Nippon India Mutual Fund
Wealth sets you free

NIPPON INDIA SMART STEP ENROLMENT FORM

APP No.:

Use this form if you wish to transfer your investment systematically through Nippon India SMART STeP. Please read the instructions before filling up the form

1. MFD / RIA INFORMATION

Name & ARN Code	Sub Agent ARN Code	Sub Agent Code / Bank Branch Code / Internal Code	*Employee Unique Identification Number	RIA Code**
ARN- (ARN stamp here)		ARN-		

FOR OFFICE USE ONLY	
Date and Time of Receipt	
Bank / Register Serial No.	

*Please sign below in case the EUIN is left blank/not provided. 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.

SIGN HERE	First / Sole Applicant / Guardian / Authorised Signatory	Second Applicant / Authorised Signatory	Third Applicant / Authorised Signatory

Upfront commission shall be paid directly by the investor to the AMFI registered distributor based on the investor's assessment of various factors including the service rendered by the distributor.

2. EXISTING UNIT HOLDER INFORMATION (Refer Instruction. 6)

FOLIO NO.

New Investors are required to fill up Common Application Form for investing in Transferor (Liquid/Debt) Scheme along with Enrolment form of Nippon India SMART STeP.

3. PARTICULARS OF APPLICANT

Name of First / Sole applicant ☐ **Mr.** ☐ **Ms.** ☐ **M/s.**

Name of Guardian ☐ **Mr.** ☐ **Ms.** ☐ **M/s.** (in case of First / Sole Applicant is a Minor) / Contact Person - Designation (in case of non-individual Investors)

Name of Second Applicant [Please tick (✓)] ☐ **Mr.** ☐ **Ms.**

Name of Third Applicant [Please tick (✓)] ☐ **Mr.** ☐ **Ms.**

4. TRANSFEROR / TRANSFEREE SCHEME (Refer Instruction No. 10) (If the investor wishes to invest in Direct Plan please mention Direct Plan against the scheme name)

	Scheme	Plan	Option
Name of 'Transferor' Scheme/Plan/Option Refer Instruction 14 & 17		☐ Growth ☐ Income Distribution cum capital withdrawal	☐ Growth Option ☐ Reinvestment ☐ Payout
Name of 'Transferee' Scheme/Plan/Option Refer Instruction 15 & 18		☐ Growth ☐ Income Distribution cum capital withdrawal	☐ Growth Option ☐ Reinvestment ☐ Payout

5 FREQUENCY & TENURE (Refer Instruction No. 13)

Frequency : Monthly (10th of every month)

Enrolment Period : Refer Instruction 23

From M M Y Y

No. of Years ☐☐ **(Minimum 1 year and in multiples of 1 years thereafter)**

6. PLAN (Refer Instruction No. 11)

Plan	☐ Plan A	☐ Plan B	☐ Plan C	☐ Plan D	☐ Plan E (Refer Instruction No. 19)
Low	₹ 500	₹ 1500	₹ 8000	₹ 15000	₹ _____ (Minimum ₹ 30,000 & in multiples of ₹ 500/- thereafter)
Medium	₹ 1000	₹ 3000	₹ 12000	₹ 22500	₹ 1.5X
High	₹ 1500	₹ 4500	₹ 16000	₹ 30000	₹ 2X

7. DECLARATION & SIGNATURE/S

I/We would like to opt for Nippon India SMART STeP in the schemes mentioned on the application form subject to terms of the Statement of Additional Information (SAI) and Scheme Information Document (SID) and subsequent amendments thereto. I/We have read, understood (before filling application form) and is/are bound to the details of the SAI and SID of the Transferor (Liquid/Debt) Scheme and Transferee (Equity) Scheme. I/We have not received nor been induced by any rebate or gifts, directly or indirectly, in making this investment. I understand that the Nippon Life India Asset Management Limited may, at its absolute discretion, discontinue any of the services completely or partially without any prior notice to me. 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. I hereby declare that the above information is given by the undersigned and particulars given by me/us are correct and complete.

☐ I confirm that I am resident of India. ☐ 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. I/We undertake that all additional purchases made under this folio will also be from funds received from abroad through approved banking channels or from funds in my/ our NRE/FCNR Account.

++ I/We, have invested in the Scheme(s) of your Mutual Fund under Direct Plan. I/We hereby give you my/our consent to share/provide the transactions data feed/ portfolio holdings/ NAV etc. in respect of my/our investments under Direct Plan of all Schemes Managed by you, to the above mentioned Mutual Fund Distributor / SEBI-Registered Investment Adviser.

SIGN HERE	First / Sole Applicant /Guardian Authorised Signatory	Second Applicant Authorised Signatory	Third Applicant Authorised Signatory

Smart Step Enrolment Form /23rd April 2026 / Ver 3.8

Nippon India Mutual Fund
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Acknowledgment Receipt of
Nippon India SMART STeP PLAN Enrolment Form
(To be filled by the Unit holder)

FOLIO NO.

APP No.:

Received from _____ Nippon India SMART STeP PLAN application

Amount of Transfer as per ☐ **Plan A** ☐ **Plan B** ☐ **Plan C** ☐ **Plan D** ☐ **Plan E**

From Scheme / Plan / Option _____

to Scheme / Plan / Option _____

Stamp of receiving branch & Signature

INSTRUCTIONS

1. Investors are advised to read the Statement of Additional Information (SAI), Scheme Information Document (SID) and Key Information Memorandum (KIM) of the respective Transferor (Liquid/Debt) & Transferee (Equity) Scheme(s) carefully before investing. This facility is not available for Exchange Traded Schemes, Interval Schemes & Close Ended Schemes of Nippon India Mutual Fund.
2. Nippon India SMART STEP can be opted by all the investors. Investors should refer section "Who can invest" of respective SID.
3. The investor (existing or new) is required to select any one of the Transferor (Liquid/Debt) Scheme, any one of the Transferee (Equity) Scheme (Refer Point 14 and 15 mentioned below) and one plan out of the five plans as mentioned in the application form.
4. The investor (existing or new) shall invest initially in Transferor (Liquid/Debt) Scheme (whether in Lumpsum / Systematic Investment Plan (SIP) mode, if available) and shall also be subject to terms of Common Application Form.
5. New Investors are required fill up Common Application Form for investing in Transferor (Liquid/Debt) Scheme along with Enrolment form of Nippon India SMART STEP.
6. Existing investors in Transferor (Liquid/Debt) Scheme are required to provide their Folio No. and submit only Application form for Nippon India SMART STEP.
7. Investors are required to submit separate application form for different schemes.
8. Investors should note that investors' details and mode of holding (single, joint, anyone or survivor) in the Transferee (Equity) Scheme will be as per the existing folio number of the Transferor (Liquid/Debt) Scheme. Units will be allotted under the same folio number.
9. For Direct Investments, please mention "Direct" in the column "Name & Broker Code / ARN".
10. Investors are required to clearly indicate the plans/options in the application form of the scheme.

    Investor may note that following shall be applicable for default plan

Sr	Broker Code mentioned by the investor	Plan mentioned by the investor	Default Plan to be captured
1	Not mentioned	Not mentioned	Direct Plan
2	Not mentioned	Direct Plan	Direct Plan
3	Not mentioned	Regular Plan/Other than Direct Plan	Direct Plan
4	Mentioned	Direct Plan	Direct Plan
5	Direct	Not mentioned	Direct Plan
6	Direct	Regular Plan/Other than Direct Plan	Direct Plan
7	Mentioned	Regular Plan/Other than Direct Plan	Regular Plan/Other than Direct Plan
8	Mentioned	Not mentioned	Regular Plan/Other than Direct Plan

    In cases of wrong/ invalid/ incomplete ARN/ Unempanelled ARN codes mentioned on the application form, the application shall be processed under Direct Plan. Similarly, in the absence of clear indication as to the choice of option (Growth or Payout of Income Distribution cum capital withdrawal option), by default, the units will be allotted under the Growth Option of the default /selected plan of the scheme.

11. Investors should clearly indicate from and to which scheme / option he / she wish to transfer their investment. Please note that if no Transferor (Liquid/Debt) Scheme is mentioned in the application form the application shall be rejected.
12. Investors should clearly indicate any one plan out of the five plans mentioned in the application form. If no Plan is mentioned / indicated in the Application Form, Plan A shall be considered as default Plan.
13. Application shall be submitted atleast fifteen calendar days before the commencement of first execution date of Nippon India SMART STEP. If the STP start date is less then seven calendar days, then the STP will be registered from next eligible cycle date falling after 15th calendar day. SMART STeP start date should be within 6 months from the date of submission of STP application for any frequency. In case the SMART STeP start date is more than 6 months from the date of submission, such SMART STeP application shall be liable for rejection.
14. The transfer date from Transferor (Liquid/Debt) Scheme to Transferee (Equity) Scheme shall be 10th of every month. Incase 10th is a non transaction day, the amount shall be transferred in the Transferee (Equity) Scheme on the next working day.
15. Eligible Transferor(Liquid/Debt) Schemes for Nippon India SMART STEP are All Eligibile Open Ended Debt/Liquid Schemes.
16. Eligible Transferee(Equity) Schemes for Nippon India SMART STEP are All Eligible and Transferor schemes are Open Ended Debt/Liquid Schemes except Nippon India Balanced Advantage Fund.
17. Nippon Life India Asset Management Limited (NAM India) reserves the right to introduce or withdraw any of the mentioned Transferor (Liquid/Debt)/ Transferee (Equity) Schemes.
18. Nippon India SMART STEP facility shall be available for all sub options of the mentioned Transferor (Liquid/Debt) Scheme.
19. Investors have to clearly indicate the Transferee (Equity) Scheme in the application form. Incase the same is not mentioned, Nippon India Growth Fund - Direct Plan - Growth Option shall be considered as default scheme and in case no Plan is selected in Transferee (Equity) Scheme, Retail Plan (if applicable), Growth Option shall be considered as default plan / option.
20. The lowest investment amount (X) in "Plan E" will be ₹ 30,000 & in multiples of ₹ 500 thereafter. Nippon India ELSS Tax Saver Fund will be not be considered as eligible Transferee Scheme in "Plan E". Incase of any ambiguity or incorrectness in minimum application amount of "Plan E, the application will be liable to be rejected.
21. New Investors are required to maintain below mentioned minimum balance in a particular option of the transferor scheme at the time of enrollment of this facility (Please check below mentioned balance in your folio before filling up this form).
    a. Non-Liquid scheme: ₹ 10,000/- or the minimum amount as stated in the SID of the respective transferor scheme, whichever is higher.
    b. Liquid scheme (Except Nippon India Liquid Fund): ₹ 25,000/- or the minimum amount as stated in the SID of the respective transferor scheme, whichever is higher.
    c. No minimum balance shall be required for Nippon India Liquid Fund - Retail Plan to start investing via Nippon India SMART STEP.
22. Existing Investors are required to maintain below mentioned minimum balance in a particular option of the transferor scheme.
    a. Non-Liquid scheme: ₹ 10,000/-
    b. Liquid scheme (Except Nippon India Liquid Fund) : ₹ 25,000/
    c. No minimum balance shall be required for Nippon India Liquid Fund to start investing via Nippon India SMART STEP.
23. Incase of insufficient balance in the account / folio, at the time of enrolment, the application for Nippon India SMART STEP shall be rejected.
24. Investors shall ensure to maintain minimum balance in accordance with Plans selected in the Transferor (Liquid/Debt) Scheme on the transfer date / execution date. In case of insufficient balance / unclear units on the date of transfer in the folio the transaction will be rejected. However, Nippon India SMART STEP will be continued.
25. Investors are required to opt for Nippon India SMART STEP for minimum tenure is 1 year & in multiples of 1 year thereafter. There is no maximum tenure of investment under Nippon India SMART STEP.
26. Load shall be applicable as mentioned in respective SID of Transferor (Liquid/Debt) Scheme and Transferee (Equity) Scheme
27. Investors may please note that Nippon India SMART STEP is a new offering under special product category of the respective Transferor (Liquid/Debt) Scheme and is different from the existing STP being offered by NIMF. NAM India reserves the right to change the load structure of Transferor (Liquid/Debt) Schemes and / or Transferee (Equity) Schemes. However, any imposition or enhancement in the load shall be applicable on prospective investments only.
28. **Communication for the investors. :**

    If the investor(s) has/have provided his/their email address in the application form or any subsequent communication in any of the folio belonging to the investor(s), NIMF / Asset Management Company reserves the right to use Electronic Mail (email) as a default mode to send various communication which include account statements for transactions done by the investor(s).

    The investor(s) may request for a physical account statement by writing or calling NIMF's Investor Service Center/ Registrar & Transfer Agent. In case of specific request received from the investor(s), NIMF shall endeavor to provide the account statement to the investor(s) within 5 working days from the receipt of such request.

    In accordance with Clause 15.7 of SEBI Master Circular dated March 20, 2026, the investor whose transaction has been accepted by the NAM India/NIMF shall receive the following:

    (i) On acceptance of the application, a confirmation by way of email and/or SMS within 5 Business Days from the date of receipt of transaction request will be sent to the Unit holders registered email address and/or mobile number.

    (ii) Thereafter, a Consolidated Account Statement (CAS) shall be issued for each calendar month on or before 10th of the immediately succeeding month to the Unit holder(s) in whose folio(s) transaction(s) has/have taken place during the month by physical/e-mail mode.

    The word 'transaction' shall include purchase, redemption, switch, Payout of Income Distribution cum capital withdrawal option, Reinvestment of Income Distribution cum capital withdrawal option, systematic investment plan systematic withdrawal plan, systematic transfer plan transactions.

    (iii) For the purpose of sending CAS, common investors across mutual funds shall be identified by their Permanent Account Number (PAN). In case of a specific request received from the Unit NAM India / NIMF will provide the account statement to the investors within 5 Business Days from the receipt of such request. In the event the account has more than one registered holder, the first Named Unit holder shall receive the CAS/account statement. 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. For Micro SIP and Sikkim based investors whose PAN details are not mandatorily required to be updated Account Statement will be dispatched by NAM India/NIMF for each calendar month on or before 10th of the immediately succeeding month.

    (iV) In accordance with Clause 15.7.4 of SEBI Master Circular dated March 20, 2026, has specified that the CAS shall be despatched by email to all the investors whose email addresses are registered with the Depositories and AMCs/MF-RTAs. However, where an investor does not wish to receive CAS through email, option shall be given to the investor to receive the CAS in physical form at the address registered with the Depositories and the AMCs/MF-RTAs. The depositories shall also intimate the investor on quarterly basis through the SMS mode specifying the email id on which the CAS is being sent.
29. All valid transfer requisitions would be treated as switch-out / redemption for the Transferor (Liquid/Debt) Scheme and switch-in/ subscription transactions for the Transferee (Equity) scheme and would be processed at the applicable NAV (subject to applicable exit load) of the respective schemes. The difference between the NAVs of the two Schemes/ Plans will be reflected in the number of units allotted. All valid transactions would be processed as per the applicable cut off timing on the business days as mentioned in the respective SID and are subject to SEBI regulations.
30. This facility will not be available for units which are under any Lien/Pledged or any lock-in period.
31. The investors may approach/ consult their tax consultants in regard to the treatment of the transfer of units from the tax point of view.
32. Investors can discontinue Nippon India SMART STEP facility by providing a written notice to the Designated Investor Service Centers atleast 15 calendar days prior to the due date of the next transfer date.
33. Nippon India SMART STEP shall be automatically terminated if all the units are pledged from the Transferor (Liquid/Debt) Scheme or upon receipt of intimation of death of the unit holder.
34. Investor will not hold Nippon India Mutual Fund/Nippon Life India Asset Management Limited, its registrars and other service providers responsible if the transaction is delayed or not effected or the investors bank account is debited in advance or after the STP date due to various clearing cycles of Autodebit/ECS/Local Holidays.
35. Nippon India Mutual Fund/Nippon Life India Asset Management Limited, its registrars and other service providers shall not be responsible nor liable for any damages/compensation for any loss, damage etc. incurred by the investor. The investor assumes the entire risk of using this facility and takes full responsibility.
36. Nippon India Mutual Fund/Nippon Life India Asset Management Limited reserves the right to reject any application without assigning any reason thereof.
37. Investor will not hold Nippon India Mutual Fund / Nippon Life India Asset Management Limited, its registrars and other service providers responsible if the transaction is delayed or not effected due to any reason.
38. Nippon India Mutual Fund / Nippon India Nippon Life Asset Management Limited, its registrars and other service providers shall not be responsible nor liable for any damages/compensation for any loss, damage etc. incurred by the investor. The investor assumes the entire risk of using this facility and takes full responsibility. Nippon India Mutual Fund / Nippon Life India Asset Management Limited reserves the right to reject any application without assigning any reason thereof.
39. Employee Unique Identification Number (EUIN) would assist in tackling the problem of mis-selling even if the employee/relationship manager/sales person leave the employment of the distributor.

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Registered Office Address: 30th Floor, One Lodha Place, Senapati Bapat Marg, Lower Parel, Mumbai - 400013.
Customer Care: 1860 266 0111 (Call charges apply) | https://mf.nipponindiaim.com

Please note your Statement of Account is sent once a month through CAS or ECAS if email id is updated in the folio. To have an access to the folio statement visit our website to generate an instant account statement.