

### FAQ regarding Dematerialisation or Rematerialisation of mutual fund units

Unit holders shall have an option to subscribe/ hold the Units in demat form as per the provisions laid in the SID of respective Scheme and guidelines/procedural requirements as laid by the Depositories (NSDL/CDSL) shall be applicable.

Please note that once mutual funds are in demat form, investors can sell/redeem units (other than listed scheme units) either through stockbroker through the Exchange platform (BSE Star & NSE MFSS) or through their Depository Participant.

#### 1. How to apply for / get allotment of units in Demat mode?

- Investors/applicants desiring to get allotment of units in demat mode must have a demat account with any of the Depository Participant (DP) of the Depositories i.e. National Securities Depositories Limited (NSDL) / Central Depository Services Limited (CDSL).
- At the time of applying Mutual fund units (New Fund offer/Ongoing Subscriptions), investors/applicants must provide demat Account details i.e.
  - 1) DP's name, DP ID Number, and the beneficiary account number in the specified section of the application form.
  - 2) In case demat account is with CDSL then 16-digit account number to be mentioned and if held with NSDL, DP id is prefixed with IN followed by 6 digits and client id as 8 digits needs to be mentioned in the application form.
  - 3) Investors/applicants must ensure that the demat account mentioned is active, also the sequence of names, holding pattern, PAN, tax status mentioned in the application form matches with the client master list submitted issued by the Depository Participant.
- If the demat details mentioned in the application are incomplete/incorrect or not matched with the Depository data, the AMC reserves the right to allot units in Non Demat mode.
- Upon allotted and sequentially units are credited to investor's valid demat account within 3 working days.
- Mode of holding shall be clearly specified in the Application Form.
- Demat option will not be available for Daily/Weekly/Fortnightly Income Distribution cum Capital Withdrawal options.
- Investors may kindly note that, no statement of account will be generated by the Registrar & Transfer Agent once the unit is converted to demat. Post conversion Investment details can be viewed in the Consolidated Account Statement (CAS) that investor receives from depository.

## 2. How to convert the units held in Statement of Accounts (SoA) mode to Demat mode?

Investors holding units of mutual fund scheme in physical form (Statement of Account), may convert them easily in demat form through Depository Participants (DP). The procedure for converting mutual funds units held in Physical form into demat form is as below: -

- Obtain Conversion Request Form (CRF) from your DP.
- Fill-up the CRF and sign it (as per the signature available in the application). In case of joint holders, all holders should sign the form.
- The holding pattern in DP (as per Client master list) should match with Physical form (SOA).
- Submit the CRF along-with the Statement of Account to your DP.
- After due verification, the DP would send the CRF to Asset Management Company (AMC) / Registrar and Transfer Agent (RTA).
- Post verification, the RTA will confirm the conversion request raised by the DP and the mutual fund units will be credited in your demat account.
- Partial allotment of units from physical to demat shall not be permitted.

## 3. How to convert the units held in Demat mode to Rematerialisation i.e., Physical (Statement of Account)?

Re-materialisation is the process of converting units from demat mode to physical mode i.e., Statement of Account mode. To re-materialise mutual fund units, submit the following documents as mentioned below:

- Investors need to approach their respective DP and submit the duly filled and signed Remat Request Form for each ISIN, fund, or folio.
- Upon verification of such request, the DP shall forward these documents to the respective AMC/RTA for further processing.
- Post verification, the AMC / RTA will confirm the status of conversion request executed by DP and the mutual fund units are extinguished from the Investor's demat account. These Demat units are then converted into Physical (i.e., Statement of Account).

## 4. How to Redeem mutual fund units held in demat form?

- Unitholders of mutual fund units held in demat form can redeem the units through Depository or stockbroker/distributor through exchange platforms i.e. BSE (BSE STAR MF Platform) and NSE (Mutual Fund Service System (MFSS))
- The Investor would be required to submit all requisite information/documents as requested by the Depository or stockbroker.
- After receipt of such redemption request from the respective source, AMC/RTA will process the redemption request post due validations.
- If investor wishes to place redemption through mutual fund, demat units must be converted to physical form (following the Demat to Remat process). Post conversion investor may place redemption request with AMC.

### **5. Is switch-transaction permissible if the units are held in Demat?**

Switch transactions for units held in demat are processed through exchange/clearing corporation. The mechanism is same equivalent to redemption and subscription. Post processing of switch-out (redemption), switch-in (subscription) is processed and equivalent units are settled to clearing house for on-ward credit to the investor's DP account.

### **6. Procedure for change in investor's profile / bank account details etc. in respect of units held in demat mode?**

Any modifications of bank account, address, contact details etc in the demat folios, the investor needs to update through their respective Depository Participant (DP) for Updation in demat account. DP follows prescribed guidelines for such profile modifications as formulated by respective Depositories (NSDL/CDSL) in their operating manual.

#### **In case of further assistance, you may connect with us by:**

- **Phone:** You may call the customer care helpline at 1800 270 7000 between 10 am to 7 pm from Monday to Sunday.
- **Email:** You may also email at [care.mutualfunds@adityabirlacapital.com](mailto:care.mutualfunds@adityabirlacapital.com).

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