



# 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. 2015/

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.

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 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 EUIN 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

Scheme Name:

Folio Number:

**APPLICANT'S PERSONAL DETAILS**  Mr.  Ms.  Mrs. \* Denotes Mandatory Fields

Name of First Applicant (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

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 OF 1ST APPLICANT/FATHER/MOTHER/GUARDIAN (whose particulars are furnished in the form) AADHAR CARD NO.

Enclosed  PAN Card Copy  Know Your Customer (KYC)\* Acknowledgement Copy Please (✓)

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

State Country\* City\* Zip/Pin\*

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

Mr.  Ms.  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**

Applicant's address as mentioned above

At my Overseas address as mentioned above /

To be despatched to my resident relative's address in India as given above

**DETAILS OF OTHER APPLICANTS**

Name of 2nd Applicant  Mr.  Ms.  Mrs.

Date of Birth of 2nd Applicant

F I R S T M I D D L E L A S T

\*PAN of 2nd Applicant

AADHAR CARD NO.

Enclosed  PAN Card Copy  Know Your Customer (KYC)\* Acknowledgement Copy Please (✓)

Name of 3rd Applicant  Mr.  Ms.  Mrs.

Date of Birth of 3rd Applicant

F I R S T M I D D L E L A S T

\*PAN of 3rd Applicant

AADHAR CARD NO.

Enclosed  PAN Card Copy  Know Your Customer (KYC)\* Acknowledgement Copy Please (✓)

**PAYMENT DETAILS** (Refer Instruction 'y')

#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)

# 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"

Bank

DD Charges if any (ii)

Branch

Net amount paid (i-ii)

Amt. in words

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

**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 ✓) <input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> NRO <input type="checkbox"/> NRE		
Account No. <input type="text"/>		

**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-Multi Cap Fund
<input type="checkbox"/> UTI-Energy 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-Top 100 Fund
<input type="checkbox"/> UTI-Leadership Equity Fund	<input type="checkbox"/> UTI-Transportation & Logistics Fund
<input type="checkbox"/> UTI-Mastershare Unit Scheme	<input type="checkbox"/> UTI-Wealth Builder Fund Series II - Retail Plan
OPTION (for all schemes) <input type="checkbox"/> Growth <input type="checkbox"/> Dividend Payout <input type="checkbox"/> Dividend Reinvestment (Default is growth option)	

Can-Serve Facility

**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
Plan :	<input type="checkbox"/> Direct Plan	<input type="checkbox"/> Existing Plan
Option:	<input type="checkbox"/> CanServe Growth Option ₹ _____/- (minimum ₹ 1000/-)	<input type="checkbox"/> CanServe Dividend Payout Option (default 50%) <input type="checkbox"/> 50% <input type="checkbox"/> 100%

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 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**

**STATUS:**  Resident Individual  Minor through guardian  HUF  Partnership  Trust  
 Sole Proprietorship  Society  Body Corporate  AOP  BOI  
 FPI  NRI  Foreign Nationals##  Listed Company  
 Unlisted 'Not for Profit'## Company  Other Unlisted Company  
 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).

**OCCUPATION:**  Business  Student  Agriculture  Self-employed  Professional  
 Housewife  Retired  Private Sector Service  Public Sector Service  Government Service  
 Forex Dealer  Others (Please specify) \_\_\_\_\_

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

**MARITAL STATUS:**  Unmarried  Married  Wedding Anniversary DD MM

**OTHER DETAILS (MANDATORY)**

**FOR INDIVIDUALS ONLY**

**1<sup>st</sup> Applicant:** (A) **Gross Annual Income Details** Please tick (✓)  
 Below 1 Lac  1-5 lacs  5-10 Lacs  10-25 Lacs  >25 Lacs - 1 Crore  >1 Crore  
[OR]

Net-worth in ₹ \_\_\_\_\_ (Net worth should not be older than 1 year) as on (date) DD/MM/YYYY

(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:** \_\_\_\_\_

**2<sup>nd</sup> Applicant:** (A) **Gross Annual Income Details**  
 Below 1 Lac  1-5 lacs  5-10 Lacs  10-25 Lacs  >25 Lacs - 1 Crore  >1 Crore  
[OR]

Net-worth in ₹ \_\_\_\_\_ (Net worth should not be older than 1 year) as on (date) DD/MM/YYYY

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

(C) **Any other information:** \_\_\_\_\_

**3<sup>rd</sup> Applicant:** (A) **Gross Annual Income Details**  
 Below 1 Lac  1-5 lacs  5-10 Lacs  10-25 Lacs  >25 Lacs - 1 Crore  >1 Crore  
[OR]

Net-worth in ₹ \_\_\_\_\_ (Net worth should not be older than 1 year) as on (date) DD/MM/YYYY

(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**  
 Below 1 Lac  1-5 lacs  5-10 Lacs  10-25 Lacs  >25 Lacs - 1 Crore  >1 Crore  
[OR]

Net-worth in ₹ \_\_\_\_\_ (Net worth should not be older than 1 year) as on (date) DD/MM/YYYY

(B) **Is the entity involved in / providing any or 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:** \_\_\_\_\_



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

Sr. No. 2015/

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

An application under \_\_\_\_\_ (scheme name)

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

Drawn on (Bank) \_\_\_\_\_

for ₹ (in figures) \_\_\_\_\_

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 'z')**

(Information to be provided for all **Individual Applicants** in the same sequence of names as given in the Application Form. For **Non-Individuals**, please use separate prescribed form along with Annexures specified therein)

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

If **no**, please tick here  (First Applicant)  (Second Applicant)  (Third Applicant)

If **yes**, please indicate all the countries in which you are resident for tax purposes and the associated Tax Reference Number(s) below:-

Category	First Applicant (including Minor)	Second Applicant/Guardian	Third Applicant
Country of Birth			
Country of Citizenship			
# Country of Tax Residency 1			
Tax Reference No.1			
# Country of Tax Residency 2			
Tax Reference No.2			
# Country of Tax Residency 3			
Tax Reference No.3			

# to include USA, where investor is a citizen / greencard holder of USA

**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 <input type="text" value="ddmm yy yy yy"/> (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

Signature of 1st Applicant / Guardian

Signature of 2nd Applicant

Signature of 3rd Applicant

Sign. here

**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. <input type="text"/>	Tel. (R) <input type="text" value="STD CODE"/> <input type="text"/>	Tel. (O) <input type="text" value="STD CODE"/> <input type="text"/>
	*E-mail <input type="text"/> Alternate E-mail <input type="text"/>		

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 \_\_\_\_\_

Sign. here

**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 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