

# TRANSACTION REQUEST FOR PURCHASE / SWITCH / REDEMPTION

BARODA PIONEER MUTUAL FUND



**KEY PARTNER / DISTRIBUTOR INFORMATION** (Investors applying under Direct Plan must mention "Direct" in the ARN column below.)

ARN	Sub Broker Code	L.G. Code	Employee Unique Identification Number (EUII)
ARN -			

Declaration for "execution-only" Purchase/Switch transaction (only where EUII box is left blank)

I/We hereby confirm that the EUII box has been intentionally left blank by me/us as this is an "execution-only" transaction without any interaction or advice by the employee / relationship manager / sales person of the above distributor or notwithstanding the advice of in-appropriateness, if any, provided by the employee / relationship manager / sales person of the distributor and the distributor has not charged any advisory fees on this transaction.

1 <sup>st</sup> Applicant Signature / Guardian Signature / POA Signature / Thumb Impression	2 <sup>nd</sup> Applicant Signature / POA Signature / Thumb Impression	3 <sup>rd</sup> Applicant Signature / POA Signature / Thumb Impression
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Important : Please strike off any unused portion of this sheet.

**\$ TO BE SIGNED BY ALL UNIT HOLDERS IF MODE OF HOLDING IS JOINT. ALTERATIONS, IF ANY, SHOULD BE COUNTER SIGNED.**

Existing Folio Number

NAME OF THE UNIT HOLDER Name

**ADDITIONAL PURCHASE** (Please write your folio number and name on the reverse of the cheque/DD/Payment Instrument no.)

Amount (in ₹)  Drawn on (Bank)  Cheque/DD/Payment Instrument no.

Scheme / Plan / Option<sup>^</sup>:

In case the Additional Purchase amount is ₹ 10,000 or more and your Distributor has opted in to receive Transaction Charges, ₹100/- will be deducted from the purchase amount and paid to the Distributor. Units will be issued against the balance amount invested - refer clause 7 for more details

**SWITCH REQUEST** (Please  any one only)  All Clear Units  No. of Units :  Amount (in ₹)

From Scheme :

Plan / Option<sup>^</sup>:  (Switch-Out Scheme for Switch Request)

To Scheme :

Plan / Option<sup>^</sup>:  (Switch-In Scheme for Switch Request)

Investors applying under Direct Plan must mention "Direct" against the Scheme name. Default Plan / Option will apply if the choice of Plan / Option is not indicated.

**REDEMPTION** Subject to Lock-in Period, if any (Please  only one of the below options.)

Redeem  All Clear Units  No. of Units :  Amount (in ₹)

Amount in words (₹)

IFSC Code for NEFT / RTGS  (If not provided earlier for electronic payment)

Scheme / Plan / Option :

Note : If a redemption request is submitted alongwith a request for changing the bank account details, the redemption will be processed into the registered/default bank account in the aforesaid scheme/folio and the request for changing the bank account details will not be processed.

\* For investors who have registered for Multiple Bank Accounts facility in the above folio:

The redemption should be processed into the following bank account as per the payout mechanism indicated by me/us. (This bank account has already been registered in the folio):

Name of the Bank  Account No.

\* Important Note : If the bank account mentioned above is different from those already registered in your folio OR if the bank account details are not filled above, the redemption will be processed into the "Default" bank account registered for the aforesaid folio. Baroda Pioneer Mutual Fund or Baroda Pioneer Asset Management Company Ltd. will not be liable for any loss arising to the unitholder(s) due to the credit of redemption proceeds into any of the bank accounts registered for the aforesaid folio.

Note : Upfront commission shall be paid directly by the investor to the ARN Holder (AMFI registered Distributor) based on the investors' assessment of various including the service rendered by the ARN Holder.

I/We have read & understood the contents of the SID and KIM of the Scheme and the SAI. I/We hereby apply for units of the Scheme & agree to abide by the terms, conditions, rules & regulations governing the Scheme. I/We hereby declare that the amount invested in the Scheme is through legitimate sources only & does not involve & is not designed for the contravention of any Act, Rule, Regulation, Notification or Direction or the provisions of the Income Tax Act, Anti Money Laundering Laws, Anti Corruption Laws or any other applicable law enacted by the Govt. of India or any other statutory authority from time to time. I/We have understood the details of the Scheme and in the event "Know Your Customer" process is not completed by me/us to the satisfaction of the AMC, I/we hereby authorise the AMC to redeem the funds invested in the Scheme, in favour of the first applicant at the applicable NAV prevailing on the date of such redemption and to undertake such other action with such funds as may be required by law. b) For NRIs : I/we confirm that I am/we are Non Residents of Indian Nationality / Origin & that I/we have remitted funds from abroad through approved banking channels or from funds in my/our Non-Resident External / Non-Resident Ordinary Account. I/we confirm that details provided by me / us are true and correct. I/We confirm that I / we hold a valid PAN card. c) The ARN holder has disclosed to me / us all the commission (in the form of trail commission or any other mode), payable to him / it for the different competing schemes of various mutual funds from amongst which the Scheme is being recommended to me/us.

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## ACKNOWLEDGEMENT (To be filled in by the Unit holder)

Folio No.

Sole / First Unit Holder

Scheme / Plan / Option :

**ADDITIONAL PURCHASE** Amount (in ₹)  Cheque/DD/Payment Instrument no.

Drawn on (Bank)  Bank Name

**SWITCH REQUEST** (Please  any one only)  All Free Units  No. of Units :  Amount (in ₹)

Scheme / Plan / Option :  (Switch-In Scheme for Switch Request)

**REDEMPTION**  All Free Units  No. of Units :  Amount (in ₹)

TIME STAMP (For Office Use Only)

BARODA PIONEER MUTUAL FUND



## INSTRUCTIONS

1. Please read the Scheme Information Document (SID) and Statement of Additional Information (SAI) carefully before investing / switching to other schemes for risk factors & terms applicable to Schemes / Plans.

2. For additional purchase, the cheque / Demand Draft should be drawn in favour of the name of the scheme (e.g. Baroda Pioneer Growth Fund) and crossed A/c Payee and payable locally at the place of the ISC, where the application is being submitted. Outstation cheque / DD will not be accepted.

If the Scheme name on the application form and on the cheque is different, then the units will be allotted as per the Scheme name mentioned in the application form.”

3. In case of multiple holders, the dividend (where applicable) & redemption amount, will be paid to the first unit holder.

#### 4. BANK DETAILS:

- The first unit holder has to ensure that the subscription payment has to be made through his own bank account or through any of the bank account wherein he is one of the joint bank account holder. If this is not evidenced on the payment cheque / funds transfer/RTGS/NEFT request, demand draft etc given by the investor at the time of subscription then unit holder should attach necessary supporting documents as required by the fund like bank certificate, bank passbook copy, bank statement etc to prove that the funds are from a bank account held by the first unit holder only. If the documents are not submitted with the application the fund reserves the right to reject the application or call for additional details.
- Demand draft, pay order, banker's cheque purchased against cash of ₹ 50,000/- or more will not be accepted. Such purchase applications (for amounts less than ₹ 50,000/-) should be accompanied by a banker's certificate, stating the investor's name, bank account number and PAN, as per the bank record.
- In specific and exceptional situations where Third Party payments are permitted, such as (i) payment by parents / grand parents / related persons\* on behalf of a minor (other than by a registered guardian) in consideration of natural love and affection or as gift for value not exceeding ₹ 50,000 for each purchase or (ii) payment by a custodian on behalf of an FII or a client, and (iii) payment by an employer on behalf of employees, KYC of the investor and KYC of the person making the payment are both mandatory, irrespective of the amount. Additionally, a joint declaration is also required to be submitted. \*\*Related Person' means any person investing on behalf of a minor in consideration of natural love and affection or as a gift.
- Redemption proceeds will be (i) despatched by a reasonable mode of despatch such as courier, registered post, ordinary post/UCP etc. in case the payment is made by cheque/ demand draft or (ii) directly credited to the first applicant/holder's Bank Account (as per the details mentioned by the investor) in case the applicant(s) avail of the direct credit facility, RTGS or NEFT, and this shall be entirely and solely at the risk of the applicant(s). The applicant(s) will not hold the Fund or the AMC or the Registrar or the Trustee to the Fund responsible for any non-receipt or delay of receipt of redemption proceeds due to any negligence or deficiency in service by the courier company, postal authorities or the bank executing the direct credit/RTGS/NEFT, or due to incorrect bank account details provided by the applicant(s).
- BPF offers facility to register multiple bank accounts in the folio and designate one of the bank account as "Default Bank account". Default bank account will be used for all dividend and redemption payouts unless investor specifies one of the existing registered bank account in the redemption request for receiving redemption proceeds. A new non-registered bank account specified in the redemption request for receiving redemption proceeds will not be considered and the redemption proceeds will by default be credited into the default Bank account. The investor will have to initially get the non-registered bank account registered in the folio and then apply for the redemption request. Also if no registered bank account is mentioned at the time of redemption then by default the redemption proceeds will be credited into the default Bank account.

#### 5. Permanent Account Number (PAN)

SEBI has made it mandatory for all applicants (in the case of application in joint names, each of the applicants) to mention his/her permanent account number (PAN) irrespective of the amount of purchase. Where the applicant is a minor, and does not possess his / her own PAN, he / she shall quote the PAN of his / her father or mother or the guardian, signing on behalf of the minor, as the case may be. For Further details investors are requested to refer SAI.

In line with SEBI letter no. OW/16541/2012 dated July 24, 2012 addressed to AMFI, Investments in the mutual fund schemes (including investments through Systematic Investment Plans (SIPs)) up to ₹ 50,000/- per investor per year shall be exempted from the requirement of PAN. Investor seeking exemption of PAN will need to submit the PAN Exempt KYC Reference No (PEKRN) acknowledgement issued by KRA along with the application Form. This exemption is applicable only for individuals including NRIs, minors acting through guardian, Sole proprietorship firms and joint holders. In case of joint holders, first holder must not possess a PAN. Other categories of investors e.g. PIOs, HUFs, QFIs, non-individuals, etc. are not eligible for such exemption.

#### 6. Prevention of Money Laundering and Know Your Client (KYC)

All investors (individual and non-individual) are required to be KYC compliant. However, applications should note that minors cannot apply for KYC compliance and any investment in

the name of minors should be through a Guardian, who should be KYC compliant for the purpose of investing with a Mutual Fund. Also applicants/ unit holders intending, to apply for units currently holding units and operating their Mutual Fund folios through a Power of Attorney (PoA) must ensure that the issue of PoA and the holder of the PoA must mention their KYC compliance status at the time of investment. PoA holders are not permitted to apply for KYC compliance on behalf of the issuer of the PoA, Separate procedures are prescribed for change in name, address, and other KYC related details, should the applicant desire to change such information, POS will extend the services of effecting such changes.

Investors are requested to note the following additional provisions shall be applicable for "KYC Compliances" with effect from December 1, 2012:

- In case of an existing investor of BPFM and who is already KYC Compliant under the erstwhile centralized KYC with CVL (CVLMF) then there will be no effect on subsequent Purchase/Additional Purchase (or ongoing SIPs / STPs, etc) in the existing folios/accounts which are KYC compliant. Existing Folio holder can also open a new folio with Baroda Pioneer Mutual Fund with the erstwhile centralized KYC.
- In case of an existing investor of Baroda Pioneer Mutual Fund and who is not KYC Compliant as per our records, the investor will have to submit the standard KYC Application forms available in the website www.cvlkra.com along with supporting documents at any of the SEBI registered intermediaries at the time of purchase / additional purchase / new registration of SIP/STP etc. In Person Verification (IPV) will be mandatory at the time of KYC Submission. This uniform KYC submission would be a one-time submission of documentation.
- Investors who have complied with KYC process before December 31, 2011 (KYC status with CVL-KRA as "MF - VERIFIED BY CVLMF") and not invested in the schemes of Baroda Pioneer Mutual Fund i.e. not opened a folio earlier, and wishes to invest on or after December 01, 2012, such investors will be required to submit 'missing/not available' KYC information and complete the IPV requirements.

Update of 'missing / not available' KYC information along with IPV is currently a one-time requirement and needs to be completed with any one of the mutual funds i.e. need not be done with all the mutual funds where investors have existing investments. Once the same is done then the KYC status at CVL-KRA will change to 'Verified by CVL KRA' after due verification. In such a scenario, where the KYC status changes to 'Verified by CVL KRA', investors need not submit the 'missing/not available' KYC information to mutual funds again.

Individual Investors are required to submit 'KYC Details Change Form' issued by CVL-KRA available on their website www.cvlkra.com.

In case of Non Individual investors, complied with KYC process before December 31, 2011, KYC needs to be done afresh due to significant and major changes in KYC requirements. For further details, investors are requested to refer SAI.

#### 7. TRANSACTION CHARGES

The following transaction charges shall be applicable:

- (i) Nil on subscription amounts of less than ₹ 10,000/-;
- (ii) ₹ 100/- on every subscription of ₹ 10,000/- and above for an existing investor in mutual funds;
- (iii) ₹ 150/-\* on a subscription of ₹ 10,000/- and above for an investor investing in mutual funds for the first time.
- (iv) For SIP, transaction charges will be recovered in 4 installments.

\*In the case of any applicable transaction, where the AMC/Fund/Registrar is unable to identify whether the investor concerned is a first-time investor in mutual funds, ₹ 100/- will be charged as transaction charge.

The transaction charges referred to in (ii) and (iii) above will be payable only for transactions done through a distributor who has opted to receive the transaction charge.

#### 8. Units held in the dematerialised form

With effect from October 1, 2011, in accordance with SEBI Circular No. IMD/DF/9/2011 dated May 19, 2011, an option to subscribe/hold the units of the Scheme(s)/Plan(s) of BPFM in dematerialized (demat) form is being provided to the investors in terms of the guidelines/procedural requirements as laid by the Depositories (NSDL / CDSL) / Stock Exchanges (NSE / BSE) from time to time. For Further details investors are requested to refer SAI.

#### 9. Employee Unique Identification Number (EUIIN)

SEBI circular dated September 13, 2012 has directed AMCs to capture in the Application Form, in addition to the AMFI Registration Number (ARN) of the distributor, the Unique Identity Number (EUIIN) of the employee/relationship manager/sales person of the distributor who has interacted with the investor concerned for the sale of the relevant mutual fund scheme. It is mandatory to mention the EUIIN in the box provided for this in the Application Form, particularly in advisory transactions, as the EUIIN will assist in tackling issues relating to mis-selling even if the employee/relationship manager/sales person leaves the employment of the distributor.