

ARN-4464 E032737 VIKRAM S. BAGADTHEY Application No.

ETF TRANSACTION SLIP

Please use separate transaction slip for each scheme. This Form is for use of Existing Investors only. To be filled in CAPITAL LETTERS

1. DISTRIBUTOR / BROKER INFORMATION (Refer Instruction No.8 & 11)

Distributor Code	ARN-4464	Sub-Distributor Code	ARN-	Internal Code for Sub-broker/ Employee	EUIN No.	E034737	RIA Code	
EUIN Declaration	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.				First Holder	Second Holder	Third Holder	
RIA Declaration	"I/We hereby give you my/our consent to share/provide the transactions data feed/portfolio holdings/ NAV etc. in respect of my/our investments under Direct Plan of all Schemes managed by you, to the above mentioned SEBI-Registered Investment Adviser/ RIA"				First Holder	Second Holder	Third Holder	

Upfront commission 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. Investor Details (Refer Instruction No.5)

Existing Folio Number		Name		PAN No.	
Name of First Applicant					
Name of Second Applicant					
Name of Third Applicant					

3. Unitholding Option

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. Ref. Instruction No.9) Demat Account details are mandatory.

National Securities Depository Limited	Depository participant Name _____ DP ID No. _____ Beneficiary Account No. _____	Central Depository Securities Limited	Depository participant Name _____ Target ID No. _____
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 Enclosures (Please tick any one box) : Client Master List (CML) Transaction cum Holding Statement Cancelled Delivery Instruction Slip (DIS)

4. Transaction Details (Please tick either Additional Purchase OR Redemption)

 Purchase : (Please tick any one) Cash Basket Redemption : (Please tick any one) Cash Basket

5. Scheme Details (Please select any one) - Please refer respective SID / KIM for product labeling.

Scheme Name	No. of Units per Basket	Basket	Total No. of Unit in figures	Total No. of Unit in words
IDFC Nifty ETF	<input type="checkbox"/> 50,000			
IDFC Sensex ETF	<input type="checkbox"/> 10,000			

Note : Allotment of units would be subject to execution of / up to the number of baskets applied for.

6. Order Execution Details (To be filled by AMC)

 Scheme Name _____ Number of Basket _____
 Employee Name : _____ Stamp & Signature _____

7. Payment Details

 Amount (₹) _____ Mode of Payment : Cheque DD RTGS / NEFT
 Cheque / DD / UTR No. _____
 Bank Name _____ Bank Branch _____
 Account Number _____ IFSC Code _____
 MICR Code _____

8. Switch Refer Instruction No. 13 (Switch Out from IDFC Nifty ETF and IDFC Sensex ETF are not allowed)

 Amount: Rs. _____
 From Scheme _____ Plan _____ Option _____
 To Scheme (Select any One) IDFC Nifty ETF IDFC Sensex ETF

DECLARATION

I/We have read and understood the terms and features of the scheme(s) and associated risk factors. Having read and understood the contents of the Statement of Additional Information (SAI) of IDFC Mutual Fund, Scheme Information Document (SID) and Key Information Memorandum (KIM) of the scheme(s) and the Addenda issued till date, I/we hereby apply for the units of the Scheme(s) and agree to abide by the terms, conditions, rules and regulations governing the Scheme(s). I/We hereby declare that the amount invested in the Scheme(s) is through legitimate sources only and does not involve and is not designed for the purpose of the contravention of any Act, Rules, Regulations, Notifications or Directions of the Taxation Laws, Anti Money Laundering Laws, Anti Corruption Laws or any other applicable laws as applicable to me/us from time to time. I/We confirm that the funds invested in the Scheme(s), legally belong to me / us and I / we have not received nor have been induced by any rebate or gifts, directly or indirectly in making this investment. I/We am/are eligible Investor(s) as per the scheme related documents and am/are authorised to make this investment as per the Constitutive documents/ authorisation(s). I/We further confirm that I am not / We are not prohibited from accessing capital markets under any order/ruling/judgment etc. of any judicial or regulatory authority. 2. In the event "Know Your Customer" process is not completed by me / us to the satisfaction of the Mutual Fund, I / we hereby authorise the Mutual Fund, to redeem the funds invested in the Scheme(s), in favour of the applicant, at the applicable NAV prevailing on the date of such redemption subject to applicable exit load and undertake such other action with such funds that may be required by the Law 3. I/We hereby acknowledge and confirm that the information provided above is/are true, correct and complete to the best of my/our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/we shall be liable for it. I/We also undertake to keep you informed immediately in writing about any changes/modification to the above information in future and also undertake to provide any other additional information as may be required at your end. I/We hereby authorise you to disclose, share, remit in any form, mode or manner, all / any of the information provided by me / us, including all changes, updates to such information as and when provided by me / us to the Mutual Fund, its Sponsor, Asset Management Company, Trustees, their employees, agents / service providers, other SEBI registered intermediaries or any Indian or foreign governmental or statutory or judicial authorities / agencies, the tax / revenue authorities and other investigation agencies without any obligation of advising me/us of the same. 4. 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. 5. For micro-investments only : I/We confirm that I/we do not have any other existing investment in the schemes of IDFC Mutual Fund which together with this proposed investment will result in aggregate investments exceeding Rs.50,000/- in a year. 6. For NRIs / PIOs / FPIs only : I/We confirm that I am / we are Non Residents Indians / Person(s) of Indian Origin / Foreign Portfolio Investors but not United States persons within the meaning of Regulation (S) under the United States Securities Act of 1933, or as defined by the U.S. Commodity Futures Trading Commission, as amended from time to time or residents of Canada, and that I / we have remitted funds from abroad through approved banking channels or from funds in my / our Non-Resident External / Non-Resident Ordinary / FCNR Account maintained in accordance with applicable RBI guidelines.

 I/We hereby confirm that, I/We have read and understood the Privacy Policy hosted on www.idfcmf.com. I/We hereby consent IDFC AMC/IDFC MF/Trustee to share information (including sensitive personal data or information) provided in relation to our investment in IDFC MF to any Associate / Group company / Affiliate of IDFC AMC/IDFC MF / Trustee, for offering, marketing or solicitation of their products and services.

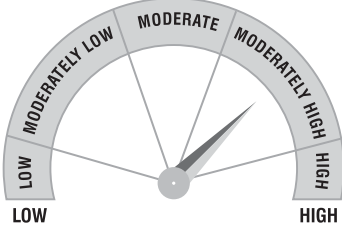
First/Sole Applicant/ Guardian/Authorised Signatory	Second Applicant	Third Applicant	POA Holder	Date	DDMMYY
				Place	

INSTRUCTIONS

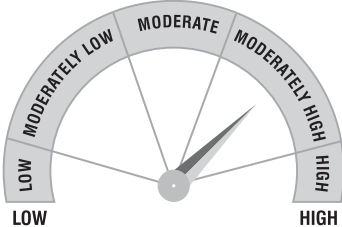
1. Please read the Scheme Information Document (SID) and Statement of Additional Information (SAI) carefully before investing / switching to other schemes for risk factors & terms applicable to Schemes / Plans.
 2. For additional purchase, the cheque / Demand Draft should be drawn in favour of the name of the scheme (e.g. IDFC Nifty ETF) and crossed A/c Payee and payable locally at the place of the ISC, where the application is being submitted. Outstation cheque / DD will not be accepted.
If the Scheme name on the application form and on the payment instrument are different, the application may be processed and units allotted at applicable NAV of the scheme mentioned in the application / transaction slip duly signed by investor(s), given that the same constitutes a valid legal document between the investor and the AMC.
PAYMENT BY CASH IS NOT PERMITTED.
 3. In case of multiple holders, the dividend (where applicable) & redemption amount, will be paid to the first unitholder.
 4. **BANK DETAILS:**
 1. As per the SEBI guidelines, it is mandatory for investors to mention their bank account details in the application form. In the absence of the bank details the application form will be rejected.
 2. Purchase Application requests should necessarily mention the pay-in bank account details i.e. bank name, bank account number, bank branch used for issuing the payments to the fund. 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, demand draft 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.
In specific exceptional situations where Third Party payment is permitted like i.e. (i) Payment by parents/ grandparents/ related persons on behalf of the minor (other than the registered guardian) in consideration of natural love and affection or as gift for value not exceeding Rs 50000 for each purchase (ii) Payment by an employer on behalf of the employee under Systematic Investment Plans through Payroll deductions or (iii) Payment by Corporate to its Agent/Distributor/Dealer (similar arrangement with principal-agent relationship), on account of commission/incentive payable for sale of its goods/services, in the form of the Mutual Fund Units through Systematic Investment Plans or lump sum / one-time subscription (iv) Custodian on behalf of an FII or a client. For the above mentioned cases KYC of the investor and the KYC of the person making the payment is mandatory irrespective of the amount. Additionally declaration by the person making the payment giving details of the bank account from which the payment is being made and the relationship with the beneficiary is also required to be submitted.
 3. Direct Credit of Redemption / Dividend Proceeds / Refund if any - IDFCMF will endeavor to provide direct electronic credit for dividend & redemption payment to investors bank account directly. In case the direct credit is not affected by the unitholder's banker for any reason then IDFCMF reserves the right to make the payment to the investor by a cheque / DD. If the electronic credit is delayed or not affected or credited to a wrong account, on account of incomplete or incorrect information, IDFCMF will not be held responsible. Please provide the MICR Code/IFSC code on the right bottom of your Cheque for us to help you in future for ECS/NEFT credit of dividend and redemption payout.
 4. In accordance with the AMFI Best Practice Guideline Circular No. 17/2010-11 dated October 22, 2010 and Circular No. 39/2013-14 dated August 23, 2013 and to reduce operational risk, Investor(s) are requested to note that any one of the following documents shall be required to be submitted as a proof of Bank Account Details (for Redemption/Dividend), in case the cheque provided along with fresh subscription/new folio creation does not belong to the Bank Account Details specified in the application form for redemption / dividend payments w.e.f. March 1, 2014.
 - a) Cancelled original cheque of the Bank Account Details with first unit holder name and bank account number printed on the face of the cheque; (or)
 - b) Self attested copy of bank statement with current entries not older than 3 months; (or)
 - c) Self attested copy of bank passbook with current entries not older than 3 months; (or)
 - d) Bank Letter duly signed by branch manager/authorized personnel.
 5. **Permanent Account Number (PAN)**
SEBI has made 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.
 6. **Prevention of Money Laundering and Know Your Client (KYC)**
Prevention of Money Laundering Act, the SEBI Circulars on Anti Money Laundering and the Client Identification implementation procedures prescribed by AMFI inter alia require the AMC to verify the records of identity and addresses of investors. To ensure adherence to these requirements, investors are required to approach Points of Service (POS) (list of POS available on amfiindia.com) appointed by any of the KYC Registration Agency and submit documents for completion of appropriate KYC checks. The details for KYC compliance can also be downloaded from AMFI website, www.amfiindia.com or website of the mutual fund, www.idfcmf.com. The Mutual Fund website also prescribes the list of documents that can be submitted by investors to the POS to get their KYC checks completed. It is mandatory for investors (including joint holders, NRIs, POA holders and guardians in the case of minors) to furnish such documents and information as may be required to comply with the Know Your Customers (KYC) policies under the AML Laws. Applications without such documents and information may be rejected. In terms of SEBI circulars dated April 27, 2007, April 03, 2008 and June 30, 2008 read with SEBI letter dated June 25, 2007, Permanent Account Number (PAN) would be the sole identification number for all participants transacting in the securities market, irrespective of the amount of transaction, except (a) investors residing in the state of Sikkim; (b) Central Government, State Government, and the officials appointed by the courts e.g. Official liquidator, Court receiver etc. (under the category of Government) and (c) investors participating only in micro-pension. SEBI, in its subsequent letters dated June 19, 2009 and July 24, 2012 has conveyed that systematic investment plans (SIP) and lumpsum investments (both put together) per mutual fund up to Rs. 50,000/- per year per investor shall be exempted from the requirement of PAN. Accordingly, investments in IDFC Mutual Fund (including SIP investment where the aggregate of SIP installments in a rolling 12 months period or in a financial year i.e. April to March) of upto Rs 50,000/- per investor per year shall be exempt from the requirement of PAN. However, eligible investors (including joint holders) should comply with the KYC requirements through KRA by submitting Photo Identification documents as proof of identification and the Proof of Address [self-attested by the investor / attested by the ARN Holder/AMFI distributor]. These exempted investors will have to quote the "PERN (PAN exempt KYC Ref No) in the application form. This exemption of PAN will be applicable only to investments by individuals (including NRIs but not PIOs), joint holders, Minors and Sole proprietor firms. PIOs, HUFs and other categories of investors will not be eligible for this exemption.
Thus, submission of PAN is mandatory for all other investors existing as well as prospective investors (except the ones mentioned above) (including all joint applicants/holders, guardians in case of minors, POA holders and NRIs but except for the categories mentioned above) for investing with mutual funds from this date. Investors are required to register their PAN with the Mutual Fund by providing the PAN card copy (along with the original for verification which will be returned across the counter). All investments without PAN (for all holders, including Guardians and POA holders) are liable to be rejected. Application Forms without quoting of PERN shall be considered incomplete and are liable to be rejected without any reference to the investors. The procedure in respect of PAN by the AMC and the decisions taken by the AMC in this regard shall be deemed final.
After completion of KYC compliance, investors need to approach KRA for Change of Address and not Registrar (CAMS). In respect of KYC compliant Folio, prospective Change of Address received along with transaction slip will not be processed by Registrar (CAMS). The AMC reserves the right to reject subscription requests in the absence of appropriate compliance with the AML Laws.
- In line SEBI circular No. MIRSD/Cir-5/2012 dated April 13, 2012 and various other guidelines issued by SEBI on the procedural matters for KYC Compliances, the following additional provisions are applicable effective December 1, 2012:
- 1) In case of an existing investor who is already KYC Compliant under the erstwhile centralized KYC with CVL (CVLMF) then there will be no effect on subsequent Purchase of additional Purchase (or ongoing SIPs/STPs, etc) in the existing folios/accounts which are KYC compliant. Existing Folio holder cannot open a new folio with IDFC Mutual Fund with the erstwhile centralized KYC.
 - 2) In case of an existing investor who is not KYC Compliant as per our records, the investor will have to submit the standard KYC Application forms available in the website www.cvlkra.com along with supporting documents at any of the SEBI registered intermediaries at the time of purchase / additional purchase/ new registration of SIP/STP etc. In Person Verification (IPV) will be mandatory at the time of KYC Submission. This uniform KYC submission would be a one-time submission of documentation.
 - 3) Investors who have complied with KYC process before December 31, 2011 (KYC status with CVL-KRA or CAMS-KRA as "MF - VERIFIED BY CVLMF") and not invested in the schemes of IDFC Mutual Fund i.e. not opened a folio earlier, and wishes to invest on or after December 01, 2012, such investors will be required to submit 'missing/not available' KYC information and complete the IPV requirements.
 - 4) In case of an individual investors, complied with KYC process before December 31, 2011, KYC needs to be done afresh due to significant and major changes in KYC requirements.
 - 5) Further, investors investing under a SIP up to Rs. 50,000 per year i.e. the aggregate of installments in a rolling 12 month period ("Micro SIP"), are also required to comply with the above mentioned KYC procedure. However, they are exempt from the requirement of providing PAN as a proof of identification.
- Ultimate Beneficial Owner(s) :** As per the requirements of Anti-Money Laundering related laws and regulatory guidelines on client due diligence and identification of Beneficial Ownership, investors (other than individuals) are required to provide details of Ultimate Beneficial Owner(s) [UBO(s)] for the purpose of these guidelines. UBO means the natural person or persons who ultimately own, control or influence a client and/or persons on whose behalf a transaction is being conducted, and includes those persons who exercise ultimate effective control over a legal person or arrangement. In case the investor or owner of the controlling interest is a company listed on a stock exchange or is a majority owned subsidiary of such a company, the details of shareholders or beneficial owners are not required to be provided. Non-individual applicants/investors are mandated to provide the details on Ultimate Beneficial Owner(s) (UBOs) by filling up the declaration form for 'Ultimate Beneficial Ownership'. Please contact the nearest Investor Service Centre (ISC) of IDFC Mutual Fund or visit our website www.idfcmf.com for the Declaration Form.
In case of any change in the KYC and / or beneficial ownership information, the investor should immediately intimate IDFC AMC / its Registrar / KRA, as may be applicable, about such changes.
All investments in IDFC Mutual Fund need to comply with the PAN/PERN and KYC (including UBO) requirements as stated above, failing which the AMC/Trustee reserves the right to reject the application.
- 7. **Transaction Charges:** As per the SEBI circular No Cir / IMD / DF / 13/ 2011 dated 22nd August 2011 transaction charges shall be applicable for purchase / Subscription receive from investors through distributor, who have opted to received transaction charges as detailed below:
 1. For existing investors in a Mutual Fund, the distributor may be paid Rs. 100/- as transaction charge per subscription of Rs. 10,000/- and above.
 2. As an incentive to attract new investors, the distributor may be paid Rs. 150/- as transaction charge for a first time investor in Mutual Funds.
 3. The transaction charge, if any, shall be deducted by the AMC from the subscription amount and paid to the distributor; and the balance shall be invested.
 4. There shall be no transaction charge on subscription below Rs. 10,000/-.
 5. In case of SIPs, the transaction charge shall be applicable only if the total commitment through SIPs amounts to Rs. 10,000/- and above. In such cases the transaction charge shall be recovered in 3-4 installments.
- 8. For Direct Investment Please Mention "Direct in the Column "Name & Broker Code/ARN"
- 9. **Units held in the dematerialised form**
The Applicant intending to invest in the Scheme will be required to have a beneficiary account with a Depository Participant (DP) of the NSDL / CDSL and will be required to mention in the Application Form DP ID No. and Beneficiary Account No. with the DP at the time of purchasing units. Applicants must ensure that the sequence of names as mentioned in the Application Form match with that of the account held with the Depository Participant. Names, Address, PAN details, KYC details etc. mentioned in the Application Form will be verified against the Depository data. Only those applications where the details are matched with the depository data, will be treated as valid applications. If the details mentioned in the application are incomplete / incorrect, not matched with the depository data, the application shall be treated as invalid and shall be liable to be rejected. The units of the Scheme will be issued, traded and settled compulsorily in dematerialized (electronic) form.
As the units will be issued in dematerialized form, unit holders will receive payment of redemption proceeds into their bank (i.e. beneficiary) account linked to the Demat account.
- 10. As per SEBI circular CIR/IMD/DF/21/2012 dated September 13, 2012, a unique identity number of the employee / relationship manager/ sales person of the distributors interacting with the investor for the sale of mutual fund products, in addition to the AMFI Registration Number (ARN) of the distributor is required to be mentioned in the application form.
- 11. Employee Unique Identification Number (EUN) would assist in tackling the problem of mis-selling even if the employee/relationship manager/sales person leave the employment of the distributor.
- 12. As per SEBI letter no. OML/16541/2012 dated July 24, 2012 addressed to AMFI, Investments in the mutual fund schemes (including investments through Systematic Investment Plans (SIPs)) up to Rs. 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.
- 13. **Switch Instructions for ETF**
 - a. Switch-in into the scheme shall be accepted only in terms of amount. Investor should submit the switch request in the customized form of ETF scheme. Cut-off time of the respective shall be applicable in case of switch out.
 - b. Based on number of basket's the investor wants to purchase in ETF scheme, switch-out amount from Liquid or Debt / Income Fund should be calculated as (No. of Baskets opted by investor x Units creation size x Previous day NAV of Switch-of IDFC Nifty ETF) + 2%. For e.g. if the investor wants to purchase 2 units of Liquid or Debt or Income Fund with previous day's NAV is Rs. 20.1234 the switch amount would be Rs. 20.52,586.80/- (2 x 50000 x 20.1234) + 2%. Accordingly investor should provide the switch request for Rs. 20,52,586.80/-.
 - c. Switch transaction will be processed only if the value (as mentioned in point c) is available in the switch-out scheme.
 - d. Switch-out request will be processed as per the applicable NAV of the switch out scheme.
 - e. Based on the funding in switch in scheme, investment shall be carried out in the market.
 - f. In case the ETF basket amount is less than the switch funding amount, excess amount will be refunded to investor within 5 business days of transaction. Units of the switch-in scheme shall be credited to investors demat account within 5 business days of transaction.
 - g. In case the ETF basket amount is more than the switch funding amount, short amount shall be collected from investor on 2nd business day from the transaction date. Units of the switch-in scheme shall be credited to investors demat account post receipt of short amount, if any.
 - h. Switch in request will be processed based on the amount received by from eligible Liquid or Debt / Income funds into IDFC Nifty ETF or IDFC Sensex ETF.
 - i. All loads for the Scheme shall be maintained in a separate account and may be utilized towards meeting the selling and distribution expenses. Any surplus in this account may be credited to the scheme, whenever felt appropriate by the AMC.
- 14. Please refer respective SID/KIM for product labelling.

Account Details				
Scheme Name	For Purchase : Fund to be transferred into the following Bank Account			For Redemption : ETF units to be transferred into the following DP account
	Bank Name	Account No.	IFSC Code	Demat Account No.
IDFC NIFTY ETF	HDFC Bank	57500000157217	HDFC0000060	IN30314910000098
IDFC SENSEX ETF	HDFC Bank	57500000157217	HDFC0000060	IN30314910000098
Bank Address :				

Product Label - IDFC Nifty ETF

<p>This product is suitable for investors who are seeking*:</p> <ul style="list-style-type: none"> • To create wealth over a long period of time. • Investment in securities covered by Nifty 50 Index. <p>*Investors should consult their financial advisors if in doubt about whether the product is suitable for them.</p>	 <p>Investors understand that their principal will be at moderately high risk</p>
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Product Label - IDFC Sensex ETF

<p>This product is suitable for investors who are seeking*:</p> <ul style="list-style-type: none"> • To create wealth over a long period of time. • Investment in securities covered by S&P BSE Sensex Index. <p>*Investors should consult their financial advisers if in doubt about whether the product is suitable for them.</p>	 <p>Investors understand that their principal will be at moderately high risk</p>
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