



SUNDARAM MUTUAL

Sundaram World Brand Fund-Series III


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 listed on recognized overseas stock exchanges across the world
- High Risk  **Brown**

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

Note: Risk may be represented as:

 (BLUE) investors understand that their principal will be at low risk

 (YELLOW) investors understand that their principal will be at medium risk

 (BROWN) investors understand that their principal will be at high risk

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

New Fund Offer opens: 02/12/2014

New Fund Offer closes: 16/12/2014

Application Form & KIM

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Sundaram Asset Management

Sundaram World Brand Fund-Series III

Key Information Memorandum

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: 02/12/2014 • New Fund Offer closes on: 16/12/2014

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 19/11/2014. 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. Being a closed-end Scheme, investors can subscribe to the Units of the Scheme during the New Fund Offer Period only and the Scheme will not reopen for subscriptions after the closure of NFO. The Fund will not buy the units back till the maturity of the Scheme. However, in order to provide the liquidity to the investors, the units of the Scheme are proposed to be listed on National Stock Exchange of India Limited (NSE) within 5 business days from the date of allotment. Hence, Investors who want to liquidate their units of the Scheme can sell the units in the secondary market. The Trustee reserves the right to extend the closing date of the New Fund Offer period subject to the condition that the subscription list shall not be kept open for more than 15 days. A notice will be issued in the public newspaper for any such extension. The Trustee also reserves the right to close the subscription list at an earlier date that indicated by giving a prior notice of at least one day in one daily newspaper.

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| Name of the Scheme | Sundaram World Brand Fund-Series III | | |
| Investment Objective | To provide long term capital appreciation to investors by primarily investing in equity and equity related securities listed on recognized overseas stock exchanges across the world. However, there can be no assurance that the investment objective of the Scheme will be realized. | | |
| Maturity Period | Sundaram World Brand Fund: Series III -Maturity period is reckoned 5 years from the date of allotment. If the maturity date is not a working day, the subsequent working day shall be considered as the maturity day for the scheme. | | |
| Asset Allocation Pattern | Asset Class | Minimum Allocation | Maximum Allocation |
| | Equity and Equity related Instruments listed on recognized overseas stock exchanges across the world* | 65% | 100% |
| | Domestic Fixed Income and Money Market Instruments | 0% | 35% |
| | <p><i>*The Scheme will not have any exposure to equity and equity related securities issued by Indian securities and to companies listed in stock exchange(s) in India.</i></p> <p>Investments in overseas equity securities shall be subject to the investment restrictions specified by SEBI / RBI from time to time. Further, the fund manager will consider all relevant risks before making any investment in overseas equity Securities. The Scheme will not invest in securitized debt. The scheme shall not engage in securities lending and short selling. The scheme shall not invest in repo in corporate bond.</p> <p>The Scheme may use equity derivatives like stock futures, index futures, stock options, index options or such other securities as may be permitted by SEBI/RBI from time to time traded on recognized stock exchanges overseas only for hedging and portfolio balancing with underlying as securities. The Scheme will maintain cash or securities to cover exposure to derivatives, in respect of hedging and portfolio rebalancing of overseas securities. It is further clarified that the scheme shall not trade in derivative securities whether in Indian or overseas market. The cumulative gross exposure to debt, money market instruments and derivatives shall not exceed 100% of the net assets of the scheme, subject to SEBI circular No. Cir/ IMD/ DF/ 11/ 2010 dated August 18, 2010. The same security wise hedge positions would be excluded from computing the percentage.</p> <p>Pending deployment in line with the investment objective, the funds of the Scheme may be invested in short-term deposits with scheduled commercial banks in accordance with SEBI Circulars SEBI/IMD/CIRNo.9/20306/03 dated November 12, 2003 and SEBI/IMD/Cir No.1/91171/07 dated April 16, 2007.</p> <p>Subject to SEBI Regulations, the asset allocation pattern may change from time to time for a short term and for defensive considerations, keeping in view the market conditions, applicable regulations and the perception of the Investment Manager.</p> <p>The portfolio would be reviewed to address any deviations from the aforementioned allocations due to market changes. In case of any deviation, the Fund Manager shall rebalance the portfolio within 30 days from the date of such deviation. Where the portfolio is not rebalanced within 30 days, justification for the same shall be placed before the Executive Committee and the Board of Trustees along with reasons recorded in writing. The Executive committee of the Investment Manager, having two Independent Directors as its members and five members in total, shall then decide on the course of action.</p> <p>The Scheme shall commence investment only on completion of the New Fund Offer period.</p> | | |
| Investment Strategy | <p>The scheme will invest predominantly in equity and equity related securities of companies listed on recognised stock exchanges across the world. The Fund's portfolio shall be diversified by investing in companies listed in at least three different countries at a given point of time. However, the Fund may invest a substantial part of its assets in just one region or country.</p> <p>The Fund shall invest in equities of the world's strong brands and those which have the potential to become globally recognized brands. These stocks are expected to have a stable performance during different market cycles due to contribution from factors such as brand's value, loyalty, recognition, visibility, etc. The name of the scheme fortifies this strategy</p> <p>The investment strategy of the Fund is to create a concentrated portfolio of companies having valuable global brand. Such investments shall be made within the SEBI prescribed norms for exposure to equity and equity related instruments of a single issuer. Being a diversified scheme, the assets shall be deployed in companies across different sectors. The fund's exposure will predominantly be in large and mid-cap stocks." The investment theme is based on the fact that household wealth in the long term is rising. As household affordability improves, a higher proportion of the household income will be spent on branded goods and services, benefiting particularly multinational companies with significant brands in their command. The Fund will seek to benefit from the above trend by investing in these equities of the world's great brands.</p> <p>The following parameters shall be applied by the Investment manager for selection of stocks:</p> <ul style="list-style-type: none"> • Securities shall be primarily those of large cap / mid cap companies selected generally from the universe of MSCI ACWI index • Financial Strength, Stability in performance and quality of management • The Company shall have most valuable global brands • The brand must be present not only in developed markets but also in emerging markets. • There must be sufficient publicly available data on the Company's financial performance. <p>The scheme will be predominantly investing in companies located across the developed and emerging markets. Developed Market countries: Australia, Austria, Belgium, Canada, Denmark, Finland, France, Germany, Hong Kong, Ireland, Israel, Italy, Japan, Netherlands, New Zealand, Norway, Portugal, Singapore, Spain, Sweden, Switzerland, the UK and the US</p> <p>Emerging Market countries: Brazil, Chile, China, Colombia, Czech Republic, Egypt, Greece, Hungary, Indonesia, Korea, Malaysia, Mexico, Peru, Philippines, Poland, Russia, South Africa, Taiwan, Thailand and Turkey</p> <p>The Fund Manager will seek to identify such businesses through internal research as well relying on information published by leading global brand consultancy companies. The Fund Manager, while choosing a brand, shall provide due consideration to its ability to respond to market changes, challenges and opportunities, clarity in its positioning and proposition, its relevance to consumer's needs/desires across geographies and its consistency in retaining the brand value.</p> <p>Once such stocks are identified, the Investment Manager will conduct in-depth fundamental research on these companies based on qualitative (a significant position in the market, comparative advantages over competitors) and quantitative parameters (above-average financial indicators within the sector and their stability over time, comparative valuations). Post such analysis, a final portfolio of 25 to 50 stocks or such number of stocks as may be determined by the Fund Manager will be selected for the Fund. Portfolio positions will be reviewed by the Investment Manager on a frequent basis and changes shall be incorporated as and when warranted.</p> <p>The fund will also pursue opportunities in Public Offerings of the Companies that match the selection criteria.</p> | | |

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| | <p>The Executive / Investment Committee shall determine the % of AUM exposure to countries and companies. The fund manager shall invest in accordance with such limits with a variation of +/- 5%. Any deviation in excess / short of this limit shall be brought to the notice of the Investment Committee and will further be ratified by the Executive Committee.</p> <p>The fund manager may invest across sectors, market caps, take cash calls, change allocation between the equity and fixed-income asset classes in a dynamic manner within the permitted limits and use derivatives for trading, hedging and portfolio balancing. The fund manager will decide how much to invest in the securities of a particular country or currency by evaluating the yield, potential growth of an investment and by analysing a variety of economic factors, including fundamental economic strength, earnings growth and sector growth. In talking such decisions, the Investment Manager will keep in mind the Investment Objective of the Scheme and the applicable Regulations.</p> |
| Risk Profile | Mutual Fund Units involve investment risks including the possible loss of principal. Please read the Statement of Additional Information and Scheme Information Document carefully for details on risk factors before investment. |
| Risk Mitigation | <p>The risk of concentration in the portfolio shall be mitigated by having internal fund management guidelines that provide for single-stock – subject to the SEBI prescribed limit of 10% - and sector exposure limits. The adherence shall be monitored by the Risk Management team that reports to the Managing Director of Sundaram Asset Management. Deviation if any, from the limit will have to be approved by the Managing Director subject to rustication by the fund manager and will also, if required, be brought to the notice of the Risk Management Committee at the board level. An independent risk management team is in place to oversee and monitor portfolio risk on a day-to-day basis. Internal risk control guidelines are in place and the portfolio contours are tracked on a daily basis to ensure adherence. Any deviation is brought to the notice of the Managing Director and the fund manager for corrective action. Follow up actions are made to ensure that the deviation is corrected within the time period prescribed in internal risk control guidelines. Adherence to limits from SEBI Regulations as well as stipulations in the Scheme Information Document is monitored by the compliance team.</p> <p>Committee monitoring risk management: The Board of Sundaram Asset Management has constituted a Committee comprising Managing Director & Two Independent Directors. The Deputy CEO, Heads of Equity and Fixed Income, the Risk Analyst will be the permanent invitees to the Committee. The Compliance Officer acts as the secretary to the committee. The Committee will review the risk guidelines with respect to equity and fixed income funds, check deviations from set limits of investments, set/modify the limits of counter party exposure, review exceptions and overrides and suggest improvements to the framework/formats.</p> <p>Role of the Committee: The Committee will approve the:</p> <ul style="list-style-type: none"> • Guidelines in the Universe of securities • Global Issuer limits (including limit per maturity) • Counterparty limits • Revised existing issuer and counterparty limits • Limits applicable to each fund such as Credit Diversification ratio, Duration Limit, WAM Limit, Maximum Maturity Limit, Liquidity Risk Limits, Valuation Risk Limits, Risk Grade Limits etc. <p>Risk Guidelines: Sundaram Asset Management has internal investment norms and risk guidelines for equity and debt investments. Also fund specific guidelines are in place.</p> <p>Risk Control: Risk control is customized by product according to the level of risk the fund can expose investors to, as specified in the investment mandate.</p> |
| Plans and Options | <p>Plans: Regular Plan and Direct Plan Options: Growth, Dividend Payout options are available.</p> <p>If investment option is not indicated the default option will be Growth. If neither the plan nor the ARN code is mentioned in the application form, the default plan shall be Direct Plan.</p> <p>All plans and options available under the scheme for subscription will have a common Portfolio.</p> <p>Direct Plan is only for investors who purchase /subscribe Units into the Scheme directly with the Fund and is not available for investors who route their investments through a Distributor.</p> <p>All categories of investors (whether existing or new Unitholders) as permitted to invest in this scheme are eligible to subscribe under Direct Plan. Investments under Direct Plan can be made through various modes offered by the Fund for investing directly with the Fund (except Stock Exchange Platform(s) and all other Platform(s) where investors' applications for subscription of units are routed through Distributors).</p> <p>The expense ratio of Direct Plan shall be lower than that of the Regular Plan as it shall exclude distribution expenses, commission, etc. No commission for distribution of Units will be paid / charged under Direct Plan. The direct plan will also have a separate NAV.</p> <p>Investors wishing to subscribe under Direct Plan of a Scheme will have to indicate "Direct Plan" against the Scheme name in the application form.</p> <p>In the following cases, the applications shall be processed under the Direct Plan:</p> <ol style="list-style-type: none"> 1. Distributor code is mentioned in the application form, but "Direct Plan" is indicated against the Scheme name 2. Where application is received for Regular Plan without Distributor code or the word "Direct" if mentioned in the ARN column. 3. Neither the plan nor the distributor code is mentioned in the application form <p>In the following cases, the applications shall be processed under the Regular Plan:</p> <ol style="list-style-type: none"> 1. The application form contains the distributor code but does not indicate the plan. 2. Where application is received for Regular Plan with Distributor code. <p>Dividend pay-out: Dividend may be declared by the Trustee at its discretion from time to time subject to the availability of distributable surplus calculated in accordance with the Regulations. There is no assurance/guarantee with respect to the quantum or the frequency or the certainty of dividend distribution. The decision on whether to declare a dividend or not will depend on the performance of the scheme and availability of distributable surplus. The dividend pay out may also vary from time to time. The decision of the Trustee will be final in this regard.</p> <p>Unit holders opting for the Dividend Option only will be eligible to receive dividends. All unit holders whose names appear in the Register of the Scheme in the Dividend Option category as on the Record Date will be entitled to the dividend. The dividend payment will be subject to the distribution tax, if any, payable by the Mutual Fund as per the Income Tax Act or other laws in force.</p> <p>After the record date for distribution of dividend, the NAV per unit will decline to the extent of the pay out and distribution tax, if any.</p> <p>The details of the Record Date for any Dividend that may be declared will be notified through the Stock Exchange where the Units are listed/ designated investor service centers/ newspapers. Investors may note that where the Units are held in Demat Form, details of any change in address / bank details are to be provided to the respective Depository Participant for the purpose of dividend payment.</p> <p>Growth option: Investors who prefer to accumulate the income and also do not have a need to receive the cash flow to meet specific financial goals can opt for the growth option. The income earned on the units will remain invested in the Scheme and will be reflected in the Net Asset Value. No dividend will be declared under this option. If units of this option are held as a capital asset for a period of at least 12 months from the date of allotment, income from such units will be treated as long-term capital gains for tax purposes.</p> |
| Minimum Application Amount | For both Regular and Direct Plan: Rs 5,000 and multiples of ₹ 10 thereafter. |
| Provisions regarding listing & delisting the units of the Scheme | <p>The Mutual Fund/Investment Manager will list the units of the scheme on the capital market segment of NSE within five business days from the date of allotment. NSE has vide its letter no NSE/LIST/232606-N dated March 07, 2014 provided in-principle approval for listing the units of the scheme. In addition to NSE, the units may be listed in other exchanges also.</p> <p>Mode of allotment All Applicants whose cheques towards purchase of Units have realised will receive a full and firm allotment of Units, provided also the applications are complete in all respects and are found to be in order. The Trustee retains the sole and absolute discretion to reject any application. Applicants under the scheme will have an option to hold the Units either in physical form (i.e. account statement) or in dematerialized form. 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. Subject to SEBI Regulations, Statement of Accounts will be sent to those unitholders whose registered email address / mobile number is not available with the 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.</p> <p>For demat holders The Units allotted will be credited to the DP account of the unit holder as per the details provided in the application form. If the details are incorrect/ incomplete, Account Statement will be issued. It may be noted that trading and settlement in the Units of respective Series over the stock exchange(s) the Units of the Scheme are listed will be permitted only in electronic form. However, if the applicant so desires, the Investment Manager shall issue Unit certificates to the applicant upon receipt of request for the certificate. Unit certificate if issued must be</p> |

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| | <p>duly discharged by the unit holder(s) and surrendered along with the request for Redemption / Switch on maturity or any other transaction of Units covered therein. Rematerialization of Units will be in accordance with the provisions of SEBI (Depositories & Participants) Regulations, 1996 as may be amended from time to time. All Units will rank pari passu, among Units within the same Option in the Scheme concerned as to assets, earnings and the receipt of dividend distributions, if any, as may be declared by the Trustee.</p> <p>De-listing of the Scheme The Scheme will mature on expiry from the date of allotment. The Investment Manager/ Trustee will initiate the delisting procedure at least 30 days prior to the date of maturity of the Scheme. The unitholders will not be able to trade in stock exchange once the Scheme is delisted.</p> |
| Redemption & switch-out on an ongoing basis to other Scheme of Sundaram Mutual Fund | Being a Closed End Scheme, there will be no allotment or redemption or switches on an ongoing basis. Since the units of the scheme is proposed to be listed on the Stock Exchange, i.e. NSE, minimum redemption provisions shall not be applicable. |
| Liquidity | The Fund will not redeem the units till the maturity of the scheme. However, in order to provide the liquidity to the investors, the units of the schemes are proposed to be listed on the NSE within 5 business days from the date of allotment. Hence, Investors who want to liquidate their units of the schemes can sell the units held in Demat Form in the secondary market. NSE has given its in-principle approval for listing the units of the scheme on its exchange vide its letter No NSE/LIST/232606-N dated March 07, 2014. On the Maturity Date, the Units of the Scheme will be redeemed/switched out at the Applicable NAV. (If the maturity date is not a Business Day, the subsequent Business Day shall be considered as the maturity date for the Scheme). The Investment Manager/ Trustee will initiate the delisting procedure at least 30 days prior to the date of maturity of the scheme. The Unitholders will not be able to trade in stock exchange once the schemes are delisted. This shall be subject to SEBI Regulations/Guidelines and without any further reference to the Mutual Fund / Investment Manager / Unit holders. |
| Additional Mode of Payment during NFO | Investors may apply for the Schemes through Applications Supported by Blocked Amount (ASBA) process during the NFO period by filling in the ASBA form and submit the same to their respective banks, which in turn will block the subscription amount in the said amount as per the authority contained in ASBA form, and undertake other tasks as per the procedure specified therein. For applicants applying through ASBA, on allotment, the amount will be unblocked in their respective bank accounts and account will be debited only to the extent required to pay for allotment of Units applied in the application form. For complete details and ASBA process refer to Statement of Additional Information (SAI) available on our website www.sundarammutual.com |
| Registration of Bank Account | <p>The Unitholders may choose to receive the redemption/dividend proceeds in any of the bank accounts, the details of which are registered with the AMC by specifying the necessary details in the "Bank Accounts Registration form" which will be available at our office/Sundaram BNP Paribas Fund Services Ltd and on the website of www.sundarammutual.com. Individuals, HUFs, Sole proprietor firms can register up to five bank accounts and other investors can register up to ten bank accounts in a folio. The unitholder can choose anyone of the registered bank accounts as default bank account. In case the investor fails to mention any preference, then by default the first number indicated in the list shall be the preferred account number.</p> <p>If unit holder(s) provide a new and unregistered bank mandate or a change of bank mandate request with a specific redemption proceeds (with or without necessary supporting documents), such bank account may not be considered for payment of redemption proceeds, or the Fund may withhold the payment for up to 10 calendar days to ensure validation of new bank mandate mentioned.</p> <p>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. For more details please refer our website www.sundarammutual.com. For any queries and clarifications that you may have, please get in touch with us at our office or call our Toll Free 1800 103 7237 (India) +91 44 49057300 (NRI).</p> |
| Applicable NAV(after the scheme opens for repurchase and sale) | During the New Fund Offer (NFO) period, units will be offered at Rs 10 per unit and the entire amount is payable on application. The Scheme will not be open for on going subscription/switch in. |
| Special products / facilities available during the NFO | <ul style="list-style-type: none"> • Investors may apply for the Units of the Schemes through Applications Supported by Blocked Amount (ASBA) process by filling in the ASBA form and submitting the same to their respective banks. • DD charges shall be borne by Investment Manager as per prevailing SBI charges provided there is no office of the Investment Manager/Collecting centers in that place • Switch from any existing Equity/Debt/Liquid Schemes of Sundaram Mutual into the Units of the Scheme during the NFO Period can be done during the NFO Period. For details the Investor Service Centres can be contacted. • An investor may purchase the units in different options available for subscription under Regular Plan of the Scheme through NSE MFSS & BSE StAR Platform (Stock Exchange infrastructure) only during the NFO period. Switching of Units is not permitted under this facility. Investors may hold the Units in physical or dematerialized form. MFSS and StAR are electronic platforms introduced by NSE and BSE respectively for transacting in units of Mutual Funds. The electronic platforms will be available on all business days of the Capital Market segment. The platforms will be available for Participants between 9 a.m. until 3 p.m. The eligible AMFI certified stock exchange brokers will be considered as Official Points of Acceptance (OPA) of Sundaram Mutual Fund. Investors are requested to note that the facility for transacting in mutual fund schemes through stock exchange infrastructure is available subject to such limits, operating guidelines, terms and conditions as may be prescribed by the respective stock exchange(s) and guidelines issued by SEBI from time to time. The Trustees of Sundaram Mutual reserves the right to change/modify the features of this facility at a later date. |
| Redemption/ Repurchase/ Despatch of Redemption Proceeds | <p>Being a Scheme listed on the exchange, the Mutual Fund will not accept any redemption / repurchase and switch-out application till the maturity of the Scheme. Investors can sell/buy the units of the Scheme in Demat Mode at market price at NSE where the units of the Scheme are proposed to be listed.</p> <p>On the Maturity Date the Units of the Scheme will be fully redeemed/switched out at the Applicable NAV. (If the maturity date is not a Business Day, the subsequent Business Day shall be considered as the maturity date for the Scheme). Details of Redemption/Dividends will be published in Newspapers /notified to the Stock Exchange.</p> <p>The redemption proceeds will be dispatched / credited to the Registered Bank Account of the Sole/ First Unitholders within 10 Business days from the date of maturity. For any delay in this regard the AMC will be liable to pay interest @ 15% p.a. (or such other rate as may be prescribed by SEBI). However the AMC will not be liable to pay any interest or other compensation if the delay in processing the redemption application/Dividend Payment /Refund is attributable to the Unit holder (e.g. any incorrect /incomplete information or non-furnishing of details required under applicable laws etc). The AMC will not be responsible for any loss arising out of fraudulent encashment of cheques and/or any delay/ loss in transit. Further, the dispatch through the courier / Post office (who will be treated as the Investor's agent) to the Registered address (as given by the Investor) shall be treated as delivery to the investor. The AMC / Registrar/ Trustee will not be responsible for any delayed delivery or non-delivery or any consequences thereof, if the dispatch has been made correctly as stated above.</p> |
| Dividend Policy | <p>The Trustee Company reserves the right to distribute dividend subject to availability of distributable surplus. Dividend is declared on the face value of Rs 10 per unit. After declaration and payment of dividend, the ex-dividend NAV will decline to the extent of the dividend payment. The details of the Record Date for any Dividend that may be declared will be notified through the Stock Exchange where the Units are listed/ designated investor service centers/ newspapers. Please read the Scheme Information Document for further details. Dividend will be distributed at the discretion of the Trustee from the available distributable surplus, if any. There is no assurance/guarantee with respect to the quantum or the frequency or the certainty of dividend distribution. The decision on whether to declare a dividend or not will depend on the performance of the scheme and availability of distributable surplus. The rate of dividend may also vary from time to time. The decision of the Trustee will be final in this regard. Dividend will be declared on the face value of Rs 10 per unit. The dividend when declared will be paid (subject of deduction of tax at source, if any) to those unit holders whose names appear in the register of unit holders on the record date.</p> <p>Dividend is declared on the face value of Rs 10 per unit. After declaration and payment of dividend (including re-investment), the ex-dividend NAV will decline to the extent of the dividend payment.</p> <p>The Dividend Warrants shall be dispatched/ credited to the Registered Bank Account of the Sole/ First Unit holder within 30 days of the declaration. In case of delay, the AMC shall be liable to pay interest @ 15 per cent per annum to the unit holders. It may be noted that the Mutual Fund is not guaranteeing or assuring any dividend.</p> <p>In the case of Units held in Demat Form, details/ changes concerning Bank Account/ Address etc are to be sent to the respective DP.</p> |

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| Name of the Fund Managers | S Bharath & Dwijendra Srivastava. S Bharath is the dedicated fund manager for investment in overseas securities | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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| Benchmark | MSCI ACWI. The Trustee reserves the right to change the benchmark/Fund Managers. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Name of the Trustee Company | Sundaram Trustee Company Ltd | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Load Structure | <p>Entry Load: Nil</p> <p>In accordance with SEBI Regulation, there will be no entry load for investments in the Scheme. This shall apply to new investment and switch-in to the scheme during the New Fund Offer period. The scheme does not offer any facility for additional purchase, Systematic Investment Plan (SIP), Systematic Transfer Plan (STP) and any other form of investment on an on going basis. The upfront commission to distributor (ARN holder) will be paid by the investor directly to the distributor, based on his assessment of various factors including the service rendered by the distributor. The distributor (ARN holder) shall disclose all the commissions (in the form of trail commission or any other mode) payable to them for the different competing schemes of various mutual funds from amongst which the scheme is being recommended to the investor.</p> <p>Exit Load: Not applicable.</p> <p>Please note that buying and selling the units of the scheme on the stock exchange is based on market price. However, investors will have to bear the cost of brokerage and applicable taxes on the brokerage and other relevant charges as applicable for transacting on secondary market. Application for subscription may be sent directly to Sundaram Asset Management or through distributors. In case the application is submitted through the distributors, the investor may pay upfront commission directly to the distributor, based on his assessment of various factors including service rendered by the distributor. However, there is no entry load charged on the amount invested.</p> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Transaction Charge to Distributors | <p>In addition to the existing upfront commission payable to the distributor, the distributor would be allowed to charge the Investor a Transaction Charge (@ Rs150 for a New Investor and @Rs100 for an existing Investor) where the amount of investment is Rs. 10,000 and above on a per subscription basis. The Transaction Charge will be deducted by the AMC from the amount remitted and paid to the Distributor. The balance amount will be invested in the scheme. The Transaction charge will not apply to direct Investments. For more details, please refer to the section 'Your guide to fill the application form'.</p> <p>The distributors can opt-in / opt-out of levying 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.</p> <p>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.</p> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Initial Issue Expenses | Initial issue expenses shall be borne by the Investment Manager/AMC and not by the scheme of mutual fund. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Performance | Being a new Scheme it does not have any performance track record. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Recurring Expenses | <p>1. The total annual recurring expenses of the Scheme, excluding deferred revenue expenditure written off, issue or redemption expenses, but including the investment management and advisory fee that can be charged to the scheme shall be within the limits specified in Regulation 52 of SEBI (Mutual Funds) Regulations. The expenses chargeable to the scheme shall include investment management & advisory fee, Trustee fee, custodian fee, Registrar and Transfer Agent fee, Audit fee, Marketing and Selling expenses and other expenses (including listing fee). as listed in the table below:</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Expense Head</th> <th style="text-align: right;">% of daily Net Assets</th> </tr> </thead> <tbody> <tr> <td>Investment Management and Advisory Fees</td> <td></td> </tr> <tr> <td>Trustee fee</td> <td></td> </tr> <tr> <td>Audit fees</td> <td></td> </tr> <tr> <td>Custodian fees</td> <td></td> </tr> <tr> <td>RTA Fees</td> <td></td> </tr> <tr> <td>Marketing & Selling expense incl. agent commission</td> <td></td> </tr> <tr> <td>Cost related to investor communications</td> <td></td> </tr> <tr> <td>Cost of fund transfer from location to location</td> <td></td> </tr> <tr> <td>Cost of providing account statements and dividend redemption cheques and warrants</td> <td></td> </tr> <tr> <td>Costs of statutory Advertisements</td> <td></td> </tr> <tr> <td>Cost towards investor education & awareness (at least 2 bps)</td> <td></td> </tr> <tr> <td>Brokerage & transaction cost over and above 12 bps and 5 bps for cash and derivative market trades resp.</td> <td></td> </tr> <tr> <td>Service tax on expenses other than investment and advisory fees</td> <td></td> </tr> <tr> <td>Service tax on brokerage and transaction cost</td> <td></td> </tr> <tr> <td>Other expenses</td> <td></td> </tr> <tr> <td>Maximum total expense ratio (TER) permissible under Regulation 52 (4) and (6) (c)</td> <td style="text-align: right;">Upto 2.50%</td> </tr> <tr> <td>Additional expenses under regulation 52 (6A) (c)</td> <td style="text-align: right;">Upto 0.20%</td> </tr> <tr> <td>Additional expenses for gross new inflows from specified cities under regulation 52 (6A) (b)</td> <td style="text-align: right;">Upto 0.30%</td> </tr> </tbody> </table> <p>The maximum total expense ratio (TER) permissible under Regulation 52 (4) and (6) (c) that can be charged to the scheme as a percentage of daily net assets shall be as follows:</p> <p>First Rs 100 crore: 2.50%</p> <p>Next Rs 300 crore: 2.25%</p> <p>Next Rs 300 crore: 2.00%</p> <p>On assets in excess of Rs 700 cr.ore: 1.75%</p> <p>As per Regulation 52(6A)(b), the an additional expense upto 0.30% (30 basis points) on the daily net assets shall be charged to the scheme if new inflows into the scheme from beyond top 15 cities as specified by SEBI, from time to time, are at least:</p> <p>(i) 30% of the gross new inflows in the scheme (or)</p> <p>(ii) 15% of the average assets under management (year to date) of the scheme, whichever is higher.</p> <p>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 prescribed in the SEBI circular dated September 13, 2012.</p> <p>The amount so charged shall be utilised for distribution expenses incurred for bringing inflows from such cities. However, the amount incurred as expense on account of inflows from such cities shall be credited back to the Scheme(s) in case the said inflows are redeemed within a period of one year from the date of investment.</p> <p>Top 15 cities shall mean top 15 cities based on Association of Mutual Funds in India (AMFI) data on 'AUM by Geography - Consolidated Data for Mutual Fund Industry' as at the end of the previous financial year.</p> <p>Distribution expenses will not be charged in Direct Plan and no commission shall be paid from Direct Plan. The total expense ratio of Direct Plan shall be lower by atleast 12.5% vis-a-vis the Regular Plan. i.e., If the expenses of Regular Plan are 100 bps, the expenses of Direct Plan shall not exceed 87.5 bps.</p> <p>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 table above.</p> <p>2. Brokerage and transaction costs which are incurred for execution of trades and included in the cost of investment shall be charged to the</p> | | 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) | | 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 | | Maximum total expense ratio (TER) permissible under Regulation 52 (4) and (6) (c) | Upto 2.50% | Additional expenses under regulation 52 (6A) (c) | Upto 0.20% | Additional expenses for gross new inflows from specified cities under regulation 52 (6A) (b) | Upto 0.30% |
| 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) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 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 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Maximum total expense ratio (TER) permissible under Regulation 52 (4) and (6) (c) | Upto 2.50% | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Additional expenses under regulation 52 (6A) (c) | Upto 0.20% | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Additional expenses for gross new inflows from specified cities under regulation 52 (6A) (b) | Upto 0.30% | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

Sundaram World Brand Fund-Series III

Key Information Memorandum

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| | <p>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 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.</p> <p>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.</p> <p>4. Service Tax:</p> <ul style="list-style-type: none"> - 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. - 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 prescribed in Regulation 52 of SEBI (Mutual Funds) Regulations. - 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. <p>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.</p> |
| <p>Tax Implications</p> | <p>This summary of tax implications is based on the current provisions of the applicable tax laws. This information is provided for general purpose only. Investors should also refer to the Statement of Additional Information available at www.sundarammutual.com for more details. 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.</p> <p>Further, as the Scheme shall be primarily investing in securities of companies that are listed in overseas recognised stock exchanges across the world, the Scheme shall not be classified as "Equity Oriented Fund" as per the provisions mentioned in the Income Tax Act, 1961. Hence the tax provisions as applicable to other than Equity Oriented Fund shall be applicable to the unitholders of the Scheme.</p> <ul style="list-style-type: none"> • Income of Sundaram Mutual Fund: Exempt from tax. • Dividend Distribution: Tax free in the hands of the investors. The scheme will pay distribution tax of 25% plus other levies, on distribution to individuals/HUFs and 30.00% plus other levies on distribution to others. The amount of distributed income shall be increased to such an amount as would, after reduction of the additional income tax (DDT) on such increased amount at the rate specified shall be equal to the amount of income distributed by the mutual fund. • Long-term capital gain: Units will be treated as a long-term capital asset if held as a capital asset for more than 36 months. Long-term capital gains are taxable at 20% with indexation. Surcharge on Income tax (depending on the total income level) and cess at 3% on total tax are also payable. • Short-term capital gain: If the units are held as capital asset for less than or equal to 36 months, they will be treated as short-term capital asset. Short-term capital gains are taxable at normal rates applicable to the investor as per the provisions of the Income Tax Act and at 30% for Foreign Institutional Investors. Surcharge on income tax (depending on the total income level) and a cess at 3% on total tax is also payable. The surcharge on Income tax is payable by Companies if their Total income exceeds Rs One crore and the rate will be 5% for Indian Companies and 2% for foreign Companies. Cess @3% on total tax (income tax and applicable surcharge for companies) is payable by all taxpayers. • Tax deduction at source: Not applicable for persons resident in India; TDS applies on redemption proceeds payable to NRIs/FIIs. • Wealth tax/Gift Tax: Not payable. <p>The Investment Manager undertakes that under no situation there should be a recourse to the investor in the event of any additional tax liability. In addition, investors are requested to note that the scheme's income from investment in securities across the world in the form of Capital Gains or dividend income or any other income shall be subject to the applicable tax laws of the jurisdictions/countries in which the securities are listed/companies are incorporated</p> |
| <p>Net Asset Value</p> | <p>The Investment Manager will calculate and disclose the first NAV not later than five business days from the date of allotment of units in the respective series. NAV will be determined on every working day, except in special circumstances as mentioned under the section titled as "Net Asset Value, in Part III" of Scheme Information Document. The Investment Manager shall also publish the daily NAV in two evening newspapers on the next business day having circulation all over India. It will also be updated on the Investment Manager's website (www.sundarammutual.com) on every working day.</p> <p>The scheme shall be investing in global markets, including United States, due to which there would be timing zone differences between transactions by investors and investments in/sale of securities by the scheme. There is a time lag of upto 12 hours between the US market and Indian market. In view of this, the closing prices of the stock will be available on the next day. Accordingly, the AMC shall update the NAV by 10.00 a.m. on the next business day in the website of Association of Mutual Funds in India and website of the Investment Manager. In case of any delay, the reasons for such delay would be explained to AMFI by the next business day.</p> <p>If the NAVs are not available before 10 a.m. on the following business 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 NAV. Further transparency will be maintained through monthly disclosure of portfolio in Mutual Fund website and fact sheets.</p> |
| <p>For Investor Grievances please contact</p> | <p>Investor Relations Manager Rahul Mayor, Head- Customer Services, Sundaram Asset Management Company Limited, Sundaram Towers, 1 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</p> <p>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)</p> |
| <p>Information to unit holders</p> | <p>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.</p> <p>While allotting units in case of subscription to the scheme through switches from other schemes,</p> <ol style="list-style-type: none"> 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 equivalent to conversion of fractional unit to full unit shall be debited to unit premium reserve account. 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. c. The overall cost, if any, arising out of the process shall be absorbed by Sundaram Asset Management Company Limited <p>Subject to SEBI Regulations, Statement of Accounts will be sent to those unitholders whose registered email address / mobile number is not available with the 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. The Scheme shall be available for trading within five business days of allotment.</p> |

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Key Information Memorandum

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| | <p>Consolidated Account Statement:</p> <ol style="list-style-type: none"> 1) A consolidated account statement (CAS)^ for each calendar month to the Unit holder(s) in whose folio(s) transaction**(s) has/have taken place during the month shall be sent on or before 10th of the succeeding month by mail/e-mail. ^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. 2) 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. 3) In case the mutual fund folio has more than one registered holder, the first named Unit holder shall receive the CAS/account statement. 4) For the purpose of sending CAS, common investors across mutual funds shall be identified by their Permanent Account Number (PAN). 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-mail 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. Any circular/clarification issued by SEBI/AMFI in this regard will automatically become applicable and shall be incorporated in the SID/SAI/KIM wherever applicable. <p>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.</p> <p>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.</p> <p>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 a copy by post. The link of Scheme-wise annual reports or abridged summary thereof will also be prominently displayed at www.sundarammutual.com</p> |
| <p>General Risk Factors</p> | <p>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 World Brand Fund-Series III 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.</p> <p>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.</p> <p>Risks from Derivative Exposures: Counter Party Risk, Market risk, Illiquidity risk and Basis Risk, to name a few.</p> <p>Risks from Debt Exposures: Credit Risk, Interest Rate Risk, Price Risk, Market Risk, Liquidity Risk, Investment Pattern Risk, Duration Risk and Non-Diversification Risk, to name a few.</p> <p>Risk Factors for overseas investments: Country Risk, Event Risk, Restrictions imposed overseas, Emerging Markets Risk, Regulation-Change Risk, Disclosure Risk.</p> |
| <p>Scheme-Specific Risk Factors</p> | <p>To the extent that the assets of the Scheme will be invested in securities denominated in foreign currencies, the Indian Rupee equivalent of the net assets, distributions and income may be adversely affected by changes in the value of certain foreign currencies relative to the Indian Rupee (if Indian Rupee appreciates against these foreign currencies).</p> <p>The repatriation of capital to India may also be hampered by changes in regulations concerning exchange controls or political circumstances as well as the application to it of other restrictions on investment. The Scheme may have to pay applicable taxes on gains from such investment. As regards foreign securities that are traded on exchanges that are not located in India, the NAV will be calculated based on the closing price of the foreign security and the prevailing exchange rate on that date.</p> <p>The Scheme will invest in overseas securities including ADRs / GDRs issued by foreign companies subject to such guidelines as may be issued by RBI/SEBI. The net assets, distributions and income of the Scheme may be affected adversely by fluctuations in the value of Indian Rupee to the extent of investments in these securities. Repatriation of such investment may also be affected by changes in the regulatory and political environments. The Scheme's NAV may also be affected by a fluctuation in the general and specific level of interest rates internationally, or the change in the credit profiles of the issuers.</p> <p>It is AMC's belief that the investment in overseas securities offers new investment and portfolio diversification opportunities into multi-market and multi-currency products. However, such investments also entail additional risks. Such investment opportunities may be pursued by the AMC provided they are considered appropriate in terms of the overall investment objective of the Scheme. Since the Scheme would invest primarily in overseas securities, there may not be readily available and widely accepted benchmarks to measure performance of the Schemes. To manage risks associated with foreign currency and interest rate exposure, the Fund may use derivatives for efficient portfolio management including hedging and in accordance with conditions as may be stipulated by SEBI/RBI from time to time.</p> <p>Offshore investments will be made subject to any/all approvals, conditions thereof as may be stipulated by SEBI/RBI and provided such investments do not result in expenses to the Fund in excess of the ceiling on expenses prescribed by and consistent with costs and expenses attendant to international investing. The Fund may, where necessary, appoint other intermediaries of repute as advisors, custodian/sub-custodians etc. for managing and administering such investments. The appointment of such intermediaries shall be in accordance with the applicable requirements of SEBI and within the permissible ceilings of expenses. The fees and expenses would illustratively include, besides the investment management fees, custody fees and costs, fees of appointed advisors and sub-managers, transaction costs, and overseas regulatory costs.</p> |
| <p>Statutory</p> | <p>Mutual Fund: Sundaram Mutual Fund is a trust under Indian Trusts Act, 1882 Sponsor (Liability is limited to Rs 1 lakh): Sundaram Finance Ltd. Investment Manager: Sundaram Asset Management Company Ltd. Trustee: Sundaram Trustee Company Ltd.</p> |

Sundaram World Brand Fund-Series III

Your guide to fill the application form

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

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.

Checklist

Please complete Know Your Customer requirement

Please make the Cheque/Demand Draft in favour of 'Sundaram World Brand Fund-Series III' 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 under this category must produce a copy of any of the following specified photo identification documents:

1. Voter Identity Card
2. Driving License
3. Government / Defense identification card
4. Passport
5. Photo Ration Card
6. Photo Debit Card (Credit card not included because it may not be backed up by a bank account).
7. 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&mode=31>)
8. Photo Identification issued by Bank Managers of Scheduled Commercial Banks / Gazetted Officer / Elected Representatives to the Legislative Assembly / Parliament
9. ID card issued to employees of Scheduled Commercial / State / District Co-operative Banks.
10. Senior Citizen / Freedom Fighter ID card issued by Government.
11. Cards issued by Universities / deemed Universities or institutes under statutes like ICAI, ICWA, ICISI.
12. Permanent Retirement Account No (PRAN) card issued to New Pension System (NPS) subscribers by CRA (NSDL).
13. Any other photo ID card issued by Central Government/ State Governments/ Municipal

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:

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

- (i) Compliance with Prevention of Money Laundering Act, 2002 and Rules framed there under;
- (ii) SEBI Circular(s) on Anti Money Laundering (AML) and other applicable AML rules, regulations and guidelines; and
- (iii) 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 shall 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 World Brand Fund-Series III' in which you wish to invest and indicate PAN 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 | ✓ | | | |
| Resolution/Authorisation to Invest | ✓ | ✓ | ✓ | ✓ |
| List of Authorised Signatories & Specimen Signatures | ✓ | ✓ | ✓ | ✓ |
| Bye-Laws | | ✓ | | |
| Trust Deed | | ✓ | | |
| Partnership Deed | | | ✓ | |

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 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.

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.

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 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

• **Go Green E-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.

• **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.sundarambnparibas.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 49057300 (NRI) between 9.00 & 6.00 pm on any business day.

Employee Unique Identification Number (EUIIN) has to be filled by the distributor, irrespective of whether the transaction is advisory or execution only as EUIIN 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:

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:

1 **The Distributor would be allowed to charge the Mutual Fund Investor a Transaction Charge where the amount of investment is Rs. 10,000/-and above on a per subscription basis**

2 **For an investor other than First Time Mutual Fund Investor, the Transaction Charge allowed will be Rs. 100/- per subscription 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 above

3 **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.**

4 **No Transaction charges shall be levied:**

- a) Where the distributor/agent of the investor has not opted to receive any Transaction Charges;
- b) Where the investor purchases the Units directly from the Mutual Fund;
- c) Where total commitment in case of SIP / Purchases / Subscriptions is for an amount less than Rs. 10,000/-;
- d) 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 levying the transaction charge.
- e) Purchases / subscriptions carried out through stock exchange(s).

The distributors can opt-in / opt-out of levying 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/AMFI in this regard will automatically become applicable and will be incorporated in the SID/SAI/KIM wherever applicable.

Permanent Account Number (PAN): SEBI has mandated that PAN shall be the sole identification number for all participants in the securities market, irrespective of the amount of the transaction. Accordingly, the applicant (or in case of applications in joint names, each applicant), is required to mention their PAN and attach a signed/attested copy of PAN card with the application.

Investors can also submit a copy of PAN attested 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 if the amount, including SIPs, is upto Rs 50,000 (aggregate under all the schemes of Sundaram Mutual) in any rolling 12-month period or in 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 Investing through Systematic Investment Plan (SIP). However investors having PAN are not eligible for simplified KYC procedures.

Instructions for verification of PAN Card: If an investor provides a copy of PAN card without required attestation, officials

PIN Agreement & Email ID To 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 (India) to enable our service team pick up the form

A Personal Identification Number – PIN – is a must for effective, environmental friendly and speedy access to information online about 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 access information on Sundaram Mutual's products and services and also buy, sell and switch units in any Open End Scheme of Sundaram Mutual, 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 | | | | | | | | | | | | | | | Agreement Date | | | |
|----------------------|--|--|--|--|--|--|---------------|--|--|--|--|--|--|------|----------------|--|--|--|
| Name | | | | | | | | | | | | | | | | | | |
| Folio No | | | | | | | Mobile Number | | | | | | | Date | | | | |
| E-Mail Address | | | | | | | | | | | | | | | | | | |

Agreement for Personal Identification Number – PIN For detailed PIN Agreement, visit: www.sundarammutual.com

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 Sundaram BNP Paribas Fund Services Limited., acting as 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.

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 misuse of the PIN. Further, neither the Fund nor the Registrar shall be liable at all for any misuse 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/Fund; or (F) remove or obscure any of 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 at the first instance and settled through arbitration proceedings as per the rules of the Indian 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.

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

To be submitted mandatorily: 1. Your FATCA (Foreign Account Tax Compliance Act) Details (if not already submitted) and 2.Ultimate Beneficial Owner (UBO) information (for non-individuals only) using the attached forms.

A closed-end equity scheme
New Fund Offer Period Opens on: 02/12/2014 Closes on: 16/12/2014

Serial No:
SWBF-III

Channel Partner / Agent Information

| | | | |
|----------------------|---------------------|----------------|--|
| Agent's Name and ARN | Sub Broker ARN code | Sub Agent Code | EUIN* (Employee Unique Identification Number) |
|----------------------|---------------------|----------------|--|

Transaction charges For Rs. 10,000 and above:

| |
|---|
| <input type="checkbox"/> Existing Investor-Rs.100 |
| <input type="checkbox"/> New Investor-Rs.150 |

* Declaration for "Execution only" transaction (only where EUIN box is left blank) I/we hereby confirm that the EUIN box has been intentionally left blank by me/us as this transaction is executed without any interaction or advice by the employee/relationship manager/sales person of the above distributor/sub broker or notwithstanding the advice of inappropriateness, if any, provided by the employee/relationship manager/sales person of the distributor/sub broker.

Upfront commission shall be paid directly by the investor to the AMFI-registered distributors based on the investors' assessment of various factors including services rendered by the distributor.

| | | |
|-----------------------------------|------------------|-----------------|
| First/Sole Applicant/ Guardian | Second Applicant | Third Applicant |
|-----------------------------------|------------------|-----------------|

1. Existing Investor Information (Please fill in your Folio No. and then proceed to Section 3)
Please note that applicant details and mode of holding will be as per existing Folio Number.

| | | | | | | | | | | | | | | | |
|----------|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|
| Folio No | | | | | | | | | | | | | | | |
|----------|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|

2. New Investor Information (refer instruction 2)

| | | |
|--|--------------------------------|---|
| Name of First/Sole Applicant | Permanent Account Number (PAN) | <input type="checkbox"/> KYC Proof attached (Mandatory) |
| Name of Guardian (in case of First / Sole Applicant is a Minor/Contact Person-Designation (in case of non-individual Investors) / POA Holder Name) | Permanent Account Number (PAN) | <input type="checkbox"/> KYC Proof attached (Mandatory) |
| Date of Birth | Relationship | |

Go Green Services (Save The Future): Please provide Contact Details of First / Sole Applicant

| | | | |
|--------|----------|-----------|--------|
| E-Mail | STD Code | Telephone | Mobile |
|--------|----------|-----------|--------|

I/we would like to receive Account Statements, Annual Reports and other information by email and SMS updates on mobile Yes No

Note: Where the investor has not opted for any option or has opted for both options the application will be processed as per the default option, i.e., receive the account statement, annual report and other correspondence by email and receive SMS updates on mobile.

Mode of Holding [Please (✓)] Single Joint Anyone or Survivor

Address of First / Sole Applicant

| | | | |
|------|---------------|-------|----------|
| TOWN | CITY/DISTRICT | STATE | PIN CODE |
|------|---------------|-------|----------|

Overseas Address (in case of NRIs/FIIs) (Mandatory)

| | | | |
|--|--|--|--|
| | | | |
|--|--|--|--|

| | | |
|--------------------------|--------------------------------|---|
| Name of Second Applicant | Permanent Account Number (PAN) | <input type="checkbox"/> KYC Proof attached (Mandatory) |
| Date of Birth | | |
| Name of Third Applicant | Permanent Account Number (PAN) | <input type="checkbox"/> KYC Proof attached (Mandatory) |
| Date of Birth | | |

3. KYC details (Mandatory) (refer instruction 3) Individual Non-Individual (Please attach mandatory Ultimate Beneficial Ownership (UBO) declaration form)

3a. Status of First/Sole Applicant [Please (✓)] Listed Company Unlisted Company Individual Minor through guardian HUF
 Partnership Society/Club Company Body Corporate Trust Mutual Fund FPI
 NRI-Repatriable NRI-Non-Repatriable FII/Sub account of FII Fund of Funds in India QFI Others (please specify)

3b. Occupation Details [Please (✓)] (To be filled only if the applicant is an individual)

| | |
|-------------------------|---|
| First Applicant | <input type="checkbox"/> Private Sector Service <input type="checkbox"/> Public Sector Service <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist |
| | <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Others (please specify) |
| Second Applicant | <input type="checkbox"/> Private Sector Service <input type="checkbox"/> Public Sector Service <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist |
| | <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Others (please specify) |
| Third Applicant | <input type="checkbox"/> Private Sector Service <input type="checkbox"/> Public Sector Service <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist |
| | <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Others (please specify) |

3c. Gross Annual Income (in ₹) [Please (✓)]

| | |
|-------------------------|--|
| First Applicant | <input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> > 25 Lacs - 1 Crore <input type="checkbox"/> > 1 Crore (or) |
| | Net-worth (Mandatory for non-individuals) ₹ _____ as on [D][D][M][M][Y][Y][Y][Y] (Not older than one year) |
| Second Applicant | <input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> > 25 Lacs - 1 Crore <input type="checkbox"/> > 1 Crore (or) Net-worth _____ |
| Third Applicant | <input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> > 25 Lacs - 1 Crore <input type="checkbox"/> > 1 Crore (or) Net-worth _____ |

3d. First Applicant:
For Individuals [Please (✓)] Politically Exposed Person (PEP) Status (Also applicable for authorised signatories/Promoters/Karta/Trustee/Whole time Directors) I am PEP I am related to PEP Not Applicable
For Non-Individuals providing any of the below mentioned services [Please (✓)]
 Foreign Exchange/Money Changer Services Gaming/Gambling/Lottery/Casino Services Money Lending/Pawning None of the above

| | |
|--|--|
| Second Applicant: (To be filled only if the applicant is an individual) | <input type="checkbox"/> I am PEP <input type="checkbox"/> I am related to PEP <input type="checkbox"/> Not Applicable |
| Third Applicant: (To be filled only if the applicant is an individual) | <input type="checkbox"/> I am PEP <input type="checkbox"/> I am related to PEP <input type="checkbox"/> Not Applicable |

Acknowledgement Sundaram World Brand Fund (Tenure: 5 years)
Sundaram Asset Management Company Limited, II Floor, 46 Whites Road, Chennai - 600 014. Toll Free 1800 103 7237 (India) +91 44 49057300 (NRI)

Serial No:SWBF-III

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. |

4. Bank Account Details of First/Sole Applicant (as per SEBI Regulations it is mandatory) (refer instruction 4)

| | |
|-------------------------|---|
| Name of the Bank | Branch |
| Branch Address | Bank City (redemption will be payable at this location) |
| Account No | |
| Cheque MICR No | Account Type [Please (✓)] <input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> NRE* <input type="checkbox"/> NRO* <input type="checkbox"/> FCNR* <input type="checkbox"/> Others..... |
| RTGS / NEFT / IFSC Code | *If the payment is by DD or source of fund is not clear on the Cheque leaf, please provide a copy of FIR. |

5. Mode of payment of redemption/dividend proceeds via Direct credit/NEFT (refer instruction 5). Please tick (✓)

I/We wish to receive redemption/dividend proceeds directly into my/our bank account via Direct Credit/NEFT facility

I/We wish to receive the redemption/dividend proceeds (if any) by way of a cheque/demand draft/ Warrant

Direct Credit is now available 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. If your bank falls in this list your Redemption/ Dividend proceeds will be directly credited to your account irrespective of the option ticked.

6. Payment Details: Please issue a separate cheque/Demand Draft favouring 'Sundaram World Brand Fund-Series-III' (refer instruction 6)

| Scheme Name | Plan | Option* | Amount Invested (less DD charges) | Net Amount Paid | Payment Details | |
|--------------------------------------|--|--|-----------------------------------|-----------------|------------------|-------------|
| | | | | | Cheque/DD Number | Bank/Branch |
| Sundaram World Brand Fund-Series III | <input type="checkbox"/> Regular <input type="checkbox"/> Direct | <input type="checkbox"/> Growth <input type="checkbox"/> Dividend - Payout | | | | |

*If you do not indicate an option, for default option refer "Plans and Options" section in page 3 of the KIM.

Incase of third party payment (refer instruction 6): Please download (www.sundarammutual.com) and attach the third party declaration form

DEMAT Account Details (refer instruction 6)

National Securities Depository Ltd. Depository Participant Name _____

Central Depository Services (India) Ltd. DP ID Number _____ Beneficiary Account Number _____

Investor willing to invest in Demat option, may provide a copy of the DP Statement enabling us to match the Demat details as stated in the application form.

7. Switch-out of all units on Maturity of the Scheme (refer instruction 7) (please refer SID & KIM of respective scheme(s) for product labelling)

At the time of application, the investor who holds units in physical mode has the option whereby all units under the scheme shall be switched on maturity into Sundaram Global Advantage Fund or any of the Schemes of Sundaram Mutual Fund as chosen by the investor.

Scheme: Sundaram World Brand Fund-Series III To **Scheme: Sundaram Global Advantage Fund (OR) Sundaram.....Fund**

Plan: Regular Direct **Option:** Dividend Payout Dividend Re-Investment Dividend Sweep Growth Direct

(If an investor fails to specify the option, he will be allotted units under the default option/sub-option of the Target scheme.)

I/We have read and understood the terms and conditions applicable to the switch on maturity facility and am/are fully aware of the risk associated with such event. I/We have read and understood the Scheme Information Document (SID)/ Statement of Additional Information (SAI) and Key Information Memorandum (KIM) of the Target Scheme and have understood the investment objectives, investment pattern and risk factors applicable to the Target Scheme. I/We have not received nor been induced by any rebate or gifts, directly or indirectly, in opting the switch on maturity facility.

(As a default option the units shall be fully redeemed on the date of maturity and redemption proceeds shall be despatched to the address/credited to the bank account of the unit holder within 10 business days from the date of maturity).

Signature of investor(s) 1st Applicant 2nd Applicant 3rd Applicant

8. Nominee (available only for individuals) (refer instruction 8) I wish to nominate the following person(s)

| | | |
|--|---|--|
| <p>1st Nominee Name:..... Address:..... Proportion (%)* in which units will be shared by first nominee.....%</p> <p>If nominee is a minor: Date of birth:..... Relationship:..... Name of Guardian:..... Address of Guardian:.....</p> | <p>2nd Nominee Name:..... Address:..... Proportion (%)* in which units will be shared by second nominee.....%</p> <p>If nominee is a minor: Date of birth:..... Relationship:..... Name of Guardian:..... Address of Guardian:.....</p> | <p>3rd Nominee Name:..... Address:..... Proportion (%)* in which units will be shared by third nominee.....%</p> <p>If nominee is a minor: Date of birth:..... Relationship:..... Name of Guardian:..... Address of Guardian:.....</p> |
|--|---|--|

* 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 Applicant 2nd Applicant 3rd Applicant

9. Signature (refer instruction 9)

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 Rs. 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 (✓) 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 Repatriation Basis Non-Repatriation Basis.

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.

| |
|-----------------------------------|
| First / Sole Applicant / Guardian |
| Second Applicant |
| Third Applicant |

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 |
|--|--|----------------------------------|---|
| | | | |

FATCA declaration Form for Individual Applicants / Investors

Annexure to Common Application Form No.:.....for:

First/Sole Applicant Second Applicant Third Applicant Guardian Power of Attorney Holder

*The below information is required for all applicant(s), guardian(s), Power of Attorney .Please tick above box as applicable and submit a separate form(s) for each category

Details under FATCA / Foreign tax laws (see instructions)

1. Country of birth.....
2. Country of Citizenship / Nationality.....
3. Are you a resident of any country other than India for tax purposes?

If no, please tick here.

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax Reference Numbers below.

| Country of Tax Residency | Tax Reference Number |
|--------------------------|----------------------|
| | |
| | |
| | |
| | |

I hereby declare that all the particulars given herein are true, correct and complete to the best of my knowledge and belief. I 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 not intimating/delay in intimating any changes to the above particulars. I 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. I/We agree to notify Sundaram Asset Management Company Limited within 30 days of any change in my/our status as a U.S. person for the purposes of U.S. federal income tax. 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.

| Name | Signature | Date | | | | | | | | |
|------|-----------|--|---|---|---|---|---|---|---|---|
| | | <table style="border-collapse: collapse; margin: auto;"> <tr> <td style="border: 1px solid black; padding: 2px;">D</td> <td style="border: 1px solid black; padding: 2px;">D</td> <td style="border: 1px solid black; padding: 2px;">M</td> <td style="border: 1px solid black; padding: 2px;">M</td> <td style="border: 1px solid black; padding: 2px;">Y</td> <td style="border: 1px solid black; padding: 2px;">Y</td> <td style="border: 1px solid black; padding: 2px;">Y</td> <td style="border: 1px solid black; padding: 2px;">Y</td> </tr> </table> | D | D | M | M | Y | Y | Y | Y |
| D | D | M | M | Y | Y | Y | Y | | | |

Instructions

Details under FATCA/Foreign Tax Laws: Tax Regulations require us to collect information about each investor’s tax residency. In certain circumstances (including if we do not receive a valid self-certification from you) we may be obliged to share information on your account with relevant tax authorities. If you have any questions about your tax residency, please contact your tax advisor. Should there be any change in information provided, please ensure you advise us promptly, i.e., within 30 days.

If you are a US citizen or resident or greencard holder, please include United States in the foreign country information 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.

Applicants are required to mandatorily fill/sign off "FATCA declaration form". 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.

FATCA declaration Form for Non-Individual Applicants/ Investors

Annexure to Common Application Form No.:.....

Details under FATCA / Foreign tax laws (see instructions)

Please indicate all countries in which the entity/organization is a resident for tax purposes and the associated Tax ID Number below.

| Country | Tax ID Number |
|---------|---------------|
| | |
| | |
| | |
| | |

AND

Please tick the relevant box below, even if Country of Tax Residency is India

Form W8 BEN-E / specified declaration (Enclosed)

OR

Unable to confirm FATCA status *[We will contact you shortly to confirm your FATCA Status and obtain required supporting documents]*

^Where no box is ticked, the second statement will be taken as the default implying that the applicant/ investor currently is unable to confirm FATCA status and will confirm the same in future.

I/We hereby declare that all the particulars given herein are true, correct and complete to the best of my 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 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.

I/We agree to notify Sundaram Asset Management Company Limited within 30 days of any change in my/our status as a U.S. person for the purposes of U.S. federal income tax. 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.

| Name & PAN of the Organization | Name of the Authorized Signatory |
|--------------------------------|----------------------------------|
| | |
| Signature | Date |
| | |

Instructions

Details under FATCA/Foreign Tax Laws: Tax Regulations require us to collect information about each investor's tax residency. In certain circumstances (including if we do not receive a valid self-certification from you) we may be obliged to share information on your account with relevant tax authorities. If you have any questions about your tax residency, please contact your tax advisor. Should there be any **change in information provided, please ensure you advise us** promptly. Form W8 BEN-E / Specified declaration (enclosed) would be required to comply with requirements of Foreign Account Tax Compliance provisions (commonly known as FATCA) as contained in the US Hire Act 2010. 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. Foreign Account Tax Compliance provisions (commonly known as FATCA) are contained in the US Hire Act 2010.

Applicants are required to mandatorily fill/sign off "FATCA declaration form". 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.

Your guide to fill the UBO

As per SEBI Master Circular No. CIR/ISD/AML/3/2010 dated December 31, 2010 regarding Client Due Diligence policy, related circulars on anti-money laundering and SEBI circular No.CIR/MIRSD/2/2013 dated January 24, 2013, non-individuals and trusts are required to provide details of ultimate beneficial owner [UBO] and submit appropriate proof of identity of such UBOs. The beneficial owner has been defined in the circular as the natural person or persons, who ultimately own, control or influence a client and/or persons on whose behalf a transaction is being conducted, and includes a person who exercises ultimate effective control over a legal person or arrangement.

1. Ultimate Beneficial Owner [UBO]:

A. For Investors other than individuals or trusts:

- (i) The identity of the 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. Controlling ownership interest means ownership of/ entitlement to:
 - more than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;
 - more than 15% of the capital or profits of the juridical person, where the juridical person is a partnership;
 - 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.
- (ii) In cases where there exists doubt under clause (i) above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity of the natural person exercising control over the juridical person through other means like through voting rights, agreement, arrangements or in any other manner.
- (iii) Where no natural person is identified under clauses (i) or (ii) above, the identity of the relevant natural person who holds the position of senior managing official.

B. For Investors which is a trust:

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.

C. Exemption in case of listed companies

If the client or the owner of the controlling interest is a company listed on a stock exchange, or is a majority-owned subsidiary of such a company, it is not necessary to identify and verify the identity of any shareholder or beneficial owner of such companies.

D. Foreign investors

In accordance SEBI circular CIR/MIRSD/11/2012 dated September 5, 2012, list of Beneficial Owners with shareholding or beneficial interest in FPIs (including FII and Sub- Accounts, FVCIs where applicable but excluding individual where he is the first applicant/holder) equal to or above 25% has to be provided. If Global Custodian /Local Custodian provides an undertaking to submit these details,

then such undertaking may be obtained. AMC / Mutual Fund reserves right to obtain any further information / documents from the client based on its assessment of their risk profile.

2. UBO Codes:

| UBO Code | Description |
|----------|---|
| UBO-1 | Controlling ownership interest of more than 25% of shares or capital or profits of the juridical person [Investor], where the juridical person is a company |
| UBO-2 | Controlling ownership interest of more than 15% of the capital or profits of the juridical person [Investor], where the juridical person is a partnership |
| UBO-3 | Controlling ownership interest of more than 15% of the property or capital or profits of the juridical person [Investor], where the juridical person is an unincorporated association or body of individuals |
| UBO-4 | Natural person exercising control over the juridical person through other means exercised through voting rights, agreement, arrangements or in any other manner [In cases where there exists doubt under UBO-1 to UBO - 3 above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests] |
| UBO-5 | Natural person who holds the position of senior managing official [In case no natural person cannot be identified as above] |
| UBO-6 | The settlor(s) of the trust |
| UBO-7 | Trustee(s) of the Trust |
| UBO-8 | The Protector(s) of the Trust [if applicable]. |
| UBO-9 | The beneficiaries with 15% or more interest in the trust if they are natural person(s) |
| UBO-10 | Natural person(s) exercising ultimate effective control over the Trust through a chain of control or ownership. |

3. Position/Designation:

Refers to the Position/Designation of the Beneficial Owner during the time of ownership.

4. Applicable period

Refers to the period of Beneficial Ownership to be indicated, if applicable

5. KYC requirements

Beneficial Owner(s) is/are required to comply with the prescribed KYC process as stipulated by SEBI from time to time with any one of the KRA & submit the same to AMC. KYC acknowledgement proof is to be submitted for all the listed Beneficial Owner(s). AMC / Mutual Fund reserves right to obtain any further information / documents from the client based on its assessment of their risk profile.

6. Foreign Country Information

If you are a Person with Tax Residency in a Country other than India, please provide your Country of birth, Nationality, Country of Tax residency and Foreign Tax Reference Number. If you have any questions about your tax residency, please contact your tax advisor.

For any queries / clarifications, Please contact the nearest Investor Service Centres (ISCs) of the AMC at toll free number 1800 103 7237 or e-mail us: customerservices@sundarammutual.com

Investors must read the Scheme Information Document/Key Information Memorandum and Instructions before completing this Form.

A closed-end equity scheme
New Fund Offer Period Opens on: 02/12/2014 Closes on: 16/12/2014

APPLICATION SUPPORTED BY BLOCKED AMOUNT (ASBA) FORM
(can be used for both demat and non-demat account holders)

Date **D D M M Y Y Y Y**

ASBA Application No. [Grid]

NFO Application No. [mandatory] [Grid]

| Broker/Agent Information | | | For office use only | | |
|--------------------------|------------------------|---------------|---------------------|-----------------------|--------|
| Name 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 | [Grid] |
| (Mr./Ms./Mrs./M/s.) | <i>For Demat Account holders, please fill in name as is appearing in Demat account</i> |

| | |
|--|--------|
| Existing Folio No. | [Grid] |
| (If you have an existing folio number of any Scheme with Sundaram Mutual Fund, please mention the number here) | |

| | |
|---|--|
| Depository Account Details: <i>[Mandatory if the investment is in demat mode]</i> | |
| Depository Name [Please tick] | National Securities Depository Ltd <input type="checkbox"/> Central Depository Services [India] Limited <input type="checkbox"/> |
| Depository Participant Name | [Grid] |
| DP-ID | [Grid] |
| Beneficiary Account Number | [Grid] |

| | |
|---|--------|
| PAN of 1st applicant [Permanent Account Number] | [Grid] |
|---|--------|

| | | |
|--------------------|---|---|
| Investment Details | Sundaram World Brand Fund-Series III | Plans: <input type="checkbox"/> Regular <input type="checkbox"/> Direct Options: <input type="checkbox"/> Growth <input type="checkbox"/> Dividend Payout |
|--------------------|---|---|

| | |
|---|--------|
| Details Of Bank Account For Blocking Of Funds <i>[Bank Account should be in the name of First Applicant only]</i> | |
| Bank Account Number | [Grid] |
| Bank Name | [Grid] |
| Branch Name where account is held | [Grid] |

| | | |
|---|--------|----------------|
| Total Amount to be blocked [Rs. In figures] | [Grid] | [Rs. In words] |
|---|--------|----------------|

UNDERTAKING BY ASBA INVESTOR

1) I/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 specified in the application is insufficient for blocking the amount equivalent to the application money towards the Subscription of Units, the SCSB shall reject the application 4) If the DP ID, Beneficiary 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 Asset Management Company Limited or Sundaram Trustee Company Limited or SCSBs shall not be liable for losses, if any. All future communication in connection with NFO should be addressed to the SCSB/RTA/Investment Manager quoting the full name of the Sole/First Applicant, NFO Application Number, ASBA Application Number, Depository Account details [if it has been provided], Amount applied for and the account number from where NFO amount was blocked.

| Signature | |
|-----------------------------------|--------|
| [Grid] | [Grid] |
| Signature of Bank Account Holders | |

Acknowledgement Slip To The Investor (To be filled up and retained by the investor)

| | | |
|--|-------------------------|---|
| Sundaram Asset Management, II Floor, 46 Whites Road, Chennai - 600 014. Toll Free 1800 103 7237 (India) +91 44 49057300 (NRI) | | Sf SUNDARAM MUTUAL |
| Application Number: | [Grid] | ASBA Application Number: |
| Sundaram World Brand Fund-Series III | | Plans: <input type="checkbox"/> Regular <input type="checkbox"/> Direct Options: <input type="checkbox"/> Growth <input type="checkbox"/> Dividend Payout |
| Date D D M M Y Y Y Y | ASBA Application Number | [Grid] |
| Received from Mr./Ms./Mrs./M/s. | SCSB Account details | Total Amount to be Blocked |
| Address | A/C No. | Rs. In figures |
| | Bank Name | Rs. In words |
| | Branch Name | [Grid] |
| | | SCSB Stamp, Signature |
| | | Date & time of receipt |

- 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)

- “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.
- “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
- “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.
- 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 its Trustee/AMC/ its Employees/Directors will not be responsible for any delay, error or omission/commission, or deficiency if any, on the part of the Investor's Bank.

Benefits of Applying through ASBA facility

- 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.
- Release/Unblocking of blocked funds after allotments done instantaneously.
- 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.
- 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
- The investor deals with the known intermediary i.e. his/her own bank.
- The application form is simpler as the application form for ASBA will be different from the NFO application form.

ASBA Procedure:

- 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.

- The ASBA Application Form towards the subscription of Units can be submitted through one of the following modes.
 - Submit the form physically with the Designated Branches (DBs) of the SCSB (“Physical ASBA”); or
 - Submit the form electronically through the internet banking facility offered by the SCSB (“Electronic ASBA”).
- 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.)
- 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.
- 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.
- 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.
- 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.
- Mode of ASBA i.e. either Physical ASBA or Electronic ASBA not selected or ticked properly.
- 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.
- 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.
- No corresponding records available with the Depositories matching the parameters namely
 - Names of the ASBA applicants (including the order of names of joint applicants holders)
 - DP ID (c) 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, 1 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

