

# TRANSACTION REQUEST FOR PURCHASE / SWITCH / REDEMPTION



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In case there is any change in 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.

## DISTRIBUTOR INFORMATION (Only empanelled Distributors / Brokers will be permitted to distribute Units of Baroda Mutual Fund)

Distributor / Broker ARN	Sub-Broker Code	Sub-Broker ARN	EUIN	LG Code	RIA Code
ARN-4464			E032737		

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.

1st Applicant Signature / Guardian Signature / POA Signature / Thumb Impression	2nd Applicant Signature / POA Signature / Thumb Impression	3rd Applicant Signature / POA Signature / Thumb Impression
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**Important : Please strike off any unused portion of this sheet. \$ TO BE SIGNED BY ALL UNIT HOLDERS IF MODE OF HOLDING IS JOINT. ALTERATIONS, IF ANY, SHOULD BE COUNTER SIGNED.**

## FOREIGN ACCOUNT TAX COMPLIANCE ACT (FATCA) / COMMON REPORTING STANDARD (CRS) / ULTIMATE BENEFICIAL OWNER (UBO) RELATED INFORMATION OF THE APPLICANT(S) (Please refer instruction 10 for details) It is mandatory to fill and sign the annexure relating to FATCA, CRS & UBO which forms part of this Forms.

Existing Folio Number	Name of Scheme
NAME OF THE UNIT HOLDER	Name Mr Ms

**ADDITIONAL PURCHASE** (Please write your folio number and name on the reverse of the cheque/Payment Instrument no.)

Payment Mode: (Please  any one only)  OTM (One Time Bank Mandate)  Cheque  Funds Transfer  RTGS / NEFT  UPI

Cheque/Instrument No. :  IF APPLICABLE  Payment Date/ Instrument Date : D D M M Y Y Y Y Amount (Rs.) :

Bank Name :  Mandatory for OTM  Branch :  City :

Investors desiring to get allotment of units in dematerialized mode instead of physical mode should provide the details in their demat account below:

**SWITCH REQUEST** (Please  any one only)  All Clear Units  No. of Units :  OR Amount (in ₹)

From Scheme :  Plan / Option : (Switch-Out Scheme for Switch Request)

To Scheme :  Plan / Option : (Switch-Out Scheme for Switch Request)

\*Investors applying under Direct Plan must mention "Direct" against the Scheme name. Default Plan / Option will apply if the choice of Plan / Option is not indicated.

**REDEMPTION Subject to Lock-in Period, if any** (Please  only one of the below options.)

All Clear Units  No. of Units :  OR Amount (in ₹)

Amount in words (₹)

IFSC Code for NEFT / RTGS  (If not provided earlier for electronic payment)

Scheme / Plan / Option :

**Note :** If a redemption request is submitted alongwith a request for changing the bank account details, the redemption will be processed into the registered/default bank account in the aforesaid scheme/folio and the request for changing the bank account details will not be processed.

\* For investors who have registered for Multiple Bank Accounts facility in the above folio:

The redemption should be processed into the following bank account as per the payout mechanism indicated by me/us. (This bank account has already been registered in the folio):

Name of the Bank	Account No.

**\*Important Note :** If the bank account mentioned above is different from those already registered in your folio OR if the bank account details are not filled above, the redemption will be processed into the "Default" bank account registered for the aforesaid folio. Baroda Mutual Fund or Baroda Asset Management India Limited will not be liable for any loss arising to the unitholder(s) due to the credit of redemption proceeds into any of the bank accounts registered for the aforesaid folio.

**Note :** Upfront commission shall be paid directly by the investor to the ARN Holder (AMFI registered Distributor) based on the investors' assessment of various including the service rendered by the ARN Holder.

I/We have read and understood the contents of the scheme related documents and hereby apply for allotment of units in the Scheme. I/We agree to abide by the terms, conditions, rules & regulations governing the Scheme. I/We hereby declare that I/We am/are authorized to make this investment and that the amount invested in the Scheme is through legitimate sources only and does not involve and is not designed for the purpose of any contravention or evasion of any act, rule, regulation, notification or direction or any other applicable laws issued by the Government of India or any regulatory or statutory authority. I/We have understood the details of the Scheme and in the event "Know Your Customer" process is not completed by me/us to the satisfaction of the AMC, I/We hereby authorize the AMC to redeem the funds invested in the Scheme, in favour of the first applicant at the applicable NAV prevailing on the date of such redemption and to undertake such other action with such funds as may be required by law. I/We hereby authorize Baroda Mutual Fund, its Investment Manager and its agents to disclose details of my investment to my bank(s)/Baroda Mutual Fund bank(s) and/or Distributor/Broker/Investment Adviser. The ARN holder has disclosed to me/us all the commission (in the form of trail commission or any other mode), payable to him/it for the different competing schemes of various mutual funds from amongst which the Scheme is being recommended to me/us. 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 information given in this application form is correct, complete and truly stated. If I/We have not ticked for not appointing a nominee, then the Application Form shall be processed as without nomination. Applicable for "Execution Only" transaction: I/We, the undersigned, hereby acknowledge and confirm that the above transaction is "Execution Only" as explained vide SEBI circular no. CIR/IMD/DF/13/2011 dated 22 August 2011. This investment is being made notwithstanding the advice of the appropriateness/inappropriateness of the same and the distributor has not charged any advisory fees on this transaction.

**Applicable for NRIs :** I/We confirm that I am/we are Non-Residents of Indian nationality/origin but not residents of the United States and Canada and I/We hereby confirm that I/We have remitted funds from abroad through approved banking channels or from my/our monies in my/our domestic account maintained in accordance with applicable RBI guidelines.

1 <sup>st</sup> Applicant Signature / Guardian Signature / POA Signature / Thumb Impression	2 <sup>nd</sup> Applicant Signature / POA Signature / Thumb Impression	3 <sup>rd</sup> Applicant Signature / POA Signature / Thumb Impression
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**\$ TO BE SIGNED BY ALL UNIT HOLDERS IF MODE OF HOLDING IS JOINT. ALTERATIONS, IF ANY, SHOULD BE COUNTERSIGNED.**

## ACKNOWLEDGEMENT (To be filled in by the Unit holder)

Folio No.

Sole / First Unit Holder

Scheme / Plan / Option :

**ADDITIONAL PURCHASE** Amount (in ₹)  Cheque/Payment Instrument no.

Drawn on (Bank)  Bank Name

**SWITCH REQUEST** (Please  any one only)  All Clear Units  No. of Units :  Amount (in ₹)

Scheme / Plan / Option :  (Switch-In Scheme for Switch Request)

**REDEMPTION** All Clear Units  No. of Units :  Amount (in ₹)

TIME STAMP (For Office Use Only)



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## INSTRUCTIONS

1. Please read the Scheme Information Document (SID) and Statement of Additional Information (SAI) carefully before investing / switching to other schemes for risk factors & terms applicable to Schemes / Plans.

2. For additional purchase, the cheque should be drawn in favour of the name of the scheme (e.g. Baroda Multi Cap Fund) and crossed A/c. Payee and payable locally at the place of the ISC, where the application is being submitted. Outstation cheque will not be accepted.

If the Scheme name on the application form and on the cheque is different, then the units will be allotted as per the Scheme name mentioned in the application form."

3. In case of multiple holders, the dividend (where applicable) & redemption amount, will be paid to the first unit holder.

#### 4. BANK DETAILS:

The first unit holder has to ensure that the subscription payment has to be made through his own bank account or through any of the bank account wherein he is one of the joint bank account holder. If this is not evidenced on the payment cheque / funds transfer / RTGS / NEFT request, etc given by the investor at the time of subscription then unit holder should attach necessary supporting documents as required by the fund like bank certificate, bank passbook copy, bank statement etc to prove that the funds are from a bank account held by the first unit holder only. If the documents are not submitted with the application the fund reserves the right to reject the application or call for additional details.

Pay order, banker's cheque purchased against cash of ₹ 50,000/- or more will not be accepted. Such purchase applications (for amounts less than ₹ 50,000/-) should be accompanied by a banker's certificate, stating the investor's name, bank account number and PAN, as per the bank record.

In specific and exceptional situations where Third Party payments are permitted, such as (i) payment by parents / grand parents / related persons\* on behalf of a minor (other than by a registered guardian) in consideration of natural love and affection or as gift for value not exceeding ₹ 50,000 for each purchase or (ii) payment by a custodian on behalf of an FII or a client, and (iii) payment by an employer on behalf of employees, KYC of the investor and KYC of the person making the payment are both mandatory, irrespective of the amount. Additionally, a joint declaration is also required to be submitted. "Related Person" means any person investing on behalf of a minor in consideration of natural love and affection or as a gift.

Redemption proceeds will be (i) despatched by a reasonable mode of despatch such as courier, registered post, ordinary post/UCP etc. in case the payment is made by cheque or (ii) directly credited to the first applicant/holder's Bank Account (as per the details mentioned by the investor) in case the applicant(s) avail of the direct credit facility, RTGS or NEFT, and this shall be entirely and solely at the risk of the applicant(s). The applicant(s) will not hold the Fund or the AMC or the Registrar or the Trustee to the Fund responsible for any non-receipt or delay of receipt of redemption proceeds due to any negligence or deficiency in service by the courier company, postal authorities or the bank executing the direct credit/RTGS/NEFT, or due to incorrect bank account details provided by the applicant(s).

BMF offers facility to register multiple bank accounts in the folio and designate one of the bank account as "Default Bank account". Default bank account will be used for all dividend and redemption payouts unless investor specifies one of the existing registered bank account in the redemption request for receiving redemption proceeds. A new non-registered bank account specified in the redemption request for receiving redemption proceeds will not be considered and the redemption proceeds will by default be credited into the default Bank account. The investor will have to initially get the non-registered bank account registered in the folio and then apply for the redemption request. Also if no registered bank account is mentioned at the time of redemption then by default the redemption proceeds will be credited into the default Bank account.

#### 5. Permanent Account Number (PAN)

SEBI has made it mandatory for all applicants (in the case of application in joint names, each of the applicants) to mention his / her permanent account number (PAN) irrespective of the amount of purchase. Where the applicant is a minor, and does not possess his / her own PAN, he / she shall quote the PAN of his / her father or mother or the guardian, signing on behalf of the minor, as the case may be. For Further details investors are requested to refer SAI.

In line with SEBI letter no. OW/16541/2012 dated July 24, 2012 addressed to AMFI, Investments in the mutual fund schemes (including investments through Systematic Investment Plans (SIPs)) up to ₹ 50,000/- per investor per year shall be exempted from the requirement of PAN. Investor seeking exemption of PAN will need to submit the PAN Exempt KYC Reference No (PEKRN) acknowledgement issued by KRA along with the application Form. This exemption is applicable only for individuals including NRIs, minors acting through guardian, Sole proprietorship firms and joint holders. In case of joint holders, first holder must not possess a PAN. Other categories of investors e.g. PIOs, HUFs, QFIs, non - individuals, etc. are not eligible for such exemption.

#### 6. Prevention of Money Laundering and Know Your Client (KYC)

All investors (individual and non- individual) are required to be KYC compliant. However, applicants should note that minors cannot apply for KYC compliance and any investment in the name of minors

should be through a Guardian, who should be KYC compliant for the purpose of investing with a Mutual Fund. Also applicants / unit holders intending, to apply for units currently holding units and operating their Mutual Fund folios through a Power of Attorney (PoA) must ensure that the issue of PoA and the holder of the PoA must mention their KYC compliance status at the time of investment. PoA holders are not permitted to apply for KYC compliance on behalf of the issuer of the PoA, Separate procedures are prescribed for change in name, address, and other KYC related details, should the applicant desire to change such information, POS will extend the services of effecting such changes.

Effective January 1, 2016, all investors (individual and non- individual) are required to be KYC compliant.

Existing unit holders are required to mandatorily provide additional KYC information such as Gross Annual Income details, Occupation, Politically Exposed Person (PEP), Net Worth, etc. for additional subscriptions (including switches) in the schemes of the Mutual Fund. Further, existing unitholders are required to provide the missing KYC information and complete In-Person Verification (IPV) for additional subscriptions (including switches) in the schemes of the Mutual Fund. These provisions are applicable only to those Unitholders who have not fulfilled the said requirements. Further, these additional KYC requirements shall not apply to SIP, STP and Dividend Sweep mandates in the existing folios, if registered prior to January 01, 2016.

The AMC reserves the right to reject the purchase / switch-in transaction if the missing KYC information is not provided or the IPV is not completed. For further details, investors are requested to refer SAI.

#### 7. TRANSACTION CHARGES

The following transaction charges shall be applicable :

(i) Nil on subscription amounts of less than ₹ 10,000/-;

(ii) ₹ 100/- on every subscription of ₹ 10,000/- and above for an existing investor in mutual funds;

(iii) ₹ 150/-\* on a subscription of ₹ 10,000/- and above for an investor investing in mutual funds for the first time.

(iv) For SIP, transaction charges will be recovered in 4 installments.

\*In the case of any applicable transaction, where the AMC/Fund/Registrar is unable to identify whether the investor concerned is a first-time investor in mutual funds, ₹ 100/- will be charged as transaction charge.

The transaction charges referred to in (ii) and (iii) above will be payable only for transactions done through a distributor who has opted to receive the transaction charge.

#### 8. Units held in the dematerialised form

With effect from October 1, 2011, in accordance with SEBI Circular No. IMD/DF/9/2011 dated May 19, 2011, an option to subscribe/hold the units of the Scheme(s)/Plan(s) of BMF in dematerialized (demat) form is being provided to the investors in terms of the guidelines/ procedural requirements as laid by the Depositories (NSDL / CDSL) / Stock Exchanges (NSE / BSE) from time to time. For Further details investors are requested to refer SAI.

#### 9. Employee Unique Identification Number (EUIIN)

SEBI circular dated September 13, 2012 has directed AMCs to capture in the Application Form, in addition to the AMFI Registration Number (ARN) of the distributor, the Unique Identity Number (EUIIN) of the employee/relationship manager/sales person of the distributor who has interacted with the investor concerned for the sale of the relevant mutual fund scheme. It is mandatory to mention the EUIIN in the box provided for this in the Application Form, particularly in advisory transactions, as the EUIIN will assist in tackling issues relating to mis-selling even if the employee/relationship manager/sales person leaves the employment of the distributor.

#### 10. COMPLIANCES UNDER FOREIGN ACCOUNT TAX COMPLIANCE ACT (FATCA) / COMMON REPORTING STANDARDS (CRS) / ULTIMATE BENEFICIAL OWNERSHIP (UBO)

Pursuant to (i) the Inter-Governmental Agreement executed between India and the United States of America on July 9, 2015 to implement Foreign Accounts Tax Compliance Act ("FATCA") and (ii) the Standard for Automatic Exchange of Financial Account Information in Tax Matters' commonly known as Common Reporting Standard ('CRS'), released by the Organization of Economic Development ("OECD") along with G-20 countries, the AMC/Mutual Fund is required to collect relevant information(s) from the investors towards FATCA / CRS compliance and report information on the holdings or investment to the relevant authorities as per the stipulated timelines.

Ultimate Beneficial Ownership (applicable to non-individual unit holders)

Existing non-individual unitholders are required to update/provide the beneficial ownership details in order to continue additional subscriptions (including switches) in the schemes of the Mutual Fund, failing which their applications/requests for additional subscription (including switches) shall be liable to be rejected.

Applicants are required to refer to the FATCA/CRS/UBO form for further information. Signing up of declaration or filling up of indicia, as applicable, is mandatory, in the absence of which, the applications are liable to be rejected.

### For Baroda Asset Management India Limited

(Formerly known as Baroda Pioneer Asset Management Company Ltd.)

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9 a.m. to 6 p.m. - Monday to 6 Business Days

9 a.m. to 2 p.m. on 2<sup>nd</sup> & 4<sup>th</sup> Saturdays of the Month



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