

# TRANSACTION FORM (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.

ARN/ RIA Code**	Sub-Broker Code/ Branch Code	Branch Manager Code	LG/ MO/ CRE Code	EUIN* (Refer Section 'H' of instructions)	Ref No.	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.  
\*\*By mentioning the RIA code, I/we hereby give my/our consent to share/provide the transactions data feed / unit holdings in respect of my/our investments under Direct Plan in the Scheme(s) of Union Mutual Fund with the SEBI Registered Investment Adviser.

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 'G' 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\*** (Refer Section 'A and B' of instructions) **Folio No.** **\*Mandatory**

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

2. **SCHEME DETAILS\*** **\*Mandatory**

Scheme/ Plan/ Option/ Facility/ Frequency UNION  
 Default Plan/ Option/ Facility/ Frequency will be applied in case of no information, ambiguity or discrepancy.

3. **ADDITIONAL PURCHASE REQUEST** (Refer Section 'C' of instructions) [Please shade (●)]

Payment Mode:  Cheque  RTGS  NEFT  Fund Transfer  Debit Mandate (For Union Bank of India account holders only)  One Time Mandate (OTM)  
 Amount in ₹ (Figures) \_\_\_\_\_ Amount in ₹ (Words) \_\_\_\_\_  
 Cheque/ UTR (RTGS/ NEFT) No. \_\_\_\_\_ Cheque/ RTGS/ NEFT Date:  D D / M M / Y Y Y Y  
 Cheque Issuer Name \_\_\_\_\_ In case the cheque is issued by a person other than the investor  
 Source Bank A/C Number \_\_\_\_\_ Source Bank Name \_\_\_\_\_ Source Branch \_\_\_\_\_  
 Account Type  Savings  Current  NRE  NRO  FCNR Document attached in the case of third party payments (Mandatory)  Third Party Declarations  
 If One Time Mandate, please fill, Unique Mandate Reference Number (UMRN) \_\_\_\_\_

4. **SWITCH REQUEST** (Refer Section 'D' of instructions) [Please shade (●)]

Scheme/ Plan/ Option/ Facility/ Frequency UNION  
 To Scheme/ Plan/ Option/ Facility/ Frequency UNION  
 Default Plan/ Option/ Facility/ Frequency will be applied in case of no information, ambiguity or discrepancy.  
 Amount in ₹ (Figures) \_\_\_\_\_ Amount in ₹ (Words) \_\_\_\_\_  
 No. of Units \_\_\_\_\_  OR all Units (Please mark any one)

5. **REDEMPTION REQUEST** (Refer Section 'E' of instructions) [Please shade (●)]

Amount in ₹ (Figures) \_\_\_\_\_ Amount in ₹ (Words) \_\_\_\_\_  
 No. of Units \_\_\_\_\_  OR all Units (Please mark any one)  
 Credit the Redemption proceeds to  Default Bank Account  Registered Bank Account\*  
 Registered Bank Name\* \_\_\_\_\_ Bank A/C Number \_\_\_\_\_  
 (Proceeds of redemption request will be sent only to a bank account that is already registered and validated in the folio at the time of redemption transaction processing.)

6. **DECLARATION & SIGNATURES** (Refer Section 'F' of instructions) (To be signed by ALL UNIT HOLDERS if mode of holding is JOINT)

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 Mutual Fund and the terms and conditions and policies on the website before investing. I/We, hereby apply to the Trustee of Union 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 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 Mutual Fund/ Union 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).  
**Important alert:** In case there is any change to your KYC information, please update the same by using the prescribed "KYC Change Request Form" and submit the same at the point of service of any KYC Registration Agency

Signature Sole/ First Applicant/ Guardian/ POA/ Authorised Signatory	Signature Second Applicant/ POA/ Authorised Signatory	Signature Third Applicant/ POA/ Authorised Signatory
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2A **DEBIT MANDATE FOR UNION MUTUAL FUND** (Lumpsum Investment) **Application No.**  
 (For Union Bank of India account holders only)

To be detached by the Registrar (CAMS Ltd.) and presented to Union Bank of India.

To Branch Manager - Union Bank of India Date \_\_\_/\_\_\_/\_\_\_

I / We \_\_\_\_\_

authorise you to debit my / our Account No. \_\_\_\_\_ Type of Account \_\_\_\_\_

₹ (in figures) \_\_\_\_\_ ₹ (in words) \_\_\_\_\_ to pay for the purchase of units of Union \_\_\_\_\_

Scheme Name \_\_\_\_\_

Signature of Account Holder(s) / Authorised Signatory(ies)  
(As per Bank records)

**ACKNOWLEDGEMENT SLIP** (To be filled in by the investor) **Application No.**

Folio No. \_\_\_\_\_ Date:  D D / M M / Y Y Y Y

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

an application for units of \_\_\_\_\_ Scheme/ Plan/ Option/ Facility/ Frequency \_\_\_\_\_

Amount/ Units \_\_\_\_\_

Additional Purchase  Switch  Redemption  Updation of Contact Details \_\_\_\_\_

Collection centre's stamp with date and time of receipt



For Office use only

## INSTRUCTIONS

### A. GENERAL

1. Please read the Scheme Information Document (SID), Statement of Additional Information (SAI) and Key Information Memorandum (KIM) and relevant addenda thereto if any, carefully before investing.
2. The application form must be filled in English in BLOCK letters using black or dark blue coloured ink. Incomplete applications are liable to be rejected.
3. Please shade in the appropriate circle (●).
4. Correction/cancellation of any information should be countersigned by the applicants/ unit holders. Please strike out any section which is not applicable.
5. Non-individual Unit holders - Please intimate us of any change in list of signatories immediately after the change giving us a certified copy of the Board Resolution and List of Authorised Signatories.
6. Signature(s) should be as it appears on the Application Form and in the same order. In case the mode of holding is joint, all unit holders are required to sign.
7. Default Option may be applied in case of no information, ambiguity or discrepancy.
8. The Form should be complete in all respects and should be submitted at any of the Customer Service Centres (CSCs) of Union Mutual Fund or Computer Age Management Services Pvt Ltd (CAMS).

### B. EXISTING UNITHOLDER INFORMATION

1. The folio number and the details of first unit holder i.e. name and PAN details should be mentioned.
2. Investors should ensure to write the word 'DIRECT' in the column 'ARN No.' or 'Broker Code' in their applications for purchase / additional purchase / switch in cases where such applications are not routed through any distributor/agent/broker. In cases where unit holder uses a pre-printed transaction slip/application form where details in the ARN No.' or 'Broker Code' is already printed, alterations, if any, in the column 'ARN No.' or 'Broker Code' should be counter signed by 1st unit holder, failing which, the application will be processed as if no alterations were made. Any subsequent change/ update/ removal of broker code will be based on the written request from the unit holders and will be on a prospective basis, only from the date when the registrar executes such written instructions.

### C. ADDITIONAL PURCHASE REQUEST

1. Unit holder should fill in the name of the scheme/plan/option/facility/frequency clearly.
2. The subscription payment instrument should be drawn in favour of the scheme.
3. Applications to scheme of Union Mutual Fund accompanied by a Third Party Payment Instrument shall not be accepted by the AMC except in the following cases:
  - a. Payments made by Parents/ Grandparents/ Related Persons on behalf of a minor in consideration of natural love and affection or as gift. However, single subscription value shall not exceed above ₹ 50,000 (including investments through each regular purchase or single SIP instalment). However, this restriction will not be applicable for payment made by a guardian whose name is registered in the records of Mutual Fund in that folio.
  - b. Payments made by an Employer on behalf of employee under Systematic Investment Plans or lump sum/ one-time subscription, through payroll deductions or deductions out of expense reimbursements.
  - c. Custodian making investments on behalf of an FII or a Client.
  - d. Payment by Asset Management Company to a Distributor empanelled with it on account of commission/incentive etc. in the form of the Mutual Fund Units of the Funds managed by such AMC through Systematic Investment Plans or lump sum / one-time subscription, subject to compliance with SEBI Regulations and Guidelines issued by AMFI, from time to time.
  - e. Payment by Corporate to its Agent/ Distributor/ Dealer (similar arrangement with Principal-agent relationship), on account of commission incentive payable for sale of its goods/ services, in the form of the Mutual Fund Units through Systematic Investment Plans or lump sum/ one-time subscription, subject to compliance with SEBI Regulations and Guidelines issued by AMFI, from time to time.

The AMC reserves the right to exercise extra due diligence in terms of ensuring the authenticity of the above arrangements from a fraud prevention perspective and ensuring compliance with the provisions of PMLA regarding prevention of money laundering etc.

- In case a payment is covered under above exceptions, the following additional documents are required to be mandatorily provided together with the application form: i. KYC acknowledgement letter/ printout of KYC compliance status of the Investor and the person making the payment ii. Duly filled "Third Party Payment Declaration Form" from the investor (guardian in case of a minor) and the person making the payment i.e. third party. The said form shall be available on the AMC's website/ at the Customer Services Centres.
4. In case of payments from a joint bank account, the sole /first holder of the Mutual Fund folio should be one of the joint holders of the bank account from which payment is made. Therefore, it is important for investors to mention the bank account number, bank name & branch address from where the payment is issued and the same should match with details on payment cheque /debit mandate/payment instrument). Where the payment instrument/ advice does not mention the bank account holder's names, investors should attach bank pass book /bank statement /bank letter to substantiate that the first unit holder is one of the joint holders of the bank account.
5. The AMC/Mutual Fund/RTA will not accept any subscription/ purchase application from Investors if accompanied by a pre-funded instrument (demand draft, pay order etc.) under any scheme of Union Mutual Fund.
6. In case of subscriptions payment through RTGS, NEFT, NECS, bank transfer etc investor is required to provide an acknowledgement copy of the instruction which has been provided to the bank indicating the account number and the debit instructions. The bank details mentioned on the instruction letter should be registered bank account or the first applicant/ unit holder should be one of the account holders of the bank account.
7. The AMC reserves the right to reject the transaction or call for additional details, if pay-in bank account and other details are not mentioned on the form and/or do not match with payment instrument and/or necessary documents and declaration, as applicable to respective investors and transactions, are not attached or are insufficient.
8. Unit holder(s) who hold bank account with Union Bank of India need not write out cheques while investing with us, instead, a debit mandate included herein can be given.
9. Dishonoured cheque(s) are not liable to be presented again for collection and the accompanying application forms are liable to be rejected.
10. Units allotted are subject to realisation of payment instrument and no financial transactions i.e. redemption/switch etc will be effected till confirmation of realisation.

### D. SWITCH REQUEST

1. Switch request will be processed only if folio number, source scheme name, target scheme including plan/option/facility/frequency is mentioned.
2. Please ensure that either the amount or the number of units is mentioned. To switch all units, shade against the circle provided for the purpose. If the switch request specifies both amount and units for Switch, the latter would be processed.
3. If the balance in the source scheme/ plan/ option after taking into account the switch is below the minimum balance required, the AMC reserves the right to redeem the balance amount/ units outstanding, subject to the provisions of the respective SID.

### E. REDEMPTION REQUEST

1. Redemption request will be processed only if folio number, scheme name including plan/option/facility/frequency is mentioned.
2. Please ensure that either the amount or number of units is mentioned. To redeem all units, shade against the circle provided for the purpose. If the redemption request specifies both amount and units for redemption, the latter would be processed.
3. Redemption payout would be made only to the sole/first unit holder.
4. Redemption will be processed only for such (part or whole) holdings for which purchase proceeds have been realised.
5. If the balance in the scheme/ plan/ option after taking into account the redemption is below the minimum balance required, the AMC reserves the right to redeem the balance amount/ units outstanding, subject to provisions in SID.
6. Any unregistered bank account or a new bank account forming part of redemption request shall be liable to be rejected. If redemption request is received together with a change of bank account (unregistered new bank account) or before verification and validation of the new bank account, the AMC reserves the right to process the redemption request to the currently registered default old bank account.

### F. 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.

### G. 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 instalment x No. of instalments) amounts to ₹ 10,000/- or more. The Transaction Charges shall be deducted in 4 equal instalments commencing from the second SIP instalment.
- 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.

### H. 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.

## STAY CONNECTED WITH US

Give a missed call from your registered mobile number on 08010421326 and get an Account Statement via SMS.

 <b>Call Centre</b> Telephone: 022 67483333 Toll Free number: 1800 200 2268 / 1800 572 2268	 <b>Email ID</b> investorcare@unionmf.com	 <b>Online Chatbot</b>
 <b>Website</b> www.unionmf.com	 <b>WhatsApp</b> 93214 03687	

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 Mutual Fund

158, Rayala Tower 1, 1st Floor, Anna Salai, Chennai - 600002.

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



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

Unit 503, 5th Floor, Leela Business Park, Andheri Kurla Road, Andheri (East), Mumbai - 400059.

Toll Free : 1800 200 2268/18005722268 | Tel No. : 022 67483333

Website: www.unionmf.com | Email : investorcare@unionmf.com