

## COMMON APPLICATION FORM FOR OPEN-ENDED EQUITY AND BALANCED SCHEMES

**PLEASE USE SEPARATE FORM FOR EACH SCHEME**

**(OCBs & US PERSONS INCLUDING QUALIFIED FOREIGN INVESTORS REGISTERED IN USA AND CANADA AND RESIDENTS OF CANADA ARE NOT ALLOWED TO INVEST IN UNITS OF ANY OF THE SCHEMES OF UTI MF)**

**Sr.No. 2014/**

PLEASE FILL IN ALL COLUMNS IN CAPITAL LETTERS ONLY

Registrar Sr. No.

(PLEASE READ INSTRUCTIONS CAREFULLY TO HELP US SERVE YOU BETTER)

[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	Name of Financial Advisor	Sub ARN Code	Sub Code/ Bank Branch Code	M O Code	EUI No.®	UTI RM No.	
85155					E070576		

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 EUIN 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 inappropriateness, 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 EUIN box is left blank) (refer instruction 'v').

**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')		
<input type="checkbox"/> I AM A FIRST TIME INVESTOR IN MUTUAL FUNDS ₹ 150 will be deducted as transaction charges per Subscription of ₹ 10,000 and above	OR	<input type="checkbox"/> I AM AN EXISTING INVESTOR IN MUTUAL FUNDS ₹ 100 will be deducted as transaction charges per Subscription of ₹ 10,000 and above
Existing Unit Holder information	Scheme Name:	Folio Number:

<b>APPLICANT'S PERSONAL DETAILS</b>																		<input type="checkbox"/> Mr.	<input type="checkbox"/> Ms.	<input type="checkbox"/> Mrs.	<b>* Denotes Mandatory Fields</b>											
<b>Name of First Applicant</b> (as appearing in ID proof given for KYC)																																
			F	I	R	S	T								M	I	D	D	L	E												
						L	A	S	T					Date of Birth	d	d	m	m	y	y	y	y				Mandatory for minors						
<b>First Applicant's Address</b> (Do not repeat the name) <b>Name &amp; Address of resident relative in India</b> (for NRIs) (P.O. Box No. is not sufficient)																																
Village/Flat/Bldg./Plot*																																
Street/Road/Area/Post																																
City/Town*													State							Pin*												
<b>*PAN OF 1ST APPLICANT/FATHER/MOTHER/GUARDIAN</b> (whose particulars are furnished in the form) <b>AADHAR CARD NO.</b>																																
													Enclosed	<input type="checkbox"/>	PAN Card Copy	<input type="checkbox"/>	Know Your Customer (KYC)* Acknowledgement Copy	Please	(✓)													

[illegible]

<b>NAME IN FULL OF THE FATHER (OR) MOTHER / GUARDIAN (IN CASE OF MINOR)\$ / CONTACT PERSON FOR INSTITUTIONAL APPLICANTS</b>																															
<input type="checkbox"/>	Mr.							<input type="checkbox"/>	Ms.							<input type="checkbox"/>	Mrs.														
			F	I	R	S	T				M	I	D	D	L	E												L	A	S	T
\$ 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').																															

OPTION FOR DESPATCH OF STATEMENT OF ACCOUNT FOR NRIs		
<input type="checkbox"/> Applicant's address as mentioned above	<input type="checkbox"/> At my Overseas address as mentioned above /	<input type="checkbox"/> To be despatched to my resident relative's address in India as given above

DETAILS OF OTHER APPLICANTS																											
Name of 2nd Applicant <input type="checkbox"/> Mr. <input type="checkbox"/> Ms. <input type="checkbox"/> Mrs.														Date of Birth of 2nd Applicant													
*PAN of 2nd Applicant														AADHAR CARD NO.													
Enclosed <input type="checkbox"/> PAN Card Copy														Know Your Customer (KYC)* Acknowledgement Copy Please (✓)													
Name of 3rd Applicant <input type="checkbox"/> Mr. <input type="checkbox"/> Ms. <input type="checkbox"/> Mrs.														Date of Birth of 3rd Applicant													
*PAN of 3rd Applicant														AADHAR CARD NO.													
Enclosed <input type="checkbox"/> PAN Card Copy														Know Your Customer (KYC)* Acknowledgement Copy Please (✓)													

PAYMENT DETAILS (Refer Instruction 'x')											
#Cheque/DD/*NEFT/*RTGS Ref. No.							<input type="checkbox"/> Cash           Account type (please ✓)		<input type="checkbox"/> Savings	<input type="checkbox"/> Current	<input type="checkbox"/> NRE
/ Unique Serial No. (For Cash)									<input type="checkbox"/> NRO	<input type="checkbox"/> DD issued from abroad	
Account No.											
Date					Amt. of investment (i)			# Please mention the application No. on the reverse of the cheque / DD, NEFT / RTGS advice. Cheque / DD must be drawn in favour of <b>"The Name of the Scheme"</b> & crossed <b>"A/c Payee Only"</b>  ♦ Investment amount shall be Rs. 2 lacs and above in case of payments through RTGS.			
Bank					DD Charges if any (ii)						
Branch					Net amount paid (i-ii)						
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')

- |   |  |
|---|--|
| <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-Dividend Yield Fund                | <input type="checkbox"/> UTI-Nifty Index Fund                            |
| <input type="checkbox"/> UTI-Energy Fund                        | <input type="checkbox"/> UTI-Opportunities Fund                          |
| <input type="checkbox"/> UTI-Equity Fund                        | <input type="checkbox"/> UTI-Pharma & Healthcare Fund                    |
| <input type="checkbox"/> UTI-India Lifestyle Fund               | <input type="checkbox"/> UTI-Top 100 Fund                                |
| <input type="checkbox"/> UTI-Infrastructure Fund                | <input type="checkbox"/> UTI-Transportation & Logistics Fund             |
| <input type="checkbox"/> UTI-Leadership Equity Fund             | <input type="checkbox"/> UTI-Wealth Builder Fund Series II - Retail Plan |
| <input type="checkbox"/> UTI-Mastershare Unit Scheme            |  |

OPTION (for all schemes) ☐ Growth ☐ Dividend Payout ☐ Dividend Reinvestment (Default is growth option)**Details of Beneficial Ownership** (Please tick applicable category). Ownership details to be provided if the Ownership percentage/interest in the trust of 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				
4				
5				
6				

(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. _____		Target ID No. _____
	Beneficiary Account No. _____		

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

**FRIEND IN NEED DETAILS** (refer instruction - k) 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.

Name	F	I	R	S	T				M	I	D	D	L	E					L	A	S	T
Address:																						
Relationship with the applicant (optional)																						
Email																						
Mobile																						

**GENERAL INFORMATION - Please (✓) wherever applicable**

<b>STATUS:</b>	<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	<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"/> Unlisted 'Not for Profit' Company	<input type="checkbox"/> Other Unlisted Company			
	<input type="checkbox"/> Others (Please specify) _____				

\*\* OCBs & US persons including Qualified Foreign Investors registered in USA and Canada and residents of Canada are not allowed to invest in units of any of the schemes of UTI MF.

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

<b>OCCUPATION:</b>	<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) _____			
<b>MODE OF HOLDING:</b>	<input type="checkbox"/> Single	<input type="checkbox"/> Anyone or survivor	<input type="checkbox"/> Joint		
<b>MARITAL STATUS:</b>	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Married	<input type="checkbox"/> Wedding Anniversary	<input type="text" value="DD"/>	<input type="text" value="MM"/>

**OTHER DETAILS (MANDATORY)**

**FOR INDIVIDUALS ONLY**

<b>1<sup>st</sup> Applicant:</b>	<b>(A) Gross Annual Income Details</b> 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 ₹ _____	(Net worth should not be older than 1 year)	as on (date) <input type="text" value="DD"/>	<input type="text" value="MM"/>	<input type="text" value="YY"/>	<input type="text" value="YY"/>
<b>2<sup>nd</sup> Applicant:</b>	<b>(B) Please tick if applicable:</b> <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP) (For definition of PEP, please refer instruction 'w').				
	<b>(C) Any other information:</b> _____				
	<b>(A) Gross Annual Income Details</b>				
<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 ₹ _____	(Net worth should not be older than 1 year)	as on (date) <input type="text" value="DD"/>	<input type="text" value="MM"/>	<input type="text" value="YY"/>	<input type="text" value="YY"/>
<b>3<sup>rd</sup> Applicant:</b>	<b>(B) Please tick if applicable:</b> <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)				
	<b>(C) Any other information:</b> _____				
	<b>(A) Gross Annual Income Details</b>				
<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 ₹ _____	(Net worth should not be older than 1 year)	as on (date) <input type="text" value="DD"/>	<input type="text" value="MM"/>	<input type="text" value="YY"/>	<input type="text" value="YY"/>
<b>(B) Please tick if applicable:</b> <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)					
<b>(C) Any other information:</b> _____					

**FOR NON-INDIVIDUALS ONLY**

<b>(A) Gross Annual Income Details</b>
<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 ₹ _____
(Net worth should not be older than 1 year)
as on (date) <input type="text" value="DD"/>
<input type="text" value="MM"/>
<input type="text" value="YY"/>
<input type="text" value="YY"/>
<b>(B) Is the entity involved in / providing any or the following services</b>
- Foreign Exchange / Money Changer Services <input type="checkbox"/> YES <input type="checkbox"/> NO
- Money Lending / Pawning <input type="checkbox"/> YES <input type="checkbox"/> NO
- Gaming / Gambling/Lottery Services (e.g. casinos, betting syndicates) <input type="checkbox"/> YES <input type="checkbox"/> NO
<b>(C) Any other information:</b> _____



**ACKNOWLEDGEMENT**  
(To be filled in by the Applicant)

Sr. No. 2014/

Received from Mr / Ms / M/s

An application under

along with Cheque/DD<sup>s</sup>/NEFT/RTGS  
Ref. No./Unique Serial No. (For Cash)

Drawn on (Bank)

for ₹ (in figures)

(scheme name)

dated

Stamp of UTI AMC Office/  
Authorised Collection Centre

<sup>s</sup> Cheques and drafts are subject to realisation.

**DETAILS UNDER FATCA / FOREIGN TAX LAWS (Refer instruction 'y')**

For Individual		For Non-Individual	
Country of birth _____		Please indicate all countries in which the organization is a resident for tax purposes and the associated Tax ID Numbers below	
If you are not resident in any country (except India) for tax purposes, please tick this box <input type="checkbox"/>		<b>Country of Tax Residency</b>	<b>Tax ID Number</b>
OR			
Please indicate all countries in which you are resident for tax purposes and the associated Tax Reference Numbers below.		AND	
<b>Country of Tax Residency</b>	<b>Tax Reference Number</b>	Please tick the box below, even if Country of Tax Residency is India	
		<input type="checkbox"/> FATCA Self declaration Form for Non-Individuals Enclosed.	

**NOMINATION DETAILS (Please ✓) (please sign if you do not wish to nominate)**

☐ 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 <table border="1"><tr><td>d</td><td>d</td><td>m</td><td>m</td><td>y</td><td>y</td><td>y</td><td>y</td></tr></table> (in case of nominee is a minor)	d	d	m	m	y	y	y	y	Address of guardian
d	d	m	m	y	y	y	y		
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

--

Signature of 1st Applicant / Guardian

--

Signature of 2nd Applicant

--

Signature of 3rd Applicant

**DECLARATION AND SIGNATURE OF APPLICANT/s**

• 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 NRI'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).

\* 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. (If you wish to receive in physical form please tick ☐)

First Applicant Details	Mobile No. <table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>											Tel. (R) <table border="1"><tr><td>STD CODE</td><td></td></tr></table>	STD CODE		Tel. (O) <table border="1"><tr><td>STD CODE</td><td></td></tr></table>	STD CODE	
STD CODE																	
STD CODE																	
*E-mail _____ Alternate E-mail _____																	

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Signature of 1st Applicant / Guardian

Name of 1st Authorised Signatory

--

Signature of 2nd Applicant

Name of 2nd Authorised Signatory

--

Signature of 3rd Applicant

Name of 3rd Authorised Signatory

Designation \_\_\_\_\_

Designation \_\_\_\_\_

Designation \_\_\_\_\_

**Notes :**

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 Private Limited**, Narayani Mansion, H.No.1-90-2/10/E, Vittalrao Nagar, Madhapur, Hyderabad – 500 081.

Tel. 040-23312454, Fax: 040-23115503,

E-mail: [uti@karvy.com](mailto:uti@karvy.com)