

# APPLICATION FORM FOR SYSTEMATIC TRANSACTIONS

(For Existing Unit Holders only)



Please read the instructions overleaf carefully and complete the relevant sections legibly in black / dark coloured ink and in BLOCK LETTERS.  
Please strike off unused section(s) to avoid unauthorised use

Broker Code/ ARN	Sub-Broker Code/ Branch Code	Branch Manager Code	LG/ MO/ CRE Code	EUIN* (Refer Section 'F' of instructions)	Collection Date	D	D	M	M	Y	Y	Y	Y
					Time Stamping								

\*I/We hereby confirm that the EUIN 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.

Signature Sole/ First Applicant/ Guardian/ POA/ Authorised Signatory	Signature Second Applicant / POA / Authorised Signatory	Signature Third Applicant / POA / Authorised Signatory
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Any upfront commission shall be paid directly by the investor to the AMFI registered distributors based on the investors assessment of various factors including the service rendered by the distributor.  
**TRANSACTION CHARGES FOR APPLICATIONS THROUGH DISTRIBUTORS ONLY. (Refer Section 'E' of instructions)**  
 I confirm that I am a First time investor across Mutual Funds  I confirm that I am an Existing investor in Mutual Funds  
In case the subscription amount is ₹ 10,000/- or more and your Distributor has opted-in to receive Transaction Charges, ₹ 150/- (for first time mutual fund investor) or ₹ 100/- (for investor other than first time mutual fund investor) will be deducted from the subscription amount and paid to the distributor. Units will be issued against the balance amount invested.

1. **EXISTING UNITHOLDER(S) INFORMATION\*** Folio No. \_\_\_\_\_ \*Mandatory

Name of the Unit Holder [Please shade (●)] \_\_\_\_\_  Mr.  Ms.  M/s. Permanent Account Number (PAN) \_\_\_\_\_

2. **SYSTEMATIC INVESTMENT PLAN (SIP) POST DATED CHEQUES (PDC)** (Refer Section 'A' and 'B' of instructions) [Please shade (●)]

SIP  Micro Investments

Scheme U N I O N K B C \_\_\_\_\_

Plan  Other than Direct Plan  Direct Plan

Option  Growth (Default)  Dividend Pay Out  Dividend Sweep  Dividend Re-investment (Default plan/ option/ facility will be applied incase of no information, ambiguity or discrepancy)

Dividend Frequency \_\_\_\_\_

SIP Period From D D M M Y Y Y Y To D D M M Y Y Y Y SIP Date  2nd  8th  15th  23rd

SIP Frequency  Monthly  Quarterly Instalment Amount in ₹ (Figures) \_\_\_\_\_ No. of Instalments \_\_\_\_\_

Cheque Nos. From \_\_\_\_\_ To \_\_\_\_\_ Drawn on Bank A/c No. \_\_\_\_\_

Bank Name \_\_\_\_\_ Branch \_\_\_\_\_

All PDCs should be given in a sequential order from the same bank account and from the same cheque book. Also all cheques should be of the same amount and of same day of the month excluding the 1st cheque which can be of a date other than the SIP date opted for.

3. **SYSTEMATIC TRANSFER PLAN (STP)** (Refer Section 'C' of instructions) [Please shade (●)]

From Scheme U N I O N K B C \_\_\_\_\_

Plan  Direct Plan

Option  Growth (Default)  Dividend Pay Out  Dividend Sweep  Dividend Re-investment (Default plan/ option/ facility will be applied incase of no information, ambiguity or discrepancy)

Dividend Frequency  Daily  Weekly  Fortnightly  Monthly

To Scheme U N I O N K B C \_\_\_\_\_

Plan  Direct Plan

Option  Growth (Default)  Dividend Pay Out  Dividend Sweep  Dividend Re-investment (Default plan/ option/ facility will be applied incase of no information, ambiguity or discrepancy)

Frequency  Daily  Weekly  Fortnightly  Monthly

STP Date  2nd  8th  15th  23rd STP Period From D D M M Y Y Y Y To D D M M Y Y Y Y No. of Transfers \_\_\_\_\_

Transfer Amount in ₹ (Figures) \_\_\_\_\_ Transfer Amount in ₹ (words) \_\_\_\_\_

4. **SYSTEMATIC WITHDRAWAL PLAN (SWP)** (Refer Section 'C' of instructions) [Please shade (●)]

Scheme U N I O N K B C \_\_\_\_\_

Plan  Direct Plan

Option  Growth (Default)  Dividend Pay Out  Dividend Sweep  Dividend Re-investment (Default plan/ option/ facility will be applied incase of no information, ambiguity or discrepancy)

Dividend Frequency  Daily  Weekly  Fortnightly  Monthly

SWP Date  2nd  8th  15th  23rd SWP Period From D D M M Y Y Y Y To D D M M Y Y Y Y No. of Withdrawals \_\_\_\_\_

Withdrawal Amount in ₹ (Figures) \_\_\_\_\_ Withdrawal Amount in ₹ (words) \_\_\_\_\_

5. **DECLARATION & SIGNATURES\*** (Refer Section 'D' of instructions)

I/We have read and understood the contents of the Scheme Information Document and Statement of Additional Information, Key Information Memorandum, Instructions and addenda issued by Union KBC Mutual Fund, I/ We, hereby apply to the Trustee of Union KBC Mutual Fund for Units of the relevant Scheme and agree to abide by the terms and conditions, rules and regulations of the Scheme. I/ We have neither received nor been induced by any rebate or gifts, directly or indirectly in making this investment. I/ We hereby nominate the above nominee to receive all the amounts to my/our credits in the event of my/our death and have read the instructions for nomination. Signature of the nominee acknowledging receipts of my/our credit will constitute full discharge of liabilities of Union KBC Mutual Fund. I/ We declare that the amount invested in the Scheme is through legitimate sources only and is not designed for the purpose of contravention or evasion of any Act, Regulation, Rule, Notification, Directions or any other applicable laws enacted by the Government of India or any Statutory Authority. 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 hereby agree to have read and understood the terms and conditions with regard to payment of transaction charges as specified in the SID/SAI/KIM and addenda thereto and this application form and instructions thereto. I/ We hereby confirm that Union KBC Mutual Fund/ Union KBC Asset Management Company Private Limited and its empanelled broker(s) has not given any indicative portfolio and indicative yield, in any manner whatsoever. I/ We hereby confirm that at the time of investment, I/ We have the express authority to invest in units of the Scheme and the AMC / Trustee / Mutual Fund will not be responsible if such investment is ultravires the relevant constitution.

**Applicable to Micro Investments only:** I/We do not have any existing Micro investments which together with the current application will result in aggregate investments exceeding ₹ 50,000 in a year.  
**Applicable to NRIs only:** I/We confirm that I am / We are Non-Resident(s) of Indian Nationality / Origin and I/We hereby confirm that the funds for subscriptions have been remitted from abroad through normal banking channels or from fund in my/our Non Resident External / Ordinary account/ FCNR account(s).

Signature Sole / First Applicant / Guardian / POA / Authorised Signatory	Signature Second Applicant / POA / Authorised Signatory	Signature Third Applicant / POA / Authorised Signatory
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**ACKNOWLEDGEMENT SLIP** (To be filled in by the investor)

Folio No. \_\_\_\_\_ Application No. \_\_\_\_\_

Received from: Mr./ Ms./ M/s \_\_\_\_\_ Date: / /

Scheme/ Plan/ Option - \_\_\_\_\_

To Scheme (in case of STP) - \_\_\_\_\_

SIP  SWP  STP

SIP Cheque Nos.	From	To
SIP/STP/SWP Period	From	To
Amount in ₹	No. of Installment	



Collection centre's stamp with date and time of receipt

Please note: All purchases are subject to realisation of cheques.

For Office use only

## INSTRUCTIONS

### General

1. This form should be used by existing investors only by mentioning their folio number, name and scheme details. Please read the Statement of Additional Information (SAI), respective Scheme Information Document (SID) including Addendum(s) thereto, if any, Key Information Memorandum (KIM) and instructions there-in and below mentioned instructions carefully before filling up this form.
2. This Form should be completed in English and in Block Letters only using black or blue coloured ink.
3. Please shade (●) in the appropriate circle (0).
4. The Form should be complete in all respects & should be submitted at any of the Customer Service Centres (CSCs) / Official Points of Acceptance (OPAs) of Computer Age Management Services Pvt. Ltd. (CAMS) or Union KBC Mutual Fund. List of OPAs is available on the website of the Mutual Fund www.unionkbcmf.com.
5. Signature(s) should be as provided under the existing folio and in the same order. In case the mode of holding is joint, all unit holders are required to sign.
6. If any chosen day falls on a non-business day, the next business day of the scheme will be considered as the transaction date.
7. Incorrect / Incomplete applications are liable to be rejected.
8. Default Option may be applied in case of no information, ambiguity or discrepancy.
9. Account Statement for SIP, STP and SWP will be dispatched /emailed once every quarter ending March, June, September and December within 10 working days of the end of the respective quarter. However, the first account statement under SIP/STP/SWP shall be issued within 10 working days of the initial investment/transaction. In case of specific request received from investors, Mutual Funds shall provide the Account Statement to the investors within 5 working days from the receipt of such request without any charges. Further, soft copy of the Account Statement shall be e-mailed to the investors under SIP/STP/SWP to their e-mail address on a monthly basis, if so mandated.
10. The Trustee reserves the right to change/modify the terms and conditions of SIP/SWP/STP.
11. The Load Structure prevailing at the time of submission of the SIP/STP/SWP application will apply for all the installments indicated in such application.
12. For investors wishing to enrol for SIP through auto debit, a separate form for the same is available on the Mutual Fund's website www.unionkbcmf.com.

### A. Systematic Investment Plan (Post Dated Cheques) (SIP-PDC)

1. The provisions relating to SIP including minimum application amount, available frequencies etc. are specified in the respective SID/KIM.
2. All SIP Cheques must be dated 2nd, 8th, 15th or 23rd of a month. If investor has not provided the SIP date, the default date will be considered as 8th of the month.
3. Each of the SIP installments excluding the initial Cheque should be of the same amount and date.
4. There should be a minimum of 30 days between the initial investment & subsequent/2nd SIP Cheques.
5. Cheques should be drawn on any bank, which is situated at and is a member/sub member of the Banker's Clearing House located at the place where the SIP application is submitted. The cheques should be payable locally at the Centre where the application is submitted. Outstation Cheques / Third Party Payment Instruments will not be accepted.
6. Units will be allotted on the applicable dates. In case the date falls on a Non-Business Day, the immediate next Business Day will be considered for the purpose of determining the applicability of NAV subject to the realization of Cheques.
8. Dishonoured Cheques are liable not to be presented again for collection.
9. The SIP enrolment will be discontinued and the balance Cheques, if any will be returned to the unit holder in cases where three consecutive SIP Cheque(s) are not honoured.
10. Unit holders will have the right to discontinue the SIP facility at any time by sending a written request to the CSC of the AMC or its Registrar. Notice of such discontinuance should be received at least 15 days prior to the next SIP due date. On receipt of such request, the SIP facility will be terminated and the balance Post Dated Cheque(s), if any, will be returned to the Unit holder.

### B. Micro Systematic Investment Plan (MSIP)

1. SIPs where the aggregate of installment values does not exceed ₹ 50,000/- per year per investor in a rolling 12 months period or in a financial year i.e. April to March shall be exempted from PAN requirement. However in lieu of PAN & KYC through CDSL Ventures Limited (CVL), investor (including joint holders) has to provide the following documents:
  - Standard specified identification instruments like Voter ID card, Government/Defense ID card, Card of Reputed employer, Driving License, Passport in lieu of PAN.
  - Proof of address copy. It is clarified that where photo identification documents contains the address of the investor, a separate proof of address is not required.
  - Supporting documents copy shall be self attested by the investor / attested by the ARN holder mentioning the ARN number or attested by any competent authority.
2. This exemption will be applicable only for investments made by individuals (including Joint holders who are individuals, NRIs but not PIOs), Minors and Sole proprietary firms. HUFs and other categories will not be eligible for this exemption.

### C. Systematic Transfer Plan (STP) / Systematic Withdrawal Plan (SWP)

1. A minimum of 8 days shall be required for registration of STP/SWP.
2. Investor can choose STP/SWP on 2nd, 8th, 15th or 23rd of a month. If investor has not provided the dates, the default date will be considered as 8th of every month.
3. The provisions relating to STP/SWP including minimum instalment size,

available frequencies are specified in the respective SID/KIM. In case of STP, minimum application amount specified in the SID of the respective designated Transferee Scheme will be applicable.

4. Units marked under Lien, Pledge or Lock-in Period in the Transferor scheme will not be eligible for STP/SWP.
5. All valid applications will be processed as per the applicable uniform cut off timings on the working days as mentioned in the respective scheme SID.
6. STP will be automatically terminated if all units are liquidated or withdrawn from the Transferor Scheme or pledged or upon receipt of intimation of death of the unit holder.
7. If the outstanding balance during the cycle of STP/SWP falls below the minimum balance required, the AMC reserves the right to redeem the balance amount/units outstanding.
8. Unit holders will have the right to discontinue the STP/SWP facility at any time by sending a written request to the CSC of the AMC or its Registrar. Notice of such discontinuance should be received at least 8 days prior to the due date of the next transfer date. On receipt of such request, the STP/SWP facility will be terminated.

### D. Declaration and Signature(s)

1. Signature(s) should be in English or in any of the Indian languages specified in the eighth schedule of the Constitution of India.
2. Thumb impressions (left hand for males and right hand for female) and signatures in languages not specified in the Eighth Schedule of the Constitution of India should be attested by a Magistrate or a Notary public or a Special Executive Magistrate under his/her official seal.
3. Applications by minors should be signed by their guardians.
4. In case of an HUF, the Karta should sign on behalf of the HUF.
5. If the application form is signed by a Power of Attorney (POA) holder, the form should be accompanied by a notarised photocopy of the PoA. Alternatively, the original PoA may be submitted with the application, which will be returned after verification. If the PoA is not submitted with the application, the application form will be rejected.
6. In case of non-individual investors, a list of authorised signatories should be submitted along with application form or in case of any change in the authorised signatories list; the AMC/ Registrar must be notified within 7 days.

### E. DEDUCTION OF TRANSACTION CHARGE FOR INVESTMENTS THROUGH EMPANELLED DISTRIBUTORS OF THE FUND:

In accordance with the terms of SEBI Circular No. Cir/ IMD/ DF/13/ 2011 dated August 22, 2011 and SEBI Circular No. Cir/ IMD/ DF/21/ 2012 dated September 13, 2012 on Transaction Charges, the AMC/Mutual Fund shall deduct the Transaction Charges on purchase / subscription received from first time mutual fund investors and investors other than first time mutual fund investors through the distributor (who have specifically opted-in to receive the transaction charges) as under:

- **First Time Mutual Fund Investor (across Mutual Funds):**  
Transaction charge of ₹ 150/- for subscription of ₹ 10,000 and above will be deducted from the subscription amount and paid to the distributor/agent of the first time investor and the balance shall be invested.
- **Investor other than First Time Mutual Fund Investor:**  
Transaction charge of ₹ 100/- per subscription of ₹ 10,000 and above will be deducted from the subscription amount and paid to the distributor/agent of the existing investor and the balance shall be invested.

It may be noted that the transaction charges shall be subject to the following:

- o Transaction charges in case of investments through Systematic Investment Plan (SIP) shall be deducted only if the total commitment (i.e. amount per SIP installment x No. of installments) amounts to ₹ 10,000/- or more. The Transaction Charges shall be deducted in 4 equal installments commencing from the second SIP installment.
- o Distributors shall be able to choose to "opt in" OR "opt out" of charging the transaction charge. However, the option exercised by the Distributor is required to be at distributor level and may be based on type of the product but not investor level i.e. a distributor shall not charge one investor and choose not to charge another investor.
- o Transaction charges shall not be deducted for (i) purchases/ subscriptions made directly with the Fund (i.e. not through any distributor); (ii) purchase/ subscriptions below ₹ 10,000/- and (iii) transactions other than purchases/ subscriptions relating to new inflows.

It may be further noted that the transaction charges are in addition to the existing system of commission permissible to the Distributors. It is further clarified that pursuant to SEBI Circular No. SEBI/IMD/CIR No. 4/ 168230/09, dated June 30, 2009, upfront commission to distributors shall continue to be paid by the investor directly to the distributor by a separate cheque based on his assessment of various factors including the service rendered by the distributor.

### F. EMPLOYEE UNIQUE IDENTIFICATION NUMBER (EUIIN):

As per SEBI Circular No. CIR/IMD/DF/21/2012 dated September 13, 2012 and AMFI Guidelines on implementation of EUIIN, it is mandatory to state the Employee Unique Identification Number (EUIIN) of the employee/ relationship manager/ sales person of the distributor interacting with the investor for the sale of mutual fund products, in addition to the AMFI Registration Number (ARN) of the distributor in the space indicated in the application form. In case the EUIIN box is intentionally left blank in the absence of any client facing interaction, then it is required to mandatorily tick against the confirmation/ declaration stating that the transaction is an "execution-only" transaction, mentioned below the box/ space provided for the ARN Number/ EUIIN in the application form and also provide signature(s) in the signature pane appearing just below the confirmation/declaration. The mentioning of the EUIIN shall assist the AMC to tackle the problem of mis-selling by the distributors/its employees/ relationship manager/ sales person.

Please address all future communication(s) in connection with this application to the Registrar & Transfer Agent of the Scheme:

**Computer Age Management Services Pvt. Ltd.,**

Unit: Union KBC Mutual Fund

Ground Floor No.178/10, Kodambakkam High Road, Opp. Hotel Palmgrove, Nungambakkam, Chennai, Tamil Nadu - 600 034.

Email: enq\_uk@camsonline.com | Website: www.camsonline.com



**Union KBC Asset Management Company Pvt. Ltd.**

Unit 802, 8th Floor, Tower 'A', Peninsula Business Park,  
Ganpatrao Kadam Marg, Lower Parel (West), Mumbai - 400013

Toll Free : 1800 200 2268 | Tel No. : 022 24833333

Website: www.unionkbcmf.com | Email: investorcare@unionkbc.com