



## Key Information memorandum

# ADITYA BIRLA SUN LIFE MIDCAP FUND

(An open ended equity scheme predominantly investing in mid cap stocks.)

This Product is suitable for investors who are seeking\*:

- Long term capital growth
- investments primarily in mid cap stocks



Investors understand that their principal will be at **Moderately High** risk

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

### Continuous Offer of units at NAV based prices

<u>NAME OF THE ASSET MANAGEMENT COMPANY</u>	<u>NAME OF MUTUAL FUND</u>
<b>ADITYA BIRLA SUN LIFE AMC LIMITED (formerly known as Birla Sun Life Asset Management Co Ltd)</b> One Indiabulls Centre, Tower-1, 17th floor, Jupiter Mill Compound, 841, Senapati Bapat Marg, Elphinstone Road, Mumbai - 400 013 Tel.: +91-22 43568000 Fax No. +91-22 43568110 / 8111 CIN: U65991MH1994PLC080811	<b>ADITYA BIRLA SUN LIFE MUTUAL FUND (ABSLMF)</b> One India Bulls Centre, Tower 1, 17th Floor, Jupiter Mill Compound, 841, Senapati Bapat Marg, Elphinstone Road, Mumbai - 400 013 Tel. +91-22 43568000 Fax No. +91-22 43568110 / 8111 Website: www.mutualfund.adityabirlacapital.com

This Key Information Memorandum (KIM) sets forth the information, which a prospective investor ought to know before investing. **For further details of the scheme/Mutual Fund, due diligence certificate by the AMC, Key Personnel, investors' rights & services, risk factors, penalties & pending litigations etc. investors should, before investment, refer to the Scheme Information Document and Statement of Additional Information available free of cost at any of the Investor Service Centres or distributors or from the website [www.mutualfund.adityabirlacapital.com](http://www.mutualfund.adityabirlacapital.com).**

The Scheme particulars have been prepared in accordance with Securities and Exchange Board of India (Mutual Funds) Regulations 1996, as amended till date, and filed with Securities and Exchange Board of India (SEBI). The units being offered for public subscription have not been approved or disapproved by SEBI, nor has SEBI certified the accuracy or adequacy of this KIM.

<b>Name of the Scheme</b>	Aditya Birla Sun Life Midcap Fund
<b>Structure</b>	An open ended equity scheme predominantly investing in mid cap stocks
<b>Investment Objective</b>	The investment objective of the scheme is long term growth of capital at controlled level of risk by investing primarily in 'Mid-Cap' Stocks.
<b>Inception</b>	October 03, 2002
<b>No. of Folios &amp; AUM</b>	Folios: 1,86,495 AUM in Crs: Rs 2,384.03

<b>(As on April 30, 2018)</b>			
<b>Asset Allocation Pattern of the Scheme</b>	Under normal circumstances, the asset allocation pattern shall be as under: (% age of investible corpus)		
	<b>Instrument</b>	<b>Asset Allocation</b>	<b>Risk Profile</b>
	Equity and related instruments of Mid Cap Companies	65% - 100%	High
	Equity and related instruments of Companies other than Mid Cap companies	0 - 35%	High
	Debt & Money Market	0 - 20%	Low to Medium
<p>Mid cap companies will be 101st -250th company in terms of full market capitalization The scheme seeks to meet the objective by investing, normally, at least 65% of its total assets in Mid Cap stocks. Currently, investment universe of the Mid Cap portion of the portfolio is in line with the range specified in the Benchmark Nifty Full Midcap 100. This range would change in line with the change in the range of the market capitalisation criterion in the Benchmark.</p> <p>In order to diversify the portfolio and improve liquidity, the scheme may invest in upto 35% of its net assets in 'Large Cap' and 'Small Cap' companies.</p> <p>Large cap and Mid cap companies will be determined as under: a) Large Cap: 1st -100th company in terms of full market capitalization b) Small Cap: 251st company onwards in terms of full market capitalization</p> <p>The Fund manager may invest a small portion of the corpus for liquidity needs in debt and money market instruments. Normally such investments would not exceed a maximum limit of 35%.</p> <p>The scheme may also invest upto 50% of the portfolio (i.e. net assets including cash) in such derivative instruments as may be introduced from time to time subject to framework specified by SEBI, for the purpose of hedging and portfolio balancing and other uses as may be permitted under SEBI Regulations.</p> <p>Under normal circumstances the scheme shall not have an exposure of more than 25% of its net assets in foreign securities. However, the AMC with a view to protecting the interests of the investors, may increase exposure in foreign securities as deemed fit from time to time.</p> <p><b>Change in Asset Allocation</b></p> <p>The above mentioned investment pattern is indicative and may change for short duration. Subject to the SEBI (MF) Regulations, the asset allocation pattern indicated above may change from time to time, keeping in view market conditions, market opportunities, and political and economic factors. It must be clearly understood that the percentages stated above are only indicative and not absolute and that they can vary substantially depending upon the perception of the Investment Manager, the intention being at all times to seek to protect the interests of the unit holders. Such changes in the investment pattern will be for short term and defensive considerations. However, due to market conditions, the AMC may invest beyond the range set out above. Such deviations shall normally be for a short-term purpose only, for defensive considerations and the intention being at all times to protect the interests of the Unit Holders. The Fund Manager shall rebalance the portfolio within 30 days from the date of deviation to bring it in line with the asset allocation pattern as indicated in this SID. Further, in case the rebalancing is not done within the specified period, justification for the same shall be provided to the Investment Committee and the reason for the same shall be recorded in writing. The Investment Committee shall then decide on the course of action.</p>			

	<p>Provided further and subject to the above, any change in the asset allocation affecting the investment profile of the Scheme shall be effected only in accordance with the provisions of sub regulation (15A) of Regulation 18 of the SEBI (MF) Regulations.</p>
<b>Investment Strategy</b>	<p>The scheme would invest a substantial portion of its investible assets (over 65%) in Mid Cap companies. The stocks of these companies are generally more volatile and less liquid than the large cap stocks.</p> <p>In order to diversify the portfolio, the scheme manager may invest upto 35% in stocks which have a higher or lower market capitalisation. A small portion of the portfolio may be kept in call and money market instruments in order to meet the liquidity needs.</p> <p>The investment emphasis of the scheme would be on identifying companies with sound corporate managements and prospects of good future growth. Past performance will also be a major consideration. Essentially, the focus would be on long-term fundamentally driven values. However, short-term opportunities would also be seized, provided they are supported by underlying values. As part of the investment strategy, scheme will book profits regularly to take advantage of the volatility in the market.</p>
<b>Risk Profile of the Scheme</b>	<p>Mutual Fund Units involve investment risks including the possible loss of principal. Please read the Scheme Information Memorandum (SID) carefully for details on risk factors before investment. Scheme specific Risk Factors are summarized below:</p> <ul style="list-style-type: none"> <li>• The ability to absorb business changes is lesser in mid-cap companies as compared to some of their larger compatriots.</li> <li>• These stocks may, at particular given time, have poor liquidity on the bourses and volatility levels could be higher.</li> </ul>
<b>Risk Control</b>	<p>There are internal investment restrictions on individual stock exposure limits and there are sector exposure limits [only applicable to general equity funds]. Also there are restrictions on level of exposure to IPOs, private placements and small companies. In case of Birla Sun Life Midcap Fund, under normal circumstances, the Scheme would be investing in at least 20 companies and at least six sectors with a maximum exposure of 25% to each sector. However, the AMC reserves the right to modify this strategy from time to time and the changes would be informed to the unitholders in the next newsletter.</p> <p>While these measures are expected to mitigate the above risks to a large extent, there can be no assurance that these risks would be completely eliminated.</p>
<b>Plans/Options</b>	<p>The Scheme will have <b>Regular Plan and Direct Plan**</b> with a common portfolio and separate NAVs. Investors should indicate the Plan for which the subscription is made by indicating the choice in the application form.</p> <p>Each of the above (Regular and Direct) Plan under the scheme will have the following Options:</p> <ol style="list-style-type: none"> <li>(1) <b>Growth</b> Option and</li> <li>(2) <b>Dividend</b> Option (Payout / Reinvestment / Sweep Facility)</li> </ol> <p><b>**DIRECT PLAN:</b></p> <ol style="list-style-type: none"> <li><b>Direct Plan is only for investors who purchase /subscribe Units in a Scheme directly with the Mutual Fund and is not available for investors who route their investments through a Distributor.</b></li> <li><b>Eligible investors:</b> All categories of investors (whether existing or new Unitholders) as permitted under the Scheme Information Document of the Scheme are eligible to subscribe under Direct Plan.</li> <li><b>Modes for applying:</b> Investments under Direct Plan can be made through various modes offered by the Mutual Fund for investing directly with the Mutual Fund [except through Stock Exchange Platforms for Mutual Funds and all other Platform(s) where investors' applications for subscription of units are routed through Distributors].</li> <li><b>How to apply:</b> <ol style="list-style-type: none"> <li>Investors desirous of subscribing under Direct Plan of a Scheme will have to ensure to indicate "Direct Plan" against the Scheme name in the application form.</li> <li>Investors should also indicate "Direct" in the ARN column of the application form.</li> </ol> </li> </ol>
<b>Default Plan / Option /</b>	<p><b>Default Option/Sub-Option:</b> Dividend Option (Reinvestment facility).</p> <p>In case of valid application received without indicating choice between Growth and Dividend Option, the same shall be considered as Dividend Option (Reinvestment Facility) and processed</p>

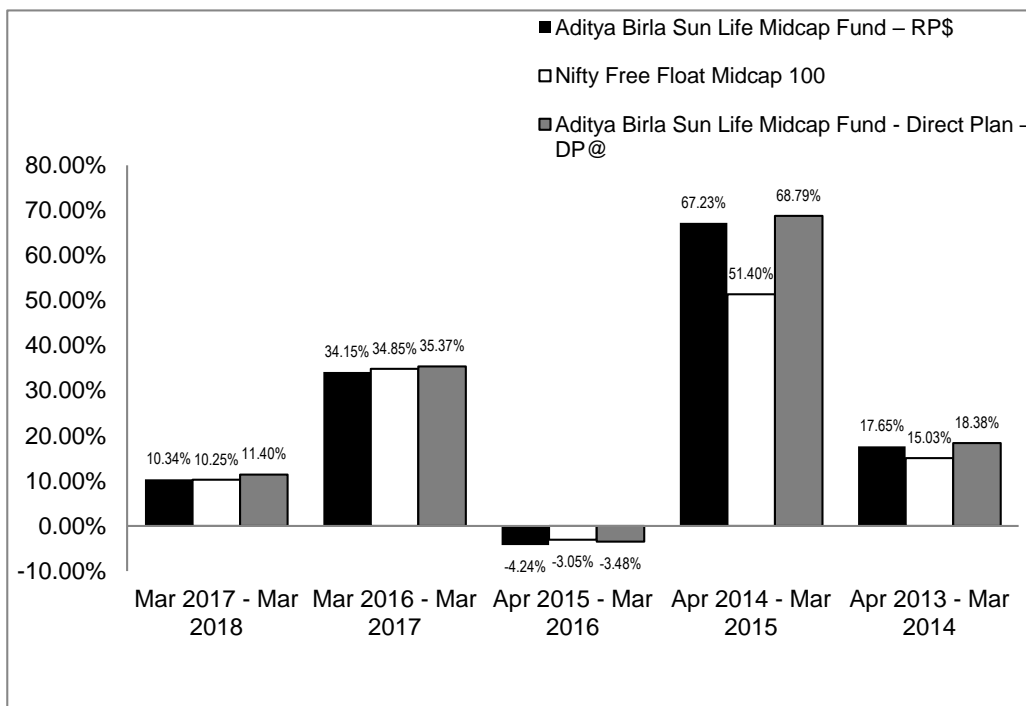
<p><b>Sub-option</b> (In case the investor fails to specify his preference, the given default plan / option / sub-option would apply)</p>	<p>accordingly. <b>Default Plan:</b> Investors are requested to note the following scenarios for the applicability of “Direct Plan or Regular Plan” for valid applications received under the Scheme:</p> <table border="1" data-bbox="310 386 1330 743"> <thead> <tr> <th>Scenario</th> <th>Broker mentioned by the investor</th> <th>Code</th> <th>Plan mentioned by the investor</th> <th>Default Plan to be captured</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>Not mentioned</td> <td></td> <td>Not mentioned</td> <td>Direct Plan</td> </tr> <tr> <td>2</td> <td>Not mentioned</td> <td></td> <td>Direct</td> <td>Direct Plan</td> </tr> <tr> <td>3</td> <td>Not mentioned</td> <td></td> <td>Regular</td> <td>Direct Plan</td> </tr> <tr> <td>4</td> <td>Mentioned</td> <td></td> <td>Direct</td> <td>Direct Plan</td> </tr> <tr> <td>5</td> <td>Direct</td> <td></td> <td>Not Mentioned</td> <td>Direct Plan</td> </tr> <tr> <td>6</td> <td>Direct</td> <td></td> <td>Regular</td> <td>Direct Plan</td> </tr> <tr> <td>7</td> <td>Mentioned</td> <td></td> <td>Regular</td> <td>Regular Plan</td> </tr> <tr> <td>8</td> <td>Mentioned</td> <td></td> <td>Not Mentioned</td> <td>Regular Plan</td> </tr> </tbody> </table> <p><i>In cases of wrong/ invalid/ incomplete ARN codes mentioned on the application form, the application shall be processed under Regular Plan. The AMC shall contact and obtain the correct ARN code within 30 calendar days of the receipt of the application form from the investor/ distributor. In case, the correct code is not received within 30 calendar days, the AMC shall reprocess the transaction under Direct Plan from the date of application without any exit load.</i></p>	Scenario	Broker mentioned by the investor	Code	Plan mentioned by the investor	Default Plan to be captured	1	Not mentioned		Not mentioned	Direct Plan	2	Not mentioned		Direct	Direct Plan	3	Not mentioned		Regular	Direct Plan	4	Mentioned		Direct	Direct Plan	5	Direct		Not Mentioned	Direct Plan	6	Direct		Regular	Direct Plan	7	Mentioned		Regular	Regular Plan	8	Mentioned		Not Mentioned	Regular Plan
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<p><b>Applicable NAV (after the scheme opens for repurchase and sale)</b></p>	<p>In accordance with provisions of SEBI circular CIR/IMD/DF/21/2012 dated September 13, 2012, SEBI circular dated No. Cir/ IMD/ DF/ 19/ 2010 dated November 26, 2010, SEBI Circular No. IMD/ CIR No. 11 / 142521 / 08 dated October 24, 2008 and SEBI Circular SEBI/ IMD/ CIR No.11/ 78450/ 06 dated October 11, 2006 and further amendments if any, thereto, the following cut-off timings shall be observed by Mutual Fund in respect of purchase/ redemption/ switches of units of the scheme, and the following NAVs shall be applied in each case:</p> <p><b>I. APPLICABLE NAV FOR SUBSCRIPTIONS/ PURCHASE INCLUDING SWITCH-IN OF UNITS:</b></p> <p><b><u>For an amount less than ` 2 lacs:</u></b></p> <ul style="list-style-type: none"> <li>In respect of valid applications received upto 3.00 p.m. by the Mutual Fund alongwith a local cheque or a demand draft payable at par at the place where the application is received, the closing NAV of the day on which application is received shall be applicable.</li> <li>In respect of valid applications received after 3.00 p.m. by the Mutual Fund alongwith a local cheque or a demand draft payable at par at the place where the application is received, the closing NAV of the next business day shall be applicable.</li> </ul> <p><b><u>For an amount of ` 2 lacs and above#:</u></b></p> <p>In respect of valid applications for purchase of units with amount equal to or more than ` 2 lacs, the closing NAV of the day (or immediately following Business Day if that day is not a Business day) on which the funds are available for utilization, shall be applicable.</p> <p>In respect of subscriptions/purchase/Switch-in application with amount equal to or more than ` 2 lacs, for allotment of units at applicable NAV as above, it shall be ensured that:</p> <ol style="list-style-type: none"> <li>Application is received before the applicable cut-off time (i.e. 3.00 p.m.)</li> <li>Funds for the entire amount of subscription / purchase /switch-in as per the application are credited to the bank account of the respective scheme before the applicable cut-off time (i.e. 3.00 p.m.).</li> <li>The funds are available for utilization before the applicable cut-off time without availing any credit facility whether intra-day or otherwise, by the respective scheme.</li> </ol> <p><b>II. APPLICABLE NAV FOR REDEMPTIONS INCLUDING SWITCH-OUT OF UNITS:</b></p> <ul style="list-style-type: none"> <li>In respect of valid applications received upto 3.00 p.m. by the Mutual Fund, same day's closing NAV shall be applicable.</li> <li>In respect of valid applications received after 3.00 p.m. by the Mutual Fund, the closing NAV of the next business day shall be applicable.</li> </ul> <p>While the Applicable NAV shall be as per cut-off time specified above, the NAV shall be declared</p>																																													

	<p>in accordance with the provisions as mentioned in the SID.</p> <p>#Investors are requested to note that the following practice of aggregating multiple / split applications / transactions shall be followed and accordingly the closing Net Asset Value (NAV) of the day on which the funds are available for utilization is being implemented where the aggregated amount of investments is Rs. 2 lacs and above.</p> <p>(a) All transactions received on same Business Day (as per cut-off timing and Time stamping rule prescribed under SEBI (Mutual Funds) Regulations,1996 or circulars issued thereunder from time to time).</p> <p>(b) Transactions shall include purchases, additional purchases, and exclude Switches, Systematic Investment Plans (SIP) / Systematic Transfer Plans (STP) and trigger transactions.</p> <p>(c) Aggregation of transactions shall be done on the basis of investor(s) Permanent Account Number (PAN). In case of joint holding in folios, transactions with similar holding pattern will be aggregated.</p> <p>(d) Such aggregation shall be done irrespective of the number of folios under which the investor is investing and irrespective of source of funds, mode of payment, location and time of application</p> <p>(e) All transactions will be aggregated where investor holding pattern is same as stated above, irrespective of whether the amount of the individual transaction is above or below ` 2 lacs.</p> <p>(f) Only transactions in the same scheme shall be clubbed. This will include transactions at plan / options level (i.e. Regular Plan, Direct Plan, Dividend Option, Growth Option, etc).</p> <p>(g) Transactions in the name of minor received through guardian will not be aggregated with the transaction in the name of same guardian. However, two or more transactions in the same folio of a minor will be considered for aggregation.</p>								
<b>Minimum Application Amount / Number of Units</b>	<b>Purchase (Incl. Switch-in)</b> Minimum of ` 1,000/- and in multiples of ` 1/- thereafter	<b>Additional Purchase (Incl. Switch-in)</b> Minimum of ` 1,000/- and in multiples of ` 1/- thereafter	<b>Repurchase</b> In Multiples of ` 1/- or 0.001 units.						
<b>Despatch of Proceeds of Repurchase (Redemption) Request</b>	Within 10 working days of the receipt of the redemption request at the official points of acceptance of Aditya Birla Sun Life Mutual Fund.								
<b>Benchmark Index</b>	<p><b>Nifty Free Float Midcap 100</b></p> <p>The fund reserves the right to change the benchmark for evaluation of the performance of the scheme from time to time, subject to SEBI Regulations and other prevailing guidelines if any.</p>								
<b>Dividend Policy</b>	Dividends will be declared subject to availability of distributable surplus and at the discretion of the AMC/Trustee. On payment of Dividends, the NAV will stand reduced by the amount of dividend and dividend distribution tax, if any.								
<b>Name of the Fund Manager and Tenure for which the fund manager has been managing the Scheme</b>	<table border="1"> <thead> <tr> <th><b>Fund Manager</b></th> <th><b>Managing Since</b></th> <th><b>Tenure</b></th> </tr> </thead> <tbody> <tr> <td>Mr. Jayesh Gandhi</td> <td>January 01,2015</td> <td>3.25 years</td> </tr> </tbody> </table>			<b>Fund Manager</b>	<b>Managing Since</b>	<b>Tenure</b>	Mr. Jayesh Gandhi	January 01,2015	3.25 years
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<b>Name of the Trustee Company</b>	Aditya Birla Sun Life Trustee Private Limited								
<b>Performance of the</b>	<b>I. PERFORMANCE OF SCHEMES AS AT APRIL 30, 2018.</b>								

Scheme	Returns	Last 1 Year *	Last 3 years	Last 5 Years	Since Inceptio
Aditya Birla Sun Life Mid Cap Fund (Inception - October 03,2002)		10.74	16.18	24.00	25.00
Nifty Free Float Midcap 100 Index		13.28	18.34	22.54	-
Aditya Birla Sun Life Mid Cap Fund - Direct Plan (Inception - January 01,2013)		11.80	17.21	25.05	21.40
Nifty Free Float Midcap 100 Index		13.28	18.34	22.54	18.92

Note: Past performance may or may not be sustained in future. \*Absolute Returns  
For dividend option, the returns would assume reinvestment of dividend, net of distribution taxes, if any

**II. ABSOLUTE YEARWISE RETURNS (FY APR-MAR)**



Past performance may or may not be sustained in future. The Returns are in %. Loads and Taxes not considered. Performance of dividend option under the scheme for the investors would be net of distribution tax, if any.

**Expenses of the Scheme:**

**Entry Load\*:** Nil  
**Exit Load:** For redemption/switch out of units within 365 days from the date of allotment: 1.00% of applicable NAV. For redemption/switch out of units after 365 days from the date of allotment: Nil

**(i) Load Structure**

\*In terms of SEBI circular no. SEBI/IMD/CIR No.4/ 168230/09 dated June 30, 2009, no entry load will be charged by the Scheme to the investor effective August 01, 2009. The upfront commission, if any, on investment made by the investor shall be paid by the investor directly to the Distributor, based on his assessment of various factors including the service rendered by the Distributor.

- No Exit Loads will be chargeable in case of switches made from Growth option to Dividend option or vice-versa within the respective Plans offered under the Scheme
- No entry or exit load shall be charged in respect of units issued to unitholders on Reinvestments of Dividends and units issued to unitholders as Bonus units.

	<ul style="list-style-type: none"> <li>Switch of investments from Regular Plan to Direct Plan shall be subject to applicable exit load, if any, and vice versa.</li> <li>The above Load shall be applicable in case SIP/STP/SWP transactions.</li> <li>Pursuant to Circular no. CIR/IMD/DF/21/2012 dated September 13, 2012, exit load charged, if any, by the AMC/Mutual Fund to the unitholders shall be credited to the Scheme immediately, net of service tax, if any.</li> </ul>																									
<p><b>(ii) Recurring expenses</b> <b>(As a % of daily net assets)</b></p>	<p>Actual (unaudited) expenses for the financial year ended March 31, 2018: 2.59% (Reg) ; 1.54% (Dir)</p> <p><b>Maximum estimated permissible expenses, including investment management and advisory fees, as a % per annum of daily net assets:</b></p> <table border="1" data-bbox="310 604 1328 1388"> <thead> <tr> <th colspan="2">Maximum estimated permissible expense as a % per annum of daily net assets</th> </tr> <tr> <th>A. Expense Head / Nature of expense</th> <th>% of daily net assets</th> </tr> </thead> <tbody> <tr><td>Investment Management and Advisory Fees (AMC fees)</td><td rowspan="14">Upto 2.50%</td></tr> <tr><td>Trustee fee</td></tr> <tr><td>Audit fees</td></tr> <tr><td>Custodian fees</td></tr> <tr><td>Marketing &amp; Selling expense including agent commission</td></tr> <tr><td>Cost related to investor communications</td></tr> <tr><td>Cost of fund transfer from location to location</td></tr> <tr><td>Cost of providing account statements/allotment advice and dividend/redemption cheques and warrants</td></tr> <tr><td>Costs of Statutory advertisements</td></tr> <tr><td>Cost towards investor education &amp; awareness (at least 2 bps)^</td></tr> <tr><td>Brokerage &amp; transaction cost over and above 12 bps and 5 bps for cash and derivative market trades respectively.</td></tr> <tr><td>GST on expenses other than investment management and advisory fees</td></tr> <tr><td>Service tax on brokerage and transaction cost</td></tr> <tr><td>Other expenses</td></tr> <tr> <td><b>Maximum total expense ratio (TER) permissible under Regulation 52(6)(c)(i) ##</b></td> <td><b>Upto 2.50%</b></td> </tr> <tr> <td><b>B. Additional expenses under Regulation 52 (6A) (c)</b></td> <td><b>Upto 0.20%</b></td> </tr> <tr> <td><b>A. Additional expense for gross new inflows from specified cities under Regulation 52 (6A) (b) to improve geographical reach of scheme.</b></td> <td><b>Upto 0.30%</b></td> </tr> </tbody> </table> <p><i>The purpose of the above table is to assist the investor in understanding the various costs and expenses that an investor in the scheme will bear directly or indirectly. The above estimates for recurring expense are for indicative purposes only and have been made in good faith as per the information available to the AMC based on past experience.</i></p> <p>Registrar &amp; Transfer Agent (RTA) Fees will be borne by the AMC. \$Listing expenses are part of other expenses</p> <p><b>Note:</b></p> <p>(a) The TER is charged towards distribution expenses/ commission in the Regular Plan. The TER of the Direct Plan will be lower to the extent of the abovementioned distribution expenses/ commission (at least by 10% of total expense ratio charged under Regular Plan) which is charged in the Regular Plan.</p> <p>(b) ##The Maximum total expense ratio for the Direct Plan as permissible under Regulation 52(6)(c)(i) will not exceed 2.00% p.a. of daily net assets of the Scheme</p> <p>(c) ^ In terms of SEBI Circular No. CIR/IMD/DF/21/2012 dated September 13, 2012, the AMC / Mutual Fund shall annually set apart at least 2 basis points (i.e. 0.02%) on daily net assets of the scheme within the maximum limit of Total Expense Ratio as per Regulation 52 of the</p>	Maximum estimated permissible expense as a % per annum of daily net assets		A. Expense Head / Nature of expense	% of daily net assets	Investment Management and Advisory Fees (AMC fees)	Upto 2.50%	Trustee fee	Audit fees	Custodian fees	Marketing & Selling expense including agent commission	Cost related to investor communications	Cost of fund transfer from location to location	Cost of providing account statements/allotment advice 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 respectively.	GST on expenses other than investment management and advisory fees	Service tax on brokerage and transaction cost	Other expenses	<b>Maximum total expense ratio (TER) permissible under Regulation 52(6)(c)(i) ##</b>	<b>Upto 2.50%</b>	<b>B. Additional expenses under Regulation 52 (6A) (c)</b>	<b>Upto 0.20%</b>	<b>A. Additional expense for gross new inflows from specified cities under Regulation 52 (6A) (b) to improve geographical reach of scheme.</b>	<b>Upto 0.30%</b>
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	<p>SEBI (MF) Regulations for investor education and awareness initiatives.</p> <p>(d) In terms of SEBI Circular No. CIR/IMD/DF/21/2012 dated September 13, 2012, AMC may charge service tax on following Fees and expenses as below:</p> <p>a. <b>Investment Management and Advisory Fees:</b> AMC may charge service tax on investment management and advisory fees to the scheme in addition to the maximum limit of Total Expense Ratio as prescribed under Regulation 52 of the SEBI (MF) Regulations.</p> <p>b. <b>Other than Investment Management and Advisory Fees:</b> AMC may charge service tax on expenses other than investment management and advisory fees to the scheme within the maximum limit of Total Expense Ratio as prescribed under Regulation 52 of the SEBI (MF) Regulations. Further, service tax on Brokerage and transaction cost incurred for execution of trades, will be within the maximum limit of Total Expense Ratio as prescribed under Regulation 52 of the SEBI (MF) Regulations</p> <p>(e) As per Regulation 52(6)(c)(i) of SEBI (MF) Regulations, the total expenses of the scheme, including Investment Management and Advisory Fees, shall be subject to following limits as specified below:</p> <table border="1" data-bbox="321 724 1318 814"> <thead> <tr> <th>First ` 100 Crores</th> <th>Next ` 300 Crores</th> <th>Next ` 300 Crores</th> <th>Over ` 700 Crores</th> </tr> </thead> <tbody> <tr> <td>2.50%</td> <td>2.25%</td> <td>2.00%</td> <td>1.75%</td> </tr> </tbody> </table> <p>(f) Additional Expenses upto 0.20% of daily net assets as permissible under Regulation 52 (6A) (c) may be charged by AMC under different heads of expenses mentioned under Regulation 52 (2) and (4) and more specifically stated in table above.</p> <p>(g) <b>Fungibility of Maximum Permissible expense:</b> The maximum total expense ratio (TER) that can be charged to the scheme will be subject to such limits as prescribed under the SEBI (MF) Regulations. The said maximum TER shall either be apportioned under various expense heads as enumerated above, without any sub limit or allocated to any of the said expense head(s) at the discretion of AMC. Also, the types of expenses charged shall be as per the SEBI (MF) Regulations</p> <p>Investors should note that the total recurring expenses of the scheme excluding issue or redemption expenses, whether initially borne by the Mutual Fund or by the AMC, but including the investment management and advisory fee, shall not exceed the limits as prescribed under Regulation 52 of the SEBI (MF) Regulations. Subject to the SEBI (MF) Regulations, expenses over and above the prescribed ceiling will be borne by the AMC.</p>	First ` 100 Crores	Next ` 300 Crores	Next ` 300 Crores	Over ` 700 Crores	2.50%	2.25%	2.00%	1.75%
First ` 100 Crores	Next ` 300 Crores	Next ` 300 Crores	Over ` 700 Crores						
2.50%	2.25%	2.00%	1.75%						
<b>Waiver of Load for Direct Applications</b>	Not Applicable								
<b>Tax treatment for the Investors (Unitholders)</b>	Investors are advised to refer to the details in the Statement of Additional Information and also independently refer to his tax advisor.								
<b>Daily Net Asset Value (NAV) Publication</b>	The NAV will be declared on all business days and will be published in atleast 2 daily newspapers in accordance with SEBI (MF) Regulations. NAV can also be viewed on <a href="http://www.mutualfund.adityabirlacapital.com">www.mutualfund.adityabirlacapital.com</a> and <a href="http://www.amfiindia.com">www.amfiindia.com</a> Investors can also call up at our toll free number 1800-22-7000 / 1800-270-7000.								
<b>For Investor Grievances please contact</b>	<table border="1" data-bbox="293 1703 1344 1917"> <tr> <td data-bbox="293 1703 846 1917"> <b>Aditya Birla Sun Life AMC Ltd</b>            One India Bulls Centre, Tower 1, 17th Floor,            Jupiter Mill Compound, 841, Senapati Bapat            Marg, Elphinstone Road, Mumbai 400 013            Tel.: 1800-270-7000 / 1800-22-7000 ,            E-mail:         </td> <td data-bbox="846 1703 1344 1917"> <b>Registrar &amp; Transfer Agents:</b>  <b>Computer Age Management Services Pvt. Ltd. (CAMS)</b>            Rayala Towers, 158, Anna Salai, Chennai -            600002.            Contact Details: 1800-425-2267         </td> </tr> </table>	<b>Aditya Birla Sun Life AMC Ltd</b> One India Bulls Centre, Tower 1, 17th Floor, Jupiter Mill Compound, 841, Senapati Bapat Marg, Elphinstone Road, Mumbai 400 013 Tel.: 1800-270-7000 / 1800-22-7000 , E-mail:	<b>Registrar &amp; Transfer Agents:</b> <b>Computer Age Management Services Pvt. Ltd. (CAMS)</b> Rayala Towers, 158, Anna Salai, Chennai - 600002. Contact Details: 1800-425-2267						
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	care.mutualfunds@adityabirlacapital.com CIN: U65991MH1994PLC080811	E-mail: adityabirlacapital.mf@camsonline.com Website Address:www.camsonline.com
<b>Unitholders , Information</b>	<p><b>APPLICABLE TO INVESTORS WHO OPT TO HOLD UNITS IN PHYSICAL (NON-DEMAT) MODE AND DO NOT HAVE DEMAT ACCOUNT :</b></p> <p><b>For normal transactions during ongoing sales and repurchase:</b></p> <ul style="list-style-type: none"> <li>▪ On acceptance of the application for subscription, an allotment confirmation specifying the number of units allotted to the investor shall be sent by way of email and/or SMS's to the investors' registered email address and/or mobile number not later than 5 (five) business days.</li> <li>▪ Thereafter, a Consolidated Account Statement (CAS) for each calendar month to the Unitholder(s) in whose folio(s) transaction(s) has/have taken place during the month, on or before 10th of the succeeding month shall be sent by e-mail/mail. CAS shall contain details relating to all the transactions** carried out by the investor, including details of transaction charges paid to the distributor, if any, across all schemes of all mutual funds, during the month and holding at the end of the month.</li> </ul> <p><i>**The word 'transaction' shall include purchase, redemption, switch, dividend payout, dividend reinvestment, Systematic Investment Plan, Systematic Withdrawal Plan, Systematic Transfer Plan and bonus transactions.</i></p> <ul style="list-style-type: none"> <li>▪ In case of specific request is received from investors, account statement shall be issued to the investors within 5 (five) business days from the receipt of such request without any charges. The unitholder may request for a physical account statement by writing/calling the AMC/ISC/R&amp;T.</li> <li>▪ In the event the account has more than one registered holder, the first named Unitholder shall receive the CAS/account statement.</li> <li>▪ The transactions viz. purchase, redemption, switch, dividend payout, etc., carried out by the Unitholders shall be reflected in the CAS on the basis of Permanent Account Number (PAN).</li> <li>▪ The CAS shall not be received by the Unitholders for the folio(s) not updated with PAN details. The Unitholders are therefore requested to ensure that the folio(s) are updated with their PAN.</li> <li>▪ <b>No Account statements will be issued to investors opted to hold units in electronic (demat) mode, since the statement of account furnished by depository participant periodically will contain the details of transactions</b></li> </ul> <p><b>APPLICABLE TO INVESTORS WHO OPT TO HOLD UNITS IN ELECTRONIC (DEMAT) MODE:</b></p> <ul style="list-style-type: none"> <li>▪ On acceptance of the application for subscription, an allotment confirmation specifying the number of units allotted to the investor shall be sent by way of email and/or SMS's to the investors' registered email address and/or mobile number not later than 5 (five) business days.</li> <li>• Thereafter, Single Consolidated Account Statement (SCAS), based on PAN of the holders, shall be sent by Depositories, for each calendar month within 10th day of the succeeding month to the unitholders in whose folio(s)/demat account(s) transactions have taken place during that month.</li> <li>• SCAS shall be sent by Depositories every half yearly (September/ March), on or before 10th day of succeeding month, detailing holding at the end of the sixth month, to all such unitholders in whose folios and demat accounts there have been no transactions during that period.</li> <li>• In case of demat accounts with nil balance and no transactions in securities and in mutual fund folios, the depository shall send account statement in terms of regulations applicable to the depositories.</li> <li>• Consolidation shall be done on the basis of Permanent Account Number (PAN). In the event the folio / demat account has more than one registered holder, the first named Unit holder / Account holder shall receive the SCAS. For the purpose of SCAS, common investors across mutual funds / depositories shall be identified on the basis of PAN. Consolidation shall be based on the common sequence/ order of investors in various folios/ demat accounts across mutual funds / demat accounts across depository participants.</li> </ul>	

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

#### **Half Yearly Consolidated Account Statement:**

- A CAS detailing holding across all schemes of all mutual funds at the end of every six months (i.e. September/ March), shall be sent by mail/e-mail on or before 10th day of succeeding month, to all such Unitholders in whose folios no transaction has taken place during that period. Such Consolidated Account Statement shall reflect the latest closing balance and value of the Units prior to the date of generation of the consolidated account statement.
- The half yearly consolidated account statement will be sent by e-mail to the Unitholders whose e-mail address is available, unless a specific request is made to receive in physical.

#### **COMMUNICATION BY EMAIL**

- For those unitholders who have provided an e-mail address, the AMC will send the communication by email. Unitholders who receive e-mail statements may download the documents after receiving e-mail from the Mutual Fund. Should the Unitholder experience any difficulty in accessing the electronically delivered documents, the Unitholder shall promptly advise the Mutual Fund to enable the Mutual Fund to make the delivery through alternate means. It is deemed that the Unitholder is aware of all security risks including possible third party interception of the documents and contents of the documents becoming known to third parties.

#### **Annual Report:**

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

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

- By e-mail only** to the Unitholders whose e-mail address is available with BSLAMC / Mutual Fund;
- In physical form to the Unitholders whose email address is not available with Mutual Fund and/or to those Unitholders who have opted / requested for the same.

Accordingly, unitholders are requested to ensure that their folio(s) are updated with e-mail address, in case they wish to receive the reports electronically i.e. via e-mail. Also, in case the unitholders wish to receive physical copies of reports they may indicate as such, notwithstanding registration of e-mail address with BSLAMC / Mutual Fund.

The physical copy of the scheme wise annual report or abridged summary thereof shall be made available to the investors at the registered office of the BSLAMC. A link of the scheme annual report or abridged summary thereof shall be displayed prominently on the website of the Mutual

	<p>Fund (<a href="http://www.birlasunlife.com">www.birlasunlife.com</a>) and shall also be displayed on the website of AMFI (<a href="http://www.amfiindia.com">www.amfiindia.com</a>).</p> <p><b>Half Yearly Disclosures (Unaudited Financial Results / Portfolio):</b></p> <p>Mutual Fund / AMC shall within one month from the close of each half year, (i.e. 31st March and on 30th September), host a soft copy of its unaudited financial results on its website (<a href="http://www.birlasunlife.com">www.birlasunlife.com</a>). Further, the Mutual Fund / AMC shall publish an advertisement disclosing the hosting of such unaudited half yearly financial results on their website, in atleast one national English daily newspaper and a regional newspaper published in the language of the region where the Head Office of the Mutual Fund is situated.</p> <p>The Mutual Fund / AMC shall before the expiry of one month from the close of each half year (i.e. 31st March and 30th September), publish complete statement of the scheme portfolio in prescribed format as at end of such half year in one national English daily newspaper and in a regional newspaper published in the language of the region where the Head Office of the Mutual Fund is situated.</p> <p><b>Monthly Portfolio Disclosures:</b></p> <p>The monthly portfolio of the scheme (alongwith ISIN) shall also be made available on the website of Mutual Fund (<a href="http://www.birlasunlife.com">www.birlasunlife.com</a>) on or before tenth day of the succeeding month.</p>																																																						
<p><b>Scheme Portfolio Holdings</b></p>	<p><b>a) Top 10 holdings (as on April 30, 2018)</b></p> <table border="1" data-bbox="305 814 1068 1213"> <thead> <tr> <th>Issuer Name</th> <th>% to Net Assets</th> </tr> </thead> <tbody> <tr> <td>Clearing Corporation of India Ltd</td> <td>6.05%</td> </tr> <tr> <td>Mahindra CIE Automotive Limited</td> <td>3.15%</td> </tr> <tr> <td>TI Financial Holdings Limited</td> <td>3.04%</td> </tr> <tr> <td>TeamLease Services Limited</td> <td>2.74%</td> </tr> <tr> <td>MRF Limited</td> <td>2.69%</td> </tr> <tr> <td>RBL Bank Limited</td> <td>2.68%</td> </tr> <tr> <td>Gujarat State Petronet Limited</td> <td>2.63%</td> </tr> <tr> <td>Sun TV Network Limited</td> <td>2.59%</td> </tr> <tr> <td>Godrej Industries Limited</td> <td>2.50%</td> </tr> <tr> <td>Tata Global Beverages Limited</td> <td>2.50%</td> </tr> </tbody> </table> <p><b>b) Sector-wise Allocation (as on April 30, 2018)</b></p> <table border="1" data-bbox="305 1329 1079 1896"> <thead> <tr> <th>Sectors</th> <th>% Exposure</th> </tr> </thead> <tbody> <tr> <td>Financial Services</td> <td>23.97%</td> </tr> <tr> <td>Industrial Manufacturing</td> <td>11.06%</td> </tr> <tr> <td>Consumer Goods</td> <td>10.25%</td> </tr> <tr> <td>Energy</td> <td>8.18%</td> </tr> <tr> <td>Construction</td> <td>6.86%</td> </tr> <tr> <td>Pharma</td> <td>6.70%</td> </tr> <tr> <td>Others</td> <td>6.05%</td> </tr> <tr> <td>Services</td> <td>5.51%</td> </tr> <tr> <td>Automobile</td> <td>5.45%</td> </tr> <tr> <td>IT</td> <td>3.53%</td> </tr> <tr> <td>Metals</td> <td>3.03%</td> </tr> <tr> <td>Media &amp; Entertainment</td> <td>2.59%</td> </tr> <tr> <td>Cement &amp; Cement Products</td> <td>2.32%</td> </tr> <tr> <td>Chemicals</td> <td>2.15%</td> </tr> <tr> <td>Textiles</td> <td>1.52%</td> </tr> </tbody> </table>	Issuer Name	% to Net Assets	Clearing Corporation of India Ltd	6.05%	Mahindra CIE Automotive Limited	3.15%	TI Financial Holdings Limited	3.04%	TeamLease Services Limited	2.74%	MRF Limited	2.69%	RBL Bank Limited	2.68%	Gujarat State Petronet Limited	2.63%	Sun TV Network Limited	2.59%	Godrej Industries Limited	2.50%	Tata Global Beverages Limited	2.50%	Sectors	% Exposure	Financial Services	23.97%	Industrial Manufacturing	11.06%	Consumer Goods	10.25%	Energy	8.18%	Construction	6.86%	Pharma	6.70%	Others	6.05%	Services	5.51%	Automobile	5.45%	IT	3.53%	Metals	3.03%	Media & Entertainment	2.59%	Cement & Cement Products	2.32%	Chemicals	2.15%	Textiles	1.52%
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	** includes Cash / CBLO / Interest Rate Swap /Bills Rediscounting /Fixed Deposit /REPO / Margin Fixed Deposit / net receivables / payables/ Warrants								
<b>Portfolio Turnover Ratio of the Scheme</b>	0.91								
<b>Transaction Charges</b>  (For Lumpsum Purchases and SIP Investments routed through distributor / agent)	<p>SEBI has, with the intent to enable investment by people with small saving potential and to increase reach of Mutual Fund products in urban areas and in smaller towns, wherein the role of the distributor is considered vital, allowed AMCs vide its circular No. Cir/ IMD/ DF/13/ 2011 dated August 22, 2011 to deduct transaction charges for subscription of `10,000/- and above.</p> <p>In accordance with the said circular, ABSLAMC / Mutual Fund will deduct the transaction charges from the subscription amount and pay to the distributors as shown below (who have opted-in to receive the transaction charges on basis of type of product). Thereafter, the balance of the subscription amount shall be invested.</p> <p>1. Transaction charges shall be deducted for Applications for purchase/ subscription relating to new inflows and routed through distributor/ agent:</p> <table border="1"> <thead> <tr> <th>Investor Type</th> <th>Transaction charges<sup>^</sup></th> </tr> </thead> <tbody> <tr> <td><b>First Time Mutual Fund Investor (across Mutual Funds)</b></td> <td>` 150 for subscription application of `10,000 and above.</td> </tr> <tr> <td><b>Investor other than First Time Mutual Fund Investor</b></td> <td>` 100 for subscription application of `10,000 and above.</td> </tr> </tbody> </table> <p>2. <sup>^</sup>The transaction charge, if any, shall be deducted by the BSLAMC from the subscription amount and paid to the distributor; and the balance shall be invested and accordingly units allotted. The statement of account shall clearly state the net investment as gross subscription less transaction charge and depict the number of units allotted against the net investment amount.</p> <p>However, Transaction charges in case of investments through Systematic Investment Plan (SIP) from first time mutual fund investor and investor other than first time mutual fund investor shall be deducted only if the total commitment (i.e. amount per SIP installment x No. of installments) amounts to Rs. 10,000/- or more. The transaction charges shall be deducted in 3-4 installments.</p> <p><b>3. Transaction charges shall not be deducted/applicable for:</b></p> <ol style="list-style-type: none"> <li>purchases / subscriptions for an amount less than ` 10,000/-;</li> <li>Transaction other than purchases / subscriptions relating to new inflows such as Switches, etc.</li> <li><b>Purchases / subscriptions made directly with the Mutual Fund (i.e. not routed through any distributor / agent).</b></li> <li>Transactions carried out through the Stock Exchange Platforms for Mutual Funds.</li> </ol> <p>4. Investor should note that, as per SEBI circular no. SEBI/IMD/CIR No. 4/ 168230/09, dated June 30, 2009, the upfront commission, if any, on investment made by the investor shall continue to be paid by the investor directly to the Distributor by a separate cheque, based on his assessment of various factors including the service rendered by the Distributor.</p>	Investor Type	Transaction charges <sup>^</sup>	<b>First Time Mutual Fund Investor (across Mutual Funds)</b>	` 150 for subscription application of `10,000 and above.	<b>Investor other than First Time Mutual Fund Investor</b>	` 100 for subscription application of `10,000 and above.		
Investor Type	Transaction charges <sup>^</sup>								
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**Notwithstanding anything contained in the Key Information Memorandum, the provisions of SEBI (Mutual Funds) Regulations, 1996 and Guidelines thereunder shall be applicable. Further, investors may ascertain about any further changes from the Mutual Fund/Investor Service Centres / Distributors or Brokers.**

**Date: May 21, 2018**

**Place: Mumbai**

# MUTUAL FUNDS

## Aditya Birla Sun Life Mutual Fund



**ADITYA BIRLA  
CAPITAL**

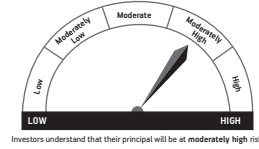
PROTECTING INVESTING FINANCING ADVISING

### Aditya Birla Sun Life Midcap Fund (An open ended equity scheme predominantly investing in mid cap stocks.)

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

- long term capital growth
- investments primarily in mid cap stocks

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



**(Please read the instructions before filling up the form. All sections to be completed in english in black / blue coloured ink and in block letters.)**

<b>Distributor Name &amp; ARN/ RIA No.</b>	<b>Sub Broker Name &amp; ARN/ RIA No.</b>	<b>Sub Broker Code</b>	<b>Employee Unique ID. No. (EUIN)</b>	<b>Application No.</b>

EUIN is mandatory for "Execution Only" transactions. Ref. Instruction No. 9

I/we hereby confirm that the EUIN box has been intentionally left blank by me/us as this transaction is executed without any interaction or advice by the employee/relationship manager/sales person of the 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.

<b>First Applicant / Authorised Signatory</b>	<b>Second Applicant</b>	<b>Third Applicant</b>

#### Transaction Charges for Applications routed through Distributors/agents only (Refer Instruction 1 (viii))

In case the subscription (lumpsum) amount is ₹ 10,000/- or more and your Distributor has opted to receive Transaction Charges, ₹ 150/- (for first time mutual fund investor) or ₹ 100/- (for investor other than first time mutual fund investor) will be deducted from the subscription amount and paid to the distributor. Units will be issued against the balance amount invested.

**Existing Unitholder please fill in your Folio No., Name & Email ID and then proceed to Section 5 (Applicable details and Mode of holding will be as per the existing Folio No.)**

**Existing Folio No.**

#### 1. FIRST / SOLE APPLICANT INFORMATION (MANDATORY) (Refer Instruction No. 2,3,4) Fresh / New Investors fill in all the blocks. (1 to 8) In case of investment "On behalf of Minor", Please Refer Instruction no. 2(ii)

Name of First/Sole Applicant (as per PAN/ Aadhaar Card)#

PAN / PEKRN (Mandatory)  Date of Birth\*\*

AADHAR Card Number  CKYC Number  (Prefix if any)  14 digit CKYC Number

Name of the Second Applicant (as per PAN/ Aadhaar Card)#

PAN / PEKRN (Mandatory)  Date of Birth\*\*

AADHAR Card Number  CKYC Number  (Prefix if any)  14 digit CKYC Number

Name of the Third Applicant (as per PAN/ Aadhaar Card)#

PAN / PEKRN (Mandatory)  Date of Birth\*\*

AADHAR Card Number  CKYC Number  (Prefix if any)  14 digit CKYC Number

Name of the Guardian (as per PAN/ Aadhaar Card)# (In case First / Sole Applicant is minor) / Contact Person - Designation - Poa Holder (In case of Non-individual Investors)

Mr. Ms. M/s.

PAN / PEKRN (Mandatory)  Date of Birth\*\*

AADHAR Card Number  CKYC Number  (Prefix if any)  14 digit CKYC Number

Relationship of Guardian (Refer Instruction No. 2(ii))

ISD CODE  TEL: OFF.  S T D

TEL: RESI  S T D  #The application is liable to get rejected if does not match with PAN card/ Aadhar card

Proof of the Relationship with Minor\*\*  \*\* Mandatory in case the First / Sole Applicant is Minor

#### Acknowledgement Slip (To be filled in by the Investor)

Aditya Birla Sun Life Midcap Fund

Application No.

Collection Centre /  
ABSLAMC Stamp & Signature

Received from Mr. / Ms. \_\_\_\_\_ Date : \_\_\_\_/\_\_\_\_/\_\_\_\_

[Please Tick (✓)] Enclosed  PAN/PEKRN Proof  KYC Complied  NECS Form  Yes  No

**Aditya Birla Sun Life AMC Limited** (Investment Manager to Aditya Birla Sun Life Mutual Fund)

(Formerly known as Birla Sun Life Asset Management Company Limited)

Regn. No.: 109, Regd Office: One Indiabulls Centre, Tower 1, 17th Floor, Jupiter Mill Compound, 841, Senapati Bapat Marg, Elphinstone Road, Mumbai - 400013

+91 22 4356 7000 | care.mutualfunds@adityabirlacapital.com | www.adityabirlasunlifemf.com | CIN: U65991MH1994PLC080811

Contact Us:

1800-270-7000

adityabirlacapital.com

















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