

# GOAL SIP REGISTRATION & OTM DEBIT MANDATE FORM



Name & Broker Code/ ARN / RIA / PMRN Code**	Sub Broker / Agent ARN Code	Sub Agent Code	EUIN*	Internal Code for AMC	ISC Date Time Stamp Reference No.
ARN 24952			E347831		

\*\*  By mentioning RIA/PMRN code, I/We authorize you to share with the Investment Adviser / Portfolio Manager the details of my/our transactions in the scheme(s) of WhiteOak Capital Mutual Fund. (Please  if applicable) Incase the EUIN box has been left blank, please refer the point related to EUIN in the Declaration & Signatures section overleaf. Upfront commission "if any applicable" 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.

### 1. UNIT HOLDER INFORMATION

Existing Folio Number  Existing UMRN

Name FIRST NAME MIDDLE NAME LAST NAME

### 2. GOAL SIP INVESTMENT & PAYMENT DETAILS

SIP Scheme - WhiteOak Capital Please mention Scheme Name (Pls  Regular Plan  Direct Plan  Growth (Default) SIP Frequency  Monthly (Default)

SIP Date\*  D D SIP Start  M M Y Y Y Y Y Y (\*You may select any date from 1st to 28th of the month. Incase if no date is selected, 10th would be the default SIP Date)

Tenure of SIP - (Please  any one)  8 Years  10 Years  12 Years (Default)  15 Years  20 Years  25 Years  30 Years

SIP Amount (₹ in figures)  (₹ in words)

Investors/unit holders subscribing for this facility are required to submit the request at least 21 working days prior to the SIP date.

SWP Scheme - WhiteOak Capital Please mention Scheme Name (Pls  Regular Plan  Direct Plan  Growth (Default))

Option A

For SIP Tenure	8 Years	10 Years	12 Years	15 Years	20 Years	25 Years	30 Years
SWP Amount	1X SIP installment	1.5X SIP installment	2X SIP installment	3X SIP installment	5X SIP installment	8X SIP installment	12X SIP installment

Option B

OR Other Amount (₹ in figures) :  (₹ in words) :  (Refer point F)

SIP Top Up Facility (Optional) ( to avail facility)  Fixed\* OR  Variable<sup>5</sup> (Please fill the applicable section below) SIP Top Up Frequency  Half Yearly OR  Yearly

<sup>5</sup> Variable Top Up Facility is not available in WhiteOak Capital Tax Saver Fund. In case of Quarterly SIP, only Yearly frequency is available under SIP Top Up Facility.

\*Fixed Top Up Amount: ₹  OR <sup>5</sup> Variable Top Up Percentage:  5%  10%  15%  20%  Others (Multiple of 5% only)

<sup>5</sup> SIP Top Up amount has to be in multiple of ₹ 500/- only. <sup>5</sup> If the Variable Top Up percentage is not selected the default shall be 5%. (Investor has to choose only one option either CAP amount or CAP month - year)

SIP Top Up Cap Amount\*: ₹  OR  SIP Top Up Cap Month  M M Y Y Y Y Y Y In case of multiple selection, Top Up Cap amount will be considered as a default selection

### 3. DECLARATION(S) & SIGNATURE(S) should be as it appears in the Folio / on the Application Form and in the same order. In case the mode of holding is joint, all Unit holders are required to sign.

I/We hereby authorise WhiteOak Capital Mutual Fund and their authorised service provider to debit the above bank account by NACH/ Auto Debit Clearing for collection of SIP payments. I/We understand that the information provided by me/us may be shared with third parties for facilitating transaction processing through NACH/ Auto Debit Clearing or for compliance with any legal or regulatory requirements. I/We hereby declare that the particulars given above are correct and complete and express my/our willingness to make payments referred above through participation in NACH/ Auto Debit. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information, I/We will not hold WhiteOak Capital AMC/MF or their appointed service providers or representatives responsible. I/We will also inform, about any changes in my bank account immediately. I/We undertake to keep sufficient funds in the funding account on the date of execution of standing instruction. I/We have read and agreed to the terms and conditions mentioned overleaf. 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/We acknowledge that the RIA has entered into an agreement with the AMC / MF for accepting transaction feeds under the code. I/We hereby indemnify, defend and hold harmless the AMC / MF against any regulatory action, damage or liability that they may suffer, incur or become subject to in connection therewith or arising from sharing, disclosing and transferring of the aforesaid information.

For Micro SIP only: I hereby declare that I do not have any existing Micro SIPs which together with the current application in rolling 12 month period or in financial year i.e. April to March will result in aggregate investments exceeding ₹ 50,000 in a year.

Sign of 1st Applicant / Guardian / Authorised Signatory / POA	Sign of 2nd Applicant / Guardian / Authorised Signatory / POA	Sign of 3rd Applicant / Guardian / Authorised Signatory / POA

WHITEOAK CAPITAL MUTUAL FUND

UMRN  Bank use  Date  D D M M Y Y Y Y Y Y

Sponsor Bank Code  Bank use   CREATE  MODIFY  CANCEL

Utility Code  Bank use  I/We hereby authorize WhiteOak Capital Mutual Fund

To Debit (tick  SB  CA  CC  SB-NRE  SB-NRO  Other Bank A/c

With Bank  Name of customers bank IFSC / MICR

An Amount Of Rupees  ₹

DEBIT TYPE  Fixed Amount  Maximum Amount FREQUENCY  Mthly  Qtly  H-Yrly  Yrly  As & when presented

Reference 1  Folio No. Reference 2  Scheme Name

1. I agree for the debit of mandate processing charges by the bank whom I am authorizing to debit my account as per latest schedule of charges of the bank. 2. This is to confirm that the declaration has been carefully read, understood & made by me/us. I am authorizing the user entity/Corporate to debit my account, based on the instructions as agreed and signed by me. 3. I have understood that I am authorized to cancel/amend this mandate by appropriately communicating the cancellation / amendment request to the user entity / corporate or the bank where I have authorized the debit.

PERIOD

From  D D M M Y Y Y Y Y Y

To  D D M M Y Y Y Y Y Y

Or  Until Cancelled

Phone No.

Signature Of Primary Account Holder Signature Of Joint Account Holder Signature Of Joint Account Holder

1. Name Of Primary Account Holder 2. Name Of Joint Account Holder 3. Name Of Joint Account Holder

Please read the Terms and Conditions and refer to SID, SAI, KIM and Addendums issued for the respective schemes

TOLL FREE NUMBER: 1800 3000 3060 | EMAIL: clientservice@whiteoakamc.com | WEBSITE: https://mf.whiteoakamc.com

This form is for availing Goal SIP facility with or without SIP Top-Up Facility.

WhiteOak Capital Goal SIP is an optional feature that allows investors to do a Systematic Withdrawal Plan (SWP) based on a predefined logic once the SIP Tenure Ends. Investor has an option to specify an SWP amount as per the Terms and Conditions applicable.

For SIP(Source) and SWP(Target) Scheme names, please refer to point C in Terms and Condition section below.

**Terms & Conditions**

A. SIP is to be registered into the below mentioned schemes for a fixed period of either 8 years, 10 years, 12 years, 15 years, 20 years, 25 years or 30 years.

The following schemes are included for SIP under Goal SIP:

- 1.WhiteOak Capital Flexi Cap Fund
- 2.WhiteOak Capital Mid Cap Fund
- 3.WhiteOak Capital Tax Saver Fund

WhiteOak Capital AMC may modify the list of schemes participating in the GOAL SIP Feature. Please refer to Scheme Information Document and Addendum issued from time to time to find out the eligibility of the schemes for participation in this Special feature.

B. Goal SIP is allowed only for the SIP Eligible schemes with monthly frequency. SIP and SWP shall be registered only in the 'Growth' option of the Scheme.

C. Please refer to the below table for the Source Schemes (SIP) and Target Schemes (SWP) available for this facility.

SIP Scheme	SWP Scheme
WhiteOak Capital Flexi Cap Fund	WhiteOak Capital Flexi Cap Fund
WhiteOak Capital Mid Cap Fund	WhiteOak Capital Mid Cap Fund
WhiteOak Capital Tax Saver Fund	WhiteOak Capital Tax Saver Fund

D. On completion of the SIP period, the entire accumulated clear units via the respective Goal SIP will be transferred into a pre-defined SWP scheme, as opted by the investor, on T+15 days (T is the last SIP transaction date of the Goal SIP). The plan chosen (Direct or Regular) at the time of selecting the source scheme shall also be considered for the target scheme.

For example, if the investor selects "Direct plan" for the SIP scheme, the Target scheme shall also be "Direct plan" and so on.

E. During Goal SIP registration itself, the SWP scheme ticked shall be the target scheme and the SWP will be registered for Monthly frequency. The Start date of SWP will be the month following the trigger date (last SIP Date + 15 days) and the End date will be 31st December 2099. However, the SWP under Goal SIP shall be processed till units are available.

In case, the trigger date is a non-business day, the next business day will be taken. SWP Date will be same as the SIP date.

F. Post the transfer, SWP is to be activated for an amount which is as per the matrix below or as per the amount mentioned by the investor in the mandate form. In case, the investor does not fill in any SWP amount the default option shall be as per the grid below.

SIP Tenure	Monthly SWP Installments	
8 years	1.0 times monthly SIP installments	Subject to minimum SWP amount of the respective Schemes
10 years	1.5 times monthly SIP installments	
12 years	2.0 times monthly SIP installments	
15 years	3.0 times monthly SIP installments	
20 years	5.0 times monthly SIP installments	
25 years	8.0 times monthly SIP installments	
30 years	12.0 times monthly SIP installments	

G. In case, the investor does not fill in any SIP tenure, the default tenure shall be 12 years. In case any other tenure is mentioned, apart from the ones mentioned in point A, the application shall be rejected. Purchase and Switch in (SI) is allowed under the SWP Scheme and SWP amount being triggered would be on units basis first in first out (FIFO) basis.

H. Goal SIP shall get discontinued in the following cases:

- On cancellation of SIP before the end of tenure, the underlying trigger and SWP will cease.
- In case, redemption / Switch Out (SO) is processed in SIP Scheme during the SIP tenure, the trigger and the SWP will cease but SIP shall continue
- Redemption and SO is also allowed under the Target Scheme. In case redemption / SO processed in Source Scheme after the SIP tenure till the execution of trigger switch, the trigger and the SWP will cease.
- In case investor's demise intimation is received during the SIP tenure, the switch and the SWP shall cease. In case investor's demise intimation is received post SIP tenure but upto December 2099 (or till units are available), the SWP shall cease.
- After 3 consecutive SIP transaction failures under Goal SIP for a Particular Scheme, the Goal SIP for the scheme shall get auto-terminated

I. SIP Top Up & SIP Pause is allowed under this feature. However, the SWP would get registered only based on the initial SIP amount where investor has not specified the same in the application form.

J. Investors can opt for SIP Top Up facility with Fixed Top Up option or Variable Top Up option, wherein the amount of the SIP can be increased at fixed intervals. In case the investor opts for both options, the Variable Top Up option shall be triggered. And the default Variable Top Up percentage shall be 5%. Please note Variable Top Up Option is not available in WhiteOak Tax Saver Fund.

- The Fixed Top Up amount shall be in multiples of ₹500/-.
- Variable Top Up would be available at 5%, 10%, 15% and 20% and such other denominations (over and above 5%, 10%, 15% and 20%) as opted by the investor in multiples of 5%.
- The frequency is fixed i.e. either at Yearly and Half Yearly basis. In case the SIP Top Up facility is not opted by ticking the appropriate box and frequency is not selected, the SIP Top Up may not be registered.
- In case of Quarterly SIP, only the Yearly frequency is available under SIP Top Up.
- SIP Top Up facility shall also be available only for the existing investors who have already registered for SIP facility without Top Up option.

K. Minor Tax status will not be allowed for Goal SIP registration.

L. The minimum installment amount under Goal SIP/ SWP shall be as minimum amount prescribed for SIP/SWP under Monthly frequencies in the respective schemes.

M. The SWP Amount must be less than or equal to the applicable slab mentioned for the respective tenures. Any SWP amount greater than the applicable slab mentioned shall lead to rejection of the application. In case the investor does not fill in any SWP amount the default option shall be as per the grid mentioned in point C. The SWP amount is subject to the minimum SWP amount for the respective schemes.

N. Goal SIP is not available under DEMAT mode.

O. In case if the investor does not fulfill any criteria, the Goal SIP application may be rejected. WhiteOak Capital Mutual Fund reserves the right to reject any application.

P. To enroll for this facility, New investors need to fill Common Application form along with the Goal SIP Registration & OTM Debit Mandate Form. Investors willing to invest in the existing folio need to only fill the Goal SIP Registration & OTM Debit Mandate Form.