

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.

** ☐ 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 Name FIRST NAME LAST NAME

☐ Use Existing One Time Debit Mandate (If already registered in the Folio) (Please ☒ if applicable and provide the existing bank details)

Bank Name Bank A /c No.

2. GOAL SIP INVESTMENT & PAYMENT DETAILS

SIP Scheme - WhiteOak Capital Please provide scheme name (Pls ☒ Regular Plan ☐ Direct Plan ☒ Growth ☐ SIP Frequency ☒ Monthly (Default)

SIP Date* D D SIP Start M M 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 30 days prior to the SIP date.

SWP Scheme - Please Specify (Pls ☒ Regular Plan ☐ Direct Plan ☒ Growth)

SWP Amount (₹ in figures): (₹ in words): (Refer point P)

☐ SIP Top Up Facility (Optional) (☒ to avail facility) ☐ Fixed[#] OR ☐ Variable^{\$} (Please fill the applicable section below) **SIP Top Up Frequency** ☐ Half Yearly OR ☐ Yearly

[#]Fixed Top Up Amount: ₹ OR ^{\$}Variable Top Up Percentage: 5% 10% 15% 20% Others (Multiple of 5% only)

[#]SIP Top Up amount has to be in multiple of ₹500/- only ^{\$}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 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 / Authorised Signatory / POA	Sign of 2nd Applicant / Authorised Signatory / POA	Sign of 3rd Applicant / Authorised Signatory / POA
---	---	---

4. OTM DEBIT MANDATE FORM (Applicable for Lumpsum additional purchases as well as SIP Registrations)

UMRN Bank use Date D D M M 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

To D D M M Y Y Y Y

Or ☒ Until Cancelled

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

Phone No. 1. Name Of Primary Account Holder 2. Name Of Joint Account Holder 3. Name Of Joint Account Holder

Terms & Conditions of Goal SIP

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 the following:

1. Do an SWP from the invested scheme at the end the pre-specified SIP Tenure/Period
2. Switch out of all units allotted in the Source scheme to a pre-defined Target scheme at the end of SIP Tenure/Period and subsequently start a monthly SWP from the Target scheme

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 Balanced Advantage Fund
- 2.WhiteOak Capital Large Cap Fund
- 3.WhiteOak Capital Flexi Cap Fund
- 4.WhiteOak Capital Mid Cap Fund
- 5.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/Target Scheme
WhiteOak Capital Large Cap Fund	WhiteOak Capital Flexi Cap Fund
	WhiteOak Capital Large Cap Fund
	WhiteOak Capital Balanced Advantage Fund
WhiteOak Capital Flexi Cap Fund	WhiteOak Capital Flexi Cap Fund
	WhiteOak Capital Large Cap Fund
	WhiteOak Capital Balanced Advantage Fund
WhiteOak Capital Mid Cap Fund	WhiteOak Capital Flexi Cap Fund
	WhiteOak Capital Mid Cap Fund
	WhiteOak Capital Large Cap Fund
	WhiteOak Capital Balanced Advantage Fund
WhiteOak Capital Tax Saver Fund	WhiteOak Capital Tax Saver Fund
WhiteOak Capital Balanced Advantage Fund	WhiteOak Capital Balanced Advantage Fund

- D. At the time of registration of Goal SIP, in case if the investor does not mention any Target Scheme for SWP, AMC will register such applications under Goal SIP instead of Normal SIP and the Source Scheme (SIP) mentioned in the application form will be considered as Default Target Scheme (SWP) for Goal SIP.
- The plan chosen (Direct or Regular) at the time of selecting the Source (SIP) scheme shall also be considered for the Target (SWP) scheme. SWP amount will be as per the amount mentioned by the investor in the mandate form. The SWP Amount is subject to the minimum SWP amount for the respective scheme(s)
- E. 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).
- F. During Goal SIP registration itself, the SWP scheme mentioned 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.
- G. Post the transfer, SWP is to be activated for an amount specified by the investor in the mandate form. In case the investor does not fill in any SWP amount, default shall be considered as per the SIP amount.
- H. 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.
- I. 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
- J. 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.
- K. 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.
- L. Minor Tax status will not be allowed for Goal SIP registration.
- M. The minimum installment amount under Goal SIP/ SWP shall be as minimum amount prescribed for SIP/SWP under Monthly frequencies in 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. 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.
 - SIP Top Up facility shall also be available only for the existing investors who have already registered for SIP facility without Top Up option.
- Q. Minor Tax status will not be allowed for Goal SIP registration.
- R. The minimum installment amount under Goal SIP/ SWP shall be as minimum amount prescribed for SIP/SWP under Monthly frequencies in the respective schemes.
- S. Goal SIP is not available under DEMAT mode.
- T. 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.
- U. 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. **Where a One Time Mandate is already registered in a folio for a bank account, the Unit Holder(s) will have to fill only the Goal SIP Registration Form and there is no need of a separate cheque to be given along with the Registration Form. Please tick the relevant part of Section 1 and provide the bank details.**
- V. In case of any discrepancy, AMC reserves the right to process it as a normal SIP
- W. In case of any ambiguity in the form, it's liable to get rejected.