

TRANSFEROR DISTRIBUTOR - Application form for Transfer of AuM



Please complete the relevant sections legibly in black / dark coloured ink and in BLOCK LETTERS.

To,
Union Mutual Fund
 c/o Computer Age Management Services Ltd.

| | | | | | | | | |
|------|---|---|---|---|---|---|---|---|
| Date | D | D | M | M | Y | Y | Y | Y |
|------|---|---|---|---|---|---|---|---|

| | MFD Name | ARN Code | Tax Status# |
|---|---|--|-------------|
| Transferor ~ (From my/our): | | | |
| Transferee (To): | | | |
| Reason for AuM Transfer#: Tick one (✓) Provide documentary evidence | <input type="radio"/> Merger <input type="radio"/> Acquisition <input type="radio"/> Consolidation of business <input type="radio"/> Transfer of business <input type="radio"/> Dissolution of business / Voluntary cessation <input type="radio"/> Demerger/ Sub-distributor moving out of Principal ARN holder | <input type="radio"/> Change in partnership firm or LLP <input type="radio"/> Private limited company converting to Public limited company <input type="radio"/> Public limited company converting to Private limited company <input type="radio"/> Transfer of AUM (demise case) to the ARN of Nominee/other ARN <input type="radio"/> Other _____ (Specify) _____ | |

~ Mention all offline/online broker codes for which transfer is applicable, # Mandatory

I/ We request you to transfer the Distributor AuM of the unit holders of schemes of Union Mutual Fund under the abovementioned Transferor ARN code and agree to comply with the below mentioned formalities-

- ✓ Full transfer of assets will be carried out for the above-mentioned reasons except in case of Sub-distributor moving out of Principal ARN holder.
- ✓ After the transfer, the Transferor Distributor shall cease to operate / function and his ARN code shall be surrendered to AMFI for cancellation within 15 days of AuM transfer. A copy of this cancellation letter to AMFI will be submitted with Union Asset Management Company Pvt. Ltd / Union Mutual Fund.
- ✓ Transferor need not surrender his ARN at AMFI if he is becoming a sub-distributor of the Transferee ARN. However, after transferring the assets, the Transferor Distributor shall not do any business independently under his/her ARN.
- ✓ ARN is valid. Distributor is 'KYD' Compliant and has furnished all the requisite self-certifications due as on the date of request.

I/ We certify that physical letters have been sent to all the unit holders at address registered in the investors' folios informing about the proposed transfer of AuM and the reason for the same, along with the details of the new distributor who will be servicing them after the transfer of assets and the change in Distributor code and that we have the proof of dispatch details for physical dispatches.

I/ We certify that the said letter also highlights that if the clients have any objection for the change in the distributor/ARN code, they must write to the AMC directly, and that the AMCs will effect the change of distributor/ARN unless they hear to the contrary from the investors within 15 days from the date of the letter.

I/ We further confirm that the Transferor Distributor and / or Transferee Distributor shall communicate investor objection, if any, received directly by them to Union Mutual Fund on immediate basis and that the transfer of assets is not being done to circumvent any legal/ regulatory obligation and / or AMFI guideline / requirements.

- For existing SIP/STPs routed through MFU/ Exchange/ Online platforms, I/We have informed these service providers regarding the AuM transfer.

I/We have enclosed the following Annexures:

- Documentary evidence for aforesaid reason for transfer.
- A list of clients along with dispatch proof with sample letter copies sent to investors intimating the above AuM transfer with date.

I/We hereby declare that the information furnished herein is complete and correct in all respects and we shall forthwith communicate any change in the information furnished to the AMC. I/We undertake to abide by such guidelines, code of conduct and other circulars issued by SEBI and/or AMFI that may be applicable to me/us, and the terms and conditions stated in the empanelment form as amended from time to time.

Signature of Distributor

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To,
Union Mutual Fund
c/o Computer Age Management Services Ltd.

| | | | | | | | | |
|------|---|---|---|---|---|---|---|---|
| Date | D | D | M | M | Y | Y | Y | Y |
|------|---|---|---|---|---|---|---|---|

Sub.: Request for transfer of AuM from Transferor Distributor

| | MFD Name | ARN Code | Tax Status# |
|----------------------------|----------|----------|-------------|
| Transferor ~ (From): | | | |
| Transferee (To My/Our): | | | |

~ Mention all offline/online broker codes for which transfer is applicable, # Mandatory

This is with reference to request for transfer of Distributor AuM of the unit holders of schemes of Union Mutual Fund.

I / We confirm the following:

1. that the Transferor Distributor and / or Transferee Distributor shall communicate investor objection, if any, received directly by them to Union Asset Management Company Pvt. Ltd / Union Mutual Fund on immediate basis,
2. that the transfer of assets is not being done to circumvent any legal/ regulatory obligation and / or AMFI guideline / requirements and
3. that I/ We are complying and shall comply with all the applicable guidelines/ circulars issued by AMFI from time to time regarding Transfer of AuM.
4. that Transferor Distributor has informed the MFU/ Exchange/ Online platforms about the AuM transfer w.r.t the SIP/STP transactions routed through them.

I/We hereby declare that the information furnished herein is complete and correct in all respects as may be required by Union Asset Management Company Pvt. Ltd / Union Mutual Fund and shall comply with terms and conditions specified by Union Asset Management Company Pvt. Ltd / Union Mutual Fund.

I / We further agree to provide such other information and details as may be required by Union Asset Management Company Pvt. Ltd / Union Mutual Fund and shall comply with terms and conditions specified by Union Asset Management Company Pvt. Ltd / Union Mutual Fund.

I/We undertake to abide by such guidelines, code of conduct and other circulars issued by SEBI and/or AMFI that may be applicable to me/us, and the terms and conditions stated in the empanelment form as amended from time to time.

Signature of Distributor