

COMMON APPLICATION FORM FOR OPEN-ENDED EQUITY AND BALANCED SCHEMES

(OCBs ARE NOT ALLOWED TO INVEST IN UNITS OF ANY OF THE SCHEMES OF UTI MF)

Sr.No. 2016/

TIME STAMP

Registrar Sr. No.

(Please read instructions carefully before filling the form and use **BLOCK LETTERS** only)

[Fields Marked with (*) must be Mandatorily filled in]

DISTRIBUTOR INFORMATION (only empanelled Distributors/Brokers will be permitted to distribute Units) (refer instruction 'h')

BDA / CA Code

| ARN/RIA Code [^] | Name of Financial Advisor | Sub ARN Code | Sub Code/ Bank Branch Code | M O Code | EUI No. [@] | UTI RM No. |
|---------------------------|---------------------------|--------------|-------------------------------|----------|----------------------|------------|
| ARN: 54854 | South Gujarat | | | | | |

[^] By mentioning RIA code, I/we authorise you to share with the Investment Adviser the details of my/our transactions.

Upfront commission shall be paid directly by the investor to the AMFI / NISM certified UTI MF registered Distributors based on the investors' assessment of various factors including the service rendered by the distributor.

[@] I/we confirm that the EUI box is intentionally left blank by me/us as this is an "execution-only" transaction without any interaction or advice by the distributor personnel concerned or notwithstanding the advice of in-appropriateness, if any, provided by such distributor personnel and the distributor has not charged any advisory fees for this transaction. ☐ Please tick and sign below when EUI box is left blank (refer instruction 'w').

Signature of 1st Applicant / Guardian

Signature of 2nd Applicant

Signature of 3rd Applicant

TRANSACTION CHARGES TO BE PAID TO THE DISTRIBUTOR (Please tick any one of the below) (Refer Instruction 'i')

☐ I AM A FIRST TIME INVESTOR IN MUTUAL FUNDS

OR

☐ I AM AN EXISTING INVESTOR IN MUTUAL FUNDS

₹ 150 will be deducted as transaction charges per Subscription of ₹ 10,000 and above

₹ 100 will be deducted as transaction charges per Subscription of ₹ 10,000 and above

Existing Unit Holder information If you have an existing folio no. with PAN & KYC validation, please mention your Folio Number here:

APPLICANT'S PERSONAL DETAILS ☐ Mr. ☐ Ms. ☐ Mrs. ☐ M/s

* Denotes Mandatory Fields

Name of First Applicant (as appearing in ID proof given for KYC)

| | | | | | | | | | |
|----------------------|--|--|--|--|--|--|--|--|--|
| | | | | | | | | | |
| | | | | | | | | | |
| Date of Birth | | | | | | | | | |
| Mandatory for minors | | | | | | | | | |

First Applicant's Address (Do not repeat the name) **Name & Address of resident relative in India** (for NRIs) (P.O. Box No. is not sufficient)

| | | | | | | | | | |
|--------------------------|--|--|--|--|-------|--|--|------|--|
| Village/Flat/Bldg./Plot* | | | | | | | | | |
| Street/Road/Area/Post | | | | | | | | | |
| City/Town* | | | | | State | | | Pin* | |

***PAN/PEKRN \$ OF 1ST APPLICANT/FATHER/MOTHER/GUARDIAN** (whose particulars are furnished above) **AADHAAR CARD NO.**

| | | | | | | | | | |
|---|--|--|--|--|--|--|--|--|--|
| | | | | | | | | | |
| Enclosed <input type="checkbox"/> PAN/PEKRN Card/ID Proof Copy <input type="checkbox"/> Know Your Customer (KYC)* Acknowledgement Copy Please (✓) | | | | | | | | | |

OVERSEAS ADDRESS (Overseas address is mandatory for NRI / FPI applicants in addition to mailing address in India)

| | | | | | | | | | |
|-------|--|--|--|--|----------|--|--|----------|--|
| | | | | | | | | | |
| City* | | | | | | | | | |
| State | | | | | Country* | | | Zip/Pin* | |

NAME IN FULL OF THE FATHER (OR) MOTHER / GUARDIAN (IN CASE OF MINOR) \$ / CONTACT PERSON FOR INSTITUTIONAL APPLICANTS

☐ Mr. ☐ Ms. ☐ Mrs.

| | | | | | | | | | |
|--|--|--|--|--|--|--|--|--|--|
| | | | | | | | | | |
|--|--|--|--|--|--|--|--|--|--|

\$ \$ Proof of date of birth and proof of relationship with minor to be attached or else sign the declaration on the reverse (Refer instruction 'f').

DETAILS OF OTHER APPLICANTS

Name of 2nd Applicant ☐ Mr. ☐ Ms. ☐ Mrs.

Date of Birth of 2nd Applicant

| | | | | | | | | | |
|--|--|--|--|--|--|--|--|--|--|
| | | | | | | | | | |
|--|--|--|--|--|--|--|--|--|--|

***PAN/PEKRN \$ of 2nd Applicant**

AADHAR CARD NO.

| | | | | | | | | | |
|---|--|--|--|--|--|--|--|--|--|
| | | | | | | | | | |
| Enclosed <input type="checkbox"/> PAN/PEKRN Card/ID Proof Copy <input type="checkbox"/> Know Your Customer (KYC)* Acknowledgement Copy Please (✓) | | | | | | | | | |

Name of 3rd Applicant ☐ Mr. ☐ Ms. ☐ Mrs.

Date of Birth of 3rd Applicant

| | | | | | | | | | |
|--|--|--|--|--|--|--|--|--|--|
| | | | | | | | | | |
|--|--|--|--|--|--|--|--|--|--|

***PAN /PEKRN \$ of 3rd Applicant**

AADHAAR CARD NO.

| | | | | | | | | | |
|---|--|--|--|--|--|--|--|--|--|
| | | | | | | | | | |
| Enclosed <input type="checkbox"/> PAN/PEKRN Card/ID Proof Copy <input type="checkbox"/> Know Your Customer (KYC)* Acknowledgement Copy Please (✓) | | | | | | | | | |

\$ Required for MICRO Investment upto Rs. 50,000/-. (refer instruction 'q')

PAYMENT DETAILS (Refer Instruction 'y') (Please ensure that the cheque complies to the CTS 2010 standard)

#Cheque/DD/NEFT/*RTGS Ref. No.
/ Unique Serial No. (For Cash)

☐ Cash

Account type

☐ Savings

☐ Current

☐ NRE

Account No.

(please ✓)

☐ NRO

☐ DD issued from abroad

Date

Amt. of investment (i)

☐ UTI Smart Form (OTM) if already registered
(Applicable for existing investors)

Bank

DD Charges if any (ii)

Please mention the application No. on the reverse
of the cheque / DD; NEFT / RTGS advice. Cheque
/ DD must be drawn in favour of "The Name of the
Scheme" & crossed "A/c Payee Only"

Branch

Net amount paid (i-ii)

* Investment amount shall be ₹ 2 lacs and above
in case of payments through RTGS.

Amt. in words

BANK PARTICULARS OF 1ST APPLICANT (Mandatory as per SEBI Guidelines)

| | | | | | |
|-----------|------|------|---|----------------------|--|
| Bank Name | | | Branch | | |
| Address | | | MICR Code | <input type="text"/> | |
| | | | (this is a 9-digit number next to your cheque number) | | |
| | City | Pin* | IFS Code | <input type="text"/> | |
| | | | (this is a 11-digit number) | | |

Account type (please ✓) ☐ Savings ☐ Current ☐ NRO ☐ NREAccount No. **INVESTMENT DETAILS** (For “DIRECT PLAN” Please tick here ☐ & tick Scheme, Plan / Option given below) (Refer instruction ‘j’)
PLEASE USE SEPARATE FORM FOR EACH SCHEME

- | | |
|---|--|
| <input type="checkbox"/> UTI-Balanced Fund | <input type="checkbox"/> UTI-Mid Cap Fund |
| <input type="checkbox"/> UTI-Banking Sector Fund - Regular Plan | <input type="checkbox"/> UTI-MNC Fund |
| <input type="checkbox"/> UTI-Bluechip Flexicap Fund | <input type="checkbox"/> UTI-Multi Cap Fund - Regular Plan |
| <input type="checkbox"/> UTI-Dividend Yield Fund | <input type="checkbox"/> UTI-Nifty Index Fund |
| <input type="checkbox"/> UTI-Equity Fund | <input type="checkbox"/> UTI-Opportunities Fund |
| <input type="checkbox"/> UTI-India Lifestyle Fund | <input type="checkbox"/> UTI-Pharma & Healthcare Fund |
| <input type="checkbox"/> UTI-Infrastructure Fund | <input type="checkbox"/> UTI-SPREAD Fund |
| <input type="checkbox"/> UTI-Long Term Equity Fund (Tax Saving) | <input type="checkbox"/> UTI-Top 100 Fund |
| <input type="checkbox"/> UTI-Mastershare Unit Scheme | <input type="checkbox"/> UTI-Transportation & Logistics Fund |
| | <input type="checkbox"/> UTI-Wealth Builder Fund Series II - Retail Plan |

OPTION ☐ Growth ☐ Dividend Payout ☐ Dividend Reinvestment [not available under UTI-LTEF (Tax Saving)]
(for all schemes) (Default is growth option)**For investment under CanServe Facility, please tick (✓) the Scheme Name, Plan and Option given below (refer instruction ‘aa’)**

| | | | |
|--------------|--|---|--|
| Scheme Name: | <input type="checkbox"/> UTI-Balanced Fund | <input type="checkbox"/> UTI-Mastershare Unit Scheme | <input type="checkbox"/> UTI-SPREAD Fund |
| Plan : | <input type="checkbox"/> Direct Plan | <input type="checkbox"/> Existing Plan | |
| Option: | <input type="checkbox"/> CanServe Growth Option ₹ <input type="text"/> /- (minimum ₹ 1000/-) | <input type="checkbox"/> CanServe Dividend Payout Option (default 50%) <input type="checkbox"/> 50% <input type="checkbox"/> 100% | Default is CanServe Growth Option |

Investors ticking the CanServe facility will be allotted units under the said facility only. Any other option selected would be ignored.

DETAILS OF BENEFICIAL OWNERSHIP (Please tick applicable category).

Ownership details to be provided if the Ownership percentage/interest any Beneficiary is as per the threshold limit provided below. Details to be provided for each such beneficiary. (Refer instruction q)

| Category | <input type="checkbox"/> Unlisted Company | <input type="checkbox"/> Partnership Firm | <input type="checkbox"/> Unincorporated Association/Body of Individuals | <input type="checkbox"/> Trust | <input type="checkbox"/> Foreign Investor \$\$\$ |
|--------------------------|---|---|---|--------------------------------|--|
| Ownership per cent @ @ @ | >25% | >15% | >15% | >=15% | |

@@@ Ownership percentage of shares/capital/profits/property of juridical person/interest in the Trust as on the date of the application shall be furnished by the investor.

\$\$\$ In the case of Foreign investors, the beneficial ownership will be determined as per SEBI guidelines. For details refer to SAI/relevant Addendum.

In case of any change in the beneficial ownership, the investor will be responsible to intimate UTI AMC / its Registrar / KRA as may be applicable immediately about such change.

Details of Beneficial Ownership (Please attach a separate sheet with this format if the space provided is insufficient)

| Sr. No. | Name | Address | Details of Identity such as PAN / Passport | % of ownership |
|---------|------|---------|--|----------------|
| 1 | | | | |
| 2 | | | | |
| 3 | | | | |

[Please attach self attested copy of PAN/Passport (proof of photo identity) along with application form]

Unitholding Option ☐ Demat Mode ☐ Physical Mode (if Demat account details are provided below, units will be allotted, by default, in Electronic Mode only)

DEMAT ACCOUNT DETAILS - Please ensure that the sequence of names as mentioned in the application form matches with that of the account held with any one of the Depository Participant. Demat Account details are compulsory if demat mode is opted above

| | | | |
|--|--|---|------------------------------------|
| National Securities Depository Limited | Depository Name _____ | Central Depository Services (India) Limited | Depository Name _____ |
| | DP ID No. <input type="text"/> | | Target ID No. <input type="text"/> |
| | Beneficiary Account No. <input type="text"/> | | |

Enclosures : ☐ Client Master List (CML) ☐ Transaction cum Holding Statement ☐ Delivery Instruction Slip (DIS)

FRIEND IN NEED DETAILS In case UTI MF is unable to communicate with me/us at my / our registered address, I / we authorize UTI MF to correspond with the following person to ascertain my/our updated contact details. (refer instruction - k)

| | | |
|--|----------------------|--------|
| Name | <input type="text"/> | |
| Address: | <input type="text"/> | |
| Relationship with the applicant (optional) | Email | Mobile |

GENERAL INFORMATION - Please (✓) wherever applicable

STATUS:

| | | | | |
|--|---|--|---|--------------------------------|
| <input type="checkbox"/> Resident Individual | <input type="checkbox"/> Minor through guardian | <input type="checkbox"/> HUF | <input type="checkbox"/> Partnership | <input type="checkbox"/> Trust |
| <input type="checkbox"/> Sole Proprietorship | <input type="checkbox"/> Society / Club | <input type="checkbox"/> Body Corporate | <input type="checkbox"/> AOP | <input type="checkbox"/> BOI |
| <input type="checkbox"/> FPI | <input type="checkbox"/> NRI | <input type="checkbox"/> Foreign Nationals** | <input type="checkbox"/> Listed Company | <input type="checkbox"/> LLP |
| <input type="checkbox"/> Unlisted 'Not for Profit' Company | <input type="checkbox"/> Other Unlisted Company | <input type="checkbox"/> PIO | | |
| <input type="checkbox"/> Others (Please specify) _____ | | | | |

^^ 'Not for Profit' Company as defined under Companies Act (Act of 1956/2013).

** Overseas Corporate Bodies (OCBs) are not allowed to invest in units of any of the schemes of UTI MF

OCCUPATION:

| | | | | |
|---------------------------------------|--|---|--|---|
| <input type="checkbox"/> Business | <input type="checkbox"/> Student | <input type="checkbox"/> Agriculture | <input type="checkbox"/> Self-employed | <input type="checkbox"/> Professional |
| <input type="checkbox"/> Housewife | <input type="checkbox"/> Retired | <input type="checkbox"/> Private Sector Service | <input type="checkbox"/> Public Sector Service | <input type="checkbox"/> Government Service |
| <input type="checkbox"/> Forex Dealer | <input type="checkbox"/> Others (Please specify) _____ | | | |

MODE OF HOLDING: ☐ Single ☐ Anyone or survivor ☐ Joint

MARITAL STATUS: ☐ Unmarried ☐ Married ☐ Wedding Anniversary

OTHER DETAILS (MANDATORY)

FOR INDIVIDUALS ONLY

1st Applicant: (A) **Gross Annual Income Details** Please tick (✓)

| | | | | | |
|--------------------------------------|-----------------------------------|------------------------------------|-------------------------------------|---|-----------------------------------|
| <input type="checkbox"/> Below 1 Lac | <input type="checkbox"/> 1-5 lacs | <input type="checkbox"/> 5-10 Lacs | <input type="checkbox"/> 10-25 Lacs | <input type="checkbox"/> >25 Lacs - 1 Crore | <input type="checkbox"/> >1 Crore |
|--------------------------------------|-----------------------------------|------------------------------------|-------------------------------------|---|-----------------------------------|

[OR]

Net-worth in ₹ _____ as on (date) ____/____/____

(B) **Please tick if applicable:** ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP) (For definition of PEP, please refer instruction 'x').

(C) **Any other information:** _____

2nd Applicant: (A) **Gross Annual Income Details**

| | | | | | |
|--------------------------------------|-----------------------------------|------------------------------------|-------------------------------------|---|-----------------------------------|
| <input type="checkbox"/> Below 1 Lac | <input type="checkbox"/> 1-5 lacs | <input type="checkbox"/> 5-10 Lacs | <input type="checkbox"/> 10-25 Lacs | <input type="checkbox"/> >25 Lacs - 1 Crore | <input type="checkbox"/> >1 Crore |
|--------------------------------------|-----------------------------------|------------------------------------|-------------------------------------|---|-----------------------------------|

[OR]

Net-worth in ₹ _____ as on (date) ____/____/____

(B) **Please tick if applicable:** ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)

(C) **Any other information:** _____

3rd Applicant: (A) **Gross Annual Income Details**

| | | | | | |
|--------------------------------------|-----------------------------------|------------------------------------|-------------------------------------|---|-----------------------------------|
| <input type="checkbox"/> Below 1 Lac | <input type="checkbox"/> 1-5 lacs | <input type="checkbox"/> 5-10 Lacs | <input type="checkbox"/> 10-25 Lacs | <input type="checkbox"/> >25 Lacs - 1 Crore | <input type="checkbox"/> >1 Crore |
|--------------------------------------|-----------------------------------|------------------------------------|-------------------------------------|---|-----------------------------------|

[OR]

Net-worth in ₹ _____ as on (date) ____/____/____

(B) **Please tick if applicable:** ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)

(C) **Any other information:** _____

FOR NON-INDIVIDUALS ONLY

(A) **Gross Annual Income Details**

| | | | | | |
|--------------------------------------|-----------------------------------|------------------------------------|-------------------------------------|---|-----------------------------------|
| <input type="checkbox"/> Below 1 Lac | <input type="checkbox"/> 1-5 lacs | <input type="checkbox"/> 5-10 Lacs | <input type="checkbox"/> 10-25 Lacs | <input type="checkbox"/> >25 Lacs - 1 Crore | <input type="checkbox"/> >1 Crore |
|--------------------------------------|-----------------------------------|------------------------------------|-------------------------------------|---|-----------------------------------|

[OR]

Net-worth in ₹ _____ as on (date) ____/____/____

(B) **Is the entity involved in / providing any of the following services**

– Foreign Exchange / Money Changer Services ☐ YES ☐ NO – Gaming / Gambling/Lottery Services (e.g. casinos, betting syndicates) ☐ YES ☐ NO

– Money Lending / Pawning ☐ YES ☐ NO

(C) **Any other information:** _____



Haq, ek behtar zindagi ka.

ACKNOWLEDGEMENT

(To be filled in by the Applicant)

[UTI-LTEF (Tax Saving) is eligible for deduction under section 80C of the Income Tax Act, 1961] **Sr. No. 2016/**

Received from Mr / Ms / M/s

An application under

along with Cheque/DD/NEFT/RTGS

Ref. No./Unique Serial No. (For Cash)

Drawn on (Bank)

for ₹ (in figures)

^s Cheques and drafts are subject to realisation.

| | |
|----------------------|----------------------------|
| <input type="text"/> | (scheme name) |
| <input type="text"/> | dated <input type="text"/> |
| <input type="text"/> | |
| <input type="text"/> | |

Stamp of UTI AMC Office/
Authorised Collection Centre

Are you a tax resident of any country other than India ?

If **yes**, please fill in the Particulars in the prescribed Form for FATCA/CRS and attach it with this Application Form.

☐ I/We hereby nominate the undermentioned Nominee to receive the amounts to my / our credit in the event of my / our death. I/We also understand that all payments and settlements made to such Nominee and signature of the Nominee acknowledging receipt thereof, shall be a valid discharge by the AMC / Mutual Fund / Trustee.

| | |
|--|---|
| Name and Address of Nominee | To be furnished in case nominee is a minor |
| Name | Name of the guardian |
| Date of Birth <input type="text" value="d"/> <input type="text" value="d"/> <input type="text" value="m"/> <input type="text" value="m"/> <input type="text" value="y"/> <input type="text" value="y"/> <input type="text" value="y"/> <input type="text" value="y"/> (in case of nominee is a minor) | Address of guardian |
| Address with pin code | Signature of Nominee / guardian (for minor) |

Investors who wish to nominate two or three persons may fill in the separate form prescribed for the same and attach it with this application form.

☐ I/We do not wish to nominate

| |
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● I/We have read and understood the contents of the Scheme Information Document, Statement of Additional Information and Key Information Memorandum, addenda issued till date and apply to the Trustee of UTI Mutual Fund as indicated above. I/We agree to abide by the terms and conditions, rules and regulations of the scheme as on the date of investment. I/We undertake to confirm that this investment has been duly authorised by appropriate authorities in terms of all relevant documents and procedural requirements. ● I/We have not received nor been induced by any rebate or gifts, directly or indirectly in making investments. ● 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 authorize UTI MF/UTI AMC to share my data furnished in the Form to my distributor and other service providers of the UTI MF for the purpose of servicing, issue of account statement/consolidated statement of account etc and cross selling of products/schemes of the UTI MF. ● I/We confirm that we are Non-Residents of Indian Nationality/Origin and that the funds are remitted from abroad through approved banking channels or from my / our NRE / NRO Account. I/We undertake to provide further details of source of funds and any such other relevant documents, if called for by UTI Mutual Fund (Applicable to NR's). ● I hereby solemnly declare that I am the father/mother/guardian of the minor child in whose name the application is made. The date of birth stated by me is true and correct. I do not have any documents in support of the date of birth and relationship with minor child. (Strike out if this declaration is not applicable).

☐ Through email[∞]
☐ SoA in Physical Form
 ☐ At my Overseas address as mentioned above[®]
☐ To be dispatched to my resident relative's address in India as mentioned above[®]

[∞] Please send the Account Statement, Abridged Annual Report, Transaction confirmation, communication of change of address, change of bank details etc. through email only at the below email ID.
[®] Applicable to NRIs

| | | | |
|-------------------------|--|-------------------------------|-------------------------------|
| First Applicant Details | Mobile No. <input type="text"/> | Tel. (R) <input type="text"/> | Tel. (O) <input type="text"/> |
| | *E-mail <input type="text"/> Alternate E-mail <input type="text"/> | | |

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Signature of 3rd Applicant / POA^{^^}
Name of 3rd Authorised Signatory

Designation

^^Power of Attorney (POA) Registration No. (if already registered) (refer instruction 'ab')

1. If the application is incomplete and any other requirement is not fulfilled, the application is liable to be rejected.
2. Consolidated Account Statement (CAS) will be sent within 10 days of the following month of the transaction.
3. **Please ensure that all KYC Compliance Proof and PAN details are given, failing which your application will be rejected. PAN not applicable for Micro SIP.**
4. All communication relating to issue of Statement of Account, Change in name, Address or Bank particulars, Nomination, Redemption, Death Claims etc., may please be addressed to the Registrar :

M/s. Karvy Computershare Pvt. Ltd.: Unit: UTIMF, Karvy Selenium Tower B, Plot Nos. 31 & 32, Financial District, Nanakramguda, Serilingampally Mandal, Hyderabad - 500 032. **Board No:** 040-6716 2222, **Fax No.:** 040- 6716 1888, **Email:** uti@karvy.com