

## Sundaram Select Micro Cap-Series IX

#### A Closed-End Equity Scheme

## This product is suitable for investors who are seeking\*

- Long term capital growth,
- investment predominantly in equity / equity-related instruments of companies that can be termed as microcaps.

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



Offer of units at Rs 10 during the new fund offer period.

New Fund Offer opens: 16/10/2015 New Fund Offer closes: 30/10/2015

### **Application Form & KIM**

Toll Free: 1800 103 7237 (India) +91 44 49057300 (NRI)

SMS SFUND to 56767

E-mail: customerservices@sundarammutual.com (NRI): nriservices@sundarammutual.com

#### Sundaram Asset Management-Investment Manager for Sundaram Mutual Fund

A closed-end equity scheme

#### Offer at Rs 10 per unit during the New Fund Offer Period • New Fund Offer opens on: 16/10/2015 • New Fund Offer closes on: 30/10/2015

This Key Information Memorandum sets forth the information that a prospective investor ought to know before investing. For further details of the Scheme / mutual fund, detailed risk factors, rights of and services for investors, due diligence certificate of Sundaram Asset Management, key personnel, penalties & pending litigations, and associate transactions, to name a few, investors must, refer to the Statement of Additional Information/Scheme Information Document available free of cost at offices of Sundaram Asset Management, Investor Service Centres, distributors and at www.sundarammutual.com. The Scheme particulars have been prepared in accordance with the Securities and Exchange Board of India (Mutual Funds) Regulations, 1996, as amended till date, and filed with the Securities and Exchange Board of India (SEBI). The units being offered for public subscription have neither been approved or disapproved by SEBI, nor has SEBI certified the accuracy or adequacy of this KIM. This KIM is dated 14/09/2015. Please read the relevant SEBI-mandated documents carefully before investing. By filling and signing this application form, applicants are deemed to have understood and accepted the terms of the offer.

Name of the Scheme	Sundaram Select Micro Cap-Series IX. NFO	period of the scheme shall not ex	ceed 15 days.	
Fund Type	A closed-end equity scheme.		·	
Investment Objective	To seek capital appreciation by investing prede	ominantly in equity/equity-related i	nstruments of companies that can be	termed as micro-caps. However, there car
	be no assurance that the investment objective	e of the Scheme will be realized.		
	A company whose market capitalisation is equ	ual to or lower than that of the 301	st stock by market cap on the NSE a	at the time of investment will be considered
	to be in micro-cap category.			
	No Guarantee: There is no guarantee or assura	ance that the investment objective	of the scheme will be achieved. Investo	ors are neither being offered any guarantee
	/ indicated returns nor any guarantee on repay	yment of capital by the Schemes.	There is also no guarantee of capital c	or return either by the mutual fund or by th
	sponsor or by the Asset management Compa	iny	<b>-</b> .	
Maturity Period	Sundaram Select Micro Cap-Series IX, with	maturity period of 5 years from th	e date of allotment. The Maturity date	e is reckoned from the date of allotment.
	the Maturity date is not a business day, the su	ubsequent business day shall be c	onsidered as the maturity day for the	Scheme.
sset Allocation Pattern	Asset Class	Minimum All	ocation Maximum Allo	cation Risk Profile
	Equity & equity-related securities of micro-cap	p companies 65%	100%	High
	Other equity (including investment in derivative	ves of large caps) 0%	35%	High
	Fixed Income and money market securities	0%	35%	Low to Medium
	"Other Equity" refers to Large-cap (including	derivatives of large cap) and Mic	I-cap stocks. Large cap' stocks are (	defined as any equity stock whose mark
	capitalization shall not be below the market ca			
	not be above 50th stock and below 100th st			
	Exchange of India Limited.	τ <b>σ</b>	5	, ,
	The scheme will not invest in securitised deb	ot, repo in corporate bond, credit	default swaps and foreign securities.	The scheme shall not engage in securitie
	lending & borrowing and short selling.	,		3.3
	The Scheme may use derivatives in large cap	stocks for trading, hedging and p	ortfolio balancing. Exposure to deriva	tives will be limited to 35% of the net ass
	value of the Scheme at the time of transaction			
	cap stocks will be limited to asset allocation pr			
	Interest Rate Swap (IRS) and Forward Rate Ag			
	For the purpose of the scheme the market ca			
	Market Capitalisation			
	LARGE		Top 50 companies X > ~	Pa 40.042 arora
	MID	Rs.18,446 crore		
	SMALL		Top 101-300 companies X > -	~ Rs.3,778 crore
	MICRO		301st company onwards X < -	~ Rs.3,778 crore
	Source: Internal, Market Cap as of August 20	15 based on NSE. X is the Market	Capitalisation.	
	Exposure is calculated as a percentage of the			ain cash or securities to cover exposure
	derivatives.			
	The cumulative gross exposure to equity, debt	, money market instruments and d	erivatives shall not exceed 100% of th	e net assets of the scheme, subject to SE
	circular No. Cir/ IMD/ DF/ 11/ 2010 dated Aug			
	Investors are requested to refer to the parts of			
	the limits and risks relating to such securities.			
	Pending deployment in line with the investment		me may be invested in short-term de	posits with scheduled commercial banks
	accordance SEBI Circulars SEBI/IMD/CIR No.			
	Subject to SEBI Regulations, the asset alloca			
	market conditions, applicable regulations and			is not be benefacilitations, reoping in view a
	The fund manager of the Scheme shall examin			s sector-specific factors company-specif
	factors and trends in liquidity, to name a few,			
	as a tactical call.	and reduce the equity exposure, if		the lined income component of the portio
	The fund manager shall seek to raise the equi	ity expective if the environment is c	anduaiva. This process of rehalancing	a may taka placa in a dynamia mannar ar
	regular basis. Cash calls (with deployment in			
	underweight to sectors and changes in allocation			
	if the macro-economic conditions and marke			
	correspondingly reduce or increase the fixed-	income component of the portfolio	beyond the asset allocation boundar	ry and market cap indicated in the table f
	normal circumstances.			
		1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1		
	In any case, the fund manager will carry out re			
	In any case, the fund manager will carry out re days, justification for the same shall be placed	d before the Executive Committee	and the Board of Trustees along with	
	In any case, the fund manager will carry out re days, justification for the same shall be placed committee of the Investment Manager, having	d before the Executive Committee g three members, shall then decide	and the Board of Trustees along with on the course of action.	reasons recorded in writing. The Executi
	In any case, the fund manager will carry out re days, justification for the same shall be placed	d before the Executive Committee g three members, shall then decide	and the Board of Trustees along with on the course of action.	reasons recorded in writing. The Execution

Investment Strategy		rtfolio of micro-cap stocks. As there is no fixed thumb rule as to what constitute
	the NSE. These stocks are generally more volatile than the large-cap or mid-	s with a market cap equal to or lower than that of the 301st stock by market cap
		on, redefine the micro-cap category if required by changes in the market-cap pro
		day of every calendar quarter. If the stock fails to fulfil the criterion, the fund mana
	will take steps to liquidate the holdings in a phased manner or if the stock n	
	· · · ·	arded the shareholders for the higher risk taken by them in taking exposure to si
		ne. If the stocks are more volatile, downside risk is also higher. Lower liquidity is a
	a factor.	
		erging stocks through its study of industry and management. Towards this end, it
	follow a bottom-up approach in constructing the portfolio and managing it o	
		ique business strengths, sustainable long-term growth prospects and reasona
	valuations.	
		unities through continuous research on sectors and companies. Analysis focuses
		spects, financial health, competitive edge, managerial quality and practices, mind
	shareholder interests and transparency. Companies that adequately satisfy t	
		the growth potential for the company as well as the sector to which the comp
		activity necessitate such a decision as long as stocks in this category do not app
	to be a value trap.	, , , , , , , , , , , , , , , , , , , ,
	Investment in micro-cap stocks may call for longer holding periods and may	also offer varying levels of liquidity in different market conditions. The fund will a
	pursue opportunities in public offerings popularly termed as IPOs.	
	The fund manager may invest across sectors, take cash calls, change alloca	tion between the equity and fixed-income asset classes in a dynamic manner wi
		palancing. In talking such decisions, the Investment Manager will keep in mind
	Investment Objective of the Scheme and the applicable Regulations.	
Risk Profile	Mutual Fund Units involve investment risks including the possible loss of pri	ncipal. Please read the Statement of Additional Information and Scheme Informa
	Document carefully for details on risk factors before investment.	
Risk Mitigation		al fund management guidelines that provide for single-stock - subject to the S
	prescribed limit of 10% - and sector exposure limits. The adherence shall b	e monitored by the Risk Management team that reports to the Managing Directo
		proved by the Managing Director subject to rustication by the fund manager and
	also, if required, be brought to the notice of the Risk Management Committee	
		rtfolio risk on a day-to-day basis. Internal risk control guidelines are in place and
		viation is brought to the notice of the Managing Director and the fund manager
		n is corrected within the time period prescribed in internal risk control guidelin
	Adherence to limits from SEBI Regulations as well as stipulations in the Sch	
		t Management has constituted a Committee comprising Managing Director & T
		d Fixed Income, the Risk Analyst and the CEO will be the permanent invitees to
		The Committee will review the risk guidelines with respect to equity and fixed inco
		counter party exposure, review exceptions and overrides and suggest improvement
	to the framework/formats.	
	Role of the Committee: Committee will approve the:	
	Guidelines in the Universe of securities	
	Global Issuer limits (including limit per maturity)	
	Counterparty limits	
	Revised existing issuer and counterparty limits	· · · · · · · · · · · · · · · · · · ·
		ation Limit, WAM Limit, Maximum Maturity Limit, Liquidity Risk Limits, Valuation F
	Limits, Risk Grade Limits etc.	
		ns and risk guidelines for equity and debt investments. Also fund specific guidel
	are in place.	. A lather frond and a second
News and Onlines		i risk the fund can expose investors to, as specified in the investment mandate.
Plans and Options	<b>Plans:</b> Regular Plan and Direct Plan <b>Options:</b> Growth, Dividend Payout. If inv	
	All plans and options available for offer under the scheme will have the same	e directly with the Fund and is not available for investors who route their investme
		le directly with the Fund and is not available for investors who route their investing
	through a Distributor.	a invest in this scheme are clisible to subscribe under Direct Dian. Investments ur
		o invest in this scheme are eligible to subscribe under Direct Plan. Investments un
		investing directly with the Fund {except Stock Exchange Platform(s) and all o
	Platform(s) where investors' applications for subscription of units are routed	
		an as it shall exclude distribution expenses, commission, etc. No commission
	distribution of Units will be paid / charged under Direct Plan. The direct plan	
	Investors wishing to subscribe under Direct Plan of a Scheme will have to inc	
	The following matrix will be applied for processing the applications in the Re	
	Broker Code mentioned by the investor Plan mentioned by the ir	
	Not mentioned Not mentioned	Direct Plan
	Not mentioned Direct	Direct Plan
	Not mentioned Regular Mentioned Direct	Direct Plan Direct Plan
	Direct Not Mentioned	Direct Plan

	Direct	Regular	Direct Plan
	Mentioned	Regular	Regular Plan
	Mentioned	Not Mentioned	Regular Plan
			on form, the application shall be processed under Regular Plan.
			30 calendar days of the receipt of the application form from the investor/ distribut
		tot received within 30 calendar days, the AMC si	nall reprocess the transaction under Direct Plan from the date of application with
Minimum Application Amount	any exit load.	d multiples of Rs 10 thereafter.	
Listing			capital market segment of NSE within five business from the date of allotment. NS
Listing	has vide its Letter No. NSE/ may be listed in other excha	LIST/6435 dated December 08, 2014 provided in nges also.	-principle approval for listing the units of the scheme. In addition to NSE, the un
Redemption & switch-out on an	Being a Closed End Scheme	, there will be no allotment or redemption or swit	ches on an ongoing basis.
ongoing basis to other Scheme			
of Sundaram Mutual Fund			
Liquidity	proposed to be listed on the units held in Demat Form in NSE/LIST/6435 dated Dece	NSE within 5 business days from the date of allot the secondary market. NSE has given its in – prin mber 08, 2014. On the Maturity Date (which	ever, in order to provide the liquidity to the investors, the units of the schemes a tment. Hence, Investors who want to liquidate their units of the schemes can sell t nciple approval for listing the units of the scheme on its exchange vide its Letter N will be 5 years from the date of Allotment), the Units of the Scheme will usiness Day, the subsequent Business Day shall be considered as the maturity da
		exchange once the schemes are delisted. This s	becedure at least 30 days prior to the date of maturity of the scheme. The Unitholde shall be subject to SEBI Regulations/Guidelines and without any further reference
Additional Mode of Payment during NFO	and submit the same to their and undertake other tasks a	respective banks, which in turn will block the su is per the procedure specified therein. For appli	<b>locked Amount (ASBA)</b> process during the NFO period by filling in the ASBA for bscription amount in the said amount as per the authority contained in ASBA for cants applying through ASBA, on allotment, the amount will be unblocked in th red to pay for allotment of Units applied in the application form. For complete deta
Registration of Bank Account		tatement of Additional Information (SAI) available e to receive the redemption/dividend proceeds it	on our website www.sundarammutual.com in any of the bank accounts, the details of which are registered with the AMC
	the website of www.sundara bank accounts in a folio. Th	mmutual.com. Individuals, HUFs, Sole proprietor	ich will be available at our office/Sundaram BNP Paribas Fund Services Ltd and firms can register up to five bank accounts and other investors can register up to t d bank accounts as default bank account. In case the investor fails to mention a referred account number
	If unit holder(s) provide a new supporting documents), suc calendar days to ensure valid	and unregistered bank mandate or a change of b h bank account may not be considered for payr dation of new bank mandate mentioned.	ank mandate request with a specific redemption proceeds (with or without necessan nent of redemption proceeds, or the Fund may withhold the payment for up to
	of the RTA and any financial	transaction request received in the interim will b	ocessed within ten business days of necessary documents reaching the head offi be carried based on previous details only. For more details please refer our webs we, please get in touch with us at our office or call our Toll Free 1800 103 7237 (Ind
Applicable NAV (after the scheme opens for repurchase and sale)	Being a Closed End Scheme	there will be no allotment or redemption or swite	ches on an ongoing basis.
Special products / facilities available during the NFO		the Units of the Schemes through Applications S rm and submitting the same to their respective b	
			charges provided there is no office of the Investment Manager/Collecting centers
	Switch from any existin	g Equity/Debt/Liquid Schemes of Sundaram Mutu nvestor Service Centres can be contacted.	ual into the Units of the Scheme during the NFO Period can be done during the NF
	An investor may purcha (Stock Exchange infrasi	se the units in different options available for subs tructure) only during the NFO period. Switching o	cription under Regular Plan of the Scheme through NSE MFSS & BSE StAR Platfor f Units is not permitted under this facility. Investors may hold the Units in physical by NSE and BSE respectively for transacting in units of Mutual Funds. The electror
	platforms will be available eligible AMFI certified s	ble on all business days of the Capital Market seg tock exchange brokers will be considered as Offi	ment. The platforms will be available for Participants between 9 a.m. until 3 p.m. T icial Points of Acceptance (OPA) of Sundaram Mutual Fund. Investors are request tock exchange infrastructure is available subject to such limits, operating guideline
	Mutual reserves the right MF Utility Platform	nt to change/modify the features of this facility at	
	as and when such a facility is as published on MFUI websi	s made available by MFUI or physically through the against the POS locations. The list of POS of N	Mutual Fund can be done through MFU either electronically on www.mfuonline.cc ne authorized Points of Service ("POS" of MFUI with effect from the respective dat MFUI is published on the website of MFUI at www.mfuindia.com as may be updat com and the POS locations of MFUI will be in addition to the existing Official Poir
	of Acceptance ("OPA") of the for applications received on the eligibility of the investors	AMC. The uniform cut-off time as prescribed by the portal of MFUI i.e. www.mfuonline.com. How , any terms & conditions as stipulated by MFUI /	SEBI and as mentioned in the SID / KIM of respective schemes shall be applicative ever, investors should note that transactions on the MFUI portal shall be subject Mutual Fund / the AMC from time to time and any law for the time being in force.
Despatch of Redemption Proceeds		proceeds will be mailed to the investors within 10	
Dividend Policy			lability of distributable surplus. Dividend is declared on the face value of Rs 10 p cline to the extent of the dividend payment. The details of the Record Date for a
www.cundorommutual			Sundaram Accot Managament

	Dividend that may be declared will be notified through the Stock Exchange where the Units are listed/ designated investor s read the Scheme Information Document for further details	ervice centers/ newspapers. Please
Name of the Fund Managers	S Krishnakumar & Dwijendra Srivastava	
Benchmark	SkP BSE Small Cap Index. The S&P BSE Small Cap index was launched on April 11, 2005 and is designed to measure the p	erformance of small-can companies
Denominaria	listed at BSE Ltd. The index is well diversified across all sectors, broad-based and consists of more than 580 scrips. The com	
	is such that it is most suited for comparing performance of the scheme which seeks to invest predominantly in micro-cap s	
	proximate in tracking the micro-cap category. The Trustee reserves the right to change the benchmark/Fund Managers.	···· , · · · ,
Name of the Trustee Company	Sundaram Trustee Company Ltd	
Load Structure	Entry Load: Nil	
	Exit Load: Not applicable.	
	Please note that buying and selling the units of the scheme on the stock exchange is based on market price. However, inv	
	brokerage and applicable taxes on the brokerage and other relevant charges as applicable for transacting on secondary mar	
Transaction Charge to Distributors	In addition to the existing upfront commission payable to the distributor, the distributor would be allowed to charge the Investigation of the existing upfront commission payable to the distributor.	
	for a New Investor and @Rs100 for an existing Investor)where the amount of investment is Rs. 10,000 and above on a per	
	Charge will be deducted by the AMC from the amount remitted and paid to the Distributor. The balance amount will be invest	
	charge will not apply to direct Investments. For more details, please refer to the section 'Your guide to fill the application form	
	The distributors can opt-in / opt-out of levying transaction charges based on 'type of the Product/Scheme' instead of 'for all Sc	nemes'. Accordingly, the transaction
	charges would be deducted from the subscription amounts, as applicable.	
	However, the distributor shall not be able to opt-in or opt-out at the investor-level i.e. a distributor shall not charge one investor	or and choose not to charge anothe
Initial Jacua Expansion	investor.	
Initial Issue Expenses Performance	Initial issue expenses shall be borne by the Investment Manager/AMC and not by the scheme of mutual fund. Being a new Scheme it does not have any performance track record.	
Recurring Expenses	<ol> <li>The total annual recurring expenses of the Scheme, excluding deferred revenue expenditure written off, issue or reder</li> </ol>	antion expenses but including th
Recurring Expenses	investment management and advisory fee that can be charged to the scheme shall be within the limits specified in Reg	
	Regulations.	
	The expenses chargeable to the scheme shall include investment management & advisory fee, Trustee fee, custodian fe	e Registrar and Transfer Agent fee
	Audit fee, Marketing and Selling expenses and other expenses (including listing fee). as listed in the table below:	
	Expense Head	% of daily Net Assets
	Investment Management and Advisory Fees	
	Trustee fee	
	Audit fees	
	Custodian fees	
	RTA Fees	
	Marketing & Selling expense incl. agent commission	
	Cost related to investor communications	
	Cost of fund transfer from location to location	
	Cost of providing account statements and dividend	
	redemption cheques and warrants	
	Costs of statutory Advertisements	
	Cost towards investor education & awareness (at least 2 bps)	Upto 2.50%
	Brokerage & transaction cost over and above	
	12 bps and 5 bps for cash and derivative market trades resp.	
	Service tax on expenses other than investment and advisory fees	
	Service tax on brokerage and transaction cost	
	Other expenses	11 1 0 500/
	Maximum total expense ratio (TER) permissible under Regulation 52 (4) and (6) (c)	Upto 2.50%
	Additional expenses for gross new inflows from specified cities under regulation 52 (6A) (b)	Upto 0.30%
	The maximum total expense ratio (TER) permissible under Regulation 52 (4) and (6) (c) that can be charged to the scheme	e as a percentage of daily net asset
	shall be as follows:	
	First Rs 100 crore: 2.50% Next Rs 300 crore: 2.25%	
	Next Rs 300 crore: 2.00%	
	On assets in excess of Rs 700 crore: 1.75%	
	As per <b>Regulation 52(6A)(b)</b> , the an additional expense upto 0.30% (30 basis points) on the daily net assets shall be ch	parged to the scheme if new inflow
	into the scheme from beyond top 15 cities as specified by SEBI, from time to time, are at least:	larged to the scheme in new innow
	(i) 30% of the gross new inflows in the scheme (or)	
	<ul> <li>(i) 15% of the average assets under management (year to date) of the scheme, whichever is higher.</li> </ul>	
	In case the inflows from such cities is less than the higher of (a) or (b) above, expenses shall be charged to the scheme on	a proportionate basis as prescribe
	in the SEBI circular dated September 13, 2012.	
	The amount so charged shall be utilised for distribution expenses incurred for bringing inflows from such cities. However	er, the amount incurred as expens
	on account of inflows from such cities shall be credited back to the Scheme(s) in case the said inflows are redeemed to	
	date of investment.	
	Top 15 cities shall mean top 15 cities based on Association of Mutual Funds in India (AMFI) data on 'AUM by Geogra	ohy - Consolidated Data for Mutu
	Fund Industry' as at the end of the previous financial year.	,
	Distribution expenses will not be charged in Direct Plan and no commission shall be paid from Direct Plan. The total e	xpense ratio of Direct Plan shall b
	lower by atleast 1.0% vis-a-vis the Regular Plan. i.e., If the expenses of Regular Plan are 100 bps, the expenses of Dire	
		· · · · · · · · · · · · · · · · · · ·

	Sundaram Asset Management reserves the right to charge different heads of expenses, both inter-se or in total, within the overall limits as specified in the
	<ul> <li>table above.</li> <li>Brokerage and transaction costs which are incurred for execution of trades and included in the cost of investment shall be charged to the Scheme(s) in addition to the total expense limits prescribed under Regulation 52 of the SEBI (Mutual Funds) Regulations. These expenses shall not exceed 0.12% of the value of trades in case of cash market transactions and 0.05% of the value of trades in case of derivatives transactions. Payment towards brokerage and</li> </ul>
	transaction cost in excess of 0.12% and 0.05% for cash market transactions and derivatives transactions respectively shall be charged to the scheme within the maximum limits prescribed under regulation 52 of the SEBI (Mutual Funds) Regulations, 1996. Any expenditure (including brokerage and transaction cost, if any) in excess of the prescribed maximum limit shall be borne by the Investment Manager or by the Trustee or Sponsor.
	3. The Investment Manager shall set apart at least 0.02% (2 basis points) on the daily net assets of the scheme(s) within the maximum limit of total expense ratio prescribed under Regulation 52 of SEBI (Mutual Funds) Regulations for initiatives towards investor education and awareness taken by Sundaram Mutual fund.
	<ul> <li>Service Tax:         <ul> <li>Pursuant to SEBI circular no CIR/IMD/DF/24/2012 dated November 19, 2012, Service Tax on brokerage and transaction cost paid for execution of trade, if any, shall be within the expenses limit prescribed under Regulation 52 of SEBI (Mutual Funds) Regulations.</li> <li>Service Tax on investment management and advisory fee shall be charged to the scheme in addition to the maximum limit of total expense ratio as</li> </ul> </li> </ul>
	<ul> <li>prescribed in Regulation 52 of SEBI (Mutual Funds) Regulations.</li> <li>Service Tax for services other than investment management and advisory shall be charged to the scheme within the maximum limit of total expense ratio as prescribed in Regulation 52 of SEBI (Mutual Funds) Regulations.</li> </ul>
	Any circular/clarification issued by SEBI in regard to expenses chargeable to the Scheme/Plan(s) will automatically become applicable and will be incorporated in the SID/SAI/KIM accordingly.
Tax Implications	This summary of tax implications is based on the current provisions of the applicable tax laws. This information is provided for general purpose only. In view of the individual nature of tax implications, investors are advised to refer the provisions of the Income-Tax Act and/or consult their investment/tax advisor with respect to the specific tax implications arising out of an investment in the scheme.
	<ul> <li>Income of Sundaram Mutual Fund: Exempt from tax</li> <li>Dividend distribution: Tax free</li> </ul>
	<ul> <li>Long-term capital gains (units held for more than 12 months qualify): Tax free.</li> <li>Short-term capital gains (units held for less than 12 months qualify): 15%</li> </ul>
	<ul> <li>Securities Transaction Tax: Payable at 0.001% on the value of units sold.</li> <li>Tax deduction at source: Not applicable for persons resident in India; TDS applies on redemption proceeds payable to NRIs/FIIs.</li> </ul>
	• Wealth tax/Gift Tax: Not payable In addition to Income tax, surcharge (on income tax) and cess (on total tax) will apply for companies and only cess will apply for others. The surcharge on income tax is payable by companies if their Total income exceeds Rs 1 crore and the rate will be 5% for Indian Companies and 2% for foreign Companies. Cess will be
	payable at 3% of total tax. Investors should also refer to the Statement of Additional Information available at www.sundarammutual.com for more but not exhaustive detail.
Net Asset Value	NAV will be determined and published on every business day.(except in special circumstances detailed in the Statement of Additional Information/Scheme Information Document). The Investment Manager will publish the NAV in two daily newspapers having circulation all over India and update on Investment Manager's website (www.sundarammutual.com). The Investment Manager shall also update the NAVs on the website of Association of Mutual Funds in India – AMFI www.amfiindia.com) before 9.00 p.m. every business day. In case of any delay, the reasons for such delay would be explained to AMFI by the next day. If the NAVs are not available before commencement of working hours on the following day due to any reason, the Fund shall issue a press release providing reasons and explaining when the Fund would be able to publish the NAVs. Further transparency will be maintained through monthly disclosure of portfolio in Mutual Fund website and fact sheets.
For Investor Grievances please contact	Investor Relations Manager Rahul Mayor, Head- Customer Services, Sundaram Asset Management Company Limited, Sundaram Towers, I Floor, No. 46, Whites Road, Royapettah, Chennai- 600 014. Fax: (044) 28569808 Toll Free 1800 103 7237 (India) +44 49057300 (NRI) Email us at : customerservices@sundarammutual.com (NRI): nriservices@sundarammutual.com
	Registrar Sundaram BNP Paribas Fund Services Limited, Registration No. INR000004066, Registrar and Transfer Agents, Unit: Sundaram Mutual Fund, Central Processing Center, RR Towers II, III Floor, Thiru Vi Ka Industrial Estate, Guindy, Chennai 600 032. Toll Free 1800 103 7237 (India) +91 44 49057300 (NRI)
Information to unit holders	On acceptance of a valid application for subscription, units will be allotted and a confirmation specifying the number of units allotted by way of email and/or SMS within 5 Business Days from the date of closure of NFO will be sent to the Unit holder's registered e-mail address and/or mobile number. While allotting units in case of subscription to the scheme through switches from other schemes, a. Additional units shall be allotted to the investors for the fractional value greater than 0.5 units so that the total units are rounded off to a full unit. The amount
	<ul> <li>equivalent to conversion of fractional unit to full unit shall be debited to unit premium reserve account.</li> <li>b. For the fractional value upto 0.5 units, no additional units would be allotted. The value of those units shall be credited as unit premium reserve for the benefit of the investors.</li> </ul>
	<ul> <li>c. The overall cost, if any, arising out of the process shall be absorbed by Sundaram Asset Management Company Limited</li> <li>Subject to SEBI Regulations, Statement of Accounts will be sent to those unitholders whose registered email address / mobile number is not available with the</li> <li>Mutual Fund, unless otherwise required. Money would be refunded in respect of applications rejected, within five business days from the closure of the NFO period.</li> <li>The Scheme shall be available for trading within five business days of allotment.</li> <li>Consolidated Account Statement:</li> </ul>
	<ol> <li>A consolidated account statement (CAS)<sup>^</sup> for each calendar month to the Unit holder(s) in whose folio(s) transaction<sup>**</sup>(s) has/have taken place during the month shall be sent on or before 10th of the succeeding month by mail/e-mail.</li> </ol>
	^Consolidated Account Statement (CAS) shall contain details relating to all the transactions** carried out by the investor across all schemes of all mutual funds during the month and holding at the end of the month including transaction charges paid to the distributor, if any. **The word 'transaction' shall include purchase, redemption, switch, dividend payout, dividend reinvestment, systematic investment plan, systematic withdrawal plan, systematic transfer plan and bonus transactions.

	<ol> <li>In case of a specific request received from the Unit holders, the AMC/Mutual Fund will provide the account statement to the investors within 5 Business Days from the receipt of such request.</li> </ol>
	<ol> <li>In case the mutual fund folio has more than one registered holder, the first named Unit holder shall receive the CAS/account statement.</li> </ol>
	<ul> <li>For the purpose of sending CAS, common investors across mutual funds shall be identified by their Permanent Account Number (PAN).</li> </ul>
	5) The CAS shall not be received by the Unit holders for the folio(s) not updated with PAN details. The Unit holders are therefore requested to ensure that the
	folio(s) are updated with their PAN.
	6) Further, the 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-ma
	on or before 10th day of succeeding month, to all such Unit holders in whose folios no transaction has taken place during that period. The half yearly CAS
	will be sent by e-mail to the Unit holders whose e-mail address is available, unless a specific request is made to receive in physical. Such Consolidated
	Account Statement shall reflect the latest closing balance and value of the Units prior to the date of generation of the account statement.
	7) The statement of holding of the beneficiary account holder for units held in DEMAT will be sent by the respective DPs periodically.
	8) Pursuant to SEBI circular CIR/MRD/DP/31/2014 dated November 12, 2014, investors having Mutual Fund investments and holding securities in Dema
	account shall receive a single Consolidated Account Statement (CAS) from the Depository. Consolidation of account statement shall be done on the basi
	of Permanent Account Number (PAN). In case of multiple holding, it shall be PAN of the first holder and pattern of holding. The CAS shall be generated on
	monthly basis. If there is any transaction in any of the Demat accounts of the investor or in any of his mutual fund folios, depositories shall send the CAS
	within ten days from the month end. In case, there is no transaction in any of the mutual fund folios and demat accounts then CAS with holding details sha
	be sent to the investor on half yearly basis. Any circular/clarification issued by SEBI in this regard will automatically become applicable and shall be incorporated in the SID/SAI/KIM wherever applicable.
	The Investment Manager shall publish the portfolio of the scheme as of March 31 and September 30 of every year before the expiry of one month from the close
	of each half year. The portfolio shall be published in the SEBI-prescribed format in one national English daily newspaper and in a newspaper in the language of
	the region where the Head Office of the Mutual Fund is situated. The Investment Manager shall disclose the portfolio (along with ISIN) as on the last day of the
	month for all the schemes in its website www.sundarammutual.com on or before the tenth day of the succeeding month in a user-friendly and downloadable
	format, preferably a spreadsheet.
	Sundaram Mutual fund shall make half yearly disclosures of unaudited financial results on its website www.sundarammutual.com in the prescribed format within
	one month from the close of each half year, i.e. on 31st March and on 30th September. The half- yearly unaudited financial results shall contain details as specified
	in Twelfth Schedule and such other details as are necessary for the purpose of providing a true and fair view of the operations of the mutual fund. In addition
	Sundaram Mutual Fund shall publish an advertisement disclosing the hosting of such financial results in its website, in atleast one English daily newspaper having
	nationwide circulation and in a newspaper having wide circulation published in the language of the region where the Head Office of Sundaram mutual fund is
	situated.
	An abridged Scheme-wise annual report shall only be e-mailed to all unit holders whose email address is available with the Mutual Fund within four months from
	the date of closure of the relevant accounting year; unit holders who have not provided an email address/who have requested for a physical copy shall receive
Concret Dick Factors	copy by post. The link of Scheme-wise annual reports or abridged summary thereof will also be prominently displayed at www.sundarammutual.com
General Risk Factors	Mutual Fund Investments are subject to market risks. Please read the Scheme Information Document carefully before investing. Copy of the Scheme Information Document, key information memorandum and application form may be obtained from the offices / investor service centres of Sundaram Asset
	Management, its distributors and online at www.sundarammutual.com. All mutual funds and securities investments are subject to market risks, and there
	can be no assurance or guarantee that fund's objectives will be achieved. NAV may go up or down, depending on the factors and forces affecting the
	securities market. Main types are market risk, liquidity risk, credit risk and systemic risks. At times, liquidity of investments may be impaired. There is uncertainty
	of dividend distribution and risk of capital loss. Past performance of the Sponsor/Asset Management Company/Fund does not indicate the future performance.
	Investors in the Scheme are not being offered any guaranteed or indicated returns. Sundaram Select Micro Cap-Series IX is only the name of the scheme
	and it does not in any manner indicate either quality of the scheme, its future prospects or returns.
	Risk Factors - Equity Markets: Stock Market Volatility, Equity Price Risk, Dependency Risk, Temporary Investment Risk and Non-Diversification Risk and
	Concentration Risk, to name a few.
	Risks from Derivative Exposures: Counter Party Risk, Market risk, Illiquidity risk and Basis Risk, to name a few.
	Risks from Debt Exposures: Credit Risk, Interest Rate Risk, Price Risk, Market Risk, Liquidity Risk, Investment Pattern Risk, Duration Risk and Non-
Ochomo Occolitio Diele Frankrus	Diversification Risk, to name a few.
Scheme-Specific Risk Factors	Micro-cap stocks are generally illiquid in terms of trading volumes; investors should assume that illiquidity risks are higher in this Scheme than in a normally
	diversified fund . This may result in higher impact casts (maat casts are these casts that are insurred for easy wing and dispessing off starks. These are
	diversified fund. • This may result in higher impact costs. Impact costs are those costs that are incurred for acquiring and disposing off stocks. These are different from prokerage and custodian charges. The Scheme does not guarantee that impact cost will be minimized or eliminated • The Scheme may invest
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Neither the SID/KIM/SAI nor the units of the schemes of Sundaram Mutual Fund have been registered in any jurisdiction, outside India. The distribution of the SID/KIM/SAI in certain jurisdictions may be restricted or totally prohibited or subject to registration requirements and accordingly, persons who come into possession of the SID/KIM/SAI in such jurisdictions are required to inform themselves about, and to observe, any such restrictions and / or legal compliance requirements. No person receiving a copy of the SID/KIM/SAI or any application form in such jurisdiction may treat the SID/KIM/SAI or such application form as constituting an invitation to them to subscribe for Units, nor should they in any event use any such application form, unless in the relevant jurisdiction such an invitation could lawfully be made to them and such application form could lawfully be used without compliance of any registration or other legal requirements. The units offered under the schemes of Sundaram

#### Checklist

#### Please complete Know Your Customer requirement

Please make the Cheque/Demand Draft in favour of 'Sundaram Select Micro Cap-Series IX' in which you would wish to invest and write the PAN number or Folio number (for investors who have an account with Sundaram Mutual) on the reverse of the Cheque/Demand Draft.

Uniform practice in dealing with applications/transaction slips: If the Scheme name on the application form/transaction slip and on the payment instrument are different, the application shall be processed and units will be allotted at the applicable NAV of the scheme mentioned in the application form /transaction slip duly signed by investor(s)

Permanent Account Number (PAN) is not required for an individual investor if the purchase amount is upto Rs 50,000 (including SIPs, if any) in any rolling 12-month period or in a financial year per investor per mutual fund.

Investors falling underthis category must produce a copy of any of the following specified photo identification documents:

- Voter Identity Card
- 2. Driving License
- Government / Defense identification card 3.
- Passport
- Photo Ration Card
- 6.
- Photo Debit Card (Credit card not included because it may not be backed up by a bank account). Employee ID cards issued by companies registered with Registrar of Companies (database available in the following link of Ministry\_of Company affairs http://www.mca.gov.in/DCAPortalWeb/dca/MyMCALogin.do?method=setDefaultProperty& 7 mode=31)
- Photo Identification issued by Bank Managers of Scheduled Commercial Banks / Gazetted Officer / Elected Representatives to the Legislative Assembly / Parliament ID card issued to employees of Scheduled Commercial / State / District Co-operative Banks. 8.
- Senior Citizen / Freedom Fighter ID card issued by Government.
- 11
- Cards issued by Universities / deemed Universities or institutes under statutes like ICAI, ICWA, ICSI. Permanent Retirement Account No (PRAN) card issued to New Pension System (NPS) subscribers by CRA (NSDL). Any other photo ID card issued by Central Government/ State Governments/ Municipal 12
- 13.

#### If you are a new investor in Sundaram Mutual Funds, please ensure you take care to mention:

- Permanent Account Number (PAN is mandatory for all investors). .
- Mode of operation in case of joint applicants
- Bank account details of the first applicant Bank details for direct credit/ ECS/NEFT/RTGS

If investment is made under Power of Attorney, specimen signature of authorized signatory. If the investor is a minor, the following points should be noted for opening folio / account. For detailed instructions, please refer the Statement of Additional Information:

- The minor shall be the first and the sole holder in an account. No joint holders are allowed in such accounts.
- Guardian in the account/folio on behalf of the minor should be either a natural guardian (i.e. father or mother) or a court (ii) appointed legal guardian. Documents supporting the date of birth of the minor and also the relationship of the minor and

guardian should be enclosed with the application form. Small investors, who may not be tax payers and may not have PAN/bank accounts, such as farmers, small traders/businessmen/workers can invest in the scheme through the mode of cash payment for fresh purchases/additional purchases upto Rs.50,000/- per investor, per mutual fund, per financial year subject to:

- Socious per investigation of Money Laundering Act, 2002 and Rules framed there under, SEBI Circular(s) on Anti Money Laundering (ANL) and other applicable AML rules, regulations and guidelines; and Sufficient systems and procedures put in place by the AMC / Mutual Fund However, payment to such investors towards redemptions, dividend, etc. with respect to aforementioned investments shall be paid only through banking channel.
- Sundaram Mutual Fund / Investment Manager is yet to set up appropriate systems and procedures for the said purpose

#### Please attach:

- Attested copy of Permanent Account Number Card KYC Acknowledgement.
- Signed 'Account Payee' cheque/draft drawn in the 'Sundaram Select Micro Cap-Series IX' in which you wish to invest and
- Signed Account rayes of ecological damin and contrain one of the other which can be indicate and number on reverse. A cancelled cheque or a photocopy of your cheque leaf (a must if you wish to avail the facility of direct credit/ ECS and preferable in all cases to ensure your bank account details are captured accurately) If investment is made under Power of Attorney, notarised copy of the Power of Attorney
- In case of a Trust/Fund, a resolution of the Trustee(s) authorising the investment must be submitted.
- If you are an institution, please attach a copy of documents indicated in the table:

#### Special Categories (please attach a copy)

Document	Corporate	Society	Partnership	Trust
Memorandum & Articles	1			
Resolution/Authorisation to Invest	1	1	1	1
List of Authorised Signatories				
& Specimen Signatures	1	1	1	1
Bye-Laws		1		
Trust Deed		/		
Partnership Deed			1	

#### Not In Good Order (NIGO)

All applications received by the Investment Manager / Registrar & Transfer Agent(RTA) shall be on a "Subject to Verification" basis. Applications that are found to be inaccurate or incomplete upon preliminary scrutiny will be returned at the counter itself to the Applications that are voluble to be inaccutate of incomplete upon plenningly solutiny will be returned at the counter itself to the investor or agent for rectification. Applications that are accepted at the counter and subsequently found as incomplete or inaccurate on material aspects by the Investment Manager /RTA are classified as Not In Good Order (NIGO), Such NIGO applications are liable to be rejected and reasons for incompleteness/inaccuracy shall be communicated to the investor for remedial measures. The applications submitted after remedy will be processed at the NAV of the date and time of receipt of the same at our office/office of the RTA.

### Sundaram Select Micro Cap-Series IX Your guide to fill the application form

Mutual Fund have not been and will not be registered under the United States Securities Act of 1933 for offer or sale as part of their distribution and neither Sundaram Mutual Fund nor Sundaram Asset Management Company Limited, the Investment Manager has been and will be registered under the United States Investment Company Act of 1940. It should be noted that Investors will not have the benefit of the substantive provisions of the laws of the United States of America, including the United States Investment Advisers Act of 1940, as amended. Therefore, subject to the ultimate discretion of the Investment manager, the products may not be offered or sold to or for the benefit of a US Person, as such term is defined herein. The Investment Manager may mandatorily redeem any Units that are held by or for the benefit of any US Person. You are also requested to refer to the section "Special Considerations" available in the Scheme Information Document of the respective schemes in this regard.

#### This form is applicable for persons both resident in India and for NRIs.

1. Existing Investor Information: If you are an investor in any fund of Sundaram Mutual Fund serviced by Sundaram BNP Paribas Fund Services Limited, please provide the Folio Number. You are not required to fill details required in Section 2. You must proceed directly to Section 3 as details required in Section 2 are available in your existing folio. If you wish to change any of the existing details, use a transaction slip available with your account statement. 2. New Investor Information: Name and address must be written in full. If the investment is on behalf of a minor (a person who is yet to

complete 18 years), the Name of the Guardian and his/her PAN must be mentioned.

compiete to years), the name of the cuardian and his/her PAN must be mentioned. In case of more than one applicant, applicants are requested to state the Mode of holding as 'Joint' or 'Anyone or Survivor'. In case of omission to choose the mode of holding, the default option shall be 'Anyone or Survivor' All communication and payments shall be made to/in the name of and favouring the first/sole applicant. Applications by a Power of Attorney, a limited company a corporate body, an eligible institution, a registered society, a partnership firm or a trust must be accompanied by documents as mentioned in the checklist. The documents must be attested by the designated or authorised official of the institution/power of attorney or by a notary or gazetted officer of the government/bank manager. Authorised officiale schuld ison the Application Form under their official education and the designated of officials should sign the Application Form under their official designation. A list of specimen signatures of the authorised officials, duly certified or attested, must be attached to the Application Form.

#### Go Green Services: Save the Future

- Green Services: Save the Future Go Green F-Update/Mobile Services: Registration of Contact Details: By opting to receive the Account Statement and Abridged Scheme Annual Report in a paperless mode by e-mail, you contribute to the environment. The investor is deemed to be aware of security risks including interception of documents and availability of content to third parties. Sundaram Asset Management provides interesting information on the economy, markets and funds. If you wish to receive documents such as The Wise Investor, India Market Outlook, Global Outlook, Fact Sheet and One Page Product Updates, to name a few, please choose the 'yes' option. Go Green Web Service: If you are an existing investor and wish to transact online without an IPIN please register online by visiting www.sundarammutual.com.
- Www.sundaraminutua.com. Go Green IPIN Service: If you are an existing investor, please register for your IPIN (Internet Personal Identification Number) online. in 3 Simple Steps by visiting us at www.sundaramonparibasis.in. With this you can access your account statement/capital gain statement 24x7, view your portfolio and transact online, receive transactional alerts by email/ SMS and subscribe for daily NAV alerts. If you are a new investor, you may use the attached PIN agreement Form. Applicants who request a Personal Identification Number (PIN) will be deemed to have read, understood and agreed to the terms and conditions for the PIN available at www.sundarammutual.com.
- Go Green Call Service: If you are an existing investor and wish to register your email ID & mobile number with us, please call our Toll Free: 1800 103 7237 (India) +91 44 4905/300 (INRI) between 9.00 & 6.00 pm on any business day.
   Employee Unique Identification Number (EUIN) has to be filled by the distributor, irrespective of whether the transaction is advisory or execution only as EUIN would assist the investor in tackling the problem of mis-selling even if the employee/ relationship manager/sales
- person leave the employment of the distributor. Transaction charges:

Transaction charges: Terms and Conditions relating to Transaction Charges (applicable for both existing and new investors in the schemes of Sundaram Mutual) pursuant to SEBI circular No. Cir/ IMD/ DF/13/ 2011 dated August 22, 2011:

- The Distributor would be allowed to charge the Mutual Fund Investor a Transaction Charge where the amount of investment 1 is Rs. 10,000/-and above on a per subscription basis For an investor other than First Time Mutual Fund Investor, the Transaction Charge allowed will be Rs. 100/- per subscription
- 2 of Rs. 10,000/- and above
- For a First Time Mutual Fund Investor, the Transaction Charge allowed will be Rs. 150/- per subscription of Rs. 10,000/- and
- The Transaction Charge, where applicable based on the above criteria, will be deducted by the Investment Manager from the subscription amount remitted by the Investor and paid to the distributor, and the balance (net) amount will be invested in the scheme. Thus units will be allotted against the net investment. No Transaction charges shall be levied:

4

- Where the distributor/agent of the investor has not opted to received any Transaction Charges; Where the investor purchases the Units directly from the Mutual Fund; a) b)
- Where total commitment in case of SIP / Purchases / Subscriptions is for an amount less than Rs. 10,000/-;
- Where total communent in case of SIP / Purchases / subscriptions is for an amount less than his. 10,000-; On transactions other than purchases / subscriptions relating to new inflows. Switches / Systematic Transfers / Allotment of Bonus Units / Dividend reinvestment Units / Transfer / Transmission of units, etc will not be considered as subscription for the purpose of lewying the transaction charge. Purchases / subscriptions carried out through stock exchange(s).

The distributors can opt-in / opt-out of leving transaction charges based on 'type of the Product/Scheme' instead of 'for all Schemes'. Accordingly, the transaction charges would be deducted from the subscription amounts, as applicable. However, the distributor shall not be able to opt-in or opt-out at the investor-level i.e. a distributor shall not charge one investor

and choose not to charge another investor. The transaction charges are in addition to the existing system of commission permissible to the Distributors. On subscription through Distributors, the upfront commission if any will be paid directly by the Investors to the Distributor by a separate cheque based on their assessment of various factors including the service rendered by the Distributor. Any circular/clarification issued by SEBI in this regard will automatically become applicable and will be incorporated in the SID/SA/KIM

Any circular/clarification issued by SEBI in this regard Will automatically become applicable and will be incorporated in the explicit of the amount of the transaction. Accordingly, the applicant (or incase of applications in joint names, each applicant), is required to mention their PAN and attack an signed/attacted copy of PAN card with the applications in joint names, each applicant), is required to mention their PAN and attack an signed/attacted copy of PAN card with the application. Investors can also submit a copy of PAN attacted by the Bank Manager/Gazetted Officer of State or Central Government /Notary Public/Judicial Authority, Applications without a copy of the PAN will be rejected. Permanent Account Number (PAN) is not required for Micro SIP of an individual investor if the total amount of installments is upto Rs 50,000 per investor in any rolling 12-month period or in a financial year. This exemption is also applicable to other purchase transactions of a financial year per investor. Investors falling under this category must produce a copy of any of the specified photo identification documents listed in Guide to Investors falling under this category must produce a copy of any of the specified photo identification documents listed in Guide to Investors falling under this category must produce a copy of any of the specified photo identification documents listed in Guide to Investors falling under this category must produce a copy of any of the specified photo identification documents listed in Guide to Investors falling under this category must produce a copy of any of the specified photo identification without and the specified photo identification documents listed in Guide to Investors falling under this category must produce a copy of any of the specified photo identification documents listed in Guide to Investors falling under this category must produce a copy of any of the specified photo identification documents listed in Guide to Investors falling under this category must produce a copy of any

Instructions for verification of PAN Card: If an investor provides a copy of PAN card without required attestation, officials at the branches of Sundaram Asset Management/Registrar and Transfer Agents and designated parsons at Investor Centres must verify the PAN card copy with the original. The person verifying the document need to affix his/her signature, name and company seal with remarks as verified with original / verified / attested. Distributors can also verify the PAN card copy with original. The person verifying the document

need to affix his/her signature, name and company seal with remarks as verified with original / verified / attested. Know Your Customer (KYC) Requirement: The Securities and Exchange Board of India has issued detailed guidelines on 18/01/2006 and mesures for prevention Money Laundering and had notified SEBI (KYC Registration Agency) Regulations, 2011 on December 02,

2011 with a view to bring uniformity in KYC Requirements for the securities market and to develop a mechanism for centralization of the KYC records. SEBI has also issued circulars from time to time on KYC compliance and maintenance of documentation pertaining to unit holders of mutual funds. Accordingly the following procedures shall apply: • KYC acknowledgement is mandatory for all investors. • An application without acknowledgement of KYC compliance will be rejected

- New Investors are required to submit a copy of Income Tax PAN card, address proof and other requisite documents along with the KYC application form to any of the intermediaries registered with SEBI, including Mutual Funds to complete KYC. The KYC application form is available at www.sundarammutual.com
- The Mutual Fund shall perform initial KYC of its new investors and send the application form along with the supporting documents to the KYC Registration Agency (KRA). During the KYC process, the Mutual Fund will also conduct In Person Verification (IPV) in respect of its new investors. Sundaram Asset
- bang ment Company Limited and the NISM / AMFI certified distributors who are KYD compliant are authorized to carry out the IPV for investors in mutual funds. In case of applications received directly from the investors (i.e. not through the distributors), mutual funds may rely upon the IPV performed by the scheduled commercial banks.
- The KRA shall send a letter to the investor within 10 working days of the receipt of the KYC documents from Mutual Fund, confirming the details thereof
- Investors who have obtained the acknowledgement after completing the KYC process can invest in Scheme of the Mutual funds by

 Investors who have obtained in achicowergenerine and completing the KYC process can invest in Scherie of the widual funds by quoting the PAN in the application form.
 Investors are required to complete KYC process only once to enable them to invest in Scherie of all mutual funds.
 Existing investors, who have already complied with the KYC requirements, can continue to invest as per the current practice.
 Pursuant to SEB circular no. MIRSD/Cir-5/2012 dated April 13, 2012, mutual fund investors who were KYC compliant on or before December 31, 2011 are required to submit "missing/not available" KYC information and complete the "In Person Verification" (IPV) requirements if they wish to invest in a new mutual fund, where they have not invested / opened a folio earlier, effective from December 20 open. 03. 2012:

Individual investors have to complete the following missing/not available KYC information:

Father's/Spouse Name, Marital Status, a) b

In-Person Verification (IPV).

c) In-Person Verification (IPV). To update the missing information, investors have to use the "KYC Details Change Form" for Individuals Only available at www.sundarammutual.com or www.amfiindia.com. Section B of the form highlights 'Mandatory fields for KYCs done before 1 January 2012' which has to be completed.

2012 which has to be completed. In case of Non Individuals, KYC needs to be done afresh due to significant and major changes in KYC requirements by using "KYC Application form" available for Non-Individuals only in the websites stated above. Additional details like Nationality, Gross Annual Income or Net worth as on recent date, Politically Exposed Person, and Non Individuals providing specific services have to be provided in Additional KYC details form available in the website of the Investment Manager.

Duly filled forms with IPV can be submitted along with a purchase application, to the new mutual fund where the investor is investing / opening a folio. Alternatively, investors may also approach their existing mutual funds at any investor service centre to update their missing/not available' KYC information.

Inissing/iot available NC information.
3. KYC Details of all applicants (Mandatory)
In accordance with SEB (Crudiar No. CIR/MIRSD/13/2013 dated December 26, 2013, the additional details viz. Occupation details, Gross Annual Income/networth and Politically Exposed Person (PEP)\* status mentioned under section 3(d) which was forming part of uniform KYC, form will now be captured in the application form of the Fund. Also, the details of nature of services viz. Foreign Exchange/Gaming/Money Lending, etc., (applicable for first/sole applicant) is required to be provided as part of Client Due Diligence (CDD) the Fund

Politically Exposed Persons (PEP): PEPs are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicalns, senior Government / judicial / military officers, senior executives of state owned corporations, important political party officials, etc. or senior political figures and their immediate family

eXeCUVes of state owned corporations, important poincal party unicials, etc. or senior poincal igures and their immediate rammy members and close associates. **Ultimate Beneficial Owner:** Pursuant to SEBI Master Circular No. CIR/ISD/AML/3/2010 dated December 31, 2010 on Anti Money Laundering Standards and to Guidelines on identification of Beneficial Ownership issued vide SEBI circular no. CIR/IMRSD/2/2013 dated January 24, 2013, investors (other than Individuals) are required to provide details of Ultimate Beneficial Owner(s) (UBO). The Ultimate Beneficial Owner means 'Natural Person', who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest of / entitlements to: <u>Another the under the indical person</u> is a company.

More than 25% of shares or capital or profits of the juricical person, where the juricical person is a company; More than 15% of the capital or profits of the juricical person, where the juricical person is a partnership; or More than 15% of the property or capital or profits of the juricical person, where the juricical person is an unincorporated association iii.

III. More than 15% or the property or capital or profiles or the protocal person, which are protocal person is an annexperson are annexperson and annexperson and annexperson are annexperson and annexperson exercising ultimate effective control over the trust through a chain of control or ownership is considered as the UBO. The provisions w.r.t. Identification of UBO are not applicable to the investor or the owner of the controlling interest is a company listed on the trust through a chain of control or ownership is considered as the UBO.

A stock exchange, or is a majority-owned subsidiary of such a listed company. If you are classified as a passive Non-Financial Foreign Entity (NFFE) for FATCA purposes, while completing the "Declaration for Ultimate beneficial Ownership (UBO)" form please provide details of all the person(s) (excluding those having tax residency in India) having controlling interest in your entity in the "foreign country information" column along with Country of birth, Country of citizenship / Nationality, Country of Tax Residency and Foreign Tax Reference Number for FATCA purposes. 4. Details under FATCA/Foreign Tax Laws: Tax Regulations require us to collect information about each investor's tax residency. If you have any understone about your tax residency underso methods with the stream of the control formation about each investor's tax residency. If you have any understone about your tax residency underso methods.

have any questions about your tax residency, please contact your tax advisor. Foreign Account Tax Compliance provisions (commonly known as FATCA) are contained in the US Hire Act 2010.

India has joined the Multilateral Competent Authority Agreement (MCAA) on automatic exchange of financial account information on June 3, 2015. In terms of the MCAA, all signatory countries are obliged to exchange wide range of financial information after collecting the same from financial institutions in their country/jurisdiction. Government of India has amended the Income-tax Act, 1961 in August 2015 pursuant to which all the financial institutions including Mutual Funds are required to report the transactions of US citizens / residents and also of other signatory countries to the Government of India.

Further, the Government of India has signed an Inter-Governmental agreement with US on July 09, 2015 (with date of entry into force as Aug 31, 2015) to improve international tax compliance and to implement FATCA in India pursuant to which prescribed details of US Account holders/tax payers has to be reported by the Indian Entities to Government of India which in turn will relay that information to the US Interval Revenue Service (IRS)

Applicants (Including joint holders, Guardian, POA holder) are required to refer and mandatorily fill "FATCA/-CRS Details". Applications without this information / declaration being filled/signed off will be deemed as incomplete and are liable to be rejected. Investors are requested to note that the contents of the information to be provided / declaration in the application form may undergo a change on receipt of communication / guidelines from AMFI/SEBI from time to time.

5. Bank Account Details: Providing bank account details is mandatory according to SEBI regulations. Please complete all the details such as account number, name of the bank, branch, address and city. RTGS/NEFT are unique numbers for every account with a bank branch. You can obtain them by contacting your banker. Please attach a cancelled cheque or a photocopy of the cheque to ensure that your account details are captured accurately in your record with the registrar. This is a must if you opt to receive the redemption/dividend proceeds by electronic means.

In case of NRIs, if the payment is by Demand Draft, or source of funds is not clear on the cheque leaf, please provide a copy of the FIRC (Foreign Inward Remittance Certificate).

Proceeds of any redemption will be sent only to a bank account that is already registered and validated in the folio at the time of redemption transaction processing

Init holder(s) may choose to mention any of the existing registered bank accounts with redemption payment request for receiving redemption proceeds. If no registered bank account is mentioned, default bank account will be used. Valid change of bank mandate requests with supporting documents will be processed within ten business days of necessary documents reaching the head office of the RTA and any financial transaction request received in the interim will be carried based on previous details only. Effective May 01, 2012 the forms for redemption request and change of bank account have been segregated to ensure that the two different requests are handled and executed separately for all existing and new customers. For more details please refer to the Website www.sundarammutual.com or contact the offices of the AMC/RTA.

### Sundaram Select Micro Cap-Series IX Your guide to fill the application form

6. How do you wish to receive:

Redemption Proceeds: Please refer to the details of the various facilities for receiving redemption proceeds as outlined hereunder: RTGS & NEFT: RTGS is Real Time Gross Settlement and applicable for payments/fund transfer in excess of Rs 1 lakh. NEFT is National Electronic Funds Transfer and is applicable for payments/fund transfer of less than Rs 1 lakh. RTGS & NEFT are modes of transferring money through electronic system and are easy and secured mode to receive your redemption proceeds.

Direct Credit: The redemption proceeds are directly and automatically credited to your designated bank account. It is available now with select banks and Sundaram Asset Management plans to enhance the coverage. At present, Direct Credit Facility is available for investors who have an account with Axis Bank, BNP Paribas Bank, Citibank, Deutsche Bank, HDFC Bank, HSBC Bank, ICICI Bank, IDBI Bank, IndusInd Bank, ING Vysya, Kotak Mahindra Bank, Royal Bank of Scotland, SBI, Standard Chartered Bank, YES Bank. An investor who opts for Direct Credit facility is requested to enclose a cancelled cheque or a photocopy of the cheque to ensure that the correct bank account number and MICR code are entered in his/her record. In case the bank account of an investor is covered under Direct Credit facility, then the payment of redemption/dividend proceeds (if any), will happen via direct credit payout only.

Warrants/Draft: Warrant/draft will be payable only at cities where Sundaram Mutual Customer Service Centres are located. Sundaram Asset Management will strive to effect the payout by sending a cheque / demand draft. In case of unforeseen circumstances, the Sundaram Asset Management reserves the right to issue a demand draft / payable at par cheque.

Investors expressly agree and authorise the mutual fund to use intermediaries such as post office, local and international couriers and banks, to name a few, to send communication or send cheque / demand draft / warrant. Intermediaries are agents of the investor and tatins, to raine a rem, to send communication of send circleder formation daria to mark membranes are agens of the meson and not the mutual fund. The Trustees / Investment Manager / Mutual Fund will not be responsible for any loss arising out of fraudulent encashment of cheque/draft or delay / loss in transit of any cheque / draft / communication.

7. Fund in which you wish to invest and Plans & Options: Please indicate clearly the complete name of the fund in which you wish to invest

Investors wishing to subscribe under Direct Plan of a Scheme will have to indicate "Direct Plan" against the Scheme name in the application form

The following matrix will be applied for processing the applications in the Regular or Direct Plan:

Broker Code mentioned	Plan mentioned	Plan under which
by the investor	by the investor	units will be allotted
Not mentioned	Not mentioned	Direct Plan
Not mentioned	Direct	Direct Plan
Not mentioned	Regular	Direct Plan
Mentioned	Direct	Direct Plan
Direct	Not Mentioned	Direct Plan
Direct	Regular	Direct Plan
Mentioned	Regular	Regular Plan
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 Investment Manager 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.

Payment Details: The cheque/demand draft must be drawn in favour of 'Sundaram Select Micro Cap-Series IX' and crossed A/c Payee only. Investors must write the Permanent Account Number/Folio Number on the reverse of the cheque / demand draft accompanying the application form. Sundaram Asset Management is pleased to bear DD charges as per rates of State Bank of India.

Purchases made through third party cheque(s) will not be accepted. In case of payment from a Joint Bank Account, the First holder in the Application must be one of the Joint Account Holders of the Joint Bank Account. However the following are excluded from this restriction:

- Gifts to a minor from Parents/Grand Parents up to Rs50,000(for each Purchase /per SIP Installment) 1
- 2. Employer's Remittance of Payroll deduction on behalf of Employees
- 3. Custodian's payment on behalf of an FII /Client
- For further details please refer to Statement of Additional Information.

8. Dematerialization : Investors have the option to hold the Units in dematerialized form. Currently, this facility is not available in case of units offered under the Daily/Weekly/Fortnightly Dividend Option(s) under all income/debt/liquid Schemes. Investors who want an allotment and other an adverted build in Pain/Veedwit of unit of the protocol of the Depositories in mesods who want an adverted of units in demat mode must have a beneficiary account with a Depository Participant (DP) of the Depositories i.e. National Securities Depositories Limited (NSDL) / Central Depository Services Limited (DSL). If PAN is not methoded by applicants, the application may be rejected. Investors may attach a copy of the Client Master Form / DP statement showing active demat account details for due verification. Names, mode of holding, PAN details, etc. of the investor will be verified against the Depository data. The units will be credited to the beneficiary (demat) account only after successful verification with the depository records and realization of payment. In case the demat details mentioned in the application are incomplete/incorrect or do not match with the depository data, the application shall be treated as invalid for processing under demat mode and therefore may be considered for processing in non-demat form i.e. in physical mode if the application is otherwise valid.

9. Switch of all units on Maturity of the Scheme: This facility can be availed by the investors to switch all their units from this scheme, upon maturity, into any other scheme(s) of Sundaram Mutual. Investors are requested to note that this facility shall be available only for those who hold the units of the scheme in physical mode.

The investor can also opt for this facility at any time before the maturity of the scheme using a designated form. The switch-out transaction will be processed based on the applicable Net Asset Value on the date of maturity. Switch-out carried out by the Mutual Fund in accordance with this option chosen by the investor shall be deemed to be redemption from the scheme at the time of maturity and subsequently be deemed as subscription to the other scheme as may be chosen by the investor.

As a default option, the units shall be redeemed at maturity if the investor does not specifically choose to switch-out to any other scheme by using this facility.

The AMC/Trustee reserves the right to change the features, terms and conditions of this facility in addition to withdrawing this facility at a later date.

10. Nomination: Please indicate a nominee who should be entitled to the benefits of your investment in the event of an untoward development. Proportion (%) in which units will be shared by each nominee should aggregate to 100%. The section on Nomination is not applicable in the case of Non- individuals. The following points on nomination procedures may please be noted. For detailed procedure, please refer the Statement of Additional Information (SAI)

- Where 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". Nomination form cannot be signed by Power of attorney (PoA) holders. (i)
- Nomination shall be compulsory for new folios/accounts especially where the mode of holding is single. Investors who do not wish to (ii) nominate must sign confirming their non-intention to nominate. Every new nomination for a folio/account will overwrite the existing nomination.
- (iii) Nomination shall not be allowed in an account/folio held on behalf of a minor.

Where the nominee is a minor, various documents like KYC, PAN, Bank details, Indemnity, etc. should be of the guardian of the nominee

11. Declaration, Certification & Signature: Signature can be in English or in any Indian language. Thumb impressions must be attested by a Magistrate / Notary Public under his/her official seal. In case of HUF, the signature of the Karta and Karta of HUF seal/stamp are a must. If the application is in joint name, all applicants must sign the form. Please ensure that the signature is consistent not just in this form but in all transaction request documents you may submit subsequent to your investment. Variation in signature can lead to delays or rejection of a transaction request such as redemption, switch, change in address and change in bank mandate, to name a few For general Investor Related Services, please refer Statement of Additional Information (SAI)

### **PIN Agreement & Email ID** To Transact Online & Receive E-Mail Account Statement

Please read the terms & conditions of PIN on this page before signing the application form. PIN will be sent to all new investors along with account statement

#### Existing investors: As a one-time exercise, please fill this form and call Toll Free 1800 103 7237 to enable our service team pick up the form

A Personal Identification Number – PIN – is a must for effective and speedy transacting online in a mutual fund's products. Do you have one? If you wish to receive a PIN, you can read the PIN agreement attached to this communication and sign at the designated place. On receipt of the same, a PIN will be sent to you at the postal address noted in our records. The PIN will help an investor use the Invest Online facility at www.sundarammutual.com to buy, sell and switch units, to name a few services. The PIN is a vital requirement to do online investment transactions in a safe, secure and convenient way.

#### We also offer the facility of sending Account Statements by email. In case you wish to do so, please furnish your Email ID and sign at the appropriate place in the attached document.

We do encourage you to use a PIN to execute your transactions online and sign up for sending the Account Statements by email as by increasing the share of paperless transactions in the economy you will be making a vital contribution to a cleaner and healthier environment.

#### **Investor Information**

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E-Mail Address	s																										

#### Agreement for Personal Identification Number – PIN

This Agreement between Sundaram Mutual Fund having its office at 46 Whites Road, II Floor, Chennai - 600014 (hereinafter referred to as "the Fund") and the investor (whose details are available in this agreement form hereinafter referred to as "the unit holder") (hereinafter referred to as the Agreement). The date of this agreement is indicated in the panel on Investor Information in this form. WITNESSTH:

**WHEREAS:** The Fund and the Unit holder have entered into a Unit Purchase Agreement, whereby the Unit holder has agreed to purchase units in the Fund;

AND WHEREAS: The Fund, through its Registrar and Transfer Agent (hereinafter referred to as "Registrar") offers the facility of a Personal Identification Number (hereinafter referred to as "PIN") for convenience of unit holders

AND WHEREAS: The unit holder has indicated to the Fund that he/she/it wishes to avail of the PIN facility offered by the Fund, subject to the terms and conditions stated in the application form and has for this purpose, indicated to Fund the name of his/her/its Bank and Branch Account Number;

AND WHEREAS: The Fund is willing to extend the PIN facility to the Unit holder on the terms and conditions as set out herein;

Now THEREFORE, in consideration of the mutual understanding as set forth in this Agreement, the parties hereto have agreed to the following terms and conditions:

The PIN granted to the Unit holder pursuant to this Agreement shall be communicated to the Unit holder by a reliable courier and entirely at the risk of the Unit holder.

The following shall be the mode of operation of the PIN facility:

- a If the unit holder is a company, an institution/ trust or body corporate , the authorised signatories may designate any individual as designated person and his personal details should be submitted to the Registrar
- b If the mode of payment is the first holder only, PIN facility will be made available to the first holder
- c If the mode of operation is joint, all the unit holders may designate only one of them to operate this facility. In such case, the personal details of the such a person shall be submitted to the registrar
- d If the Unit holder is a minor, then the Natural Guardian or the Guardian appointed by the Court alone shall be eligible to operate the PIN facility. In such a case the personal details of the Guardian shall be submitted to the Registrar.

The Unit holder may access the following services through the Internet, using the PIN facility: (a) purchase including switch in (b) redemption including switchout (c) Access to NAV Information (d) Access to balance Information (e) Ability to print Account Statements in a client-independent standard format (f) Links to the other Internet / web-sites of the Fund (g) Ability to email service requests to the Transfer Agent.

The Fund will take best efforts to keep the Fund's web-site updated on a daily basis so as to provide most current information to unit holders. However, the Unit holder agrees that because of communications issues, it is possible that the site may not be current on occasions. The Unit holder also agrees that the look and feel of the Web screen and outputs therefrom may differ based on the nature of the software used by the Unit holder to browse the site. The Fund agrees to take best efforts to protect security of the data placed on the Internet and has for this purpose, required the web service provider engaged by the Registrar to sign a confidentiality agreement with the Registrar specifying confidentiality of the data and to restrict external access to the database on the Internet. The Registrar shall ask the Unit holder for his / her / its name and Folio Number , address or such particulars to ensure the authenticity before accepting instructions on behalf of Fund.

The Registrar may, in the interest of the Unit holder, request a fax confirmation on the instructions received and shall not act until the said fax confirmation and additional confirmation is received from the Unit holder. The Unit holder shall be responsible for safekeeping of the PIN and shall not disclose his / her / its PIN to any person and shall take all possible care to prevent discovery of the PIN by any person. The Unit holder shall not use his / her / its PIN after the disclosure of the same to any third party.

For detailed PIN Agreement, visit: www.sundarammutual.com

Agreement Date

In the event of accidental disclosure of the PIN to any third party or if the unit holder forgets his password, the Fund may at the request of the unit holder and at its absolute discretion issue to the Unit holder a new PIN on these terms and conditions or under such terms and conditions, as the Fund may deem fit. The Unit holder shall be fully liable to the Fund for every transaction entered into using the PIN facility, whether with or without the knowledge of the Unit holder. The Unit holder hereby releases the Fund and the Registrar from any liability whatsoever against if any, of any data placed on the Internet, by third parties "hacking" or unauthorisedly accessing the server. The Unit holder shall at all times indemnify the Fund, its officers, employees, successors and assigns from and against all actions, proceedings, claims and demands whatsoever for or on account of or in relation to any unauthorised use of the PIN and from and against all damages, costs, charges and expenses in respect thereof, unless the same is caused by gross negligence, bad faith or wilful default on the part of the Fund.

The Unit holder acknowledges and agrees that Sundaram Investment Manager/Fund and or its Registrars or the Service Providers does not guarantee or warrant that Unit holder will not experience any downtime or disruptions in its use of the Service. In the event of any such downtime or disruption, the Investment Manager/Fund or its Registrar or its service providers shall use commercially reasonable efforts to reinstate accessibility and operability. Investment Manager/Fund or its Registrar or its service providers may restrict, suspend, or terminate investor's access to and use of the Service at any time, without notice or liability. The Unit holder agrees that its right to use the Service is non-exclusive, revocable, non-transferable, and non-sublicense able.

The Unit holder agrees to be bound by any terms of use, disclosures, or disclaimers displayed by the Investment Manager/Fund/ Registrar and its service providers and any that Unit holder may affirmatively click through to accept. The investor's use of the Services shall be subject to the terms and conditions of any applicable agreements between Registrar, Service Providers and the Investment Manager/Fund and/or investor.

Unit holder shall not: (A) access or use the Service for any purpose inconsistent with the substance and terms of this Agreement; (B) introduce into the Service any code, virus, or mechanism that would impair the Service or Investment Manager's/Fund system, computers or software; (C) use the Service to gain unauthorized access to any system or database; (D) sublicense or otherwise transfer or make available Investor's access to the Service to any third party that is not an Authorized Person (E) disclose to any third party non-public information relating to the content or operation of the Service, which information is confidential and proprietary to the Investment Manager's/Fund or Registrars or any Service Provider's trademarks, service marks, or markings of copyright or patent rights contained in the Service. In the case of any disputes, the matter will be referred to arbitration and Conciliation Act, 1996. The Place of Arbitration will be at Chennai. The Courts in Chennai shall have jurisdiction over all disputes arising out of or in respect of this Agreement.

In Witness Whereof, the parties to this Agreement have caused these presents to be executed as of the day and year first above written.

	Signed for and on behalf of Fund		
First Applicant	Second applicant	Third Applicant	

SUNDARAM MUTUAL

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# Sundaram Select Micro Cap-Series IX (Tenure 5 years) Application Form Please refer to product label in the cover page and Your Guide to Fill the Application form (pages 8-9) before proceeding

	A closed-end equity scheme New Fund Offer Period: Opens on: 16/10/2015 Closes on: 30/10/2015													Serial No: SSMC-S IX																						
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Per	man	ent	Acc	oui	nt Nu	imbe	er (P	AN)											Relati	onsl	nip									C Pi	roof	atta	che	d (Ma	andat	ory)
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	efault Communication mode is E-mail only, if you wish to receive following document(s) via physical mode: Please tick (✓) Account Statement  ☐ Annual Report □ Other Statutory Information																																			
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N	www.sundarammutual.com 11 Sundaram Asset Management																		11								S	un	dara	m	Ass	set l	Mar	age	eme	nt

### Sundaram Select Micro Cap-Series IX- Application Form

3.	KYC details (Mar	ndatory) (r	efer instructi	ion 3) 🗆	Individual	[	Non-Individual (Plea	se attach mandato	ory Ultima	ate Beneficial Ownershi	p (UBO) declaration form)
3a.	Status of First/Sc	soliqaA ela	ant [Please (🗸)]	🗆 Liste	ed Company		Jnlisted Company	🗆 Individual	🗆 Min	or through guardian	
	Partnership	□ Society/		□ Con			Body Corporate	□ Trust		tual Fund	FPI
	•						Fund of Funds in India			ers	
	Occupation Details		·								(predec opeen))
0.01	First Applicant						Government Service	Business		fessional	□ Agriculturist
	r not r ppnount						Student			ers	•
	Second Applicant		Sector Service							fessional	Agriculturist
	Second Applicant		Sector Service				Student			ers	•
	Third Applicant		Sactor Sorvico				Government Service			fessional	Agriculturist
			Sector Service				Student			ers	0
20	Grace Appuel Inco				ISEWIIE		Suueni			ers	(piease specify)
30.	Gross Annual Inco				15 10 1 000				Crara (a	-1	
	First Applicant						Lacs $\square > 25$ Lacs -		`	,	
	<b>0</b> 14 11 1										ot older than one year)
										r) Net-worth	
	Third Applicant		I Lac □ 1-5 L	acs _	5-10 Lacs	□ 10-25	Lacs $\square > 25$ Lacs -	1 Crore $\square > 1$	Crore (o	r) Net-worth	
3d.	First Applicant:	( ()) =									
		· /-	<b>,</b>		. ,		•	Whole time Directors) 🔲 I am	PEP 🗆	I am related to PEP	Not Applicable
	For Non-Individual										
								· · · · · · · · · · · · · · · · · · ·		□ None of the above	
	Second Applican		, ,			,	am PEP	□ I am related		Not Applica	
	Third Applicant: (	To be filled o	only if the appli	cant is ai	n individual)		am PEP	□ I am related	to PEP	Not Applica	able
4.	FATCA-CRS DET	AILS Fo	or Individuals	& HUF	(Mandator	у) 🛛	Non Individual inve	estors should n	nandate	orily fill separate FA	ATCA-CRS Annexure
The	e below information	on is requi	ired for all ap	plicant	t(s) / guardi	ian / Po	A holder				
	Category	/	First	Applica	nt/Guardia	n	Second	Applicant		Third A	pplicant
1	Are you a Tax Resi										
	Country other than		[	Yes	🗌 No		Ye	s 🗌 No		Yes	No No
2.	Is your Country of	Birth/	r								
	citizenship other th		L	_ Yes	∐ No			s 📋 No			∐ No
	Is your Residence										
	Mailing address / 1		[	Yes	🗌 No		Ye	s 🗌 No		Yes	🗌 No
	No. other than in Ir	ndia?									
1	Is the PoA holder / p										
	whom signatory auth	,	[	Yes	🗌 No		🗌 Ye	s 🗌 No		🗌 Yes	No No
	given, covered unde the categories 1, 2 c			_	_			—			_
IT Y	you have answere	ed YES to	any of above	, pieas	e provide t	ne belov					
	Country of Tax Re	esidence									
	Nationality										
	,										
	Tax Identification										
	Identification Type										
	Other, please spec	city)									
	Residence addres	s for tax									
	purposes (include										
	State, Country & F	Pin code)									
<u> </u>											
			Residentia				Residential or B			Residential or Bu	
	Address Type		Residentia     Registered		Business		Residential     Registered Offic	Business		Residential     Registered Office	Business
<u> </u>											
	City of birth										
	Country of hirth										
	Country of birth										

\$ In case any of applicant being resident/ tax payer in more than one country, provide tax identification number for each such country separately.

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5. Bank Account Details	of First/S	ole Appli	icant (	as pe	er SEBI I	Regu	lations it	is m	anda	tory)	(refe	er in	structi	on 5)						
Account No																				
Name of the Bank							1 1		Brai	nch										
Branch Address									Ban	ık Cit	y (reder	mption	will be paya	ble at this	s location)					
Cheque MICR No					Accoun	t Type	e [Please (	[✔)] [	] Savi	ngs 🗆	] Curr	rent [	] NRE*		O* □ F		] Others	3		
RTGS / NEFT / IFSC Code																		e provide a		
6. Mode of payment of re	demptio	n/dividen	d pro	ceeds	s via Dir	ect c	redit/NE										,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	. <b>1</b>		
	Direct Credit is now available with: Axis Bank, BNP Paribas Bank, Citibank, Deutsche Bank, HDFC Bank, HSBC Bank, ICICI Bank, IDBI Bank, IndusInd Bank,																			
NG Vysya, Kotak Mahindra Bank, Royal Bank of Scotland, SBI, Standard Chartered Bank, YES Bank. If your bank falls in this list your Redemption/ Dividend proceeds will be directly credited to your account. Alternatively, you will receive the payment through NEFT mode based on the bank details available.																				
Otherwise, payment will be		•							payn	IOIII	linou	giri		loue	bubbe		5 Dariit	uotano	avanc	
7. Payment Details: Plea	se issue	a separa	te che	que/	Demand	l Dra	ft favouri	ing 'S	Sunda	aram	Sele	ect N	licro C	ap-S	eries	IX' (ret	er ins	truction	7)	
Scheme Name	PI	an		Opt	ion*		Amour (less D	nt Inve D char					Amount Paid		Che	que/DD N	Paymen Number		'Branc	h
Sundaram Select Micro Cap-Series IX	<ul> <li>Regulation</li> <li>Direction</li> </ul>			rowth ividen	id - Payo	out														
*If you do not indicate an op														44 1-	414 4 41			levet's a		
In case of third party payn	•			: Plea	ise dowr	nioad	(from ww	/w.su	Indara	ammi	utuai.	com	) and a	mach	the ti	nira pai	ту аес	laration	form	
<ul> <li>DEMAT Account Details</li> <li>National Securities Depository</li> </ul>	•	Depository I		ant Nai	mo															
Central Depository Services (II		DP ID Numb						Ber	eficiar	y Acco	ount N	lumbe	er							
Investor willing to invest in De	emat option	n, may pro	ovide a	сору	of the D	P Sta	tement er							tails a	is stat	ed in th	e appli	cation fo	rm.	
9. Switch Out On Maturit	y Facility	(refer inst	ruction	9) (ple	ase refer	SID &	KIM of re	spect	ive tar	get so	cheme	e for	product	labell	ing)	S	ignatur	e of inve	stor(s)	
At the time of application, the investor who. Mutual Fund as chosen by the investor. Swit and subscription to the other scheme chose I/We wish to switch out all u	ch-out carried o on by the invest inits on m	ut by the Mutu or.	the Sc <b>Targe</b>	accorda cheme et Sche	nce with this e to the <sup>-</sup> eme:	option o Target	chosen by the i	nvestor e mer	shall be o ntione	deemed d bel	l as rede low.	emptior	n from the r	naturing			Sole Ar	oplicant /	Guaro	lian
Scheme: Sundaram Select Series IX	Micro Cap		Plan:		Regular 🗆	] Direc														
Plan:  □ Regular □ Direct		то	Optio				Dividen		nvestm	nent 🗆	Divid	end S	Sweep 🗆	Grow	th					
Option: Growth Divide	nd Payout			Any / each correction carried out in selecting the target scheme has to be counter- investor(s) to make it a valid selection. (If an investor fails to specify the option, allotted units under the default option/sub-option of the Target scheme.)					option, h				2nd	Applican	t					
(As a default option the units shall be fully redeemed of	n the date of matu	ity and redemptic	on proceeds	shall be de	espatched to the	e address/	credited to the ba	ank accou	nt of the u	nit holder	r within 10	) busines	s days from t	he date of	maturity).					
I/We have read and understood the terms and condition Statement of Additional Information (SAI) and Key Info	rmation Memoranc	lum (KIM) of the T	arget Schen	ne and hav	tuily aware of the e understood the	e risk asso ie investm	ociated with such ent objectives, inv	event. I/v vestment	ve nave rea pattern and	ad and un d risk fact	tors applic	the Sch able to t	eme informat he Target Sci	ion Docum ieme. I/We	ent (SID)/ e have not		ard	Applican	+	
received nor been induced by any rebate or gifts, dire 10. Nominee (available on		1 0			ction 1	)	] I wish to	nom	ninate	the	follow	vina	person	(s)			510	лррпсан		
1st Nominee					ominee							<u> </u>	rd Nom	( )						_
Name:				lame:.								. N	lame:							
Address:				Addres	S:							A 	aaress:							
Proportion (%)* in which units will be shared by first nominee       Proportion (%)* in which units will be shared by second nominee%         If nominee is a minor:       Proportion (%)* in which units will be shared by second nominee%         Date of birth:       Relationship:         Name of Guardian:       Name of Guardian:         Address of Guardian:       Address of Guardian:																				
* Proportion (%) in which units will be shared by each nominee should aggregate to 100%																				
□ I do not wish to choose a nominee. Signature of investor(s) 1st / Sole Applicant / Guardian 2nd Applicant 3rd Applicant 3rd Applicant																				
Acknowledgement	an an u limit -	d II Elean (0											110)	Serial I	No: SSI	MC-S IX				
Sundaram Asset Management Con	npany Limite	<b>a,</b> 11 Floor, 46	whites F	ioad, Ch	iennai - 600	014. ľo	DII Free 1800	103 723	o/ (India	y +91 4	4 4905	/300 (	INRI)							
Received From Mr./Mrs./Ms																				

Communication in connection with the application should be addressed to the Registrar **Sundaram BNP Paribas Fund Services Limited,** Registrar and Transfer Agents, Unit: Sundaram Mutual Fund, Central Processing Center, RR Towers, II III Floor, Thiru Vi Ka Industrial Estate, Guindy, Chennai 600 032. Toll Free 1800 103 7237 (India) +91 44 49057300 (NRI).

ISC's Signature & Stamp

Please Note: All Purchases are subject to realisation of cheques / demand drafts.

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#### 11. Declaration, Certification & Signature (refer instruction 11)

Declaration: I/We • having read and understood the contents of the Statement of Additional Information/Scheme Information Document/addenda issued to the SID and KIM till date • hereby apply for units under the scheme(s) as indicated in the application form • agree to abide by the terms, conditions, rules and regulations of the scheme(s) • agree to the terms and conditions for Auto Debit • have not received nor been induced by any rebate or gifts, directly or indirectly in making this investment • do not have any existing Micro SIPs/investments which together with the current application will result in the total investments exceeding ₹ 50,000 in a financial year or a rolling period of twelve months (applicable for PAN exempt category of investors). 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.

**Applicable to NRIs only:** Please ( $\checkmark$ )  $\Box$  I/We confirm that I am/We are Non-Resident of Indian Nationality/Origin and I/We hereby confirm that the funds for subscription have been remitted from abroad through normal banking channels or from funds in my/our Non-Resident External/Ordinary Account/FCNR Account on a  $\Box$  Repatriation Basis  $\Box$  Non-Repatriation Basis. I/We further declare that I/We am/are not a citizen of Canada.

I/We hereby declare that all the particulars given herein are true, correct and complete to the best of my/our knowledge and belief. I/ We further agree not to hold Sundaram Asset Management, its sponsor, their employees, authorised agents, service providers, representatives of the distributors liable for any consequences/losses/costs/damages in case of any of the above particulars being false, incorrect or incomplete or in case of my/our not intimating/delay in intimating any changes to the above particulars. I/We hereby authorise Sundaram Asset Management to disclose, share, remit in any form, mode or manner, all/any of the information provided by me/ us, including all changes, updates to such information as and when provided by me/us, to any Indian or foreign governmental or statutory or judicial authorities/agencies, the tax/revenue authorities, other investigation agencies and SEBI registered intermediaries without any obligation of advising me/us of the same. I/We hereby agree to provide any additional information/documentation that may be required in connection with this application.

**Certification:** I/We have understood the information requirements of this Form (read along with the FATCA-CRS Instructions), stated in pages 1-24 and hereby certify that the information provided by me/us on this Form is true, correct, and complete. I/We also confirm that I/We have read and understood the FATCA-CRS Terms and Conditions and hereby accept the same.

I/We agree to indemnify Sundaram Asset Management Company Limited in respect of any false, misleading, inaccurate and incomplete information regarding my/our "U.S. person" status for U.S. federal income tax purposes. or in respect of any other information as may be required under applicable tax laws.

Name of First / Sole Applicant / Guardian	Name of Second Applicant	Name of Third Applicant
Signature of First / Sole Applicant / Guardian	Signature of Second Applicant	Signature of Third Applicant

#### Date: ...../...../...../

Place:....

#### **FATCA-CRS** Instructions

Details under FATCA-CRS/Foreign Tax Laws: The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income Tax Rules 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. 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 relevant tax authorities/appointed agencies. If you have any questions about your tax residency, please contact your tax advisor. Should there be any *change in any information provided by you, please ensure you advise us* promptly, *i.e., within 30 days*. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. As may be required by domestic or overseas regulators/ tax authorities, we may also be constrained to withhold and pay out any sums from your account or close or suspend your account(s).

If you are a US citizen or resident or greencard holder, please include United States in the Country of Tax Residence field along with your US Tax Identification Number. Foreign Account Tax Compliance provisions (commonly known as FATCA) are contained in the US Hire Act 2010.

\$ It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation with supporting doucments and attach this to the form.

			Particulars	
Scheme Name / Plan / Option / Sub-option	Cheque/DD/Payment Instrument Number/Date	Drawn on (Name of Bank & Branch)	Amount in figures (₹) & Amount in words	Switch on Maturity To
				Sundaram
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## **FATCA-CRS Annexure for Entities including UBO**

## Details of Ultimate Beneficial Owner (UBO) including additional FATCA & CRS information (please include other references for completeness sake)

Name of the entity:						
Type of address given at k	KRA	Residential or Business	Residential	Business	Registered Office	
"Address of tax reidence would be taken as available in KRS database. In case of any change, please approach KRA and notify the changes"						
Customer ID / Foio Number	Customer ID / Foio Number:					
PAN					Date of incorporation//	
City of incorporation:	City of incorporation:					
Country of incorporation:	Country of incorporation:					
Entity Constitution Type:	A Pa	tnership Firm B HUF C Priv	vate Limited Compa	ny D Public Limit	ted Company E Society F AOP/BOI G Trust	
	H Liq	uidator I Limited Liability Pa	artnership J Artifici	al Juridical Persor	N K Others specify)	
Please tick the applicable tax resident declaration:						

Is "Entity" a tax resident of any country other than India Yes No

(if yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID Number below)

Country	Tax Identification Number%	Identification Type (TIN or Other%, please specify)

 $^{\%}$ In case Tax Identification Number is not available, kindly provide its functional equivalent  $^{\$}$ 

In case TIN or its functional equivalent is not available, please provide Company Identification Number or Global Entity Identification Number or GIIN etc.

In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here: .....

ГА	ITCA & Ch3 deciaration (Flease	consult your pro						
		Part A (to be	e filled by Financial Institutions or Direct Reporting NFEs)					
1	We are a Financial institution <sup>1</sup> or Direct reporting NFE <sup>2</sup> (please tick as appropriate)	Note: If you sponsored by sponsor's GIIN name below: Name of spon	(Please specify 2 digits sub-category <sup>2</sup> )					
	Part B (plea	ase fill any one	e as appropriate 'to be filled by NFEs other than Direct Reporting NFEs')					
1	Is the Entity a <i>publicly traded c</i> is, a company whose shares ar traded on an established secur	e regularly	Yes (If yes, please specify any one stock exchange on which the stock is regularly traded Name of the stock exchange					
2	Is the Entity a <i>related entity of a traded company</i> <sup>5</sup> (a company ware regularly traded on an establishment securities market)	vhose shares	☐ Yes       (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly trade         Name of the listed company         Nature of relation:       ☐ Subsidiary of the listed company or         ☐ Controlled by a listed company         Name of the stock exchange					
3	Is the Entity an active NFE <sup>6</sup>		Yes (If yes, please, fill UBO decleration in the next sect Nature of business Please specify the sub-category of Active NFE:					
4	Is the Entity a passive NFE <sup>7</sup>		Yes       (If yes, please, fill UBO decleration in the next section         Nature of business					
<sup>1</sup> Re	Refer 1 of Part D <sup>2</sup> Refer 3(vii) of Part D <sup>3</sup> Refer 1A. of Part D <sup>4</sup> Refer 2a of Part D <sup>5</sup> Refer 2b of Part D <sup>6</sup> Refer 2c of Part D <sup>7</sup> Refer 3(ii) of Part D							

## **FATCA-CRS Annexure for Entities including UBO**

					•
	U	JBO Declaration			
Category (Please tick applicable category):  Unlisted	Company	Partnership Firm	Limited Liability	Partnership	Company
Unincorporated association / body of individuals	Public	Charitable Trust 🛛 🗌 Re	eligious Trust 🛛 🗌 P	rivate Trust	
Others (please specify		)			
Please list below the details of controlling person(s), con Identification Numbers for EACH controlling person(s).	firming ALL	Countries of Tax residenc	cy / permanent resider	ncy / citizer	nship and ALL Tax
Owner-documented FFI's <sup>8</sup> should provide FFI Owner Re	porting Sta	tement and Auditor's Lette	er with required details	as mentior	ned in Forms W8 BEN E
Name - Beneficial Owner / Controlling person Country - Tax Residency* Tax ID No Or functional equivalent for each country*	Beneficial	De - TIN or Other, please specify Interest - in percentage e <sup>9</sup> - of controlling person	Address - Include State Address Type -	e Country , PIN	I / ZIP Code & Contact Details
1. Name			Address		
Country		erest			
Tax ID No. <sup>%</sup>	Address Type			State:	Country:
		Business Registered Office			
2. Name	Beneficial Inte	erest	Address		
Country	21				
Tax ID No. <sup>%</sup>	Address Type	Business Registered Office	ZIP	State:	Country:
3. Name			Address		
Country		erest			
Tax ID No %	Address Type			 Ototo:	Countra
		Business Registered Office			Country:
# If Passive NFE, please provide below additional details.		Occurrentian Turner of the	•	e attach ado	ditional sheets if necessary )
PAN / Any other Identification number PAN , Aadhar, Election ID, Govt ID, Driving Licence, NREGA Job Card, Oth	hers)	Occupation Type - Service Nationality	, Business Others	DOB - Dat	
City of Birth - Country of Birth		Father's Name - Mandatory	r if PAN is not available	Gender -	Male, Female, Other
1. PAN		Occupation Type		DOB	
City of Birth		Nationality		Gender	Male
Country of Birth		Father's Name		Gender	Others
2. PAN		Occupation Type		DOB	
City of Birth		Nationality		Gender	Male
Country of Birth		Father's Name		00100	Others
3. PAN		Occupation Type		DOB	
City of Birth		Nationality		Gender	Male 🗌 Female 🗌
Country of Birth		Father's Name			Others
# Additional details to be filled by controlling persons with Tax res	sidency / peri	manent residency / citizenship	/ Green Card in any cour	ntry other tha	n India:

\* To include US, where controlling persons is a US citizen or green card holder

<sup>%</sup> Incase Tax identification is not available, kindly provide functional equivalent

<sup>8</sup> Refer 3(vi) of Part D <sup>9</sup> Refer 3(iv) (A) of Part D

#### FATCA - CRS Terms and Conditions

The Central Board of Direct Taxes has notified Rules 114F to 114H as part of the Income-tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to
seek additional personal tax and beneficial owner information and certain certifications and documentations from all our account holders. In relevant cases, information will
have to be reported to tax authorities/appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents
for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.
Should there be any change in any information provided by you, please ensure you advise us promptly i.e. within 30 days.

Please note that you may receive more than one request for information if you have multiple relationships with Sundaram Asset Management Company/Sundaram Mutual Fund

or its group entities. Therefore, it is important that you respond to our request even if you believe you have already supplied any previously requested information. If you have any questions about your tax residency, please contact your tax advisor. If any controlling person of the entity is a US citizen or resident or green card holder, please

include United States in the country of Tax Residence field along with the US Tax Identification Number.

<sup>%</sup>It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

Certification: I/We have understood the information requirements of this Form (read along with the FATCA & CRS instructions) and hereby confirm that the information provided by me/us on this Form is true, correct, and complete. I/We also confirm that I/We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same.

Name				
Designation				
			Place	
			1 1000	
Signat	ture Signatu	re Signature	Date	/////
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#### Part D: FATCA-CRS Instructions & Definitions

- 1. Financial Institution (FI) The term FI means any financial institution that is a Depository Institution, Custodial Institution, Investment Entity or Specified Insurance company, as defined.
  - **Depository institution** is an entity that accepts deposits in the ordinary course of banking or similar business.
  - Custodial institution is an entity that holds as a substantial portion of its business, holds financial assets for the account of others • and where it's income attributale to holding financial assets and related financial services equals or exceeds 20 percent of the entity's gross income during the shorter of-
    - (i) The three financial years preceding the year in which determination is made; or
    - (ii) The period during which the entity has been in existence, whichever is less.

#### Investment entity is any entity:

- That primarily conducts a business or operates for or on behalf of a customer for any of the following activities or operations for or on behalf of a customer
  - (i) Trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instrumens; transferable securities; or commodity futures trading; or
  - (ii) Individual and collective portfolio management; or

(iii) Investing, administering or managing funds, money or financial asset or money on behalf of other persons;

or

The gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets, if the entity is managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity described above.

An entity is treated as primarily conducting as a business one or more of the 3 activities described above, or an entity's gross income is primarily attributable to investing, reinvesting, or trading in financial assets of the entity's gross income attributable to the relevant activities equals or exceeds 50 percent of the entity's gross income during the shorter of:

- (i) the three-year period ending on 31 March of the year preceding the year in which the determination is made; or
- (ii) the period during which the entity has been in existence.

The term "Investment Entity" does not include an entity that is an active non-financial entity as per codes 03, 04, 05 and 06 - refer point 2c.)

Specified Insurance Company: Entity that is an insurance company (or the holding company of an insurance company) that • issues, or is obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract.

Fls not required to apply for GIIN: ٠

A. Reasons why FI not required to apply GIIN

Code	Sub-category
01	Governmental Entity, International Organization or Central Bank
02	Treaty Qualified Retirement Fund; a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; or a Pension Fund of a Governmental Entity, International Organization or Central Bank
03	Non-public fund of the armed forces, an employees' state insurance fund, a gratuity fund or a provident fund
04	Entity is an Indian FI solely because it is an investment entity
05	Qualified credit card issuer
06	Investment Advisors, Investment Managers & Executing Brokers
07	Exempt collective investment vehicle
08	Trustee of an Indian Trust
09	FI with a local client base
10	Non-registering local banks
11	FFI with only Low-Value Accounts
12	Sponsored investment entity and controlled foreign corporation
13	Sponsored, Closely Held Investment Vehicle
14	Owner Documented FFI

#### 2. Non-financial entity (NFE) - Foreign entity that is not a financial institution

Types of NFEs that are regarded as excluded NFE are:

a. Publicly traded company (listed company)

A company is publicly traded if its stock are regularly traded on one or more established securities markets

(Established securities market means an exchange that is officially recognized and supervised by a governmental authority in which the securities market is located and that has a meaningful annual value of shares traded on the exchange)

## **FATCA-CRS Annexure for Entities including UBO**

#### b. Related entity of a publicly traded company

The NFE is a related entity of an entity of which is regularly traded on an established securities market;

c. Active NFE: (is any one of the following):

#### Code Sub-category 01 Less than 50 percent of the NFE's gross income for the preceding financial year is passive income and less than 50 percent of the assets held by the NFE during the preceding financial year are assets that produce or are held for the production of passive income: 02 The NFE is a Governmental Entity, an International Organization, a Central Bank, or an entity wholly owned by one or more of the foregoing; 03 Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an entity shall not qualify for this status if the entity functions as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes; 04 The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFE;

- The NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution;
- The NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution;
- 07 Any NFE that fulfills all of the following requirements:
  - It is established and operated in India exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational
    purposes; or it is established and operated in India and it is a professional organization, business league, chamber of
    commerce, labor organization, agricultural or horticultural organization, civic league or an organization operated exclusively
    for the promotion of social welfare;
  - It is exempt from income tax in India;
  - It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
  - The applicable laws of the NFE's country or territory of residence or the NFE's formation documents do not permit any
    income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other
    than pursuant to the conduct of the NFE's charitable activities, or as payment of reasonable compensation for services
    rendered, or as payment representing the fair market value of property which the NFE has purchased; and

The applicable laws of the NFE's country or territory of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of the NFE's country or territory of residence or any political subdivision thereof.

*Explanation* - For the purpose of this sub-clause, the following shall be treated as fulfilling the criteria provided in the said sub-clause, namely:-

- (I) an Investor Protection Fund referred to in clause (23EA);
- (II) a Credit Guarantee Fund Trust for Small Industries referred to in clause 23EB; and

(III) an Investor Protection Fund referred to in clause (23EC), of section 10 of the Act;

#### 3. Other definitions

(i) Related entity

An entity is a 'related entity' of another entity if either entity controls the other entity, or the two entities are under common control For this purpose, control includes direct or indirect ownership of more than 50% of the votes and value in an entity.

#### (ii) Passive NFE

The term passive NFE means

(i) any non-financial entity which is not an active non-financial entity including a publicly traded corporation or related entity of a publicly traded company;

or

- (ii) an investment entity defined in clause (b) of these instructions
- (iii) a withholding foreign partnership or withholding foreign trust;

(Note: Foreign persons having controlling interest in a passive NFE are liable to be reported for tax information compliance purposes)

#### (iii) Passive income

The term passive income includes income by way of :

- (1) Dividends,
- (2) Interest
- (3) Income equivalent to interest,

(4) Rents and royalties, other than rents and royalties derived in the active conduct of a trade or business conducted, at least in part, by employees of the NFE

- (5) Annuities
- (6) The excess of gains over losses from the sale or exchange of financial assets that gives rise to passive income
- (7) The excess of gains over losses from transactions (including futures, forwards, options and similar transactions) in any financial assets,
- (8) The excess of foreign currency gains over foreign currency losses
- (9) Net income from swaps
- (10) Amounts received under cash value insurance contracts

But passive income will not include, in case of a non-financial entity that regularly acts as a dealer in financial assets, any income from any transaction entered into in the ordinary course of such dealer's business as such a dealer.

(iv) Controlling persons

Controlling persons are natural persons who exercise control over an entity and includes a beneficial owner under sub-rule (3) of rule 9 of the Prevention of Money-Laundering (Maintenance of Records) Rules, 2005. In the case of a trust, the controlling person means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust. In the case of a legal arrangement other than a trust, controlling person means persons in equivalent or similar positions.

Pursuant to guidelines on identification of Beneficial Ownership issued vide SEBI circular no. CIR/MIRSD/2/2013 dated January 24, 2013, persons (other than Individuals) are required to provide details of Beneficial Owner(s) ('BO'). Accordingly, the Beneficial Owner means 'Natural Person', who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest of / entitlements to:

- i. More than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;
- ii. More than 15% of the capital or profits of the juridical person, where the juridical person is a partnership; or
- iii. More than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.

Where the investor/applicant is a trust, the financial institution shall identify the beneficial owners of the investor/applicant and take reasonable measures to verify the identity of such persons, through the identity of the settler of the trust, the trustee, the protector, the beneficiaries with 15% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

Where no natural person is identified the identity of the relevant natural person who holds the position of senior managing official.

(A) Co	ontrolling Person Type:		
Code	Sub-category		
C01	CP of legal person-ownership		
C02	CP of legal person-other means		
C03	CP of legal person-senior managing official		
C04	CP of legal arrangement-trust-settlor		
C05	CP of legal arrangementtrust-trustee		
C06	CP of legal arrangementtrust-protector		
C07	CP of legal arrangementtrust-beneficiary		
C08	CP of legal arrangementtrust-other		
C09	CP of legal arrangement—Other-settlor equivalent		
C10	CP of legal arrangement—Other-trustee equivalent		
C11	CP of legal arrangement—Other-protector equivalent		
C12	CP of legal arrangement—Other-beneficiary equivalent		
C13	CP of legal arrangement—Other-other equivalent		
C14	Unknown		
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## **FATCA-CRS Annexure for Entities including UBO**

- (v) Specified U.S. person A U.S person other than the following:
  - (i) a corporation the stock of which is regularly traded on one or more established securities markets;
  - (ii) any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described in clause (i);
  - (iii) the United States or any wholly owned agency or instrumentality thereof;
  - (iv) any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing;
  - (v) any organization exempt from taxation under section 501(a) of the U.S. Internal Revenue Code or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code;
  - (vi) any bank as defined in section 581 of the U.S. Internal Revenue Code;
  - (vii) any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code;
  - (viii) any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64);
  - (ix) any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code;
  - (x) any trust that is exempt from tax under section 664(c) of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code;
  - (xi) a dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State;
  - (xii) a broker as defined in section 6045(c) of the U.S. Internal Revenue Code; or

(xiii) any tax-exempt trust under a plan that is described in section 403(b) or section 457(g) of the U.S. Internal Revenue Code.

#### (vi) Owner documented FFI

An FFI meets the following requirements:

- (A) The FFI is an FFI solely because it is an investment entity;
- (B) The FFI is not owned by or related to any FFI that is a depository institution, custodial institution, or specified insurance company;
- (C) The FFI does not maintain a financial account for any nonparticipating FFI;
- (D) The FFI provides the designated withholding agent with all of the documentation and agrees to notify the withholding agent if there is a change in circumstances; and
- (E) The designated withholding agent agrees to report to the IRS (or, in the case of a reporting Model 1 FFI, to the relevant foreign government or agency thereof) all of the information described in or (as appropriate) with respect to any specified U.S. persons and (2). Notwithstanding the previous sentence, the designated withholding agent is not required to report information with respect to an indirect owner of the FFI that holds its interest through a participating FFI, a deemed-compliant FFI (other than an owner-documented FFI), an entity that is a U.S. person, an exempt beneficial owner, or an excepted NFE.

#### (vii) Direct reporting NFE

A direct reporting NFE means a NFE that elects to report information about its direct or indirect substantial U.S. owners to the IRS

(viii) Exemption code for U.S. persons

Code	Sub-Category					
А	An organization exempt from tax under section 501	(a) or any individual re-	tirement plan as defined in section 7701(a)(37)			
В	The United States or any of its agencies or instrumentalities					
С	A state, the District of Columbia, a possession of th	ne United States, or any	y of their political subdivisions or instrumentalities			
D	A corporation the stock of which is regularly traded on one or more established securities markets, as described in Reg. section 1.1472-1(c)(1)(i)					
Е	A corporation that is a member of the same expanded	ed affiliated group as a	corporation described in Reg.section 1.1472-1(c)(1)(i)			
F	A dealer in securities, commodities, or derivative fin and options) that is registered as such under the la		luding notional principal contracts, futures, forwards s or any state			
G	A real estate investment trust					
Η	Aregulated investment company a sdefined in sec Investment Company Act of 1940	tion 851 or an entity r	egistered at all times during the tax year under the			
I	A common trust fund as defined in section 584(a)					
J	A bank as defined in section 581					
K	A broker					
L	A trust exempt from tax under section 664 or descr	ribed in section 4947(a)	(1)			
Μ	A tax exempt trust under a section 403(b) plan or s	ection 457(g) plan				
www.s	undarammutual.com	20	Sundaram Asset Management			



## Sundaram Select Micro Cap-Series IX Application Form

Investors must read the Scheme Information Document / Key Information Memorandum and Instructions before completing this Form.								ן א	New Fund Offer Period Opens on: 16/10/2015 Closes on: 30/10/2015																					
APPLICATION SUPPORTED BY BLOCKED AMOUNT (ASBA) FORM (can be used for both demat and non-demat account holders)																														
																				D	ate		DD		М	Μ	Y	Y	Y	Y
ASBA Appli									icati	on I	No.					+						_								
NFO Application No. [mandatory]																														
Broker/Agent Information For office use only																														
Name and AMFI Regn No.	ne and AMFI Regn No. Sub Broker Name & Code SCSB SCSB IFSC Code Syndicate Member Code SL No.																													
ARN:	[Name & Code] [11 digit code] [Name & Code]																													
Name of first applicant																														
(Mr./Ms./Mrs./M/s.)	:/Ms./Mrs./M/s.) For Demat Account holders, please fill in name as is appearing in Demat account																													
Existing Folio No.																														
(If you have an existing folio number of any Scheme with Sundaram Mutual Fund, please mention the number here)																														
Depository Account Details: [Mandatory if the investment is in demat mode]																														
Depository Name [Please tick] National Securities Depository Ltd Central Depository Services [India] Limited																														
Depository Participant Nan DP-ID																														
Beneficiary Account Numb	er																													
PAN of 1st applicant [Permanent Account Number]																														
Investment Details																														
Sundaram Select Micro Cap-Series IX       Plans: <ul> <li>Regular Direct Options:              <li>Growth Dividend Payout</li> </li></ul>																														
Details Of Bank Account For Blocking Of Funds [Bank Account should be in the name of First Applicant only]																														
Bank Account Number																														
Bank Name																														
Branch Name where accou	unt is	held																												
Total Amount to be blocked [Rs. In figures] [Rs. In words]																														
UNDERTAKING BY ASBA INVESTOR																														
1) We hereby undertake that I/We am/are an ASBA Investor as per the applicable provisions of the SEBI (Issue of Capital and Disclosure Requirements), Regulations 2009 ('SEBI Regulations') as amended from time to time. 2) In accordance with ASBA process provided in the SEBI Regulations and as disclosed in this application, I/We authorize (a) the SCSB to do all necessary acts including blocking of application money towards the Subscription of Units of the Scheme, to the extent mentioned above in the "SCSB / ASBA Account details" or unblocking of funds in the bank account maintained with the SCSB specified in this application form, transfer of funds to the Bank account of the Scheme/Sundaram Mutual Fund on receipt of instructions from the Registrar and Transfer Agent after the allotment of the Units entitling me/us to receive Units on such transfer of funds, etc. (b) Registrar and Transfer Agent to issue instructions to the SCSB to remove the block on the funds in the bank account specified in the application, upon allotment of Units and to transfer the requisite money to the Scheme's account / Bank account of Sundaram Mutual Fund. 3) In case the amount available in the bank account No. or PAN furnished by me/us in the application is incorrect or incomplete or not matching with the depository records, the application shall be rejected and the Sundaram Mutual Fund or Sundaram Matual Fund or Sundaram Mutual Fund or Sundaram Mut																														
											Sig	natu	ire																	

Signature of Bank Account Holders

#### -----

Acknowledgement onp		ap and retained by the investory										
Sundaram Asset Management, Il Floor, 46 Whites Road, Chennai - 600 014. Toll Free 18	00 103 7237 (India) +91 44 490	57300 (NRI)	IDARAM MUTUAL									
Application Number:	ASBA A	Application Number:										
Sundaram Select Micro Cap-Series IX	Plans: Regular Direct Options: Growth Dividend Payout											
Date D D M M Y Y Y Y	ASBA Application Number											
Received from Mr./Ms./Mrs./M/s.	SCSB Account details	Total Amount to be Blocked	SCSB Stamp, Signature									
	A/C No.	Rs. In figures	Date & time of receipt									
Address	Bank Name	Rs. In words										
	Branch Name											

## Sundaram Select Micro Cap-Series IX Applications Supported by Blocked Amount

 Applications Supported by Blocked Amount or ASBA facility: An application containing an authorization given by the Investor to block the application money in his/her specified bank account towards the subscription of Units offered during the NFO(New Fund Offer) of a Scheme. If an investor is applying through ASBA facility, the application money towards the subscription of Units shall be debited from his specified bank account only if his/her application is selected for allotment of Units.

It is an additional payment option that the investor can use in addition to the existing modes (Cheque/Demand Draft etc) for buying Units during NFO. It is available only to individuals. It is not available for subscribing to Units on an ongoing basis after the NFO. For availing this option the bank, where the investor has an account, should be a Self Certified Syndicate Bank (SCSB)

- 2. "Controlling Branches (CBs) of the Self Certified Syndicate Banks (SCSB): Controlling Branches (CBs) are the branches of the SCSBs acting as coordinating branches for the Registrar and Transfer Agent of Sundaram Mutual Fund schemes, the AMC and the Stock Exchange(s) for the ASBA facility offered during the NFO period.
- 3. "Designated Branches (DBs) of the SCSBs: Designated Branches (DBs) are the branches of the SCSBs which shall collect the ASBA Application Forms duly filled by the Investors towards the subscription to the Units of the Scheme offered during the NFO. The list of these Designated Branches is available at http://www.sebi.gov.in/pmd/scsb.pdf and www.sundarammutual.com
- 4. "Self Certified Syndicate Bank" or SCSB: Self Certified Syndicate Bank/ SCSB means a bank registered with SEBI to offer the facility of applying through the ASBA process. ASBAs can be accepted only by SCSBs, whose names appear in the list of SCSBs as displayed by SEBI on its website at www.sebi.gov.in.
- 5. The ASBA facility during NFO: In respect of New Fund Offer (NFO) of Schemes/Plan(s) launched on or after October 1, 2010, an investor (being an Individual)can subscribe to the NFO through Applications Supported by Blocked Amount (ASBA) facility by applying for the Units offered in the ASBA Application Form and following the procedure as prescribed in the form. For details please refer to the Section" Applications Supported by Blocked Amount (ASBA) facility, below and also the Application Form/KIM of the Scheme

Applications Supported by Blocked Amount (ASBA) facility: Pursuant to SEBI Circular dated SEBI/IMD/CIR No 18 /198647 /2010 March 15, 2010, an investor can subscribe to the New Fund Offer (NFO) launched on or after October 1,2010 through ASBA facility by applying for the Units in the ASBA Application Form and following the procedure as prescribed in the form.

ASBA is an application containing an authorization given to the Bank by the Investor to block the application money in his/her specified bank account towards the subscription of Units offered during the NFO of the Scheme of Sundaram Mutual Fund. Thus, for an investor who applies through ASBA facility, the application money towards the subscription of Units shall be debited from his specified bank account only if his/her application is selected for allotment of Units. The blocked amount cannot be withdrawn and will earn interest as per account terms applicable. It may be noted that since ASBA Facility is pursuant to an arrangement between the Investor and his /her Bank, Sundaram Mutual Fund. or t its Trustee/AMC/ its Employees/Directors will not be Investor's Bank.

#### Benefits of Applying through ASBA facility

- (i) Writing cheques / demand drafts and sending them for collection etc are not required, as investor needs to submit ASBA application Form accompanying an authorization to block the account to the extent of application money towards subscription of Units. The balance money, if any, in the account can be used for other purposes by the investors.
- (ii) Release/Unblocking of blocked funds after allotments done instantaneously.
- (iii) Unlike other modes of payment, ASBA facility prevents the loss of interest income on the application money towards subscription of Units as it remains in the bank account of the investor till the allotment is made.
- (iv) Refunds of money to the investors do not arise as the application money towards subscription of Units gets transferred only to the extent of amount payable for the actual allotment
- (v) The investor deals with the known intermediary i.e.his/her own bank.
- (vi) The application form is simpler as the application form for ASBA will be different from the NFO application form.

#### **ASBA Procedure:**

(a) An Investor intending to subscribe to the Units of the NFO through ASBA, shall submit a

duly completed ASBA Application Form to a Self Certified Syndicate Bank (SCSB),with whom he/she has a Bank Account.

- (b) The ASBA Application Form towards the subscription of Units can be submitted through one of the following modes.
  - a. Submit the form physically with the Designated Branches (DBs) of the SCSB ("Physical ASBA"); or
  - b. Submit the form electronically through the internet banking facility offered by the SCSB ("Electronic ASBA").
- (c) An acknowledgement will be given by the SCSB in the form of the counter foil or specifying the application number for reference. (Note: Such acknowledgement does not guarantee, in any manner that the investors will be allotted the Units applied for: Further, if the bank account specified in the ASBA Application Form does not have sufficient credit balance to meet the application money towards the subscription of Units, the Bank shall reject the ASBA Application form.)
- (d) On acceptance of Physical or Electronic ASBA, the SCSB shall block funds available in the bank account specified to the extent of the application money specified in the ASBA Application Form.
- (e) The application money towards the Subscription of Units shall be blocked in the account until (i) Allotment of Units is made or (ii) Rejection of the application.
- (f) SCSBs shall unblock the bank accounts (i) for Transfer of requisite money to the NFO bank account against each valid application on allotment or (ii) in case the application is rejected.
- (g) For the scheme HDFC Bank Limited has consented to process the ASBA application form.

Note: No request for withdrawal of ASBA application form made during the NFO Period will be allowed.

#### Grounds for Technical Rejections of ASBA application forms ASBA

Grounds on which Application Forms can be rejected, at the discretion of Sundaram Mutual Fund/ Registrar and Transfer Agent of Sundaram Mutual Fund or SCSBs include, but are not limited to-

- Applications by persons not competent to contract under the Indian Contract Act, 1872, including but not limited to minors, insane/insolvent persons or where the Bank Account concerned is the subject matter of any attachment / restraint order by a Court or a competent authority under any law etc.
- 2. Mode of ASBA i.e. either Physical ASBA or Electronic ASBA not selected or ticked properly.
- 3. The ASBA Application Form is without the stamp of the SCSB.
- Application by any person/entity outside India if which is not in compliance with applicable foreign and Indian laws/Regulations.
- 5. Bank account details not given or incorrect /incomplete details given.
- Relevant Legal Documents (such as Duly certified Power of Attorney, if applicable), not submitted along with the ASBA application form.
- 7. No corresponding records available with the Depositories matching the parameters namely
  - (a) Names of the ASBA applicants (including the order of names of joint applicants holders)
     (b) DP ID (c) Beneficiary account number or any other relevant details pertaining to the
    - ט ט קי א נו; beneficiary account number or any other relevant details pertaining to the Depository Account.

Mechanism for Redressal of Investor Grievances: All grievances relating to the ASBA facility may be addressed to the respective SCSBs, giving full details such as name, address of the applicant, number of Units applied for, counterfoil or the application reference given by the SCSBs, DBs or CBs, amount paid on application and the Designated Branch or the collection centre of the SCSB where the Application Form was submitted by the ASBA Investor.

If the SCSB is unable to resolve the grievance within reasonable time, it shall be addressed to the Registrar and Transfer Agent Sundaram BNP Paribas Fund Services (SBNPPFS) with a copy to the Investor Service Department of Sundaram Asset Management Company Limited

#### Investor Relations Manager

Rahul Mayor Head - Customer Services Sundaram Asset Management Company Limited, Sundaram Towers, No. 46, Whites Road, Royapettah, Chennai- 600 014. Fax: (044) 28569808; Toll Free 1800 103 7237 (India) +44 49057300 (NRI)

Email us at : customerservices@sundarammutual.com

(NRI): nriservices@sundarammutual.com

## **Collection centers of HDFC Bank**

Andhra Pradesh • Cuddapah HDFC Bank Ltd, RRR Towers, Dwaraka Nagar, RS Road, Nagarajupalli, Cuddapah 516001• Hyderabad WBO 1-10-60/3, III Floor, Suryodaya, Begumpet, Hyderabad 500016 • Kakinada #20-1-46,Main Road,Opp SRMT, Kakinada 533 001 • Nellore Hyderabad 500016 • Kakinada #20-1-46,Main Road,Opp SRMT, Kakinada 533 001 • Nellore 17/126, G.V.R. Enclave, G.T. Road, Nellore 524001 • Rajahmundry 46-17-20, 1st floor, Danavaipet, Rajahmundry 533103 • Tirupati HDFC Bank Ltd, 19-8-180, Krishna Arcade, Beside IBP Petrol Pump, Near Annamaiah Circle Tirupati 517501 • Vijayawada HDFC Bank Ltd., D.No 40-5-4A, I Floor, Tikkle Road, Vijayawada-520 010 • Vishakapatnam HDFC Bank, Irst Floor, Potluri Castle, # 48-14-9, Dwarakanagar, Visakhapatnam 530016 • Warangal - 18-605/1, Nakkalagutta, Hanamkonda, Warangal-506001 Assam • Guwahati Wholesale Banking Operations, Buildwell Compound, Near Darwin Campus (Beside Neepco Bhawan),1st Floor, Zoo Road, Guwahati 781005 Bihar • Bihar Begusarai Kachhari Chowk, Today Market, Begusarai 851101• Bhagalpur Triveni Banada the Road, Pacada Beadan Sanada Sana Appartment, Dr. R. P Road, Bhagalpur 812002• Darbhanga Natraj Bhawan, I St Floor, Katki Bazar, Tower Chawk, Darbhanga 846004 • *Gaya* K.P.Road, Near Chanta Ghar, Gaya 823001 • *Hajipur* Vimel Complex, Dak Banglow Road, Hajipur 844101• *Muzaffarpur* HDFC Bank Ltd, Tilak Maidan Road, Muzaffarpur Muzaffarpur 842001• *Patna* Plot No 651 Jamal Rd, Patna 800002 Chhattisgarh • Bhilai Chauhan Estate, G.E. Road, Supela, Bhilai 490023 • Bilaspur Prashant Complex, Opposite Sheffer's School, Mungeli Road, Bilaspur, Chhattisgarh Bilaspur 495001 • Raipur Plot No 280, 1st Floor, Mahadev Ghat Road, Besides Sunder Nagar Filing Station (Bharat Petroleum) Sunder Nagar, Raipur 492013 Daman • Daman Ace Shopping Mall, Dilip Nagar, Teen Batti Daman 396210 Goa • Panjim HDFC Bank Ltd, WBO 2nd Floor, Metropolis - II,Opp. Vintage Hospital, St. Inez, Panjim, Goa, Panjim 403001 Gujarat • Junagadh Ground Floor, Moti Palace, Opp.Rayji Nagar, Moti Baugh Road, Junagadh 362001 • Ahmedabad HDFC Bank Ltd, 1st Floor, Astral Building,Near Mithakali Six Creap Bead Neuropeure Ahmedabad 28006 • Amedi Statet \* 2. Manakoren Mein Bead Amedia Road, Junagaon 302001 • Anmedabad 380006 • Amreli Street # 2, Manekpara Main Road Amreli Gross Road, Navrangpura Ahmedabad 380006 • Amreli Street # 2, Manekpara Main Road Amreli 365601 • Anand HDFC Bank Ltd. 1st Floor, Sanket Complex, Next To Sales India, Grid Cross Road, Anand 388001 • Ankleshwar HDFC Bank Ltd., Commercial Plot 73/P, Gidc Estate, S.A.Motors Building, Old Ankleshwar Highway, Ankleshwar 393001 • Bardoli Shree Ambika Niketan, Station Road,Sardar Baug, Bardoli Bardoli 394601 • **Baroda** 1st Floor, Fortune Tower,Vadodara Stock Exchange Building,Opp. Parsi Agiyari,Sayajigunj, Baroda 390005 • **Bharuch** HDFC Bank Ltd, 127, Alfa Society, Link Road Bharuch 392001 • **Bhavnagar** Corporate House, 3rd Floor, Near Takteshwar Aira Society, Link Road Bharuch 392001 • Bhavnagar Corporate House, 37d Floor, Near Takteshwar Post Office, Waghawadi Road, Bhavnagar 364001 • Bhuj 101/102 Sunrise Tower, Vijay Nagar, Hospital Road, Bhuj 370001 • Gandhidham HDFC Bank Ltd, Wholesale Banking Operations, Plot#301, Ward 12/B, 2nd Floor,Opp. Dr. C.G. High School, Gandhidham 370201 • Gondal HDFC Bank Ltd, Wholesale Banking Operations, 1st Floor, Aadinath Complex, College Chowk, Gondal 360311 • Himmatnagar G.F. Shop No 5-8 & First Floor 4 – 9, Kumar House, Durga Oil Mill Compound Himmatnagar 383 001 • Jannagar Abhishek, 3rd Floor, Saru Section Road, Near Savan Appartment, Jamnagar 361008 • Mehsana Prabhu Complex, Nr Rajkamal Petrol Pump, Highway Pard, Mehsena 9000 • Merica Om Schering Computer Deprender De Road, Mehsana 384002 • *Morvi* Om Shopping Complex, Ravapar Road, Morvi 363641 • *Nadiad* 1st Floor, Metro City, PIJ Road, Nadiad 387001 • *Navsari* Gr Flr, Nandani Complex, Station Road Navsari 396445 • *Palanpur* Nr. Cozy Tower, Opp Joravar Palace Palanpur 385001 • *Porbandar* Om Shiv Shakti R.D.Chambers, M.G. Road, Porbandar 360575 • Rajkot 1st & 2nd Floor, Shri Harish, 40 A Bhaktinagar Society, Bhaktinagar Circle. Rajkot 360002 • *Silvassa* 1-16, Jaypee House, Opp. Patel Petrol Pump, Silvassa 396230 • *Surat* 1st Floor, Crossway Mall, Near Ram Chowk, Ghod Dod Road Surat 395007 • Surendranagar Middle Point, A Wing, Nr Milan Cenama, Main Road, Surendranagar 363002 • Unjha 1st Floor, Suvidhi Complex, Station Road, Unjha 384170 • Valsad 1st Floor, Ekta Apt, Tithal Road, Valsad 396001 • Vapi 1 St Floor, Kanta Trade Center, Gidc Char Rasta Vapi 396195 • Veraval HDFC Bank Ltd, Amrut Deep, Rajmahal Road, Opp. Public Garden, Veraval 362265 Haryana • Ambala 6352/11, Nicholson Road, First Floor, Ambala Cantt 133001 • Veraval 3627614 Bhiwani S-175d/1, Jalan Nagar, Meham Chowk, Bhiwani 127021 • Hissar 2nd Floor, Akash Plaza, Near Jindal Chowk, Hisar 125001 • Jagadhri Plot No.1, Rajesh Nagar Colony, Ambala Road, Jagadhri 135001 • Jind HDFC Bank Ltd, SCF-5 Rani Talab, Jind 126102 • Kaithal 1450/51 Ambala Road, Pehowa Chowk, Kaithal 136027 • Karnal Basement, Sco 778-779, Opp. Mahabeer Dal Hospital Karnal 132001 • Kurukshetra HDFC Bank Ltd, Shop No.1-5, Kalawati Market, Railway Road, Kurukshetra 136118 • Narnaul Opp. S. P. Residence, Mahinder Garh Road, Haryana Narnaul 123001 • Nasik HDFC Bank Ltd, 3rd Floor, Archit Centre, Opp Sandeep Hotel, Chandak Circle Link Road, Near Mahamarg Bus Stand, Nasik 422002 • Panipat 801/4, Opps Railway Road, G.T Road, Panipat 03174, opps failing bus Static, Nasin 422002 - Panipat 03174, opps failing hoad, 631 Hoad, Panipat 132103 • *Rewari* L203, 1st Floor, Modal Town, Old Court Road, Rewari, Rewari 123401 • *Rohtak* Jawahar Market, Opp D-Park, Model Town, Rohtak 124001 Himachal Pradesh • *Dharamshala* 363/3, Centre Point, Civil Line, Dharamshala 176215 • *Hamirpur* Nh-88, New Road, Hamirpur, HP Hamirpur 177001 • *Jammu* Cb-13, Rail Head Commercial Complex, Gandhi Nagar, Hamirpur, HP Hamirpur 177001 • Jammu Cb-13, Rail Head Commercial Complex, Gandhi Nagar, Jammu 180004 • Kangra Near Bus Stand Kangra Kangra 176001 • Shimla Shimla3, Jankidas Bidg, Shimla 171001 • Solan The Mall Road, Opp Uco Bank, Solan 173212 Jammu and Kashmir • Srinagar First Floor, M. S. Shopping Mall, Residency Road, Srinagar 190001 Jharkhand • Bokaro B-9, City Centre, Sector-4, Bokaro Steel City, Bokaro 827001 • Deogarh Assam Acess Road,Near Tower Chowk, Deoghar 814112 • Dhanbad Sri Ram Plaza, 1st Floor, Bank More, Dhanbad 826 001 • Hazaribagh HDFC Bank, Annanda Chowk, Hazaribagh 825301 • Jamshedpur HDFC Bank Ltd., 1st Floor, 105,Snp Area, Sakchi, Jamshedpur - 831 00 Jamshedpur 831001 • Ramhgarh N.H-33 Main Road, Near Bank Of Baroda,Ramgarh Cantt-829122, Ramhgarh Cantt 829122 • Ranchi 56 Rohini Complex, Circular Road, Lalpur, Ranchi 834001 Karnataka • Davangere #651 B H M Enclave. Hm Road, Mandipet Davangere Davangere 577001 • Bacalkot Opp:Railway Station Ward Honni Complex, Circular Road, Laipur, Rahchi 83400 Rarnataka • Davangere #551 B H M Enclave, Hm Road, Mandipet,Davangere Davangere 577001 • Bagalkot Opp:Railway Station Ward No 10 Bagalkot 587101 • Bangalore HDFC Bank Ltd., Cash Management Services, "Salco Centre", # 8/24, Richmond Road Bangalore 560025 • Belgaum HDFC Bank Ltd., No 4830/2a Opp District Hospital Dr Ambedkar Road. Belgaum 590002 • Hubli Shriram Plaza Dervice Branch Club Road Hubli 580029 • Mangalore Ideal Towers 1st Floor, Opp Sharavu Ganapathi Temple, G T Road, Mangalore 575001 • Mysore Mythri Arcade, Saraswathipuram, 1st Main, Mysore Mysore 570009 • Chimerce HDFC Bank Ltd., Van Mangalore Jone Marcade, Saraswathipuram, 1st Main, Mysore Mysore 577001 Shimoga JTDFC Bank Lid, W B (), No 447, Sharavathi Complex, Savralane Road, Shimoga 577201
 Sindhanur No 6-1-2992/1, Ward No 12, Kushtagi Road Sindhanur 584128 • Udupi Panduranga Tower / Diana Circle, Court Road, Udupi 576101 Kerala • Chenganassery Golden Towers, Mc Road Chenganassery Kottayam 686101 • Calicut HDFC Bank Ltd, III Floor, Simax Towers, Kannur Road, Chenganassery Kottayam 686101 • Calicut HDFC Bank Ltd, III Floor, Simax Towers, Kannur Road, Nadakkave, Calicut 673011 • Chengannur Bin Tower, Govt Hospital Junction, M.C. Road, Chengannur 689121 • Cochin First Floor, Platrivattom 25 Cochin 682025 • Kannur HDFC Bank, Ist Floor KVR Tower, South Bazar, Kannur 670002 • Kollam VGP Bulidings, Near Irumpupalam, Kollam 691001 • Kottayam 3rd Floor Unity Buildings, KK Road, Kottayam 686002 • Manjeri HDFC Bank Ltd, Kurikkal Plaza, Kacherippadi, Manjeri 676121 • Palakkad VIII/246, 1st Floor, Chandranagar Jn. Palakkad 678007 • Pathanamthitha Aban Arcade, Ring Road, Pathanamthitha 689645 • Perinthalmana Wholesale Banking, HDFC Bank Ltd, Sree Complex, Calicut Road, Perinthalmana 679322 • Thalassery Sahara Centre, AVK Nair Road, Thalassery 670101 • Thirurvalla Illampallil Buildings, 26/149,1&2, Mc Road, Ramanchira Thiruvalla 689101 • Tirur KMS Tower, Thazhepalam, Ture 56701 • Triebur Third Floor, Subaraba Towers, Toward, Trichur Gaod, Trichur Ghoul • Thazhepalam, Dirur 6/6101 • Trichur Third Floor, Suharsha Towers, Shornur Road, Trichur 680001 • Trivandrum BOB Plaza, Second Floor, T. C. 12 / 149 ( 3), Pattom, Trivandrum 695004 Madhya Pradesh • Bhopal Asha Avenue, 1st Floor, Z-1, Zone-1 M P Nagar, Bhopal 462011 • Gwalior J K Plaza, Gast

Ka Tazia, Lashkar Gwalior 474001 • Indore HDFC Bank Ltd., 1st Floor, Brilliant Avenue, SCH No 94, Sector -B, Behind Bombay Hospital, Ring Road, Indore 452010 • Jabalpur HDFC Bank Ltd, 1st Floor, Kumbhare Mension, 636, Vijay Nagar, Mr- 4, Main Road, SBI Chowk, Jabalpur 482002 • Ratlam HDFC Bank (Wbo) 90, Station Road Ratlam 457001 Maharashtra • Ahmednagar Ambar Plaza, 'A' Wing, Second Floor, Station Road, Ahmednagar 414001 • Akola Sethi Heights, 1st Floor, Opp. Zilla Parishad, Akola 444001 • Amravati C/O Rasik Plaza, Morshi Rd, Jaystambh Chowk, Amravati 444601 • Aurangabad HDFC Bank Ltd. Divekar Plaza, CTS No 18272, lind Floor, Railway Station Road, Padampura, Aurangabad 431001 • **Bhusaval** Mansingh Complex. C.T.S. No. 3294 (H.No. 4/285) Jamner Road, Opp CSM Complex, Bhusaval 425201 • **Dahanu** Matru Ashish, Irani Road. Dahanu 401602 • **Dhule** Wholesale Banking Operations(CMS), Lane No- 6, Mundada Arcade, Parola Road, Dhule 424001 • Ichalkaranji House No 7-55(Old No9-148), Main Road, Janta Chowk, Ichalkaranji 416115 • Jalgaon HDFC Bank Ltd, 3rd Floor, Sugan Heights, P P No 324/2, TPS II, Near Central Bus Stand, Jalgaon 425001 • Karad Besides Hotel Sangam, Kolhapur Naka, Karad 415110 • Kolhapur Gemstone, 517/A/2 E Ward New Shahupuri, Nr Central Bus Stand Kolhapur 416001 • Latur HDFC Bank Ltd, IInd Floor, Shri Prabha Arcade, Vora Bunglow, Main Road, Nr Nagar Parishad, Latur 413512 • Mumbai Ground Floor, Maneckji Wadia Building, Nanik Motwani Marg, Near Kala Ghoda, Opp Mumbai University, Fort, Mumbai 400001 • Nagpur 2, Mile Stone, Block No 303 & 304, Near Lokmat Square, Wardha Road, Nagpur 440010 • Pune Fortune Square, 3rd Floor, Deep Near Johna Solare, Waldia Road, Wagbul 440010 • Pune 1010116 Square, Sid Hoor, Deep Bungalow Chowk, Model Colony, Shivajinagar, Pune 411016 • Ratnagiri Show Room No.3, Mangesh Shanta, Apartment, Near Maruti Mandir, Ratnagiri-Kolhapur Highway, Ratnagiri 415639 • Sangamner 1 Janak Plaza, New Nagar Road, Sangamner 422605 • Sangli 640, Venkatesh Senate, Sangli Miraj Road, Sangli 416416 • Solapur HDFC Bank Ltd, 8516/11, Murarji Peth, Sun Plaza Bldg, Lucky Chowk, Solapur 413007 Meghalaya • Shillong Anders Mansion, Police Bazar, Shillong 793001 Orissa • Balasore F.M.Circle, Balasore Branch, Orissa Balasore 756001 • Bhubaneshwar 1st Floor, Wholesale Banking Operations, A-62/1, Unit 8, Nayapalli Bhubaneswar 751012 • Cuttack HDFC Bank Ltd, Holding No 32, 32/A Bajrakabati Road, Cuttack 753001 • Rourkela Dewadi Bhavan, Rourkela 769001 • Sambalpur HDFC Bank Ltd, Nayapara Golebazar, Sambalpur 768001 HDFC Bank Ltd, Holding No 32, 32/A Bajrakabati Road, Cuttack 753001 • *Rourkela* Dewadi Bhavan, Rourkela 769001 • *Sambalpur* HDFC Bank Ltd, Nayapara Golebazar, Sambalpur 768001 **Punjab** • *Amritsar* 26 Kennedy Avenue, First Floor, Amritsar 143001 • *Batala* SCF 173-174, Jalandhar Road Batala 143505 • *Bhatinda* HDFC Bank Ltd, 83/1 Liberty Chowk, Civil Lines, Bhatinda 151001 • *Chandigarh* SCO-189-190, Sector 17 C, Chandigharh 160017 • *Fazilka* Mc No. 594, Gaushala Road Fazilka 152123 • *Ferozepur* Building No.30/7, Udham Singh Chowk, Ferozepur 152001 • *Gurdaspur* HDFC Bank Ltd, SCF-1, Improvement Trust Bldg, Hanuman Chowk, Gurdaspur 143521 • *Hoshiarpur* WBO, Ist Floor, Opp Maharaja Hotel, Sutheri Road, Hoshairpur 146001 • *Jagraon* Opp SSP Office, Tehsel Road, Jagraon 142026 • *Jalandhar* HDFC Bank Ltd., 1st Floor, 911, GT Road, Nr. Narinder Cinema, Jalandhar 144001 • *Kapurthala* The Mall Near Mgn Public School Kapurthala 144601 • *Khanna* HDFC Bank, Opp. Bus Stand. G.T. Road, Khanna, Khanna 141401 • *Kotkapura* B-X/740, Faridkot Road, Kotkapura 151204 • *Ludhiana* Sco-54, Phase -2 Urban Estate Dugri Ludhiana 141001 • *Mandi* Gobindgarh Hukam Chand Building, Near Main Post Office, Gobindgarh 147301 • *Moga* GT Road, Opp D C Office, Thaman Singh Gill Market, Moga 142001 • *Nabha* SCF 14,15, Patiala Gate, Nabha 147201 • *Nawanshahar* B 11148, Banga Road, Nawanshahar 144514 • *Patiala* Building No 11520, 1st Floor, Leela Bhawan, Near Gopal Sweets Patiala 147001 • *Phagwara* Kalra Complex, G T Road, Phagwara 144401 • *Rajpura* # 11-12B, Clibre Market, Rajpura 140401 • *Ropar* HDFC Bank Ltd, Raj Hotel Complex, College Road, Ropar 140001 • *Sangrur* SCO-1,2,3, Kaula Park, Sangrur 148001 **Rajasthan • Ajmer** HDFC Bank Ltd, Ground Floor, Rajasthan Patrika Building, Ajmer 305001 • *Alwar* Bhagat Singh Circle, Opp.Uit, Alwar(Raj.) Alwar 301001 • *Bhilwara* HDFC Bank Ltd, Wbo, Shop No. 1-2-3-4, 'A' Block, First Floor, SK Plaza, Pur Road, Bhilwara 311001 • *Bhiwadi* RilCO Chowk Bhiwadi Bhiwadi 301019 • *Bikaner* HDFC O-10, Ashok Marg, C-Scherne, Jaipur 302001 • Jodhpur HDFC Bank Ltd., Ist Floor, 15, Keshav Comlex, Nimbera House, Paota, Mandore Road, Jodhpur 342010 • Kota WBO, HDFC Bank Ltd, Second Floor, 1 A 1, SFS, Dr S C Nursing Home Road, Talwandi, Kota 324007 • Ramganj Mandi Bazaar No -1 Opp SBBJ Bank, Ramganj Mandi 326519 • Udaipur HDFC Bank Ltd, Durga Nursery Road, Udaipur 313001 Tamil Nadu • Chennai No. 115, Dr. Radhakrishnan Salai, 2nd Floor, Opp. To CSI Kalyani Hospital, Mylapore, Chennai 600004 • Coimbatore 1st Floor, No.315/316, Mettupalayam Road, Opp Murugan Mills, Near Ganga Hospital, Coimbatore 641018 • Erode No.680, Lotus Enclave, Brough Road, Erode 638001 • Hosur No.24 & 25, Maruthi Nagar, Sipcot PO, Near Dharga, Hosur 635126 • Karur 126/D/E, Annai Plaza, Kovai Road, Karur 639002 • Madurai Sci Toto Pondicherry T.S.No.6, 100ft Road, Ellaipillaichavady, Pondicherry 605005 • Rajapalayam 251 E Kadabankulam Main, Rajapalayam Thenkasi Road, Virudhungar 626117 • Salem HDFC Bank Ltd, Wholesale Banking Operations, Sethukrishna Trade Centre, 1st Floor, 133/31a, Trivandrum High Road, Alinagaram, Theni 62531 • Tirunelveli HDFC Bank Ltd, 12,13, Trivandrum High Road, Vannarpettai, Palayamkottai, Tirunelveli 627002 • Tirupur HDFC Bank Ltd, No-169, Road, Vannarpettai, Palayamkottai, Tirunelveli 627002 • Tirupur HDFC Bank Ltd, No-169, Chidambaram Complex, Kumaran Road, Tirupur 641601 • Trichy No.11 PLA Kanagu Towers, 11th Cross, Main Road, Thillainagar, Trichy 620018 • Vellore 73 Officers Line, Vellore 632001 Uttar Pradesh • Agra First Floor, Pariney Garden, Bhagfarjana, Civil Lines, Agra 282002 • Aligarh HDFC Bank Ltd, 3-316 Bhalla Complex, Ramghat Road, Aligarh 202001 • Allahabad 58, SP Marg Civil Lines, Allahabad 211003 • Bareilly WBO, 1st Floor, 154, Krishna Place, Civil Lines, Bareilly 243001 Delhi E-13/29, 2nd Floor, Harsha Bhavan, Middle Circle, Connaught Place New Delhi 110001 • Gorakhpur Wholesale Banking Operations, Shreenath Complex, 10, Park Road, Civil Lines, Gorakhpur 273001 • Jhansi HDFC Bank Ltd, Damroo Cinema Complex, Civil Lines, Jhansi 284003 • Kanpur 15/46, 1st Floor, Civil Lines, Kanpur 208001 • Lucknow Pranay Towers 38, Darbari Lal Sharma Marg, Lucknow 226001 • Mathura 169/2 Gaushala Road, Opp BSA College, Mathura 281001 • Meerut HDFC Bank Ltd, 1st Floor 381, Western Kutchery Rd, Meerut 250001 • Moradabad HDFC Bank Ltd, Wholesale Banking Operations, Pandit Shankar Dutt Sharma Marg, Opposite Election Office, Civil Lines, Moradabad 244001 • Muzaffarnagar First Floor, 53/4 Janshat Road, New Mandi, Muzaffarnagar 251001 • Saharanpur HDFC Bank Ltd, Hotel Survalok, Rly Road, Near Clock Tower, Saharanpur 247001 • Varanasi HDFC Bank Ltd, WBO Dept, 1st Flr, Varanasi Trade Centre, Maqbool Alam Road, Khajuri, Varanasi 221002 Uttarakhand • Dehradun WBO Depit, HDFC Bank, 56, Rajpur Road, Dehradun 248001 • Haldwani 8/6 Bhotia Paraw, Nainital Road, Haldwani 263139 • Rishikesh MC No 53 MJ Mall Railway Road Rishikesh 249201 • Roorkee 313/8, Civil Lines, Roorkee 247667 • Rudrapur Plot No1&2, Nanital Road, Plot No1&2, Nanital Road, Rudrapur 263 153 West Bengal • Asansol P.C Chatterjee Market, Rambandhu Talaw, Asansol 713303 • Durgapur Balai Commercial Complex, 3rd Floor, Benachity, Nachan Road, Durgapur 713213 • Kolkata Abhilasha-II, 6 Royd Street (2nd Floor) Kolkata 700016 • Raniganj A/29, N S B Road, Opposite Asoka Petrol Pump, Kaniganj, Dist Burdwan Raniganj 713347 • Siliguri 136/115 Hill Cart Road Siliguri 734401

ANDHRA PRADESH: Anantapur: 1st Floor, T Nagaraju Complex, D.No. 10/323, Sarojini Road, Opp. To Vasunderadevi Hospital, Near Clock Towers, Anantapur 515001 Cuddapah: Ist Floor, Lalithamma Building; Ngo'S Colony, Upstairs Union Bank of India Cuddapah 516002 Guntur: Door No. 5-87-26, 1st Floor, Sai Srinivasa Building, Opp. Nelagiri Super Market, Main Road, Lakshimi Puram, Guntur 522007 • Gayatri Enclave, 1st Floor, 8th Lane, First Cross Road, Arundelpet, GUNTUR - 522 002 Hyderabad: 6-3-1090/A/13 Flot 401, 4th Floor, Manbhum Jade Towers, Hotel Katriya Lane, Raj Bhavan Road - Somajiguda, Hyderabad 500082 • D.No.6-3-57/1, 408-410, Diamond Block, 4th Floor, Lumbini Rockdale Compound, Somajiguda, Hyderabad 500082 Kakinada: 2nd Floor, D. No.5-1-61, Opp. Brindhavan Lodge, Main Road, Surya Rao Peta, Kakinada 533001 Karim Nagar: 1st Floor, House No: 8-6-179/2A, Hyderabad Road, Above Mahi Motors, Kothirampur, Karimnagar 505001 Kurnool: DPLR Plaza, 2nd Floor, Upstairs SBI Near(Old Town-Branch), Opp: Children'S Rainingar Stagar, Kurnoli, 51804 Nellore(Cv): 24/1677, Brahmanandapuram, Dargamitta, Nellore 524003 Rajahmundry: AMT Plaza, C18, D.No.76-5-29, Second Floor, Ganuga Street, Gandhipuram-2, Rajahmundry 533103 Tirupathi: Door No 2/89, 1st Floor, Tiruchanur Road, Sreenivasapuram, Tirupathi 517503 Vijayawada: 535 to Struppani: Door No 2/89, 1st Floor, Internation Poda, Steelindsappiraliti, Integratini 51/305 vijayawada 52. D.No. 40-10-5, Sree Ramachandra Complex, Benz Circle (Bajaj Showroom Lane), Vijayawada 520 010 • # 40-1-126, First Floor, Vasanth Plaza, Chandramoulipuram Benz Circle, Vijayawada 520010 Visakhapatnam: D No 47-10-13, 1st Floor, Redanam Regency, Near Diamond Park, Dwaraka Nagar, Vishakapatnam 530016 Warrangal: D No 15-1-422/A, B Second Floor S.V.S Legend, Beside Industrial Estate Kaman, S.V. P Road Warangal 506002 ASSAM: Guwahati: Anandi Commercial Complex, II Floor, Bora Service, G S Road, Guwahati 781007 • 3C Dihang Arcade 3rd Floor, G.S Road, Dist-Kamrup, Guwhati 781005 BIHAR: Bhagalpur: Ground Floor, Chandralok Complex, Near Ghantaghar, Radha Rani Sinha Road, Mashakchak, PS Adampur (Kotwali), Bhagalpur 812001 Muzaffarpur: Saroj Complex, Ground Floor, Diwan Road, Musahri Ramna, Muzaffarpur 842002 Patna: 205, Ashiana Harniwas, New Dak Bungalow Road, Patna 800 001 • R.K. Estate 2nd Floor Opposite of Indira Gandhi Institute of Medical & Science, Raja Bazar, Bailey Road, Patna 800014 CHHATISGARH: Bhilai: 36/5, Ground Floor, Nehru Nagar(East) Besides Ing Vysya Bank, Bhilai 490020 • First Floor, No.36/5, 2nd Floor, Nehru Nagar (East), Above Ing Vysya Bank, Bhilai, Durg District, 490020 Raipur: No. 26, 3rd Floor, Millennium Plaza, G.E. Road, Raipur, Chhatisgarh 492 001 • 203, 2nd Floor, Vanijaya Bhavan, Devendra Nagar Road, Raipur 492001 GOA: Goa: F 30, Alfran Plaza, Opp Don Bosco, MG Road Panjim, Goa 403001 Madgaon: Second Floor, Saldana Business Tower Wing A, 212, Near Mapusa Court, Mapusa 403507 GUJARAT: Ahmedabad: No 409, Shree Balaji Paragon, Near Hotel Rock Regency, C.G. Road Navrangpura, Ahmedabad - 380009 • 104, First Floor, Shivam Complex, Nr. Silicon Tower, Opp. National Handloom Law Garden, Ellisbridge, Ahmedabad 380006 Anand: F1/1, Suramya, Town Hall (Near Meza Bekery), Vidya Nagar Road, Anand 388001 Baroda: 518 & 519, Centre Point, R C Dutt Road Alkapuri, Vadodara 390005 • 109-Siddharth Complex, Besides Express Hotel, R C Dutt Road, Alkapuri, Baroda-390007 Bharuch: No.230-232. Siddnarth Complex, Besides Express Hotel, H C Dutt Hoad, Alkapuri, Baroda-390007 Bharuch: No.230-232, 2nd Floor, Aditya Complex, Kasak Circle, Bharuch 392002 Bhavnagar: 204, Shoppers Plaza, Parimal Chowk, Waghawadi Road, Bhavnagar 364001 Bhuj: office No.7, First Floor, Royal Plaza, Plot No.2 & 3, Near Shiv Krupa Nagar, Bhuj-Mirzapur Highway, Bhuj 370001 Jamnagar: 404, Corporate House, Opp. To St. Ann'S High School, Pandit Nehru Marg, Jamnagar 361008 Junagadh: 2nd Floor, Shop No.212, Amba Arcade, M G Road, Junagadh 362001 Mehsana: FF-01, Sigma Oasis, Nr: Hdfc Bank, High Way Mehsana 384002 Navsari: 1st Floor, Shop No.116, Manohar Complex, Opp. Dabu Hospital, Fuwara, Navsari 396445 Rajkot: 301, Metro Plaza, Nr Eagle Travels, Jansata Press Road, Bhilwas Chowk, Rajkot 360001. • 201, Titan Complex, Onc, Kalawad Road, Near G. T. Seth School, Opp. Da Punjah Honda, Baikot 360005, Surat: HG-18, International Trade Centre Naer G T Seth School, Opp. To Punjab Honda, Rajkot 300005 Surat: HG-18 International Trade Centre, Majuragate, Surat 395002. • No.607, 6th Floor, 21st Century Business Centre, Near Udhan Darwaja, Ring Road, Surat 395002 Suradra Nagar: 2nd Floor, Rudraksh, Plot No.328 (Opp. To New Age Industries) Wadhwan Road, Surendra Nagar 363035 Valsad: 2nd Floor, Shop No.216, Trade Centre, Station Road, Valsad 396001 Vapi: Shop No.19 & 20, 1st Floor, Walden Plaza, Imran Nagar, Opp. To S B I, Daman - Silvassa Road, Vapi 396191 HARYANA: Ambala: 96 - 97, 1st Floor, Haryana Motor Market G T Road, Ambala City 134002 Faridabad: Sco 107, 1st Floor, Sector - 16, Behind Sagar Cinema, Above J &K Bank, Faridabad 121002 Gurgaon: S C O.35-36, 1st Floor, Sector 12A, Commercial, Old Delhi - Gurgoan Road, Gurgaon 122001 Hisar: Shop No. 46 DSB First Floor, Red Square Market Hisar, Haryana 125001 Panipat: 1st Floor, No.75, Bmk Market, G.T.Road, Panipat. 132103 Rohtak: 2nd Floor, Shop No.5-B, Gopal Complex, Civil Road, Rohtak 124001 Yamuna Nagar Sco-103, 1st Floor, Sector 17, Huda Jagadhari By Pass Road, Jagadhari, Yamunanagar 135001 HIMACHAL PRADESH: Shimla: 1st Floor, Hameer House, Lower Chakkar, Shimla 171005 JAMMU & KASHMIR: Jammu: Sadhana Commercial Building, No 27, A/C Gandhi Nagar Jammu 180001 JHARKHAND: Bokaro: 1st Floor, Ms. Ranju Automobiles Pvt. Ltd Main Road, Chas, Bokaro 827013 Dhanbad: 1st Floor, Shop No.107, Sree Ram Plaza, Bank More, Dhanbad 826001 Jamshedpur: 5/B, III Floor, Meghdeep Building, Q Road, Bistupur, Jamshedpur 831001 Jamshedpur. No.2, 2nd Floror, Meghdeep Building, Near South Park Hotel, Q Road, Bistupur, Jamshedpur 831001 Ranchi: Shop No-F1, Amarnath Complex, New Daily Market, Near Kailash Babu Street, Ranchi, Jharkhand-834001 KARNATAKA: Belgaum: 1st Floor, Shop No.8, Mujawar Arcade, Mujawar Compound P B Road, Nehru Nagar, Belgaum 590010 Bellary: Flat No.3 & 9, 1st Floor, Ward No.16, T.S. No.52 Near Clock Tower Circle, Bellary 583101 Bengaluru: Ground Floor, Sana Plaza, 21 / 14 - A, M.G. Road, Near Trinity Metro Station, Bangalore 560001 • # 186 1st Cross, 2nd Floor Hosur Main Road Wilson Garden Bangalore 560027 Davangere: # 268/3, Jayavibhava Nilaya, First Floor Opp Ram & Co Provision Stores, 4th Main, P.J.Extension, Davanagere 577002 Hubli: 1st Floor, Centre Point 107, 108 New Cotton Market, Sanje Vani Press Hubli 580029 Mangalore: B-2, Souza Arcade, Balmatta Road, Mangalore 575001 Mangalore: Sundaram Finance, 2nd Floor, Krishna Prasad Bldg. Above Pabbas Ice Cream Parlour Nr.Mangalore City Corporation, Lal Bagh, Mangalore 575003 Mysore: Venjay, Edifice, Il Floor, No.37, JLB Road Chamarajapuram, Mysore 570005 Raichur: Sai Ram Complex, 1-10-38, Station Road Opp. Ram Mandir, Raichur 584101 Shimoga: 1st Floor, Sri Ranganatha Commercial Complex Shivamurthy Circle, Kuvempu Road, Shimoga 577201 Udupi: Second Floor, Andrade Arcade, Near Syndicate Bank, Catholic Centre, K M Marg, Udupi KERALA: Calicut: 3rd Floor Kanchas Building, Near New Bus Stand, Rajaji Road, Calicut 673004 Cochin: Kassim Towers, 36/1899 Door No, D I Floor Sebastian Road, Off. Kaloor, Kadavanthra Road, Kaloor, Cochin 682 017 Ernakulam: 1st Floor, Welfare Services Centre, Ponnurunni, Vytilla Po, Ernakulam 682019 Kannur: 1st Floor, Tpn A1, A2, Malabar Tower, Opp Indus Motors, Thalap, Kannur 670002 Kollam: 1st Floor, Kmk Complex, Second Milestone, Kilikollur, Kollam 691004 Kottayam: Kytharam Complex, First Floor, Union Club Junction, Kottayam 6866001 Kozhikode: No.5/3249-H First Floor, Century Plaza Building, Behind Ktc Petrol Pump, Indira Gandhi Road (Mavoor Road), Kozhikode 673001 Palakkad: First Floor, 15/513 (50), Akshaya Foundation, Stadium Bye-Pass Road, Palakkad 678001 Thrissur: Second Floor, R V Center, Patturaikal Junction, Near Karthiyani Nursing Home, Trichur 680022 Trivandrum: Vava Sahid Commercial Complex, Ambuja Vilasam Road, Trivandrum 695001. MADHYA PRADESH: Bhopal: Plot No. 10&11, 3Rd Floor, Alankar Palace, Bank Street, M.P.Nagar, Zone 2, Bhopal 462011 • Plot No. 6, VNV Plaza, 3rd Floor Zone II M P Nagar, Bhopal 462011 Gwalior: II Floor, 44 City Centre, Narayan • Piot No. 6, VNV Piaza, 3rd Floor Zone II M P Nagar, Bnopal 452011 Gwallor: II Floor, 44 City Centre, Narayan Krishna, Madhav Rao Scindia Road, Gwallor -474 002 Indore: 125, Star Lit Towers, 29/1, Y N Road, Indore 452001 Indore: Piot No.2, 2nd Floor, Vijay Nagar, A.B Road, Opp. Metro Tower, Indore. 452010 Jabalpur: Second Floor, Digamber Tower, 936, Wright Town, Pandit Bhawani Prasad Ward, Napier Town, Jabalpur 482002 Ratlam: 2nd Floor, 16/45, Ratlam Piaza, Block No.C, Opp. ICICI Bank, Ratlam 457001 Sagar: 1st Floor, Singhai Buildings 10, Civil Lines, Sagar 470002 Satna: 2nd Floor, Collectorate Road, Civil Line, (Above M/S. Siddhivinayak Motors), Satna 845001 MAHARASHTRA: Ahmednagar: 209, 2nd Floor, Adish Plaza, ICICI

## **Customer Care Centres**

Home Finance Building (Opp. Dowle Hospital) Nagar Manmad Road, Savedi, Ahmednagar 414003 Akola: C-13, First Floor, Dakshata Nagar, Vyapari Complex, Šindhi Camp Chowk, Akola-444001 Amaravathi: 2nd Floor, Sakshi Complex, Opp. to Rajapeth Police Station, Mudholkar Peth, Badnera Road, Amaravathi 444605 Aurangabad: First Floor, B-4, Aurangabad Business Centre, Adalat Road, Aurgangabad 431005 Chembur: Flat No. 313, Swastik Chambers 3rd Floor, Sion-Trombay Road, Chembur, Mumbai 400071 Jalgaon: 2nd Floor, India Plaza Complex, Vivekananda Nagar, Swatantry Chowk, Jilha Peth, Jalgaon 425001 Kolhapur: office No:12, 2nd Floor, R.D. Vichare Complex (Gemstone) Near Central Bus Stand, New Shahupuri Kolhapur 416001 Latur: Sanmaan, First Floor, Opp To Amba Mata Mandir, Chandra Naga, Latur 413512 Mumbai: HDIL Kaledonia Commercial Complex, 2(A), 2nd Floor, Opp Vijaya Nagar, Sahar Road, Andheri East, Mumbai 400069 • Office No. 1222. 12th Floor, Maker Chamber V. Nariman Point, Mumbai 400 021 • Shop No 6. Yashwanth Building. Groung Floor. Ram Maruti Cross Road. Near Ratnakar Bank. Naupada. Thane West Mumbai 400602 • No: 114. 1st Floor, Commerce House, 140, Nagindas Master Road, Fort, Mumbai 400023 • Shop No. 2, Ground Floor in First Floor, Padma-Vishwa Regency, Behind Saroj Travels, Next To Manavta Cancer Hospital Mumbai Naka, Nasik 422001 Pune: Second Floor, 1202/5, "Shalini Sky I" building, Near ICICI bank, Ghole Road, Shivajinagar, Pune 411 005 • 1st Floor, 'Mantri Vertex' Law College Road, Pune 411004 Sangli: Shiv Ratna Complex, S4, 3rd Floor, Cst No.1047B, College Corner North Shivaji Nagar, Madhavnagar Sangli 416416 Sholahpur: 786, Maruti Tele Sankul, South Kasba, Shinde Chowk, Sholapur 413007 NEW DELHI: Delhi: 7 B, Rajendra Park, Pusa Road, Upper Ground Floor, Metro Piller No. 153, New Delhi 110 060 • 605, Sixth Floor 'Ashoka Estate Building' 24, Barakhamba Road, New Delhi 110001 ORISSA: Balasore: First Floor, Choudhury Nivas P.O.-Sahadeb Khuntha, Near Bus Stand, Balasore, Odisha 756001 Behrampur: First Floor, Alakananda Enclave, First Lane, Gajapati Nagar, Ganjam Dist., Berhampur 760 010 Bhubaneshwar: Office No. 16, 2nd Floor, Deen Dayal Bawan, Ashok Nagar, Bhubaneswar 751009 • 2nd Floor, Banadev Bhawan, A/108, Saheed Nagar, Khurda Dt, Bhubaneshwar 751007 Cuttack: Plot No. 3209, 2nd Floor, Urmila Plaza (Above Utkal Motors), Madhupatna, Cuttack 753010 Rourkela: 2nd Floor, Plot No. 309/P, Udit Nagar, Opp. Ambedkar Chowk, Rourkela, Sundergarh District, 769012 Sambalpur: Sundaram Finance Ltd, First Floor, Sabat Complex Near Wesco office Main Road, Ainthapalli Sambalpur 768004 PONDICHERRY: Pondicherry: Ms Royal Enclave, Plot No 19, 100 Feet Road, Mudaliarpet, Pondicherry 605004 PUNJAB: Amritsar: 1st Floor, 27-A, Classic Plaza, Majitha Road, Amritsar 143001 Bhatinda: 1st Floor, 3038 - A Guru Kanshi Marg, Bhatinda 151001 Chandigarh: S.C.O II Floor, 2475-2476. 22/C. Chandigarh 160022 • S.C.O 56-57 2nd Floor, Phase- II Mohali, Puniab 160072 Jalandhar; 5 E. Session Court Road. 1st Floor. Near B M C Chowk. Jullundhur 144001 Ludhiana: SCO 18. Cabin No.401. 4th Floor, Feroz Gandhi Market, Ludhiana 141 001 • S C O-13, 1st Floor, Shanghai Towers, Feroz Gandhi Market, Ludhiana 141001 Patiala: Third Floor, SCO-107, New Leela Bhavan, Near Yes Bank, Patiala 147 001. RAJASTHAN: Ajmer: 1st Floor, Adjoining K C Complex Opp: Daulat Bagh, Ajmer 305001 Alwar: 29, Harshil Tower, 3rd Floor Naru Marg, Keshav Nagar Alwar 301001 Bhilwara: Second Floor, Budh Plaza Opp: Circuit House, Basant Vihar, Bhiwara 311001 Bikaner: Second Floor Chug Mansion Opo. Drm office, Modern Market, Bikaner 334001 Jaipur: No. 202, Second Floor, OK Plus Towers, Near Vishal Mega Mart, Hathroi Road, Ajmer Road, Jaipur 302 001 • 205, 2nd Floor, Sangam Towers, Church Road, off. M I Road, Jaipur 302001 Jodhpur: 201, 202, Second Floor, Mody Arcade Chopasani Road, Near Bombay Motors, Jodhpur 34200 • 116, 1st Floor, Mody Arcade, Chopasani Road, Near Bombay Motor Cycle, Jodhpur 342 001 Kota: Second Floor, Above Reebok Showroom 3933, Shopping Centre, Nr. Ghode Wale Baba Circle, Kota 324007 Sriganganagar, Ground Floor, Bansal Tower, Jawahar Nagar, N.H.No.15, Sriganganagar, Rajasthan. 335001 Udaipur: C/o Sundaram Finance Ltd 4th Floor, Plot No-32/1105, Centre Point, Opp. B.N. College, Udaipur 313001 TAMIL NADU: Chennai: Sundaram Towers 1st & 2nd Floor, No.46 Whites Road, Royapettah, Chennai 600014 • Ground Floor, 19, Patullos Road, Chennai 600002 Coimbatore: 101-E, Il Floor, Kala Mansion Building, D B Road, R. S Puram, Coimbatore 641002 • No.62, First Floor, 'Time Square' Balasundaram Road, A.T.T. Colony, (Near RTO office) Coimbatore 641012 Erode: Ms. URT Tower, No 139/1, Perundurai Road, Erode 638 011 Hosur: 2nd Floor, 42/1 "Ram Prabha Towers" (Opp to Dhanam Departmental Store), Denkanikotta Main Road, Hosur 635109. Kancheepuram: 24, Annai Indira Gandhi Salai (Nellukara Street), Kanchipuram 631502 Karur: SRN Towers, IInd Floor, Ts. No.208/1, 1st Cross, Covai Road, Sengunthapuram, Karur 639001 Kumbakonam: 1st Floor, Nalii Plaza, Old Door No:34&34A, T S R Big Street, Kumbakonam 612001 Madurai: No. 183 C - North Veli Street, Opp Duke Hotel, Madurai 625 001 • 37, Krishna Rao Tank Street, (Tvs Co-Operative Store) Madurai, 625001 Salem: New No. 210, Old No. 315- C, Omalur Main Road, Avk Arcade, Opp. New Bus Stand, Salem 636004 • First Floor, Srivari Shopping Mall, 2/91, New Bus Stand Road, Meyyanoor Salem 636004 Thanjavur: Shalini Towers, First Floor, 172, South Main Street, Thanjavur - 613009 • Tirunelveli: First Floor, No 985/1-C2, 1D, Indira Complex, South Bye Pass Road, Opp to Passport office, Trunelveli 627005 Tiruper: Muthu Plaza, 1st Floor 320, Avanashi Road, Tirupur 641602 Tirchy: 60/2, Krishna Complex, I st Floor, Shastri Road, Thennur, Trichy 620 017 • Bus Plaza, 2nd Floor, Front, No.5-G, Lawsons Road, Contonment, Trichy 620001 Vellore: 37B, Balaji Nagar, 2nd Street, Phase 3, Sathuvachari, Vellore 632009 • First Floor, 141/3 M.P. Sarathi Nagar, Vellore District Bus Owner Association Building, Chennai - Bangalore Bye Pass Road, Vellore 632012 UTTAR PRADESH: Agra: C/o Royal Sundaram General Insurance, Office No. - F-C-6, Block No- 41/4B, Friends Tower, Sanjay Palace, Agra 282002 • First Floor, Sky Tower, 29-F/211, Sanjay Palace, Agra 282002 Aligarh: Shop No. 7 & 22, U.G.F Alig Corporate Plaza, Marris Road, Aligarh, Uttar Pradesh 202001 Allahabad: 1st Floor, Saroj Bhavan, 14/4, Stanley Road, Near Patrike Crossing, Civil Lines, Allahabad 211001 Bareilly: Krishna Complex 2nd Floor Near Mahajan Hospital Stadium, Road Bareilly Bareilly Dist 243001 Ghaziabad. 1st Floor, Ff - 31, Konark Building, Gda Market, Rdc, Ghaziabad 201001 Gorakhpur: 1st Floor, Bank Road, Opposite Subhash Tractor, Corner Gali, M.G.Road, Gorakhpur 273001 • C/O Sundaram AMC Ltd, Opposite Karvy, Bank road, Gorakhpur 273001 Jhansi: Shop No. 5, Narayan Plaza Jojo House, Infront of Employment Exchange Gwalior Road, Jhansi 284001 Kanpur: 218/219 Kan Chambers, 2nd Floor, 114/113 Civil Lines Kanpur 208001 Lucknow: G-6 A, Upper Ground Floor, Sky Hi Chambers, 11/5, Park Road, Lucknow 226001 • 104, Ugf Sky Hi Chambers, 5- Park Road, Lucknow-226 001 Mathura: 3rd Floor, Shop No.330, Dwarikadheesh Plaza, Mohalla Brijnagar, Junction Road, Sonkh Adda, Mathura 281001 Moradabad: 2nd Floor, office No.3, Vallabh Complex, Near Pms School Civil Lines, Moradabad 244001 Varanasi: Flat No.7, 2nd Floor, Rama Kunj, C-32-22/17 Ram Singh Rana Nagar Colony, Cantt Sigra Road, Varanasi 221002 UTTARANCHAL: Dehradun: 57/19, Raipur Road, II Floor, Shiva Palace, Dehradun 248 006 WEST BENGAL: Asansol: 1st Floor, Above United Bank of India, B.B. College More, Ushagram East, G.T. Road, P.O. Asansol, Dist. Burdwan, Asansol 713303 Burdwan: 5 B, M.V Apartment, 36 G.T. Road, Parbirhata, Po: Sripally, Burdwan 713103 Durgapur: A-307, Bengal Shristi Complex, Il Floor, Citi Center, Durgapur 713 216 • Sri Chaitanya Complex, 2nd Floor, Bengal Ambuja Phase II, Ambetkar Sarani, City Centre, Durgapur 713216 Kolkatta: "Chowringhee Court", 2nd Floor, Unit No.33, 55/55/1, Chowinghee Road, Kolkata 700071 • No.7, Camac Street, Azimganj House III Floor, Block No. 6, Kolkatta 700017 **Siliguri**: Shree Radha Complex, Block-B 2nd Floor, Iskon Mandir Road Siliguri, Dt Darjeeling 734001 Dubai: Representative office: P O Box:124337 office No. 205, AL ATTAR Grand, Above LG Showroom, Khalid Bin Al Waleed Street, Bur Dubai, Dubai, UAE.