

# Transfer of Income Distribution cum Capital Withdrawal Plan (Transfer of IDCW)



## Enrolment / Cancellation Form

(Please read Transfer for IDCW terms and conditions overleaf) Application No.:

### 1. DISTRIBUTOR INFORMATION (Refer Instruction No. 1)

ARN code	RIA code	ARN / RIA Name	Sub broker ARN code	Sub broker code **	EUIN*
ARN -	RIA -		ARN -		

Incase the Employee Unique Identification Number (EUIN) box has been left blank please refer point 4 related to EUIN.

\*Employee Unique Identification Number. \*\*As allotted by ARN holder. Upfront commission shall be paid directly by the investor to the AMFI registered Distributors based on the investors' assessment of various factors including the service rendered by the distributor.

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 in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor/sub broker.

By mentioning RIA code, I/We authorize you to share my/our transactions data feed/portfolio holdings/ NAV details under Direct Plan of scheme(s) managed by you with the Investment Adviser.

(Please  any one)  New Transfer of IDCW Enrolment  Existing Transfer of IDCW Cancellation

### 2. UNIT HOLDER DETAILS (MANDATORY) (Refer Instruction No. 2)

(Mandatory to submit FATCA & CRS declaration form if not submitted earlier or in case of change in status.)

Existing Folio No.

NAME OF FIRST/SOLE UNITHOLDER  Mr. Ms. M/s.

NAME OF GUARDIAN (if applicable)  Mr. Ms. M/s.

NAME OF SECOND UNITHOLDER  Mr. Ms. M/s.

NAME OF THIRD UNITHOLDER  Mr. Ms. M/s.

NAME OF PoA (if applicable)  Mr. Ms. M/s.

### 3A. DTSF ENROLMENT DETAILS (Refer eligible source and target scheme/plan/option in terms & conditions)

SOURCE SCHEME DETAILS

Scheme : \_\_\_\_\_

Option : IDCW\*\* # IDCW\*\* Frequency : \_\_\_\_\_ (Please refer SID)

# Please refer to the respective Scheme Information Document of the relevant scheme for mentioning the appropriate frequency.

TARGET SCHEME DETAILS

Scheme : \_\_\_\_\_

Option (Please  any one) :  Growth  IDCW\*\* IDCW\*\* Facility (Please  any one) :  Payout of IDCW  Reinvestment of IDCW (\*\* Refer Instruction No. 5)

# IDCW\*\* Frequency: \_\_\_\_\_

### 3B. DTSF CANCELLATION DETAILS

SOURCE SCHEME DETAILS

Scheme : \_\_\_\_\_

Option : IDCW\*\* IDCW\*\* Frequency: \_\_\_\_\_

### 4. DECLARATION AND SIGNATURE(S) (To be signed by ALL UNIT HOLDERS if mode of holding is 'Joint')

I/We have read and understood the terms and conditions of Transfer of Income Distribution cum Capital Withdrawal plan (Transfer of IDCW) for enrolment and cancellation and agree to abide by the same. I/We have also read the Scheme Information Documents (SID)/Key Information Memorandum(KIM) of the Target Scheme(s) carefully before applying for Transfer of IDCW.

For investors investing in Direct Plan: I/We hereby agree that the AMC has not recommended or advised me/us regarding the suitability or appropriateness of the product/scheme/plan.

**Aadhaar Update Consent:** I/We hereby provide my/our consent in accordance with Aadhaar Act, 2016 and regulation made thereunder, for (i) collecting, storing and usage (ii) validating/authenticating and (iii) updating my/our Aadhaar number(s) in accordance with the Aadhaar Act, 2016 (and regulations made thereunder) and PMLA.

I/We hereby provide my/our consent for sharing/disclosing of my Aadhaar number(s) including demographic information with the asset management companies of SEBI registered mutual fund and their Registrar and Transfer Agent (RTA) for the purpose of updating the same in my/our folios.

Please  if the EUIN space is left blank: I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this is an "execution-only" transaction without any interaction or advice by the employee/relationship manager/sales person of the above distributor or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor and the distributor has not charged any advisory fees on this transaction.

Sole/1 <sup>st</sup> Applicant/Guardian/Authorised Signatory/POA	2 <sup>nd</sup> Applicant/Guardian/Authorised Signatory/POA	3 <sup>rd</sup> Applicant/Guardian/Authorised Signatory/POA
--	---	---



### ACKNOWLEDGMENT SLIP (To be filled in by the investor)

Application No.

### Transfer of Income Distribution cum Capital Withdrawal Plan

Received, subject to verification, request for  Transfer of IDCW Enrolment OR  Transfer of IDCW Cancellation

From \_\_\_\_\_

Folio No. / Application No. \_\_\_\_\_

Acknowledgment Stamp & Date

# THE TERMS AND CONDITIONS OF TRANSFER OF INCOME DISTRIBUTION CUM CAPITAL WITHDRAWAL PLAN ARE AS FOLLOWS:

## Terms and conditions:

- Under the Transfer of Income Distribution cum Capital Withdrawal Plan (Transfer of IDCW), the investors may opt to automatically transfer (invest) the net IDCW amount (i.e., net of statutory levy/taxes, if any) payable under the Scheme (hereinafter referred to as "Source Scheme") into any other scheme (hereinafter referred to as "Target Scheme") of PGIM India Mutual Fund (PGIMIMF) on the ex-IDCW date (i.e., the immediate next business day after the Record Date) into the Target Scheme specified by the investor, at the applicable NAV of the Target Scheme and accordingly applicable number of units will be allotted in the Target Scheme, subject to the terms and conditions of the respective Target Scheme.

From Schemes		To Schemes (Target Schemes)
Scheme Name (Source Scheme)	IDCW Frequency Available	
PGIM India Banking & PSU Debt Fund	Regular and Quarterly	<ul style="list-style-type: none"> <li>PGIM India Large Cap Fund</li> <li>PGIM India Equity Savings Fund</li> <li>PGIM India Hybrid Equity Fund</li> <li>PGIM India Midcap Opportunities Fund</li> <li>PGIM India ELSS Tax Saver Fund</li> </ul>
PGIM India Liquid Fund		
PGIM India Ultra Short Duration Fund		
PGIM India Low Duration Fund	Quarterly	
PGIM India Corporate Bond Fund	Monthly, Quarterly & Annual	
PGIM India Short Duration Fund		
PGIM India Arbitrage Fund	Monthly	

- The minimum amount of investment is not applicable for investment made through Transfer of IDCW in the Target Scheme.
- The Units allotted in the Target scheme against investment via Transfer of IDCW will be subject to the applicable Exit Load of the Target scheme.
- Unit Holder(s) are advised to read the SID/KIM of Target Scheme (s) carefully before opting for Transfer of IDCW.
- Unit holders who wish to enrol for the Transfer of IDCW facility are required to fill in and submit a prescribed Transfer of IDCW Enrolment Form complete in all respects at any of the Investor Service Centres (ISCs) of PGIMIMF, separately for each Scheme/Plan/Option. The enrolment for Transfer of IDCW facility shall be for all units under the IDCW Option of the respective Source Scheme. Request for partial Transfer of Income Distribution cum Capital Withdrawal Plan is not permitted.

- Enrolment under the Transfer of IDCW facility will automatically override any previous instructions of the Unit holder for 'Payout of IDCW' or 'Reinvestment of IDCW' facility, as the case may be, in the Source Scheme and will also apply to additional units allotted in the Source Scheme subsequently on account of additional subscription/ switch-in/SIP/STP etc.
- The request for enrolment for Transfer of IDCW must be submitted at least seven (7) days prior to the Record Date for the IDCW in the Source Scheme. Hence investors should submit the Transfer of IDCW enrolment request sufficiently in advance. In case of this condition not being met, the Transfer of IDCW enrolment would be effective from the immediately succeeding Record Date of the IDCW in the Source Scheme. Consequently, the treatment of IDCW declared between the date of acceptance of the Transfer of IDCW Enrolment Form and date of registration thereof by the Registrar, shall be: in case of existing investors, as per the option selected by the Investor at the time of investment in the Source Scheme; and in case of new investors, as per the default option specified in the SID of the Source Scheme shall apply.
- Unit holders will have the right to opt out of Transfer of IDCW facility at any time by submitting a written request. Request for cancellation of Transfer of IDCW must be submitted at least seven (7) working days prior to the Record Date for the IDCW in the Source Scheme. Any IDCW declared in the Source Scheme during the interim period will be transferred to the Target Scheme. In case a unitholder opts out of Transfer of IDCW, the balance units in the folio would continue under the default option specified in the SID of the Source Scheme.
- The AMC reserves the right to change/ modify the terms and conditions of the Transfer of IDCW without prior notice or without assigning any reason thereof. If Transfer of IDCW facility is withdrawn from any Source Scheme or Target Scheme, the units of such investors who have opted for Transfer of IDCW will be continued under the default option specified in the SID of the Source Scheme and the unitholders will be sent suitable intimation in this regard.
- The Account Statement for Transfer of IDCW transactions will be sent by post or by email (if email address is provided) within 30 days of IDCW transfer.
- It is expressly clarified that the IDCW so transferred and invested in Target Scheme shall be constructive payment of IDCW to the Unit holder/s and constructive receipt of the same amount from each Unit holder for investment units of Target Scheme. It is further clarified that the IDCW amount transferred would be treated as switch-in/subscription transaction in the Target Scheme and will be liable to PAN and KYC provisions, as may be applicable.
- It must be distinctly understood that the actual declaration of IDCW and frequency thereof is at the sole discretion of Board of Directors of the Trustee Company. There is no assurance or guarantee to the Unit holders as to the rate of IDCW distribution nor that will the IDCW be paid regularly.

## INSTRUCTIONS

### 1. Distributor Information

- In case, the investor is directly applying, then they should clearly mention 'DIRECT' in the ARN column.
- Any edition or cancellation of the Distributor Information should be countersigned by the investor else the same is liable to be rejected.
- Quoting of EUIN is mandatory in case of advisory transactions.
- Distributors are advised to ensure that the sub broker affixes his/her ARN code in the column "Sub broker ARN code" separately provided in addition to the current practice of affixing the internal code issued by the main ARN holder in the "Sub broker code (as allotted by ARN holder)" column and the EUIN of the Sales Person (if any) in the "EUIN" column.
- Investors are requested to note that EUIN is applicable for transactions such as Purchases, Switches, Registrations of SIP/STP/Trigger STP/IDCW Transfer Plan and Zero Balance Folio creation and instalments under Transfer of Income Distribution cum Capital Withdrawal Plan.
- Investors are requested to note that EUIN is largely applicable to sales persons of non individual ARN holders only (whether acting in the capacity of the main distributor or sub broker). Further, EUIN will not be applicable for overseas distributors who comply with the requirements as per AMFI circular CIR/ ARN-14/12- 12 dated July 13, 2012.

### 2. Applicant's Details

- Please furnish the name of the Sole/First Unit holder and the existing Folio Number in section 2.
- To comply with the requirements of Foreign Account Tax Compliance Act (FATCA) & CRS (Common Reporting Standard), it is mandatory for all investors (including Guardian & POA) to provide the FATCA & CRS declaration W.e.f. November 1, 2015 (if not already submitted). The FATCA & CRS declaration forms can be downloaded from our website at -<http://www.pgimindiamf.com/downloads/KIMforms>.

### 3. DTSF Enrolment Details

- Please specify the Source and Target- Scheme/Option.
- Where Units under a scheme are held under both Regular and Direct Plans and the Transfer of IDCW request pertains to the Direct Plan, the same must be clearly be mentioned on the request, failing which the request would be processed from the Regular Plan. However,

where Units under the requested Option are held only under one Plan, the request would be processed under such Plan.

- A fresh Transfer of IDCW mandate shall be required as the existing Transfer of IDCW mandate shall cease to be effective in following events:
  - In the case of death of the sole unit holder (Transmission)
  - In case of consolidation of Folios where the target Folio's scheme/plan is not enrolled for Transfer of IDCW.

### 4. Implementation of Amendments in Indian Stamp Act, 1899

Investors / Unit Holders of all the Scheme(s) of the Mutual Fund pursuant to Notification No. S.O. 4419(E) dated December 10, 2019 issued by Department of Revenue, Ministry of Finance, Government of India, read with Part I of Chapter IV of Notification dated February 21, 2019 and Notification dated March 30, 2020 issued by Legislative Department, Ministry of Law and Justice, Government of India on the Finance Act, 2019, a stamp duty @ 0.005% of the transaction value would be levied on mutual fund transactions with effect from July 1, 2020. Accordingly, pursuant to levy of stamp duty, the number of units allotted on purchase, switch-ins, SIP/STP instalments (including IDCW reinvestment) to the unitholders would be reduced to that extent.

### 5. Renaming of Dividend options:

Investors are requested to note that pursuant to SEBI circular no. SEBI/HO/IMD/DF3/CIR/P/2020/194 dated October 05, 2020, the 'Dividend options' under all the existing schemes of PGIM India Mutual Fund ('the Mutual Fund') shall be renamed as follows with effect from April 1, 2021.

Option/facility	Name
Dividend Payout	Payout of Income Distribution cum Capital Withdrawal option
Dividend Re-investment	Reinvestment of Income Distribution cum Capital Withdrawal option
Dividend Transfer/Sweep Plan	Transfer of Income Distribution cum Capital Withdrawal plan

Investors are requested to note that the above changes are changes in the disclosure requirements. There is no change in the current manner of calculation and distribution of dividend. Whenever distributable surplus will be distributed, a clear segregation between income distribution (appreciation on NAV) and capital distribution (Equalization Reserve) shall be suitably disclosed in the Consolidated Account Statement provided to investors.

### Registered Office:

#### PGIM India Asset Management Pvt. Ltd.

4th Floor, C Wing, Laxmi Towers, Bandra Kurla Complex, Bandra (East), Mumbai - 400 051.

Tel: +91 - 22 - 6159 3000 Fax: +91 - 22 - 6159 3100