

TRANSACTION FORM

YES MUTUAL FUND

Please read the instructions carefully and strike off any sections that are not relevant or not applicable.

Please Note: All field marked with asterisk (*) to be mandatorily filled.

1. DISTRIBUTION INFORMATION* (Refer Section 1 under instructions)

ARN code	RIA / PMRN code**	ARN / RIA / PM Name	Sub broker ARN code	Sub broker code	EUIN*
ARN-4464	RIA/PMRN -	VIKRAM S BAGADTHEY	ARN -		E032737

** By mentioning RIA / PMRN code, I/We authorize you to share with the Investment Adviser / Portfolio Manager the details of my/our transactions in the scheme(s) of YES Mutual Fund. (Please if applicable)
In case the EUIN box has been left blank, please refer the point related to EUIN in the Declaration & Signatures section overleaf. Upfront commission "if any applicable" shall be paid directly by the investor to the AMFI registered distributor, based on the investor's assessment of various factors, including the service rendered by the distributor.

2. UNIT HOLDER DETAILS* (Mandatory to submit FATCA & CRS declaration form if not submitted earlier or in case of change in status.) (Refer Section 2 under instructions)

Folio No.

NAME OF UNITHOLDER Mr. Ms. M/s.

3. ADDITIONAL PURCHASE REQUEST* (Refer Section 3 under instructions)

Scheme Name *Plan (Please any one) Direct Regular *Option Growth Dividend

*Dividend Frequency Dividend Facility (Please any one) Payout Re-investment Dividend Transfer Plan[‡]

*Dividend Transfer to (Target scheme / Plan / Option) (*Refer section 6 under instruction)

Mode Of Payment Cheque Demand Draft Electronic Fund Transfer Source of Funds (For NRI / FIIS Investor) NRE NRO FCNR OTHERS (please specify)

Amount ₹ (in words)

DD Charges ₹ Cheque / DD No. Dated

Drawn on Bank Branch & City

Please note that in case of a third party payment, it is mandatory to fill the Third Party Declaration Form. *For Default option, please refer to SID.

4. SWITCH REQUEST (Refer Section 4 under instructions)

From Scheme To Scheme

*Plan (Please any one) Direct Regular *Option (Please any one) Growth Dividend

Dividend Facility (Please any one) Payout Re-Investment *Dividend Facility (Please any one) Payout Re-Investment Dividend Transfer Plan[‡]

Dividend Frequency *Dividend Frequency

*Dividend Transfer to (Target scheme / Plan / Option) (*Refer section 6 under instruction)

Amount ₹ OR No. of Units OR All units *For Default option, please refer to SID.

5. REDEMPTION REQUEST (Refer Section 5 under instructions)

Scheme *Plan (Please any one) Direct Regular *Option Growth Dividend

Amount ₹ OR No. of Units OR All units

Bank Name (Other than default bank registered in folio)

Account No.

Please note that redemption proceeds will be credited to the Default Bank Account. In case you wish to receive the redemption proceeds other than default Bank Account registered with us, then please () the appropriate Option.

6. DECLARATION AND SIGNATURE(S) (To be signed by ALL UNIT HOLDERS if mode of holding is 'Joint') (Refer Section 7 under Instructions)

I/We have read and understood the contents of the respective Scheme Information Document, Statement of Additional Information and Key Information Memorandum of YES Mutual Fund. I/We have neither received nor been induced by any rebate or gifts, directly or indirectly in making this transaction. 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.

For investors investing in Direct Plan : I/We hereby agree that the AMC has not recommended or advised me/us regarding the suitability or appropriateness of the product / scheme / plan.

Please the EUIN space is left blank: I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this is an "execution-only" transaction without any interaction or advice by the employee/relationship manager/sales person of the above distributor or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor and the distributor has not charged any advisory fees on this transaction.

SIGNATURE(S)

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
1 st Unitholder/Guardian/Authorised Signatory/POA	2 nd Unitholder/Guardian/Authorised Signatory/POA	3 rd Unitholder/Guardian/Authorised Signatory/POA	<input type="text"/>

INSTRUCTIONS FOR COMPLETING THE TRANSACTION FORM

GENERAL INSTRUCTIONS

1. This Transaction Form would help in making purchases, switches, redemptions, from existing investments. New applicants who wish to invest in YES Mutual Fund should fill a separate prescribed Common Application Form.
2. Please read the Scheme information Document and KIM of the respective schemes carefully before investing.
3. Please strike off any sections that are not relevant / applicable. Please counter-sign in accordance with your mode of holding against any corrections that you make in the Transaction Form.
4. Please note that section 2 has to be filled mandatorily.
5. Permanent Account Number (PAN): It is mandatory for all investors (including guardians, joint holders, NRIs and power of attorney holders) to provide their Income Tax Permanent Account Number (PAN) and also submit a photo copy of the PAN card at the time of purchase of Units except for investors who are exempted from PAN requirement. Please refer to KYC Form for exemption of PAN requirement. The attestation of the copy of PAN card may be done by a Notary Public or a Gazetted Officer or a Manager of a Bank or a financial adviser under his seal and should carry the name and designation of the person attesting it. In the absence of this, your application will be rejected.
6. Please refer the 'Guidance Notes' below. This should help in filling the necessary details correctly and completely.
7. Completed Transaction Forms should be submitted to your nearest Investor Service Center of YES Mutual Fund or CAMS.
8. If the investor has more than one transaction to provide, he should use separate form for each transaction.

INSTRUCTIONS FOR FILLING THE TRANSACTION FORM

Section 1 – DISTRIBUTOR INFORMATION

- a. In case, the investor is directly applying, then they should clearly mention "DIRECT" in the ARN column.
- b. Any edition or cancellation of the Distributor Information should be countersigned by the investor else the same is liable to be rejected.
- c. Distributors are advised to ensure that they fill in the RIA/PMRN code, in case they are a Registered Investment Advisor or Portfolio Manager.
- d. Quoting of EUIN is mandatory in case of advisory transactions.
- e. Distributors are advised to ensure that the sub broker affixes his/her ARN code in the column "Sub broker ARN code" separately provided, in addition to the current practice of affixing the internal code issued by the main ARN holder in the "Sub broker code (as allotted by ARN holder)" column and the EUIN of the Sales Person (if any) in the "EUIN" column.
- f. Distributors are advised to ensure that they fill in the RIA/PMRN code, in case they are a Registered Investment Advisor or Portfolio Manager.
- g. Investors are requested to note that EUIN is applicable for transactions such as Purchases, Switches, Registrations of SIP / STP and EUIN is not applicable for transactions such as Installments under SIP/SWP/STP/Dividend Reinvestments, Redemption, SWP Registration.
- h. Investors are requested to note that EUIN is largely applicable to sales persons of non individual ARN holders only (whether acting in the capacity of the main distributor or sub broker). Further, EUIN will not be applicable for overseas distributors who comply with the requirements as per AMFI circular.

Section 2 – UNIT HOLDERS DETAILS

- This section is mandatory.
- Please furnish the name of the Sole / First Unit Holder and the existing Folio Number.
- Please fulfill requirement specified in General Instruction 5 for all Unit holders.
- To comply with the requirements of Foreign Account Tax Compliance Act (FATCA) & CRS (Common Reporting Standard), it is mandatory for all investors (including Guardian & POA) to provide the FATCA & CRS declaration W.e.f. November 1, 2015 (if not already submitted). The FATCA & CRS declaration forms can be downloaded from our website at - <http://www.yesmf.in/downloads/> KIM forms.

Section – 3 ADDITIONAL PURCHASE REQUEST

- Investors subscribing under Direct Plan of the Schemes should indicate the Scheme/Plan name in the transaction form as "Scheme Name – Direct Plan" for e.g. "YES Liquid Fund – Direct Plan". Investors should also indicate "Direct" in the ARN column of the transaction form. However, in case Distributor code is mentioned in the transaction form, but "Direct Plan" is indicated against the Scheme name, the Distributor code will be ignored and the transaction will be processed under Direct Plan.

Please note, where application is received for Regular Plan without Distributor code or "Direct" mentioned in the ARN Column, the application will be processed under Direct Plan.

- For Additional purchase, cheque or demand draft should be payable locally at the city where the purchase application is deposited, and should be drawn on any bank that is a member of the local Clearing House. All cheques/ drafts accompanying the additional purchase request should be crossed "Account Payee Only", and drawn in favour of the Scheme in which the investment is being made.

Note:

- Third Party payment will not be accepted. In case of exceptions (as per AMFI Circular) to third party payment, please fill the 'Third Party Declaration Form'. In case of payment made by Bank draft, please attached Banker certificate as well.
- as per RBI guidelines, cheques with alterations in Payee name and the Amount will not be honored. Hence alterations in the cheques should be avoided.
- Non-Resident Indians (NRI) and Person of Indian Origin (PIOs) are requested to attach a Foreign Inward Remittance Certificate (FIRC) or an Account Debit Certificate from the bankers along with the additional purchase request form to enable the AMC to ascertain the repatriation status of the amount invested.
- In case the investor desires to invest in more than one scheme/ plan/ option, he should submit a separate payment instrument and a separate transaction form for each such investment
- Please mention the Folio Number and the Name of the First Unit holder behind the cheque / draft

before they are handed over to any courier / messenger / distributor / ISC.

Section 4- SWITCH REQUEST

- Please specify the Source and Target - Scheme / Option for the switch transaction.
- Where Units under a Scheme are held under both Regular and Direct Plans and the switch request pertains to the Direct Plan, the same must clearly be mentioned on the request, failing which the request would be processed from the Regular Plan. However, where Units under the requested Option are held only under one Plan, the request would be processed under such Plan.
- Please specify the amount / number of units to be switched. If all units are to be switched, then please tick against the box provided.
- If the balance in the Scheme - Option after taking into account the switch is below the minimum switch size (either in amount or in units whichever is less), the entire balance would be switched to the target scheme.
- If the switch request specifies both amount and units for switch, the switch out transaction would be processed on the basis of number of units.

Section 5 – REDEMPTION REQUEST

- Please specify the scheme / option details and the amount / number of units you wish to redeem. If all units are to be redeemed, please tick against the box provided for the purpose.
- Where Units under a Scheme are held under both Regular and Direct Plans and the redemption request pertains to the Direct Plan, the same must clearly be mentioned on the request, failing which the request would be processed from the Regular Plan. However, where Units under the requested Option are held only under one Plan, the request would be processed under such Plan.
- If the redemption request specifies both amount and units for redemption, the redemption transaction would be processed on the basis of number of units.
- In case the number of units or amount is not specified in the redemption request, the request will be rejected.
- If the balance units in the folio at the time of redemption is not adequate to cover the amount of request, all units in the folio shall be redeemed.
- The Bank Mandate mentioned in the original application form will be considered as the default bank mandate and all additional bank mandates would be considered as optional bank mandates. To change the Default Bank Mandate under a folio, the investor needs to fill the Bank Accounts Registration Form and submit it to the nearest Investor Service Center.
- In case the investor wants the redemption proceeds to be credited to any one of the optional bank accounts from amongst the bank mandates registered under the folio, the investor needs to clearly indicate the same in the redemption application; in the absence of such indication, the redemption proceeds would be credited to the default bank account.
- In case request for redemption is received together with a change of bank account (using Transaction Form or Bank Accounts Registration Form) or before verification and validation of the new bank account, the redemption request would be processed to the registered default bank account. Unit holders may note that it is desirable to submit their requests for change in bank details at least ten working days prior to date of redemption/dividend payment, if any. Any redemption request placed along or during this period shall ordinarily be processed as per the earlier bank account registered in the records of the Registrars.
- YES Mutual Fund will endeavor to remit the redemption proceeds through electronic mode, wherever sufficient bank account details of the unit holder are available.

Section 6 – DIVIDEND TRANSFER PLAN (DTP)

Dividend Transfer Plan facility will be available under the scheme.

Note: Investors are requested to note that any change in dividend sub-option, due to additional investment or on the basis of a request received from the investor, will be applicable to all existing units in the dividend option of the Scheme under the respective folio.

Investors may note that DTP will be available under the Scheme whereby if the investor opts for this facility, the dividend declared will be automatically invested into any open-ended scheme (Target Scheme) of the Fund. The amount to the extent of distribution will be automatically invested on the ex-dividend date into the Target Scheme selected by the investor, at the applicable NAV of that scheme. The provision of "Minimum Application Amount" specified in the SID of the respective Target Scheme will not be applicable for DTP facility.

The Trustee reserves the right to declare dividends under the dividend option of the Scheme depending on the net distributable surplus available under the Scheme. It should, however, be noted that actual distribution of dividends and the frequency of distribution will depend, inter-alia, on the availability of distributable surplus and will be entirely at the discretion of the Trustee.

This facility will not be available for units which are under any Lien/Pledged or any lock-in period.

The dividend will be distributed in accordance with applicable SEBI Regulations and SEBI Circular no. SEBI/IMD/ Cir No. 1/ 64057/06 dated April 4, 2006 on the procedure for Dividend Distribution. However, The requirement of giving notice shall not be applicable for dividend options having frequency upto one month.

Section 7 – DECLARATION AND SIGNATURES

- All signatures should be in English or any Indian language. Thumb impressions should be from the left hand for males and the right hand for females and in all cases be attested by a Magistrate, Notary Public or Special Executive Magistrate.
- Applications by minors should be signed by their guardians. In the case of a Hindu Undivided Family (HUF), the Karta should sign on behalf of the HUF.
- Applications by non individual investors must be signed by the authorised officials. A list of authorized officials, duly certified and attested, should also be attached to the transaction form.
- In case of application through constituted attorney, please ensure that the POA document is signed by the beneficial investor (POA donor) and the Constituted Attorney. The signature in the transaction Form, in such cases should clearly indicate that the signature is by the Constituted Attorney.
- In case of application through constituted attorney, please ensure that the POA document is signed by the beneficial investor (POA donor) and the Constituted Attorney. The Signature in the transaction Form, in such cases should clearly indicated that the signature is by the Constituted Attorney.