



APPLICATION NO:

AG

TIME-STAMP NUMBER:

**FOLIO BASED TRANSACTION FORM - PURCHASE**

**Please read all the instructions carefully before filling the form**  
**Please fill in ENGLISH and in BLOCK LETTERS with black ink**  
**Fields marked with (\*) are mandatory and if not filled, the form is liable for rejection**

**GORN** Distributor / MFU user to write the system generated reference number here

**A. \* UNITHOLDER INFORMATION** (Please mention your existing FOLIO):-

Existing Folio Number	<input type="text"/>	AMC / MUTUAL FUND	<input type="text"/>
Name of the First/Sole Holder	<input type="text"/>		

specify AMC / Mutual Fund name

**B. Key Partner / Agent information** (Investors applying under DIRECT plan/s must mention "DIRECT" in ARN Column):-

ARN Code	ARN Name	Sub-Agent ARN Code	Internal code for Sub-Agent/RM/Branch	EUIN <sup>^</sup>
ARN-	<input type="text"/>	ARN-	<input type="text"/>	<input type="text"/>

^ EUIN Declaration (only where EUIN box is left blank) (Refer Instruction C2)  
I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this transaction is executed without any interaction or advice by the employee/relationship manager/sales person of the above distributor/sub broker or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor/sub broker.

sign here	sign here	sign here
Sole/First Applicant / Guardian / POA Holder	Second Applicant	Third Applicant

**Transaction charges for Applications through Distributors only** (Refer Instruction D and please tick (✓) any one)  
In case the purchase/ subscription amount is Rs. 10,000 or more and your Distributor has opted in to receive Transaction Charges, the same are deductible as applicable from the purchase/ subscription amount and payable to the Distributor. Units will be issued against the balance amount invested.  
Upfront commission shall be paid directly by the investor to the ARN Holder (AMFI registered Distributor) based on the investors' assessment of various factors including the service rendered by the ARN Holder.

**C. \* Payment Details:-** (Please refer the instructions "E4" for "PAYEE NAME")

Payment Mode (please tick (✓))

Cheque	Demand Draft	Payorder / Banker's Cheque	NEFT	RTGS	Transfer Instruction
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Please tick (✓) and enclose any one of the relevant documents as indicated as per the Mode of Payment

<input type="checkbox"/>	Instruction to the Bank from Unitholder to debit the Account for NEFT/RTGS/Transfer Instruction
<input type="checkbox"/>	Declaration/Acknowledgement from Bank/Copy of Passbook/Bank Statement for DD/PO/BC

Payment Type (please tick (✓))

<input type="checkbox"/>	Non-Third Party Payment	<input type="checkbox"/>	Third Party Payment (please attach 'Third Party Declaration Form')
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Payment Reference Number (Instrument # for Cheque/DD/PO/BC; UTR # for RTGS/NEFT; Ref # for Trf Instruction)

Payment Date (Instrument Date for Cheque, Demand Draft, Payorder, Banker's Cheque; Payment execution date for RTGS, NEFT, Fund Transfer)

Payment Amount in figures (Amount of Cheque/DD/PO/BC/NEFT/RTGS/Transfer Instruction)

Bank Charges in figures (only in case of DD / PO / BC)

Total Amount (i) + (ii) In figures (iii)

In words \_\_\_\_\_

Payment from Bank Account No. \_\_\_\_\_

A/c Type please (✓)

Savings	Current	Cash Credit	O/D	NRE	NRO	FCNR	NRSR	others, please specify
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Drawn on Bank

specify Bank name

Branch

specify branch name

**D. \* Scheme Details:-**

Scheme 1	Scheme / Plan	specify scheme / plan		
	Option	specify scheme option	Dividend Option (please tick (✓))	Payout <input type="checkbox"/> Reinvestment <input type="checkbox"/>
	Investment Amount	₹ <input type="text"/>	In words : Rupees _____	
Scheme 2	Scheme / Plan	specify scheme / plan		
	Option	specify scheme option	Dividend Option (please tick (✓))	Payout <input type="checkbox"/> Reinvestment <input type="checkbox"/>
	Investment Amount	₹ <input type="text"/>	In words : Rupees _____	

**ACKNOWLEDGEMENT SLIP** (to be filled in by the investor). For any queries please contact the nearest MFU "Point of Service" or call us at 1800-266-1415 (Toll Free) or +91 22 3952 6363.  
**MF UTILITIES INDIA PVT. LTD.**, Address: 103-105, 1st Floor, Orion Business Park, Ghodbunder Road, Kapurbawdi, Thane (West) - 400 607, India

AG

Received from Mr. / Ms. M/s. \_\_\_\_\_ an application for purchase as per details mentioned below:-

Scheme	Plan	Option	Amount (Rs.)

POINT OF SERVICE STAMP & SIGNATURE

Scheme 3	Scheme / Plan	specify scheme / plan													
	Option	specify scheme option											Dividend Option (please tick (✓))	Payout <input type="checkbox"/>	Reinvestment <input type="checkbox"/>
	Investment Amount	₹	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	In words : Rupees _____	

Scheme 4	Scheme / Plan	specify scheme / plan													
	Option	specify scheme option											Dividend Option (please tick (✓))	Payout <input type="checkbox"/>	Reinvestment <input type="checkbox"/>
	Investment Amount	₹	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	In words : Rupees _____	

Scheme 5	Scheme / Plan	specify scheme / plan													
	Option	specify scheme option											Dividend Option (please tick (✓))	Payout <input type="checkbox"/>	Reinvestment <input type="checkbox"/>
	Investment Amount	₹	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	In words : Rupees _____	

**E. Depository A/c Details:-**

Please credit the units into below mentioned Depository Account already registered under the above Folio (please tick (✓))																					
National Securities Depository Limited (NSDL) <input type="checkbox"/>							Central Depository Services Limited (CDSL) <input type="checkbox"/>														
specify Depository Participant name																					
DP ID	I	N	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	Bene. A/c	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	Bene. A/c	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

**F. \* Declaration and Signature(s):-**

I / We hereby confirm and declare as under:-

(1) I / We have read and understood the contents of the respective Scheme Information Document(s), Statement of Additional Information(s), Key Information Memorandum(s), Instructions and Addenda issued by the respective Mutual Funds, including level of risk depicted by colour code boxes and descriptions thereof (Product Labelling), the sections on "Prevention of Money Laundering and Know Your Customers" for all the schemes chosen for investments (both Continuous and Initial Offering) through this Transaction Form, and hereby apply to the Trustee/s of the respective Mutual Funds for Units of the relevant Scheme/s and agree to abide by the terms and conditions, rules and regulations of the Scheme.

(2) I/We am/are eligible Investor(s) as per the respective Scheme related documents and am/are authorised to make this investment as per the Constitutive documents / authorization(s). The amount invested in the respective Scheme(s) is through legitimate sources only and is not for the purpose of contravention and/or evasion of any act, rules, regulations, notifications or directions issued by any regulatory authority in India.

(3) I/We will indemnify MFU, Mutual Fund, AMC, Trustee, RTA and other intermediaries in case of any dispute regarding the eligibility, validity and authorization of my/our transactions.

(4) The ARN holder (AMFI registered Distributor) has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him/them for the different competing Schemes of various Mutual Funds from amongst which the Scheme/s is/are being recommended to me/us.

(5) I/WE HEREBY CONFIRM THAT I/WE HAVE NOT BEEN OFFERED/COMMUNICATED ANY INDICATIVE PORTFOLIO AND/OR ANY INDICATIVE YIELD BY THE FUND/AMC/ITS DISTRIBUTOR FOR THIS INVESTMENT.

(6) Where the EUIN box is left blank being an execution only transaction, I/We confirm that the transaction is notwithstanding the advice of in-appropriateness, if any, provided by the distributor's employee/relationship manager/sales person and the distributor has not charged any fees on this transaction.

Date : 

D	D	/	M	M	/	Y	Y	Y	Y
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 Place : \_\_\_\_\_

Sign Here	Sign Here	Sign Here
Sole/First Applicant / Guardian / POA Holder	Second Applicant	Third Applicant

**Common Account Number (CAN)**

<b>O</b>	<b>Reference Number for all Mutual Fund Investments</b>	No need to remember / maintain folios at Mutual Fund
<b>N</b>	<b>Account Opening Process</b>	No need to fill separate Account Opening forms for each Mutual Fund
<b>E</b>	<b>Place for Investor Information</b>	No need to submit change requests to each Mutual Fund to get changes updated to investor information
	<b>View for Investments</b>	Consolidated view of all investments across Mutual Funds
	<b>MIS for the Industry</b>	No need to source & consolidate data from different Mutual Funds / RTA

## TERMS AND CONDITIONS

### **A General Instructions:**

- 1 The Folio based purchase transaction form can be used for investments by investors who DO NOT have a CAN registered with MFU and still wish to transact through MFU using their existing folio number allotted by the Mutual Fund.
- 2 If you have a CAN or have submitted a CAN Registration form and wish to transact under CAN, you will have to fill-up the CAN Transaction Form (CTF) which will enable you to invest schemes across Mutual Funds. Folio based transaction forms, if used to invest in different schemes across Mutual Funds & Folio combination are liable for rejection.
- 3 The Application Form should be completed in ENGLISH and in BLOCK LETTERS only.
- 4 Information marked (\*) are mandatory. Under the respective sections, all relevant details should be provided, failing which the application is liable for rejection.
- 5 Please tick in the appropriate box for relevant options wherever applicable. Do not overwrite. For any correction / changes if made in the Application Form, the Applicant(s) shall enter the correct details pursuant to cancellation of incorrect details and authenticate the corrected details by counter-signing against the changes. Applications with any such changes not counter-signed by the applicants are liable for rejection.
- 6 Investors are further advised to comply with applicable Know Your Customer (KYC) requirements from time to time and failure to comply with this requirement may result in the purchase application being rejected.
- 7 Investors intending to invest through different distributors should use different transaction forms.
- 8 Please read the Scheme Information Document(s), Key Information Memorandum(s) of the scheme(s) and Statement(s) of Additional Information of the respective Mutual Funds and addenda issued for these documents carefully before investing.
- 9 Transactions of US Persons/Canada residents will be subject to the rules and regulations of the respective AMCs and at their discretion. Investors are advised to check the respective AMC/Mutual Fund website and/or SID before investing.
- 10 The investors are advised to visit the website/s of the respective Mutual Fund/s for information on the schemes chosen for investment. Investors are advised to assess the suitability of the schemes and the applicable load structure before investing.
- 11 The Application Form number / Folio number should be written by the Investors on the reverse of the cheques and bank drafts accompanying the Application Form.
- 12 Upon signing and submitting the Application Form and tendering payment it will be deemed that the investors have accepted, agreed to and shall comply with the terms and conditions detailed in the respective Scheme Documents.
- 13 Applications complete in all respects, may be submitted at any of the "Points of Services" of MFU. For a list of authorised points of service of MFU, please visit our web site [www.mfuindia.com](http://www.mfuindia.com).
- 14 Applications incomplete in any respect are liable to be rejected. MFU / AMC / RTA shall have absolute discretion to reject any such Application Forms.
- 15 Applications received at any point of service of MFU would be time-stamped on receipt to evidence time of receipt of the application. An acknowledgement may be issued across the counter confirming the date and time of receipt of the Application.
- 16 Investors are advised to retain this acknowledgement slip till they receive a confirmation of processing of their transaction from the respective Mutual Fund/RTA.
- 17 MFU would, based on your request, transmit your Purchase transaction to the respective Mutual Fund for processing, indicating the date and time of receipt of your request.
- 18 Subject to your request for Purchase being in order, the Mutual Fund to which you have placed a request, would process your Purchase. Else, the request is liable to be rejected either partially or fully.
- 19 Subject to applicable regulations and provisions in the Scheme Information Document of the scheme(s) including provisions related to availability of funds in the scheme for utilisation, the date and time-stamp appearing on this form would be considered for determining applicable NAV for the transactions.
- 20 In case your investment application gets rejected either fully or partially on account of the same being incomplete in any respect or due to the investment being made in a scheme of a non-participating Mutual Fund, your investment amount subject to realization is liable to be refunded without interest.

### **B Existing Unit holder information:**

- 1 Investors/Unitholders should provide the Folio & Name of the Sole/Primary Holder. In case the name as provided in this application does not correspond with the name appearing in the existing Folio, the application form may be rejected, at the discretion of MFU.
- 2 If both Folio & Name of the Sole/Primary Holder are not mentioned, the transaction shall be liable for rejection.
- 3 MFU will only verify with the respective AMC/RTA for availability of such a folio in their records and the investors under the Folio are KYC compliant as per the KRA regulations. If the AMC/RTA confirms the validity of the Folio, the transaction will be captured and sent to the AMC/RTA for further processing. If the AMC/RTA does not confirm the validity of the Folio or the investors under the Folio are Non-KYC compliant as per the KRA regulations, the application is liable to be rejected by MFU / AMC / RTA.

### **C Investments through distributors :**

- 1 As per directions of Securities and Exchange Board of India (SEBI), Investors can route their application forms directly and /or through the distributors /employees of the distributor who hold a valid certification from the National Institute of Securities Markets (NISM) and ARN provided by Association of Mutual Funds in India (AMFI). Further, no agents / distributors are entitled to sell units of mutual funds unless registered with AMFI.
- 2 **Employee Unique Identification Number (EUIN) :**  
Every employee/ relationship manager/ sales person of the distributor of mutual fund products should quote the EUIN obtained by him/her from AMFI in the Application Form. Investors are requested to verify the AMFI registration details from their Distributor. However, in case of any exceptional cases, where there is no interaction by the employee/ sales person/relationship manager of the distributor/sub broker with respect to the transaction and EUIN box is left blank, you are required to provide the duly signed declaration to the effect as given in the form.
- 3 **New cadre distributors :**  
Postal agents, retired government and semi-government officials (class III and above or equivalent), retired teachers and retired bank officers (all such retired persons with at least 10 years of service) and other similar persons (such as Bank correspondents) as may be notified by AMFI/ the AMC from time to time as new cadre distributors are permitted to sell eligible schemes of the Fund ( details of eligible schemes are available on the websites of the respective Mutual Funds). They also hold an EUIN which must be quoted in the application form. In case your application for subscription through such distributor is not for an eligible scheme, it is liable to be rejected. These requirements do not apply to Overseas Distributors.
- 4 **Overseas Distributors:**  
For, overseas Distributors, the ARN Code provided by AMFI is required to be incorporated in the space provided. Overseas Distributors are required to comply with the laws, rules and regulations of jurisdictions where they carry out their operations in the capacity of distributors.
- 5 **Direct Investments :**
  - a. Investors applying under Direct Plan(s) must mention "DIRECT" in ARN column.
  - b. Where a valid application is received with the ARN column as blank the application will be processed under "Direct Plan(s)", irrespective of plan mentioned.
  - c. Where a valid application is received with an ARN code and the investment is in "Direct Plan" in any of the schemes, the application will be rejected.

### **D Transaction Charges:**

- 1 In accordance with SEBI circular No. Cir/ IMD/ DF/13/ 2011 dated August 22, 2011, as amended from time to time the AMC/ the Fund will deduct Transaction Charges from the purchase/ subscription amount received from the investors investing through a valid ARN Holder i.e. AMFI registered Distributor (provided the Distributor has opted-in to receive the Transaction Charges). The Distributor may opt to receive transaction charges based on the type of product. Transaction Charge of Rs. 150 (for a first time investor across mutual funds) or Rs. 100 (for investor other than first time mutual fund investor) per purchase / subscription of Rs. 10,000 and above are deductible from the purchase / subscription amount and payable to the Distributor. The balance amount shall be invested.
- 2 **Transaction Charges shall not be deducted:**
  - (a) where the Distributor of the investor has not opted to receive any Transaction Charges
  - (b) for purchases / subscriptions made directly with the Fund (i.e. not through any Distributor)

**E Payment Details:****1 Bank Account**

An investor at the time of his/her purchase of units must provide the details of his / her bank account (i.e. account from which the payment is being made) in the respective section in the Application Form.

2 Payments received from accounts which are not registered under the Folio or does not belong to the sole/primary holder and does not qualify under the validations for Third Party payment are liable for rejection.

3 For payments from accounts belonging to the sole/primary holder that are not registered under the Folio, the investor is required to submit any one of following as a documentary proof alongwith the application form validating that bank account pertain to the sole / first Applicant.

(i) Original bank statement reflecting the First Holder Name, Bank Account Number and Bank Name as specified in the application OR Cancelled original cheque leaf of the bank account (where the account number and first applicant name is printed on the face of the cheque). Applicants should without fail cancel the cheque and write 'Cancelled' on the face of it to prevent any possible misuse;

(ii) Photocopy of the bank pass book or a statement of bank account with current entries not older than 3 months having the name and address of the first applicant and account number, duly attested by the bank manager with his / her full signature, name, employee code, bank seal and contact number;

(iii) A letter from the bank on its letterhead duly signed by the bank manager with his / her full signature, name, employee code, bank seal and contact number, certifying that the applicant maintains an account with the bank, the bank account information like bank account number, bank branch, account type, the MICR code of the branch & IFSC Code (where available).

Please note the above documents shall be submitted in Original. If copies are furnished, the same must be submitted along with the Original documents at Points of Service (POS) of MFU where they will be verified with the original documents to the satisfaction of MFU. The original documents will be returned across the counter to the applicant after due verification. In case the original of any document is not produced for verification, the copies should be attested by the bank manager with his / her full signature, name, employee code, bank seal and contact number .

4 a. Physical payments may be made through a CTS cheque/bank draft drawn favouring "MFU ESCROW ACCOUNT" crossed "Account Payee" payable locally, at any of the cities where MFU has a point of service.

b. Electronic payments may be made through RTGS/NEFT/Transfer Instruction favouring the Beneficiary Name i.e. "MFU E-COLLECTION ESCROW ACCOUNT" and the bank acknowledged copy of the electronic instruction should be submitted along with the Transaction form. For other details like "BENEFICIARY ACCOUNT NUMBER" and "BENEFICIARY IFSC", please contact your distributor or the nearest MFU Point of Service (POS) or visit our website [www.mfuintia.com](http://www.mfuintia.com) or call us at **1800-266-1415** (Toll Free).

c. Outstation/Non-CTS cheques and physical payments not drawn favouring "MFU ESCROW ACCOUNT" and Electronic Payments not favouring "MFU E-COLLECTION ESCROW ACCOUNT" will not be accepted and application forms accompanied by such cheques may be rejected.

5 Please mention your Folio and Name on the reverse of the payment instrument/instruction.

6 **NRIs, PIOs:** In the case of NRIs/PIOs, payment may be made either by inward remittance through normal banking channels or out of funds held in the NRE / FCNR in the case of Purchases on a repatriation basis or out of funds held in the NRE / FCNR / NRO account, in the case of Purchases on a non-repatriation basis. In case Indian rupee drafts are purchased abroad or payments from FCNR or NRE accounts, an account debit certificate from the Bank issuing the draft confirming the debit and/or foreign inward remittance certificate (FIRC) by Investor's banker shall also be enclosed.

7 Please furnish details of the payment including Payment Reference Number, Payment Date, Net Amount, DD/PO/BC commission charges, Gross Amount and the Source Account Details.

8 The DD / PO / BC commission charges incurred by you for making the payment will be proportionately distributed based on the investment amount in each scheme where you propose to make your investment, irrespective of the same being borne by the AMCs.

9 Please refer the Scheme Information Document of the respective schemes for more details. If the DD/PO/BC commission charges are not borne by the AMC and your investment amount falls below the minimum subscription criteria due to the proportionately deducted charges, your purchase application/respective scheme investment is liable to be rejected by the respective AMC/RTA for the respective investment.

10 Please note that the Total payment amount indicated including charges needs to be the aggregate of the investment amounts for the investment that you propose to make across various schemes.

**F Third Party Payments :**

Please note that subscriptions with third-party payments will not be accepted except from the following (and any other rules as defined under AMFI Best Practices Circular):

a) Payment by Parents/Grand-Parents/related persons on behalf of a minor in consideration of natural love and affection or as gift for a value not exceeding Rs.50,000/- (each regular purchase or per SIP installment) ;

b) Payment by Employer on behalf of employee under Systematic Investment Plans through payroll deductions ;

c) Custodian on behalf of an FII / FPI or a client.

**G Investment Details:**

1 You can use this form to make purchases in up to 5 different schemes of a single participating Mutual Fund within the same Folio by making a single consolidated payment for your investments.

For the list of Mutual Funds participating in MFU, please visit our web site [www.mfuintia.com](http://www.mfuintia.com)

2 Your investments will be accepted subject to the minimum investment criteria applicable for the schemes opted for investment. Where the investment does not satisfy the minimum investment criteria, the respective transaction is liable for rejection.

3 Please specify the scheme name, plan and option in which you wish to make the investment. If the plan and option are not specified by you, the transaction is liable for rejection.

4 If the investment belongs to a non-participating Mutual Fund, the application is liable for rejection.

**H Units to be held in Depository Account:**

1 If you have already registered your Depository Account details under the Folio and wish to hold the units created through this investment in that Account, please select (tick (✓)) the Depository and mention the respective DP ID and Beneficiary account.

2 The units shall be credited to the Depository Account by the respective AMC/RTA subject to the scheme chosen for investments providing such a facility.

3 If the depository account mentioned by you is not already registered under the Folio, the details provided by you shall be considered as "Unregistered Depository Account" and will be suitably acted upon by the AMC/RTA.

4 If the depository account chosen by you for the current investment is found to be inactive, the units will not be credited to the Depository Account by the AMC/RTA.

5 If the scheme chosen for investment requires compulsory credit to a Depository Account and you have not registered a Depository account under the Folio or not provided during the investment, the application is liable to be rejected by the AMC/RTA.

**I Declaration and Signatures:**

1 Signature(s) should be in English or in any Indian Language.

2 Thumb impressions should be from the left hand for males and the right hand for females and in all cases to be attested by a Magistrate or Notary Public under his/her official seal.

3 Applications on behalf of minors should be signed by their natural parent/legal Guardian.

4 In case of an application through a constituted Attorney, the application form should be signed by such constituted Attorney.

5 Applications signed by Authorized Signatories of a Non-individual investor should be affixed with the Official stamp.