desires to hold the Units in a Dematerialized /Rematerialized form at a later date, the request for conversion

of units held in physical (non-demat) mode into electronic (demat) form or vice-versa should be submitted alongwith a Demat/Remat Request Form to their Depository Participant(s). Investors should ensure that the combination of names in the account statement is the same as that in the demat account.

KNOW YOUR CUSTOMER (KYC)

KNOW YOUR CUSTOMER (KYC)
According to guidelines issued by SEBI under The Prevention of Money Laundering Act, 2002', Mutual Funds are required to follow enhanced know your customer (KYC) norms. Investors can visit branches of BSLAMC or may visit www.birlasunlife.com, www.amflindia.com and www.cdslindia.com to know detailed procedure for KYC compliance.

Effective January 01, 2011 it is mandatory for all category of investors to be KYC compliant for all investment transactions made on or after January 01, 2011, irrespective of amount of investment.

To further clarify, the above category of investors shall include:

i. their constituted Power of Attorney (PoA) holder, in case of investments through a PoA
is each of the applicance in case of investments in init representations.

ii. each of the applicants, in case of investments in joint names; and
iii. Guardian in case of investments on behalf of minor.

Applications without KYC Acknowledgement letter for the specified category of investors are liable to be rejected.

Applications without KYC Acknowledgement letter for the specified category of investors are liable to be rejected. Provided further, where it is not possible to verify the KYC compliance status of the investor at the time of allotment of units, the BSLAMC shall verify the KYC compliance status of the investor within a reasonable time after the allotment of units. In the event of non compliance of KYC requirements, the BSLAMC reserves the right to freeze the folio of the investor(s) for any kind of transactions or affect mandatory redemption of unit holdings of the investors at the applicable NAV, subject to payment of exit load. Investors should note that on completion of KYC Compliance all details of the investor in the Mutual Fund records will be replaced by the details as given in KYC Application Form by the investor. Any change in these details like change of Name / Address /Status /Signature, etc. should be given by Investor directly in the prescribed manner.

Pursuant to SEBI Circular No. MIRSD/ Cir-26/ 2011 dated December 23, 2011, SEBI (KYC Registration Agency) Regulations, 2011 and SEBI Circular No. MIRSD/SE/Cir-21/2011 dated October 05, 2011, regarding uniformity in the Know Your Customer (KYC) process in the securities market and evelopment of a mechanism for centralization of the KYC ercords to avoid duplication of KYC Process across the intermediaries in the securities market, the following changes are being made to KYC process w.e.f. January 11, 2012:

SEBI has introduced a common KYC Application Form for all the SEBI registered intermediaries viz. Mutual Funds, Portfolio

- January 01, 2012:

 1. SEBI has introduced a common KYC Application Form for all the SEBI registered intermediaries viz. Mutual Funds, Portfolio Managers, Depository Participants, Stock Brokers, Venture Capital Funds, Collective Investment Schemes, etc. New Investors are therefore requested to use the common KYC Application Form and carry out the KYC process including In-Person Verification (IPV) with any SEBI registered intermediaries including mutual funds. The KYC Application Forms are also available on our website www.birlasunifle.com.

 2. The Mutual Fund shall perform the initial KYC of its new investors and may undertake enhanced KYC measures commensurate with the risk profile of its investors. The Mutual Fund shall upload the details of the investors on the system of the KYC Registration Agency (KRA). Registrar & Transfer Agent (RTA) of the Mutual Fund may also undertake the KYC of the investors on behalf of the Mutual Fund. KRA shall send a letter to the investor within 10 working days of the receipt of the initial/updated KYC documents from the Mutual Fund, confirming the details thereof.

 3. Once the investor has done KYC with a SEBI registered intermediary, the investor need not undergo the same process again with another intermediary including mutual funds. However, the Mutual Fund reserves the right to carry out fresh KYC of the investor.
- investor
- Investor.

 It is mandatory for intermediaries including mutual funds to carry out In-Person Verification (IPV) of its new investors w.e.f. January 01, 2012.

 The IPV carried out by any SEBI registered intermediary can be relied upon by the Mutual Fund. BSLAMC and NISM/AMFI certified distributors who are KYD compliant are authorized to undertake the IPV for Mutual Fund investors. Further, in case of any applications received directly (i.e. without being routed through the distributors) from the investors, the Mutual Fund may rely upon the IPV (on the KYC Application Form) performed by the scheduled commercial banks.
- Existing KYC compilant investors of the Mutual Fund can continue to invest as per the current practice. However, existing investors are also urged to comply with the new KYC requirements including IPV as mandated by SEBI.

MODE OF PAYMENT 5.

- IE OF PAYMENT

 Resident investors may make payment by cheque payable locally in the city where the application form is submitted at the local Birla Sun Life Asset Management Company Ltd. (BSLAMC) Offices / Authorised Collection Centres.

 The cheque should be drawn on any bank which is situated at and is a member/sub member of the bankers clearing house or the cheque should be drawn on Bank branch which is participating in 'Speed Clearing' facility made available by Reserve Bank of India (RBI) [i.e. if the presenting bank branch and location is appearing in list of 'Speed Clearing' locations as prescribed by RBI from time to time for Core Banking Solution (CBS) branches]. Investors are requested to note that only cheques of value of upto ₹ 1 lacs shall be accepted under this Speed Clearing' facility. Further, the list of Speed Clearing-enabled bank branches are hosted on the website of the RBI under the link http://www.rbi.org.in/Scripts/bs_viewcontent.aspx?ld=2016.

 Payment through Stock invest. outstation cheques, cash and third party payments will not be accepted.
- Payment through Stock invest, outstation cheques, cash and third party payments will not be accepted.
- For all mode of payments, details of source account, source bank name and source branch name should be mentioned.

Restriction on acceptance of Third Party Payment:

- Pursuant to the AMFI Best Practice Guidelines circular on 'Risk mitigation process against Third-Party Cheques in mutual fund subscriptions' read with compliance with 'Know your Customer (KYC)' norms under Prevention of Money Laundering Act, 2002 (PMLA), Birla Sun Life Asset Management Company Limited (BSLAMC)/ Birla Sun Life Mutual Fund (BSLMF) shall not accept applications for subscriptions of units accompanied with Third Party Payments, except in the cases as enumerated below in para (c).
- Payments, except in the cases as enumerated below in para (c).

 "Third Party Payment" means payment through an instrument issued from a bank account other than that of the beneficiary investor. In case of payments from a joint bank account, the first named investor/holder of the mutual fund folio has to be one of the joint holders of the bank account from which payment is made.

 BSLAMC shall not accept subscriptions accompanied with Third Party Payments except in the following exceptional situations subject to submission of requisite documentation/declarations enumerated in para (d) below:
- - autors subject to submission or requisite occurrentation/declarations enumerated in para (o) below:

 Payment by Parents/Grand-Parents/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). However, this restriction will not be applicable for payment made by a guardian whose name is registered in the records of Mutual Fund in that folio as a guardian.

 Custodian on behalf of an FII or a client.
- II. Custodian or benain or an Firl or a client.

 In case of 'exceptional situations' mentioned above, investors are required to submit following documents/declarations alongwith the application form without which such applications will be rejected/not processed/refunded:

 i. Mandatory KYC for all Investors (guardian in case of minor) and the person making the payment i.e. third party. In order for an application to be considered as valid, investors and the person making the payment should attach their useful VICA Advantagement Letters the applications.
 - order for an application to be considered as valid, investors and the person making the payment should attach neir valid KYC Acknowledgement. Letter to the application form:

 A separate, complete and valid "Third Party Payment Declaration Form", inter alia, containing the details of the bank account from which the payment is made and the relationship with the investor(s). The declaration has to be given by the person making the payment it.e. Third Party, Please contact the nearest Investor Service Centre (ISC) of BSLAMC or visit our website www.birlasunlife.com for the said Declaration Form.
 - BSLAMC/BSLMF shall verify the source of funds to ensure that funds have come from the drawer's account only Investors are requested to note that, in case of:
- - Payment by Cheque: An investor at the time of his/her purchase must provide the details of his pay-in bank Payment by Uneque: An Investor at the time of insiner purchase must provide the details of his pay-in bank account (i.e. account (ino Michi a subscription payment is made) and his pay-out bank account (i.e. account into which redemption/dividend proceeds are to be paid). 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. 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 its 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).

Interest in Fros Could (where available):

If Investors should also bring the original documents along with the documents mentioned in (a) above to the ISCs/Official Points of Acceptance of BSLMF. The copy of such documents will be verified with the original documents to the satisfaction of the BSLAMC/BSLMF. The original documents will be returned across the counter to the investor after due verification.

*In respect of (b) above, it should be certified by the bank manager with his/her full signature, name, employee and banker of and order that purpose.

code, bank seal and contact number

newstors 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.

Payment by Prefunded Instrument: (1) 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

uroer, Lemand Dratt, 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. Investors may also submit a copy of the acknowledgement from the bank, wherein the instructions to debit carry the bank account details and name of the investor as an account holder, or a copy of the passbook/bank statement evidencing the debit for issuance of a DD, provided bank account number has to match with the details provided in the application form and name should match with the name of the first named unitholder.

(2) A pre-funded instrument issued by the Bank against Cash shall not be accepted for investments of ₹50,000/- or more. This also should be accompanied by a certificate from the banker giving name, address and PAN (if available) of the person who has requested for the payment instrument. The name mentioned on the Certificate should match with the name of the first named unitholder and certificate must state such investor's bank account number and PAN as per bank record, if available.

The Certificate(s) mentioned in (1) and (2) above should be duly certified by the bank manager with his/her full signature, name, employee code, bank seal and contact number.

Payment by RTGS, NETT, ECS, NECS, 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.

Cash acceptance towards subscription

Cash acceptance towards subscription
in accordance with SEBI circular CIR/IMD/DF/10/2014 dated May 22, 2014, Investors who are KRA-KYC compliant and do not belong to the top 15 cities' may avail of facility of subscribing to units of the Scheme through cash to the extent of ₹ 50,000°, per investor per financial year. However, repayments in form of redemptions, dividend, etc. with respect to investments through cash, shall be paid only through banking channel. Currently, cash shall be accepted at designated Investor Services Centers of Computer Age Management Services Pvt. Ltd (CAMS) in Pulloire, Bhagaigutr, Palanpur, Satara, Sangli, Bhatinda, Kota, Namakkal, Bareilly and Haldia. For detailed Address of Investor Services Centers of CAMS, refer pg no 6. Also, for the detailed procedures for making cash applications, Investors may enquire at the said designated ISCs for further assistance. Top 15 cities shall mean top 15 cities based on Association of Mutual Funds in India (AMFI) data or "AUM by Geography Consolidated Data for Mutual Fund Industry' as at the end of the previous financial in case the application for subscription does not comply with the above provisions, BSLAMC/BSLMF retains the

Consolidated Data for Mutual Fund industry as at the end of the previous financial In case the application for subscription does not comply with the above provisions, BSLAMC/BSLMF 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.

Investors residing in Centres, where the Investors service Centres of the mutual fund are not located, are requested to make payment by demand drafts payable at the Centre where the application is to be lodged, D.D. charges would be borne by the fund only for the investors residing at places which are not covered by our offices / authorised centres & DD Charges are mentioned in the form. The maximum charges so borne by the fund would be restricted to limits as prescribed by State Bank of India. of India.

NRUNVESTORS

RESTRICTION ON NON-ACCEPTANCE OF SUBSCRIPTIONS FROM U.S. PERSONS AND RESIDENTS OF CANADA:

As per the requirements of the U.S. Securities and Exchange Commission (SEC), persons falling within the definition of the term
"U.S. Person" under the U.S. Securities Act of 1933 and corporations or other entities organized under the laws of U.S. are not permitted to make investments in securities not registered under the Securities Act of 1933. [The term "U.S Person" means any person that is a United States person within the meaning of Regulation S under the United States Securities Act of 1933 or as defined by the U.S. Commodity Futures Trading Commission or as per such further amended definitions, interpretations, legislation, rules etc, as may be in force from time to time].

legislation, rules etc, as may be in force from time to time). Further, as per the Canadian Securities Administrator (°CSA') and other applicable laws, prior registration of a scheme is mandatory with CSA before its marketing or selling to the Residents of Canada.

The Schemes of Birla Sun Life Mutual Fund ('the Mutual Fund') are presently not registered under the relevant laws, as applicable in the territorial jurisdiction of Canada.

In view of the above, w. e.f August 19, 2014 ('the effective date'), the Trustee to Birla Sun Life Mutual Fund has decided to restrict investments from U.S. Persons, corporations or other entities organized under the law of the U.S. and Residents of Canada as defined under the applicable laws of Canada in the Schemes of the Mutual Fund.

Accordingly, the U.S. Persons and Residents of Canada are requested to note the following:

- No fresh purchases (including purchases by way of Systematic Investment Plans, Systematic Transfer Plans and Dividend Transfer Plans)/additional purchases/switches in any Schemes of the Mutual Fund is allowed. However, existing investment prior to the effective date in the schemes are allowed to be continued until same are redeemed by such investors:
- If an existing Unit Holder(s) subsequently becomes a U.S. Person or Resident of Canada, then such Unit Holder(s) will not be allowed to purchase any additional Units in any of the Schemes of the Mutual Fund;
- In case Birla Sun Life Asset Management Company Limited ("AMC") the Mutual Fund subsequently identifies, that the subscription amount has been received from U.S. Person(s) or Resident(s) of Canada after the effective date i.e. August 19, 2014, then the Mutual Fund / AMC at its discretion shall redeem all the units held by such person from the Scheme at applicable Net Asset Value.

Repatriation basis:

Payments by NRIs/FIIs may be made by way of Indian rupee drafts purchased abroad or out of funds held in NRE/FCNR account or by way of cheques drawn on non-resident external accounts payable at par and payable at the cities where the Investor Service Centres are located. In case of Indian rupee drafts purchased and subscriptions through NRIs / FCNR account, an account debit certificate from the bank issuing the draft confirming the debit should also be enclosed.

Non Repatriation basis:

NRIs investing on a non repatriable basis may do so by issuing cheques/ demand drafts drawn on Non-Resident Ordinary (NRO) account payable at the cities where the Investor Service Centres are located.

NOMINATION

- Unit holder can nominate (in the manner prescribed under the SEBI Regulations), maximum upto 3 person(s) in whom the Units held by him/her shall vest in the event of his/her death. It shall be mandatory to indicate clearly the percentage of allocation / share in favour of each of the nominees against their name and such allocation / share should be in whole numbers without any decimals making a total of 100 percent. In the event of the Unitholders not indicating the percentage of allocation / share for each of the nominees, the AMCs, by invoking default option shall settle the claim equally amongst all the nominees.
- Nomination made by unitholder shall be applicable for investments in all the Schemes in the folio or account and every new nomination for a folio or account will overwrite the existing nomination. Thus, a new nomination request will imply simultaneous cancellation of existing nomination and request for fresh nomination.
- The nomination can be made only by individuals applying for / holding units on their own behalf singly or jointly in favour of one or more persons. Non-individuals including society, trust, body corporate, partnership firm, Karta of Hindu Undivided Family, holder of Power of Attomey cannot nominate. Nomination form cannot be signed by Power of attomey (PoA) holders.
- In case a folio has joint holders, all joint holders should sign the request for nomination / cancellation of nomination, even if the mode of holding is not "joint"
- A minor can be nominated and in that event, the name and address of the guardian of the minor nominee shall be provided by the unit holder. The Applicant is advised that, in case of Single Holding, the Guardian to a Minor Nominee should be a person other than the Applicant.
- Nomination can also be in favour of the Central Government, State Government, a local authority, any person designated by virtue of these offices 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 controls in force, from time to time.

 Nomination shall not be allowed in a folio/account held on behalf of a minor.
- viii)
- Nomination in respect of the units stands rescinded upon the transfer of units.

 Transfer of units in favour of a Nominee shall be valid discharge by the AMC against the legal heir.
- xi) The cancellation of nomination can be made only by those individuals who hold units on their own behalf single 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.
- The nomination details as registered with the Depository Participant shall be applicable to unitholders who have opted to xiii) hold units in Demat mode.
- Nomination shall be mandatory for new folios/accounts opened by individuals especially with sole/single holding and no new folios/accounts for individuals in single holding shall be opened without nomination. However, in case investors do not wish to nominate must sign separately confirming their non-intention to nominate, failing which the form may be rejected at the discretion of the AlfC/Mutual Fund.

ELECTRONIC PAYOUT OF REDEMPTION/DIVIDEND

BSLAMC will endeavor to relation in recent the redemptions/dividend payouts directly to the designated Bank A/c of the unitholders of Birla Sun Life Mutual Fund schemes through any of the available electronic mode (i.e. RTGS/NEFT/ Direct Credit/NECS/ECS). BSLAMC reserves the right to use any of the above mode of payment as deemed appropriate for all folios where the required information is available. The Mutual Fund, however, reserves the right to issue a cheque / demand draft inspite of an investor opting for Electronic Payout.

DIRECT APPLICATIONS AND EUIN

- Investment in Direct Plan: Investors applying under Direct Plan, are advised to write the word 'DIRECT' in the column 'ARN
 No' or 'Broker Code' in their applications for purchases/additional purchases/switches in all such cases where applications are
 not routed through any distributor/agent/broker. In cases where unit holder uses a pre-printed transaction slip/application form
 where details in the 'ARN No' or 'Broker Code' column is a lready printed, unit holder should cancel the ARN No' Broker Code,
 write 'DIRECT' in the said column. Also, in case ARN No/ Broker Code is mentioned in the application form, but "Direct Plan's indicated, the ARN No/ Broker Code will be ignored and the application will be processed under Direct Plan, subject to it being complete in all other aspects. Further, where application is received for Regular Plan without Distributor code or "Direct" mentioned in the ARN Column, the application will be processed under Direct Plan. For further details on Default Plan, refer KIM.
- b. Employee Unique Identification Number (EUIN) is a unique number allotted to Sales personnel i.e. employee/ relationship manager sales person of the distributor interacting with the investor for the sale of mutual fund products. Such sales personnel associated with Distributor, should also be holding a valid NISM certificate. Thus, in case of applications routed through distributors, in addition to the AMFI Registration Number (ARN) of the distributor, Investors are requested to also

provide the EUIN of the individual ARN holder or of employee/relationship manager/sale person of the Distributor interacting with the investor. Providing appropriate EUIN in the application/transaction forms would assist in tackling the problem of mis-selling even if the Sales personnel on whose advice the transaction was executed by investor leaves the employment of the distributor or his/her sub broker. If the distributor has not given any advice pertaining to the investment (i.e. transaction is 'execution only'), then the EUIN box may be left blank, but it would be mandatory for the investor to provide confirmation as mentioned in the application form.

E-MAIL COMMUNICATION

Account Statements, Quarterly Newsletter, Annual Reports and Transaction Confirmation can be sent to Unit holders by post / e-mail. Should the Unit holder experience any difficulty in accessing in the electronically delivered documents, the unit holder shall promptly inform the same to the Mutual Fund. It is deemed that the Unit holder is aware of all security risks including possible third parly interception of the documents and contents of the documents becoming known to third parties.

TERMS AND CONDITIONS FOR ON-LINE ACCOUNT ACCESS

- User of Customer Identification PIN (CIP) facility in the parlance of Birla Sun Life Asset Management Co Ltd (BSLAMC) means a Unitholder being serviced by BSLAMC.
- A CIP will enable the user to view the Account Statement on the Birla Sun Life website (www.birlasunlife.com) and other services mentioned herein after.

 The user shall have no objection to BSLAMC verifying the identity before allotting the CIP.
- The User shall nave no objection to BSLAMC verifying the identity before allotting the CIP.

 The CIP allotted to the user is confidential in nature and the user confirms that he/she will keep the CIP confidential and will not divulge it to anybody else. The user also agrees to take all possible care to prevent discovery of the CIP by any person. The responsibility for misuse of the CIP of the User is solely of the user and BSLAMC shall not be responsible for the user/misuse of the CIP in any manner whatsoever.

 The User shall inform BSLAMC immediately in case the CIP becomes known to any other person. BSLAMC may in its absolute discretion, issue to the user a new CIP on similar terms and conditions or under such terms and conditions as
- BSLAMC may deem fit.
- BSLAMC will take reasonable efforts to keep its website updated so as to provide most current information to the user. The user acknowledges that BSLAMC expressly disclaims liability for errors or omissions in the information on the website. The user also recognises that because of communication and other issues, it is possible that the site may not be operating/working on many occasions. The user also agrees that the look and feel of the Web screen and outputs there from may differ based on the nature of the software used by the user to browse the site. The user agrees not only to the terms and conditions herein contained but also the disclaimer and other matters, as may be displayed/posted on the site.
- SSLAMC may, in the interest of the user request a fax confirmation of the Instructions and any additional information that BSLAMC may require. BSLAMC shall not be bound to act on instructions/ requests received until the said fax confirmation and additional information is received from the user. The user shall be fully liable to BSLAMC or every transaction entered into using the CIP facility, whether with or without the knowledge of the user and consequences thereof.
- knowledge of the user and consequences thereof.

 The user shall not use the online services on a PC or other Internet access device which belongs to any other person or which is provided to the user by his/her employer without such person's or, as the case may be, his/her employer's previous written permission. BSLAMC will not be responsible for any harm or loss caused to any person as a result of the user not complying with this condition. The user indemnifies and agrees to keep BSLAMC at all times saved, defended, harmless and indemnified from and against any and all loss, costs, outgoings, expenses, claims, damages or consequences whatsoever that BSLAMC may suffer as a result of the user using any PC or Internet device without the permission of the owner thereof and he/she shall be bound to compensate. BSLAMC shall not be liable for the non-suitability thereof or if any other data or software contained in such PC or Internet access device through which the online services are accessed by the user is damaged or lost in any manner whatsoever.
- The user is aware of all security risks including possible third party interception of his/her account and the content of his/her account becoming known to third parties. The user accepts that the use of online services is not a secure method of viewing, accepting and transmitting information and that it involves security hazards and the risk of any loss of information or obtaining of information by any third party will be to his/her account and BSLAMC shall, in no way, be held responsible for the same and this shall not be considered as a breach of its or its constituent company - user confidentiality.
- The user agrees that the use and storage of any information including without limitation, the CIP, account information, transaction activity, account balances and any other information available on the user personal computer is at his/her own risk and is his/her sole responsibility.

 The user shall not interfere with, after, amend, tamper with or misuse in any manner whatsoever the Online Services and in

- The user shall not interfere with, alter, amend, tamper with or misuse in any manner whatsoever the Online Services and in the event of any damage due to improper or fraudulent use by the user, he's shall be liable in damages to BSLAMC. In case of any discrepancy in the details of any transaction carried out in respect of the user's Account, the user shall be obliged to intimate BSLAMC thereof in writing within 10 (ten) days of receipt of the Statement of Account/ policy document in respect of the user, failing which the statement / policy will be deemed to be correct and accepted by the user. BSLAMC is authorized to provide any information or details relating to the user or his/her account to any third person so far as is necessary to give effect to any instructions or to comply with any order of Court or of any competent/ statutory authority or as is required under applicable law.

 The user hereby acknowledges that he/she is utilizing this facility at his/her own risk. These risks would, among others, include the following:
- include the following:

 - a) Misuse of Password: The user acknowledges that if any third person obtains access to his/her password such third person would be able to provide transaction request to BSLAMC. The user shall ensure that the terms and conditions applicable to the use of the password as contained herein are complied with at all times.

 b) Internet Frauds: The Internet per se is susceptible to a number of frauds, misuse, hacking and other actions, which could affect Instructions to BSLAMC. Whilst BSLAMC shall aim to provide security to prevent the same, there cannot be any guarantee from such Internet frauds, hacking and other actions, which could affect Instructions to BSLAMC. The user shall exercisely evaluate all ticks engine uptof the same.
 - guarantee from such Internet frauds, hacking and other actions, which could affect Instructions to BSLAMC. The user shall separately evaluate all links arising out of the same.

 c) The technology for enabling the services offered by BSLAMC could be affected by virus or other malicious, destructive or corrupting code, programme or macro. This could result in delays in the processing of Instructions or failure in the processing of instructions and other such failures and inabilities. The user understands that BSLAMC disclaims all and any liability, whether direct or indirect, whether arising out of loss of profit or otherwise arising out of any failure or inability by BSLAMC to honour any user instruction for whatsoever reason. The user understands and accepts tal SSLAMC shall not be responsible for any of the aforesaid risks. The user also accepts that BSLAMC shall disclaim all liability in respect of the said risks. of the said risks.
- xvi) The user acknowledges having read and understood the Terms and Conditions relating to opening of an account and various services. The user accepts and agrees to be bound by the said Terms and Conditions including those excluding BSLAMC's liability.
- BSLAMC's liability.

 xvii) The user understands that BSLAMC may, at its absolute discretion, alter, suspend or terminate any of the services completely or partially without any notice to the Unitholder and without assigning any reasons thereof.

 xviii) The user agrees that at present online services are offered as a privilege services to the users without any charge. However, BSLAMC may levy any service charges as a pplicable from time to time in consideration for the services provided herein. However users not consenting to the charge then, may opt out of the CIP facility.
- BSLAMC reserves the exclusive right to amend the terms and conditions for issue and use of CIP to the users without any prior approval of the user concerned, and thereafter such amended terms and conditions will apply to the user. In consideration of BSLAMC providing the user with the online services, user agrees to indemnify and keep safe, harmless and indemnified BSLAMC, its constituent companies, their officers, employees, successors and assigns from and against all actions, claims, demands, proceedings, loss, damages, costs, charges and expenses whatsoever which BSLAMC or its constituent companies may at any time incur, sustain, suffer or be put to as a consequence of or arising out of the user use of the said online services. the said online services.
- The user hereby indemnifies and agrees to keep BSLAMC saved, defended, harmless and indemnified for all liabilities, losses, damages and expenses which BSLAMC may sustain or incur either directly or indirectly as a result of: a) Illegal, unauthorized, fraudulent usage or misuse of the user's CIP to access BSLAMC's Website; all requests carrying the user's CIP as evidenced by electronic records available at BSLAMC will be the user's sole responsibility b) Non-compliance of the terms and conditions relating to online services on BSLAMC's website.
- xxii) The Courts in Mumbai alone shall have jurisdiction over all disputes arising out of or in respect of this arrangement.

Funds Transfer shall be effected only if the recipient/destination Bank/Branch is participating in RTGS/NEFT.

It is the responsibility of the Investor to ensure the correctness of the message especially the IFSC code of the recipient / destination branch & account number. The collecting bank as well as BSLMF will get valid discharge if the amount is credited to the account number mentioned in the Application even if the name of the Investor account holder differs. BSLMF shall not assume any liability or responsibility arising out of or made liable for any incorrect request or message.

If the date of payment happens to be a holiday at the centre where the recipient branch is situated, the credit will be passed on to the Investor on next working day.

BSLMF shall not be liable for delay in payments to the Investor if:

Incorrect and insufficient details are provided.

If there is dislocation of work due to circumstances beyond the control of Remitting/Destination Banks including but not limited to circumstances like non-functioning of computer system, disruption of work due to natural calamities, strike, riot etc or Netware or internet problem or other causes beyond the control of the Branch' bank resulting in disruption of communication, such cases will be settled on the next working day when RTGS/NEFT is functioning properly.

The Investor hereby agrees and undertakes that he is aware of all the RTGS/ NEFT rules set by RBI & to abide by all the rules, terms, conditions and administrative guidelines issued or which may be issued by the RBI or any other regulatory authorities applicable to the transactions relating to RTGS/NEFT whether directly or/and indirectly.

Details under FATCA / Foreign laws

Details ultider FATA-Proleginates

Tax Regulations require us to collect information about each investor's tax residency. In certain circumstances (including if we do not receive a valid self-certification from you) we may be obliged to share information on your account with the relevant tax authority. If you have any questions about your tax residency, please contact your tax advisor. Further if you are a Citizen or resident or green card holder or tax resident other than India, please include all such countries in the tax resident country information field along with your Tax Identification Number or any other relevant reference ID / Number. If there is any change in the information provided, promptly intimate the same to us within 30 days.

Date & time of receipt _

Birla Sun Life Focused Equity Fund - Series 6 (A Close ended Equity Scheme investing in Eligible Securities as per Rajiv Gandhi Equity Savings Scheme, 2013)

APPLICATION SUPPORTED BY BLOCKED AMOUNT (ASBA) FORM



This Product is suitable for investors who are seeking*:		EINIONANDOINI AI	ID INSTRUCTIONS BEFORE					
long term capital growth				Moderately	Moderat	ie /	Moderately	
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*Investors should consult their financial advisers if in doubt who	ether the product is sui	itable for them	LOW	understand	RISKOME		adavatalı bird	HIG
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ASBA Application No.			NFO Application No. [mai	ndatory & only	for Non-Demat hold	ers]		
BROKER/AGENT INFORMATION				FOR OF	FICE USE ONLY			
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ARN:	[Nar	me & Code]	[11 digit code	9]	[Name and (
NAME OF FIRST APPLICANT (Name should be as available in	Demat Account in case of	f Demat Account ho	lders)					
Mr. Ms. M/s.								
EXISTING FOLIO NO. (If you have an existing folio number, please	e mention the number here))						
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DEPOSITORY ACCOUNT DETAILS								
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Depository Name [Please tick] National Securities Depo	ository Lta	Central Depos	tory Services [India] Lin	nitea				
Depository Participant Name								
DP-ID								
Beneficiary Account Number								
PAN OF 1ST APPLICANT (Permanent Account Number)								
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efault Plan: Refer KIM for details. Default Option: Dividend Payout Details of Bank Account for Blocking of I	FUNDS							
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INSTRUCTIONS FOR FILLING ASBA APPLICATION FORM

- 1. An ASBA investor shall submit a duly filled up ASBA Application form, physically or electronically, to the SCSB with whom the bank account to be blocked, is maintained.
 - In case of ASBA application in physical mode, the investor shall submit the ASBA Form at the Bank branch of SCSB, which is designated for the purpose and the investor must be holding a bank account with such SCSB.
 - In case of ASBA application in electronic form, the investor shall submit the ASBA Form either through the internet banking facility available with the SCSB, or such other electronically enabled mechanism for subscribing to units of Mutual Fund scheme authorising SCSB to block the subscription money in a bank account.
- Investors shall correctly mention the Bank Account number in the ASBA Application Form and ensure that funds equal to the subscription amount are available in the bank account maintained with the SCSB before submitting the same to the designated branch.
- Upon submission of an ASBA Form with the SCSB, whether in physical or electronic mode, investor shall be deemed to have agreed to block the entire subscription amount specified and authorized the Designated Branch to block such amount in the Bank Account.
- On the basis of an authorisation given by the account holder in the ASBA application, the SCSB shall block the subscription money in the Bank Account specified in the ASBA application. The subscription money shall remain blocked in the Bank Account till allotment of units under the scheme or till rejection of the application, as the case may be.
- If the Bank Account specified in the ASBA application does not have sufficient credit balance to meet the subscription money, the ASBA application shall be rejected by the SCSB.
- The ASBA Form should not be accompanied by cheque, demand draft or any mode of payment other than authorisation to block subscription amount in the Bank Account.
- All grievances relating to the ASBA facility may be addressed to the AMC / RTA to the Issue, with a copy to the SCSB, giving full details such as name, address of the applicant, subscription amount blocked on application, bank account number and the Designated Branch or the collection centre of the SCSB where the ASBA Form was submitted by the Investor.
- ASBA facility extended to investors shall operate in accordance with the SEBI guidelines in force from time to time

BIRLA SUN LIFE ASSET MANAGEMENT COMPANY LTD (Branches)

BIRLA SUN LIFE ASSET MANAGEMENT COMPANY LTD (Branches)

Agra: Shop No. 5, Block No. 544, Ground Floor, Prateek Tower, Lashkar Pur City Circle, Sanjay Place, Agra. 282002, Ahmedabad: 2nd floor, Shivalika Point, opp Abhileist -1 Near Mithakali, Six Road Navranggura - Ahemdabad: 380009 Ajmer: Shop No. 56, lst Floor, India Square Building, Kurchary Road, Ajmer: 305001 Allanhadart. Upper ground floor of \$1/1020, Mid Road, Amritars - 143001 Ananti: 306-307, Tiveni Arcade, V V Nagar Road, Anand 388001 Aurangabad: Shop No. 101 & 102, 1st Floor, Super Market, Niral Bazar, Aurangabad: 431001 Bengaluru - M G Road: 93, Ground Floor, Nilseth Broadway, MG Road, Amritars - 143001 Ananti: 306-307, Tiveni Arcade, V V Nagar Road, Anand 388001 Aurangabad: Shop No. 101 & 102, 1st Floor, Super Market, Niral Bazar, Aurangabad: 431001 Bengaluru - 140006
Bharushi Agrae Schom Complex, 49, Alkaguri society, Ground Floor, Opp IDFC Bank Akaguri, F C Durit Road, Grading Alland, Alland Road, Alland Road, Alland Road, Alland Road, Alland Road, Banvagar, First Floor, 107, Surbhi Mall, Waghawadi Road, Bhavagar, First Floor, First Floor, Surbhi Mall, Waghawadi Road, Bhavagar, First Floor, First Floor

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Birla Sun Life Focused Equity Fund - Series 6

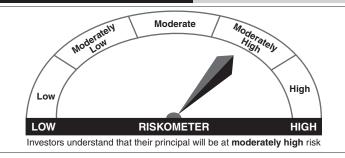
(A Close ended Equity Scheme investing in Eligible Securities as per Rajiv Gandhi Equity Savings Scheme, 2013)



This product Is suitable for investors who are seeking:

- long term capital growth
- investments in equity securities specified as Eligible Securities as per Rajiv Gandhi Equity Savings Scheme, 2013, as amended from time to time

Investors should consult their financial advisers if in doubt whether the product is suitable for them



Offer of Units of ₹ 10/- each for cash during the New Fund Offer Period

New Fund Offer Opens: Monday, September 07, 2015 | New Fund Offer Closes: Thursday, October 01, 2015

The subscription list may be closed earlier by giving at least one day's notice in one daily newspaper. The Trustee reserves the right to extend the closing date of the New Fund Offer Period, subject to the condition that the subscription of the New Fund Offer Period shall not be kept open for more than 30 days.

NAME OF THE ASSET MANAGEMENT COMPANY **BIRLA SUN LIFE ASSET MANAGEMENT COMPANY LIMITED**

One Indiabulls Centre, Tower-1, 17th floor, Jupiter Mill Compound, 841, Senapati Bapat Marg,

Elphinstone Road, Mumbai - 400 013

Tel.: +91-22 43568000

Fax No. +91-22 43568110 / 8111 CIN: U65991MH1994PI C080811

NAME OF MUTUAL FUND **BIRLA SUN LIFE MUTUAL FUND**

One India Bulls Centre, Tower 1, 17th Floor, Jupiter Mill Compound, 841, Senapati Bapat Marg, Elphinstone Road, Mumbai - 400 013

Tel. +91-22 43568000

Fax No. +91-22 43568110 / 8111 Website www.birlasunlife.com

This Key Information Memorandum (KIM) sets forth the information, which a prospective investor ought to know before investing. For further details of the scheme/Mutual Fund, due diligence certificate by the AMC, Key Personnel, investors' rights & services, risk factors, penalties & pending litigations etc. investors should, before investment, refer to the Scheme Information Document and Statement of Additional Information available free of cost at any of the Investor Service Centres or distributors or from the website www.birlasunlife.com. The Scheme particulars have been prepared in accordance with Securities and Exchange Board of India (Mutual Funds) Regulations 1996, as amended till date, and in accordance with the

applicable provisions laid down under Rajiv Gandhi Equity Savings Scheme, 2013 (hereinafter referred to as RGESS) and filed with Securities and Exchange Board of India (SEBI). The units being offered for public subscription have not been approved or disapproved by SEBI, nor has SEBI certified the accuracy or adequacy of this KIM.

It is to be distinctly understood that the permission given by BSE Ltd. should not in any way be deemed or construed that the Scheme Information Document has been cleared or approved by BSE Ltd. nor does it certify the correctness or completeness of any of the contents of the Scheme Information Document. The investors are advised to refer to the Scheme Information Document for the full text of the 'Disclaimer Clause of BSE Ltd.'.

	nat the permission given by NSE should not in any way be deemed or construct s or completeness of any of the contents of the Draft Scheme Information Docum use of NSE'.		
Name of the Scheme	Birla Sun Life Focused Equity Fund - Series 6		
Structure	A Close ended Equity Scheme investing in Eligible Securities as per Rajiv Gan	dhi Equity Savings Scheme, 2013, as am	ended from time to time.
Investment Objective	The investment objective of the Scheme is to generate capital appreciation, f Equity Savings Scheme, 2013 (RGESS). The Scheme does not guarantee/indicate any returns. There can be no assura	, , , ,	,
Compliance with RGESS guidelines	In light of SEBI circular no. CIR/MRD/DP/32/2012 dated December 06, 2012, Ministry of Finance vide amended notification no. 94/2013 [F. No. 142/35/20 under Section 80CCG of the Income Tax Act, 1961 for the investments ma	12-TPL] dated December 18, 2013. Elig	gible Investors are entitled to tax benefits
Liquidity	The scheme will have duration/tenure of 3 years from and including the de No redemption or repurchase will be permitted prior to maturity of the Sc exchanges as may be decided by AMC from time to time and the Unithout listed price on such Stock Exchange, subject to Lock-in Period under RGE Lock-in Period under RGESS: Units held under the Scheme by unitho Act, 1961 for any assessment year shall be subject to Lock-in-period as [F. No. 142/35/2012-TPL] dated December 18, 2013. Thus, Investors should note that units of the Scheme held by unit holders 1961 read with RGESS guidelines shall have a total lock-in period, in which in the initial period of lock-in is known as Fixed Lock-in Period, in which in the fixed lock-in-period shall commence from the date of purchase year immediately following the relevant financial year. The flexible lock-in period will be of two years beginning immediately Upon completion of fixed lock in period, investors would be allowed culture and as a provision to protect them from adverse market move the enforcement of the lock-in on units in terms of RGESS guideline For further details on lock-in period under RGESS, investors are repage 12 of this KIM.	cheme. The scheme will be listed on BSE olders who wish to redeem units may do sees, if any. Iders and declared/designated for availing per amended Rajiv Gandhi Equity Saving vinvestors (in demat mode) for availing tast of divided into Fixed and Flexible Lock-in part on trading of units of the scheme shall be of such units in the relevant financial year after the end of the fixed lock-in period. The trade in the units of the scheme in further ments or stock specific risks as well as to shall be ensured by the Depositories.	so through Stock Exchange at prevailing ag tax benefits u/s 80CCG of Income Tax is Scheme, 2013 notification no. 94/2013 ax benefits u/s 80CCG of Income Tax Act, eriods as explained below: allowed. r and end on the 31st day of March of the erance of the goal of promoting an equity give them avenues to realize profits.
Asset Allocation Pattern of the Scheme	Under normal circumstances, the asset allocation of the Scheme will be as		
of the scheme	Instrument	Risk Profile	Normal Allocation (% of total Assets)
	Equity securities specified as eligible securities# for RGESS	Medium to High	95-100%
	Cash and Cash Equivalents* and Money Market Instruments^.	Low	0-5%
	*Cash & Cash Equivalent would mean cash (bank balance) or overnight invest ^The Scheme shall invest in Money Market Instruments as defined under SEE		of less than or equal to 91 days.

instruments. The scheme shall not engage in securities lending/short selling activities.

Schemes

The scheme shall not invest in Foreign Securities, repo in corporate debt securities, Securitised Debt Instruments, credit default swaps and/or derivative

The Fund Manager shall commence investment out of the NFO proceeds received in accordance with the investment objective of the Scheme only on or after the closure of the NFO period. Further, the corpus of the scheme shall be completely invested in accordance with asset allocation and investment pattern of the scheme within 5 business days from the closure of NFO. Further, towards the maturity of the Scheme, the corpus of the scheme may be kept in cash and cash equivalents viz. overnight investment in CBLO, reverse repo, money market instruments with residual maturity of less than or equal to 91 days / units of Liquid

Pending deployment of the corpus of the Scheme in securities in terms of its investment objective within 5 business days of closure of NFO, the Scheme can invest the corpus of the Scheme in short term deposits of scheduled commercial banks in accordance with the guidelines issued by SEBI. Accordingly, as presently prescribed, the requirements of SEBI Circulars; SEBI/IMD/CIR No. 1/91171/07 dated April 16, 2007 and SEBI/IMD/CIR No.7/129592/08 dated June 23, 2008, will be adhered to.

#Eligible Securities as defined under RGESS guidelines means any of the following:

- (a) equity shares, on the day of purchase, falling in the list of equity declared as "BSE-100" or "CNX-100" by the BSE and the National Stock Exchange, as the case may be;
- (b) equity shares of public sector enterprises which are categorised as Maharatna, Navratna or Miniratna by the Central Government;
- (c) Units of Exchange Traded Funds (ETFs) or Mutual Fund (MF) schemes with Rajiv Gandhi Equity Savings Scheme (RGESS) eligible securities as underlying, as mentioned in sub-clause (a) or sub-clause (b) above, provided they are listed and traded on a stock exchange and settled through a depository mechanism;
- (d) Follow on Public Offer of point (a) and (b) above;
- (e) New Fund Offers (NFOs) of point (c) above;
- (f) Initial Public Offer of a public sector undertaking wherein the Government shareholding is at least fiftyone per cent, which is scheduled for getting listed in the relevant previous year and whose annual turnover is not less than four thousand crore rupees during each of the preceding three years.

Change in Asset Allocation

Subject to the SEBI (MF) Regulations, the asset allocation pattern indicated above may change from time to time, keeping in view market conditions, market opportunities, and political and economic factors. Such deviations shall normally be for a short-term purpose only, for defensive considerations and the intention being at all times to protect the interests of the Unit Holders. The Scheme shall invest in the Eligible Securities of RGESS and shall invest in cash & cash equivalents and money market instruments to meet the liquidity requirements for honouring redemptions (at the time of maturity)/ expenses. Hence, in view of the nature of the Scheme, the asset allocation pattern as indicated above may not change, except in line with the changes made in SEBI (MF) Regulations, or changes in the list of Eligible Securities under RGESS from time to time or due to corporate actions under such invested securities whether voluntary corporate actions such as receipt of any rights, buy-back etc, or involuntary corporate actions such as receipt of bonuses or benefits in the nature of capital or of any schemes of arrangement or for amalgamation, reconstruction or exchange, or buy-back due to court intervantion etc. or other reasons outside the control of the Fund. Any such involuntary allocation / allotment (due to corporate actions) of securities as per SEBI circular CIR / MRD / DP / 32 / 2012 dated December 06, 2012 which are not part of Eligible Securities under RGESS will be disposed off within 30 days from date of deviation in asset allocation. In the event of the asset allocation falling outside the limits specified in the asset allocation table due to any of the events, other than involuntary allocation / allotment (due to corporate actions) of securities as above, the Fund Manager shall rebalance the same within 7 days from the date of said deviation. In case the rebalancing is not done within the specified period, justification for the same shall be provided to the Investment Committee and the reason for the same

Investment Strategy

The corpus of the Scheme will be primarily invested in equity of the companies as mentioned in the investment universe specified for RGESS.

The fund manager would primarily focus on long term growth for identifying stocks. The objective would be to identify business with superior growth prospects and strong management available at reasonable valuation and offering higher risk adjusted returns. The Scheme would follow blend of bottom up approach (for stock selection) and top down approach (for sector allocation).

The decision to sell would be based on price reaching its fair value or availability of alternative investment opportunity offering higher risk adjusted returns or anticipated price appreciation no longer possible due to change in business fundamental.

Portfolio turnover policy

The scheme has no explicit constraints either to maintain or limit the portfolio turnover. Portfolio turnover will depend upon the circumstances prevalent at any time and would also depend on the extent of volatility in the market and inflows/outflows in the scheme. The Fund Manager will however endeavor to maintain a low portfolio turnover rate.

Risk Profile of the Scheme

Mutual Fund Units involve investment risks including the possible loss of principal. Please read the Scheme Information Document carefully for details on risk factors before investment. Scheme Specific Risk Factors are summarized below:

Risk Factors associated with investments in Equity Securities:

- Equity investments by nature are volatile and prone to price fluctuations on a daily basis due to both macro and micro factors.
- The NAVs of schemes investing in equity will fluctuate as the daily prices of the individual securities in which they invest fluctuate and the units when redeemed may be worth more or less than their original cost.
- The value of the Scheme's investments, may be affected generally by factors affecting securities markets, such as price and volume volatility in the capital
 markets, interest rates, currency exchange rates, changes in policies of the Government, taxation laws or policies of any appropriate authority and other
 political and economic developments and closure of stock exchanges which may have an adverse bearing on individual securities, a specific sector or all
 sectors including equity and debt markets. Consequently, the NAV of the units of the Scheme may fluctuate and can go up or down.
- In respect of investments in equity, there may be risks associated with trading volumes, settlement periods and transfer procedures that may restrict liquidity
 of investments in equity securities.
- Investors may note that Fund Manager's investment decisions may not always be profitable, as actual market movements may be at variance with anticipated trends.
- Though the constituent stocks of most indexes are typically liquid, liquidity differs across stocks. Due to the heterogeneity in liquidity in the capital market segment, trades on this segment may not get implemented instantly.
- The scheme being close ended in nature does not allow redemption during the tenor of the scheme. Redemptions shall happen only at the time of maturity of
 the scheme, and hence returns generated by the scheme may be affected if the underlying markets are at unfavourable level at the time of maturity of the
 scheme

Risk Factors associated with Investments in Cash and Money Market Securities:

- Price-Risk or Interest-Rate Risk: Fixed income securities such as money market instruments run price-risk or interest-rate risk. Generally, when interest rates rise, prices of existing fixed income securities fall and when interest rates drop, such prices increase. The extent of fall or rise in the prices is a function of the existing coupon, days to maturity and the increase or decrease in the level of interest rates.
- Credit Risk: In simple terms this risk means that the issuer of a money market instrument may default on interest payment or even in paying back the principal amount on maturity. Even where no default occurs, the price of a security may go down because the credit rating of an issuer goes down. It must, however, be noted that where the Scheme has invested in Government securities, there is no credit risk to that extent.

Risk Factors associated with Listing of units:

- Listing of units of the scheme on stock exchange(s) does not necessarily guarantee liquidity and there can be no assurance that an active secondary market
 for the units will develop or be maintained.
- No trading of units shall be allowed during the temporary suspension period for units held in demat form. This could lead to inability on the part of investors to trade in the Units during the aforesaid period.
- Trading in the units of the Scheme on the Exchange may be halted because of market conditions, including any halt in the operations of Depository
 Participants or for reasons that in view of the Exchange Authorities or SEBI, trading in the units is suspended and/or restricted. In addition, trading in units is
 subject to trading halts caused by extraordinary market volatility and pursuant to stock exchange rules of 'circuit filter'. There can be no assurance that the
 requirements of Stock Exchange necessary to maintain the listing of units of scheme will continue to be met or will remain unchanged
- Further, the Scheme being an close ended scheme and listed on stock exchange, as per SEBI guidelines, no redemption / repurchase / switches of units will be allowed prior to maturity of the scheme. The investors wishing to redeem their units may do so through stock exchange at prevailing listed price on such Stock Exchange, subject to Lock-in Period under RGESS, if any.
- The Units of the scheme may trade above or below their face value / NAV. The NAV of the scheme will fluctuate with changes in the market value of schemes holdings. The trading prices of units of the scheme will fluctuate in accordance with changes in their NAV as well as market supply and demand which may even lead the units to quote at significant premium or discount to NAV.
- There is a possibility that the unitholders find it difficult or uneconomical to liquidate their investments at any particular time. As a result, investors in the scheme must be prepared to hold the units until the maturity of the Scheme.
- Regulatory Risk: Any changes in trading regulations by the Stock Exchange or SEBI, inter alia, may also result in wider premium/ discount to the NAV of the
 Scheme. Although the Units are proposed to be listed on the Stock Exchange, the AMC and the Trustees will not be liable for any loss suffered by investors
 due to delay in listing of units of the Scheme on the Stock Exchange or due to connectivity problems with the depositories due to the occurrence of any event
 beyond their control.
- . As the units of the scheme may be held in electronic (demat) mode through depositories, the records of the depository shall be final with respect to the

number of units available to the credit of unitholder. Settlement of trades, redemption/dividend payment, in lieu of such units held in electronic (demat) form, by the Mutual Fund will depend upon the confirmations to be received from depository(ies) on which the Mutual Fund has no control. Risk Factors Associated with Close Ended Schemes A close ended Scheme endeavours to achieve the capital appreciation only at the scheduled maturity of the Scheme. However, there is no assurance that the said objective will be achieved at the scheduled maturity of the scheme and there is a risk that the capital invested may not be fully realisable upon maturity of the scheme. Moreover, given the uncertain nature of equity markets, the AMC may be required to liquidate the equity portfolio and the proceeds may be kept in cash and invested largely in cash equivalents/money market instruments towards the Maturity/Final Redemption date and to that extent these investments made may not be in line with the asset allocation pattern. The scheme being close ended in nature does not allow redemption during the tenor of the scheme. Redemptions shall happen only at the time of maturity of the scheme, and hence returns generated by the scheme may be affected if the underlying markets are at unfavourable level at the time of maturity of the scheme. Investors who wish to exit/redeem before the scheduled maturity date may do so through the stock exchange mode. For the Units listed on the exchange, it is possible that the market price at which the Units are traded may be at a discount to the NAV of such Units. Hence, Unit Holders who sell their Units in a Scheme prior to maturity may not get the NAV returns. **Risk Control Strategies** Investments made by the scheme would be in accordance with the investment objectives of the scheme and provisions of SEBI (MF) Regulations. The overall portfolio structuring would aim at controlling risks at a moderate level. Both very aggressive and very defensive postures would be avoided. Stock specific risk will be minimised by investing only in those companies that have been thoroughly evaluated by BSLAMC's investment team. Risk will also be managed through broad diversification of portfolio within the framework of the abovementioned investment objectives. Macroeconomic risk will be addressed through focus and ongoing review of relevant businesses and economic environment. While these measures are expected to mitigate the above risks to a large extent, there can be no assurance that these risks would be completely eliminated. Plans/Options The Scheme will have Regular Plan and Direct Plan** with a common portfolio and separate NAVs. Investors should indicate the Plan for which the subscription is made by indicating the choice in the application form. Each of the above Plan under the Scheme will have the following Options: (1) Growth Option and (2) Dividend Option with Payout Facility. **DIRECT PLAN: $Direct \ Plan \ is \ only \ for \ investors \ who \ purchase \ / subscribe \ Units \ in \ a \ Scheme \ directly \ with \ the \ Mutual \ Fund \ and \ is \ not \ available \ for \ investors \ who \ purchase \ / subscribe \ Units \ in \ a \ Scheme \ directly \ with \ the \ Mutual \ Fund \ and \ is \ not \ available \ for \ investors \ who \ purchase \ / subscribe \ Units \ in \ a \ Scheme \ directly \ with \ the \ Mutual \ Fund \ and \ is \ not \ available \ for \ investors \ who \ purchase \ / subscribe \ units \ only \ for \ investors \ who \ only \ for \ investors \ only \ o$ route their investments through a Distributor. Eligible investors: All categories of investors (whether existing or new Unitholders) as permitted under the Scheme Information Document of the Scheme are eligible to subscribe under Direct Plan. Modes for applying: Investments under Direct Plan can be made through various modes offered by the Mutual Fund for investing directly with the Mutual Fund [except through Stock Exchange Platforms for Mutual Funds and all other Platform(s) where investors' applications for subscription of units are routed through Distributors]. iv. How to apply: Investors desirous of subscribing under Direct Plan of a Scheme will have to ensure to indicate "Direct Plan" against the Scheme name in the application form. Investors should also indicate "Direct" in the ARN column of the application form. Default Plan / Option / **Default Option:** Dividend Option (Payout facility) Sub-option In case of valid application received without indicating choice between Growth and Dividend Option, the same shall be considered as Dividend Option (Payout (In case the investor fails to specify Facility) and processed accordingly. his preference, the given default **Default Plan:** plan / option / sub-option Investors are requested to note the following scenarios for the applicability of "Direct Plan or Regular Plan" for valid applications received under the Scheme: would apply) Scenario Broker Code mentioned by the investor Plan mentioned by the investor Default Plan to be captured Not mentioned Direct Plan Not mentioned Not mentioned Direct Direct Plan 3 Not mentioned Regular Direct Plan Direct Direct Plan 4 Mentioned Not Mentioned Direct Plan 5 Direct 6 Direct Regular Direct Plan Mentioned Regular 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. Applicable NAV Units of the scheme cannot be redeemed by the investors directly with the Fund until the date of maturity of the scheme. Therefore, the provisions of cut off timing for redemptions will not be applicable. Minimum Application Amount / **Purchase** Repurchase **Number of Units** Minimum of ₹5,000/- and in multiples of ₹10/- thereafter during the No redemption (repurchase) of units is allowed before the maturity of the scheme. Investors wishing to exit may do so by selling their units through stock exchange. Redemption or repurchase proceeds shall be dispatched to the unitholders within 10 working days from the date of maturity of the scheme, subject to Despatch of Proceeds of confirmation with the depository records of the Scheme's DP account, as applicable. Repurchase (Redemption) Request **Benchmark Index CNX 100** The fund reserves the right to change the benchmark for evaluation of the performance of the scheme from time to time, subject to SEBI (MF) Regulations and other prevailing guidelines, if any. **Dividend Policy** Dividends will be declared subject to availability of distributable surplus and at the discretion of the AMC/Trustee. On payment of Dividends, the NAV will stand reduced by the amount of dividend payout and dividend distribution tax, if any. Name of the Fund Manager Mr. Mahesh Patil Name of the Trustee Company Birla Sun Life Trustee Company Private Limited Performance of the Scheme This scheme does not have any performance track record **Expenses of the Scheme New Fund Offer Period** The NFO expenses of the scheme shall be borne by the AMC. (i) Load Structure Entry Load*: Nil Exit Load: Nil No redemption/repurchase of units shall be allowed prior to the maturity of the scheme. Investors wishing to exit may do so through stock exchange mode at prevailing listed price on such Stock Exchange, subject to lock-in period under RGESS, if any. *In terms of SEBI circular no. SEBI/IMD/CIR No.4/168230/09 dated June 30, 2009, no entry load will be charged by the Scheme to the investor effective August 1, 2009. The upfront commission, if any, on investment made by the investor shall be paid by the investor directly to the Distributor, based on his assessment of various factors including the service rendered by the Distributor. Exit load charged, if any, by the AMC/Mutual Fund to the unitholder shall be credited to the respective scheme immediately, net of service tax, if any.

(ii) Recurring expenses					
(As a % of daily net assets)	A. Expense Head / Nature of expens			% of daily net assets	
	Investment Management and Advisory	/ Fees (AMC fees)			
	Trustee fee Audit fees			_	
	Custodian fees				
	Registrar & Transfer Agent (RTA) Fees				
	Marketing & Selling expense including Cost related to investor communication				
	Cost of fund transfer from location to lo			Upto 2.50%	
	Cost of providing account statements/a		otion cheques and warrants		
	Costs of Statutory advertisements				
	Cost towards investor education & awa	. ,			
	Brokerage & transaction cost over and Service tax on expenses other than inv	•	nes ·		
	Service tax on brokerage and transacti				
	Other expenses\$				
	Maximum total expense ratio (TER)		(c)(i)## egulation 52 (6A) (b) to improve geographical	Upto 2.50% Upto 0.30%	
	reach of scheme.	illilows from specified cities under ne	egulation 52 (oA) (b) to improve geographical	Ορίο 0.30 /8	
	\$Listing Expenses as part of other exper				
	The purpose of the above table is to as indirectly. The above estimates for recu	ssist the investor in understanding the	e various costs and expenses that an investor uses only and have been made in good faith as	in the scheme will bear directly or	
	AMC based on past experience.	ining expense are for indicative purpe	ses only and have been made in good faint as	per the information available to the	
	Note:				
			ission in the Regular Plan. The TER of the Dire I which is charged in the Regular Plan. For e		
			ect plan will be lower by atleast 0.20% p.a. (i.e.		
	(b) ##The Maximum total expense rate	tio for the Direct Plan as permissible	under Regulation 52(6)(c)(i) will not exceed 2.	00% p.a. of daily net assets of the	
	Scheme.				
	(c) ^ In terms of SEBI Circular No. CIR	/IMD/DF/21/2012 dated September 1 cheme within the maximum limit of To	3, 2012, the AMC / Mutual Fund shall annually tal Expense Ratio as per Regulation 52 of the	set apart at least 2 basis points (i.e.	
	education and awareness initiative		nai Expense Hallo as per Hegalation 52 of the	JEDI (IVII) Hegulations for investor	
	. ,	'	2012, AMC may charge service tax on following	'	
			vice tax on investment management and adviso	ry fees to the scheme in addition to	
	•		lation 52 of the SEBI (MF) Regulations. charge service tax on expenses other than inve	setment management and advisory	
	fees to the scheme within the	maximum limit of Total Expense Ratio	as prescribed under Regulation 52 of the SEBI	(MF) Regulations. Further, service	
			des, will be within the maximum limit of Total E	expense Ratio as prescribed under	
	Regulation 52 of the SEBI (MF	, •	es of the scheme, including Investment Manag	oment and Advisory Food shall be	
	subject to following limits as specific		es of the scheme, including investment manag	ement and Advisory Fees, shall be	
	First ₹ 100 Crores	Next ₹ 300 Crores	Next ₹ 300 Crores	Over ₹ 700 Crores	
	2.50%	2.25%		1.75%	
			pense ratio (TER) that can be charged to the sch shall either be apportioned under various exp		
		any of the said expense head(s) at th	e discretion of AMC. Also, the types of expense	s charged shall be as per the SEBI	
	(MF) Regulations. Investors should note that the total recui	rring expenses of the scheme excludi	ng issue or redemption expenses, whether initi	ally borne by the Mutual Fund or by	
	the AMC, but including the investmen	t management and advisory fee, sh	all not exceed the limits as prescribed unde	Regulation 52 of the SEBI (MF)	
	to SID under "Section IV-FEES AND	legulations, expenses over and above DEXPENSES-B. Annual Scheme R	the prescribed ceiling will be borne by the AMC ecurring Expense" for further details on t	. Investors are requested to refer otal expenses permissble to be	
	charged to the scheme in accordance				
Waiver of Load for Direct	Not Applicable				
Applications					
Listing			under the Scheme will be listed on BSE, NSE		
			ess days from the date of allotment. As the units exchange/s during the trading hours like any o		
	prices. The minimum number of Units th	at can be bought or sold on the Exchai	nge is 1 (one) unit. Unitholders who wish to trad	e in units would be required to have	
	a demat account. All investors may buy/ ISIN (International Security Identification	sell Units on the stock exchange/s on a n Number) will be allotted for each Plan	all the trading days as per the settlement cycle of	of the stock exchange/s. A separate	
	Although Units are to be listed on stock of	exchange/s, there can be no assuranc	e that an active secondary market will develop		
	•	· ·	to the occurrence of any event beyond their con		
			1008 the units of the scheme will be listed on B\$ 225/2015-16 dated May 18, 2015 and from NSE		
	May 18, 2015.		·		
Tax treatment for the Investors			ty in accordance with Rajiv Gandhi Equity Sav		
(Unitholders)			RGESS guidelines and subject to the provision come of the assessment year relevant to such p		
			mutual fund as specified in RGESS to the exte		
	To know more, investors may refer to se	* *	ome Tax Act, 1961 shall be subject to conditions	specified therein from time to time.	
		, , ,	uested to consult their tax advisors for the	e RGESS related and other tax	
	implications before investing in the S				
	For further details on taxation please	refer to the clause on Taxation in the	e SAI.		
Daily Net Asset Value (NAV) Publication			t 2 daily newspapers in accordance with SEBI (all up at our toll free number 1800-22-7000 / 180		
For Investor Grievances	Birla Sun Life Asset Management Cor		Registrar & Transfer Agents:	<u> </u>	
please contact	One India Bulls Centre, Tower 1, 17th F	loor, Jupiter Mill Compound, 841,	Computer Age Management Services Pvt. I		
	Senapati Bapat Marg, Elphinstone Road Tel.: 1800-270-7000 / 1800-22-7000 • 1	d, Mumbai 400 013	Rayala Towers, 158, Anna Salai, Chennai - 60 Contact Details: 1800-425-2267 • E-mail: birl		
	CIN: U65991MH1994PLC080811	∟ man.comicci⊛pinasunille.com	Website Address:www.camsonline.com	asuriiile e camsoniline.com	

Unitholders' Information

Allotment: The process of allotment of units will be completed within 15 (fifteen) days from the date of closure of the New Fund Offer Period. AMC shall send allotment confirmation specifying the number of units allotted to the investor by way of email and/or SMS's to the investors' registered email address and/or mobile number not later than 15 (fifteen) days from the date of closure of the New Fund Offer Period.

FOR INVESTORS WHO OPT TO HOLD UNITS IN PHYSICAL (NON-DEMAT) MODE AND DO NOT HAVE DEMAT ACCOUNT:

Account Statements:

- AMC shall send allotment confirmation specifying the number of units allotted to the investor by way of email and/or SMS's to the investors' registered email address and/or mobile number not later than 15 (fifteen) days from the date of closure of the New Fund Offer Period.
- Thereafter, a Consolidated Account Statement (CAS) shall also be sent to the unitholder in whose folio transactions viz. subscriptions, redemptions, switches, dividend payout etc. have taken place during that month, on or before 10th of the succeeding month by e-mail/mail. CAS shall contain details relating to all the transactions** carried out by the investor, including details of transaction charges paid to the distributor, if any, across all schemes of all mutual funds, during the month and holding at the end of the month.

**The word 'transaction' shall include purchase, redemption, switch, dividend payout, dividend reinvestment, Systematic Investment Plan, Systematic Withdrawal Plan, Systematic Transfer Plan and bonus transactions.

- In case of specific request is received from investors, account statement shall be issued to the investors within 5 (five) business days from the receipt of such request without any charges. The unitholder may request for a physical account statement by writing/calling the AMC/ISC/R&T. In the event the account has more than one registered holder, the first named Unitholder shall receive the CAS/account statement.
- The transactions viz. purchase, redemption, switch, dividend payout, etc., carried out by the Unitholders shall be reflected in the CAS on the basis of Permanent Account Number (PAN).
- The CAS shall not be received by the Unitholders for the folio(s) not updated with PAN details. The Unitholders are therefore requested to ensure that the folio(s) are updated with their PAN.

Half Yearly Consolidated Account Statement:

- A CAS detailing holding 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, to all such Unitholders 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 Unitholders whose e-mail address is available, unless a specific request is made to receive in physical.

FOR INVESTORS WHO OPT TO HOLD UNITS IN DEMAT MODE:

- On acceptance of the application for subscription during the NFO period, an allotment confirmation specifying the number of units allotted to the investor shall be send by way of email and/or SMS's to the investors' registered email address and/or mobile number not later than 15 (fifteen) days from the date of closure of the New Fund Offer Period.
- Thereafter, Single Consolidated Account Statement (SCAS), based on PAN of the holders, shall be sent by Depositories, for each calendar month within 10th day of the succeeding month to the unitholders in whose folio(s)/demat account(s) transactions have taken place during that month. SCAS shall be sent by Depositories every half yearly (September/ March), on or before 10th day of succeeding month, detailing holding at the end of the sixth month, to all such unitholders in whose folios and demat accounts there have been no transactions during that period.
- In case of demat accounts with nil balance and no transactions in securities and in mutual fund folios, the depository shall send account statement in terms of regulations applicable to the depositories
- Consolidation shall be done on the basis of Permanent Account Number (PAN). In the event the folio / demat account has more than one registered holder, the first named Unit holder / Account holder shall receive the SCAS. For the purpose of SCAS, common investors across mutual funds / depositories shall be identified on the basis of PAN. Consolidation shall be based on the common sequence/ order of investors in various folios/ demat accounts across mutual funds / demat accounts across depository participants.
- In case of multiple accounts across depositories, the depository with whom the demat account has been opened earlier will be the default depository which will consolidate the details across depositories and Mutual Fund investments and dispatch the SCAS to the unitholders.

 Unitholders whose folio(s)/demat account(s) are not updated with PAN shall not receive SCAS. Unitholders are therefore requested to ensure that their folio(s)/demat account(s) are updated with PAN.
- For Unitholders who have provided an e-mail address in KYC records, the SCAS will be sent by e-mail.
- The Unitholders may request for account statement for mutual fund units held in physical mode. In case of a specific request received from the Unitholders, account statement shall be provided to the unitholders within 5 business days from the receipt of such request.
- No account statements will be issued to unitholders opted to hold units in demat mode, since the statement of account furnished by depository participant periodically will contain the details of transactions.
- SCAS sent within the time frame mentioned above is provisional and is subject to realisation of payment instrument and/or verification of documents, including the application form
- Investors should note that, no separate account statements will be issued to investors opted to hold units in electronic (demat) mode since the statement of account furnished by depository participant will contain the details of transactions.

For more details, Investors are requested to refer the Scheme Information Document (SID) and Statement of Additional Information (SAI).

The scheme wise annual report or an abridged summary thereof shall be sent to all Unitholders not later than four months from the date of closure of the relevant accounting year and full annual report shall be available for inspection at the Head Office of the Mutual Fund and a copy shall be made available to the Unitholders on request on payment of nominal fees, if any.

The scheme wise annual report or an abridged summary thereof (the reports) shall be sent:

- By e-mail only to the Unitholders whose e-mail address is available with BSLAMC / Mutual Fund;
- In physical form to the Unitholders whose email address is not available with Mutual Fund and/or to those Unitholders who have opted / requested for the same. Accordingly, unitholders are requested to ensure that their folio(s) are updated with e-mail address, in case they wish to receive the reports electronically i.e. via e-mail. Also, in case the unitholders wish to receive physical copies of reports they may indicate as such, notwithstanding registration of e-mail address with BSLAMC/Mutual Fund.

The physical copy of the scheme wise annual report or abridged summary thereof shall be made available to the investors at the registered office of the BSLAMC. A link of the scheme annual report or abridged summary thereof shall be displayed prominently on the website of the Mutual Fund (www.birlasunlife.com) and shall also be displayed on the website of AMFI (www.amfiindia.com).

Half Yearly Disclosures (Unaudited Financial Results / Portfolio):

Mutual Fund / AMC shall within one month from the close of each half year, (i.e. 31st March and on 30th September), host a soft copy of its unaudited financial results on its website (www.birlasunlife.com). Further, the Mutual Fund / AMC shall publish an advertisement disclosing the hosting of such unaudited half yearly financial results on their website, in atleast one national English daily newspaper and a regional newspaper published in the language of the region where the Head Office of the Mutual Fund is situated.

The Mutual Fund / AMC shall before the expiry of one month from the close of each half year (i.e. 31st March and 30th September), publish complete statement of the scheme portfolio in prescribed format as at end of such half year in one national English daily newspaper and in a regional newspaper published in the language of the region where the Head Office of the Mutual Fund is situated.

Monthly Portfolio Disclosures:

The monthly portfolio of the scheme (alongwith ISIN) shall also be made available on the website of Mutual Fund (www.birlasunlife.com) on or before tenth day of the succeeding month.

Transaction Charges

(For Lumpsum Purchases routed through distributor/ agent)

SEBI has, with the intent to enable investment by people with small saving potential and to increase reach of Mutual Fund products in urban areas and in smaller towns, wherein the role of the distributor is considered vital, allowed AMCs vide its circular No. Cir/ IMD/ DF/13/2011 dated August 22, 2011 to deduct transaction charges for subscription of ₹ 10,000/- and above.

In accordance with the said circular, BSLAMC / Mutual Fund will deduct the transaction charges from the subscription amount and pay to the distributors as shown below (who have opted-in to receive the transaction charges on basis of type of product). Thereafter, the balance of the subscription amount shall be invested.

Transaction charges shall be deducted for Applications for purchase/ subscription relating to new inflows and routed through distributor/ agent:

	Investor Type	Transaction charges^
Г	First Time Mutual Fund Investor (across Mutual Funds)	₹150 for subscription application of ₹10,000 and above.
	Investor other than First Time Mutual Fund Investor	₹100 for subscription application of ₹10,000 and above.

- ^The transaction charge, if any, shall be deducted by the BSLAMC from the subscription amount and paid to the distributor; and the balance shall be invested and accordingly units allotted. The statement of account shall clearly state the net investment as gross subscription less transaction charge and depict the number of units allotted against the net investment amount.
 - Transaction charges shall not be deducted/applicable for:
 - (a) purchases / subscriptions for an amount less than ₹ 10,000/-;
 - Transaction other than purchases/subscriptions relating to new inflows such as Switches, etc. (b)
 - Purchases/subscriptions made directly with the Mutual Fund (i.e. not routed through any distributor/agent).
 - Transactions carried out through the Stock Exchange Platforms for Mutual Funds. (d)
- Investor should note that, as per SEBI circular no. SEBI/IMD/CIR No. 4/ 168230/09, dated June 30, 2009, the upfront commission, if any, on investment made by the investor shall continue to be paid by the investor directly to the Distributor by a separate cheque, based on his assessment of various factors including the service rendered by the Distributor.

Notwithstanding anything contained in the Key Information Memorandum, the provisions of SEBI (Mutual Funds) Regulations, 1996 and Guidelines thereunder shall be applicable. Further, investors may ascertain about any further changes from the Mutual Fund/Investor Service Centres /Distributors or Brokers.

Date: August 25, 2015 Place: Mumbai

ABOUT RAJIV GANDHI EQUITY SAVINGS SCHEME

The Finance Act 2012 introduced a new section 80CCG on 'Deduction in respect of investment made under an equity savings scheme' as notified by the Central Government to give tax benefits to 'New Retail Investors' As per Section 80CCG, a resident individual who acquires listed equity shares or listed units of equity oriented mutual fund in accordance with the 'Rajiv Gandhi Equity Savings Scheme, 2012' (RGESS) notification no. 51/2012 [F. No. 142/35/2012-TPL] dated November 23, 2012, is entitled to a deduction of 50% of the amount invested from his total income to the extent the deduction does not exceed ₹ 25,000. The deduction under Section 80CC is over and above the deduction under Section 80C. Further, SEBI vide circular no. CIR/MRD/DP/32/2012 dated December 06, 2012 directed inter-alia Mutual Funds to take a note of RGESS notification and take necessary steps to implement the RGESS. In the Finance Act, 2013, certain conditions of RGESS were liberalized. Ministry of Finance thereafter vide Notification no. 94/2013 F. No. 142/35/2012 -TPL dated December 18, 2013 notified RGESS, 2013 i.e. the amended RGESS.

- Accordingly, the deduction shall be available for three consecutive years and subject to following conditions: The gross total income of the investor for the relevant assessment year does not exceed ₹ 12 lacs (w.e.f from April 1, 2014, prior to that total income shall not exceed ₹ 10 lacs);
- The investor is a new retail investor as specified in RGESS;
- . The investment is made in such listed equity shares or listed units of equity oriented mutual fund as specified in RGESS;
- The investment is locked-in for a 3 year period from the date of acquisition in accordance with RGESS; and
- Such other conditions as may be prescribed.

If an investor, in a subsequent year fails to comply with any of the above conditions, the deduction originally allowed shall be considered as income in the year in which such condition is not complied with.

The objective of the RGESS is to encourage the investment of savings of the small investors in the domestic capital market. RGESS guidelines shall be applicable for claiming deduction in the computation of total income of the assessment year relevant to a previous year on account of investment in eligible securities under sub-section (1) of section 80CCG of the Income-tax Act, 1961.

Salient features of the RGESS are as under:

- 1. Eligibility: The tax deduction in terms of RGESS shall be available to a 'new retail investor' who complies with the conditions of the RGESS and whose gross total income for the financial year in which the investment is made under RGESS is less than or equal to twelve lakh rupees
- 'New Retail Investor' shall mean the following resident individual:
 - a. any individual who has not opened a demat account and has not made any transactions in the derivative segment before the date of opening of a demat account or the first day of the initial year, whichever is later:
 - b. any individual who has opened a demat account before the RGESS notification but has not made any transactions in the equity segment or the derivative segment before the date he designates his existing demat account for the purpose of availing the benefit under RGESS or the first day of the initial year, whichever is later. RGESS notification, and any individual who is not the first account holder of an existing joint demat account shall be deemed to have not opened a demat account for the purposes of the RGESS.
 Further: 'Initial Year' means
 - i. the financial year in which the investor designates his demat account as RGESS account and makes investment in the eligible securities for availing deduction under RGESS; or
 - ii. the financial year in which the investor makes investment in eligible securities for availing deduction under RGESS for the first time, if the investor does not make any investment in eligible securities in the financial year in which the account is so designated.
 - Procedure at time of opening or designating of demat account: The new retail investor shall follow the following procedure at the time of opening or designating a demat account:
 - a. the new retail investor shall open a new demat account or designate his existing demat account for the purpose of availing the benefit under RGESS;
 - b. the new retail investor shall submit a declaration in prescribed form to the depository participant who will forward the same to the depository for verifying the status of the new retail investor;
 - c. the new retail investor shall furnish his Permanent Account Number (PAN) while opening the demat account or designating the existing demat account as a Rajiv Gandhi Equity Savings Scheme eligible account, as the case may be.
- 4. The new retail investor shall be eligible for a deduction under sub-section (1) of section 80CCG of the Income Tax Act, 1961 in respect of the actual amount invested in eligible securities, subject to the maximum investment limit of fifty thousand rupees
- 5. Amongst other Eligible Securities, the Units of Exchange Traded Funds (ETFs) or Mutual Fund (MF) that have RGESS eligible securities as their underlying and that are listed and traded in the stock exchanges and settled through a depository mechanism have also been designated as eligible securities under RGESS.
- 6. The maximum Investment permissible for claiming deduction under RGESS is Rs. 50,000 and the investor would get a 50% deduction of the amount invested from the taxable income for that year.
- 7. The new retail investor who has claimed a deduction under sub-section (1) of section 80CCG of the Act, for the assessment year; In other words, for the assessment year 2013-14, shall not be allowed any deduction under the Scheme for any subsequent assessment year; In other words, for the assessment year 2013-14 deduction under section 80CCG is one time deduction and is available only in one assessment year to the extent of permissible deduction. However, this provision has been amended from the assessment year 2014-15. The modified provision permits deduction for three consecutive assessment years, beginning with assessment year relevant to the previous year in which the eligible securities under RGESS are first acquired. The investor may invest in one or more financial years in a block of three consecutive financial years beginning with the Initial Year. If the investor does not invest in any financial year following the Initial Year, he may invest in the subsequent financial year, within the three consecutive financial years beginning with the Initial Year.
- 8. Accordingly, investor who has invested in accordance with Rajiv Gandhi Equity Savings Scheme, 2012 shall continue to be governed by the provisions under RGESS 2012 to the extent it is not in contravention of the provisions under RGESS 2013 and shall also be eligible for the benefit of investment made in accordance with Rajiv Gandhi Equity Savings Scheme, 2013 for the financial years 2013-14 and 2014-15.
- 9. The eligible securities brought into the demat account, as declared or designated by the New Retail Investor, will automatically be subject to lock-in during its first year unless the New Retail Investor submits a declaration (within one month from the date of transaction) in the prescribed format to the depository participant indicating that such securities are not to be included within the above limit of investment for claiming tax deduction.
- 10. The new retail investor shall not be permitted to sell, pledge or hypothecate any eligible security during this fixed lock-in period.
- 11. LOCK-IN PERIOD (please also refer illustration given below for lock-in period in RGESS):
 - i. The total lock-in period for investments under the RGESS would be divided into 'fixed lock-in period' and 'flexible lock-in period'. The initial period of lock in shall be known as Fixed Lock-in Period, which shall commence from the date of purchase of such securities in the relevant financial year and end on the 31st day of March of the year immediately following the relevant financial year.
 - ii. The period of two years beginning immediately after the end of the fixed lock-in period shall be called the flexible lock-in period.
 - iii. Thus, upon completion of the fixed lock-in period, new retail investors would be allowed to trade in the eligible securities. Investors would, however, be required to maintain their level of investment during the next two years (i.e. the flexible lock-in period) at the amount for which they have claimed income tax benefit or at the value of the portfolio before initiating a sale transaction, whichever is less, for at least 270 days in each of these 2 years. Such investment value shall exclude the value of investment which is under the fixed lock-in period.
 - iv. The balance of the investment portfolio of Eligible Securities in the RGESS Demat Account, at any point of time during the flexible lock-in period, shall not be less than the amount corresponding to the value of the securities in the fixed lock-in.
 - v. The general principle under which trading is allowed is that whatever is the value of stocks / Units sold by the investor from the RGESS portfolio, RGESS compliant securities of at least the same value are credited back into the account subsequently.
 - vi. However, the investor is allowed to take benefits of the appreciation of his RGESS portfolio, provided its value, as on the previous day of trading, remains above the investment for which they have claimed income tax benefit.
- 12. The Depositories will be required to ensure the enforcement of the lock-in on Units under the Scheme in terms of RGESS guidelines.
- 13. The depository participant shall furnish an annual statement of the Eligible Securities invested in or traded through the demat account to the investor (demat account holder).
- 14. In case the investor fails to meet the conditions stipulated under RGESS and the provisions laid under Section 80CCG, the tax benefit will be withdrawn i.e. the deduction originally allowed shall be considered as income in the year in which such condition is not complied with.

For complete details, investors are requested to read section 80CCG of the Income-tax Act, 1961, the amended notification on Rajiv Gandhi Equity Savings Scheme, 2013 and the Finance Act 2013 issued by Ministry of Finance. The same is also available on our website, www.birlasunlife.com. Investors are also advised to consult their tax advisors for the RGESS related tax implications before investing in the Scheme

Investors should note that the information given above is included only for general purpose and the Unitholders should be aware that the relevant fiscal laws/rules or their interpretation may change from time to time and there can be no guarantee that the current tax position may continue in the future. In view of the individual nature of tax consequences, each unitholder is advised to consult his / her own professional tax advisor.

ILLUSTRATION OF LOCK-IN PERIOD IN RGESS:

