# TRANSACTION REQUEST FOR PURCHASE / SWITCH / REDEMPTION



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.

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#### **INSTRUCTIONS**

- 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
- 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."
- 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.

#### B. 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 (EUIN)

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 (EUIN) 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 EUIN in the box provided for this in the Application Form, particularly in advisory transactions, as the EUIN will assist in tackling issues relating to mis-selling even if the employee/relationship manager/sales person leaves the employment of the distributor.

#### 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.)

CIN: U65991MH1992PLC069414

501, Titanium, 5th Floor, Western Express Highway, Goregaon (East), Mumbai - 400 063.

Tel. No.: +91 22 6848 1000 • Toll Free No.: 1800 267 0189 Visit us at: www.barodamf.com • Email: info@barodamf.com

9 a.m. to 6 p.m. - Monday to Saturday on all Business Days

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



# TRANSACTION REQUEST FOR PURCHASE / SWITCH / REDEMPTION



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 INFOR	MATION (	Only emp	anelled Di	istributors	/ Brok	ers will	be p	ermitted to d	istribute	Units	s of Bar	oda Mı	utual F	und)												
Distributor / Broker ARN	Sub-	Sub-Broker Code				Sub-Broker ARN					EUIN				LG Code					RIA Code						
ARN - 64917									E4	345	63															
Upfront commission shall be paid di I/ We hereby confirm that the EU distributor/ sub broker or notwithsta	JIN box has be	en intenti	onally left	blank by n	ne/us	as this	trans	action is exe	ecuted v	vithou	t any in	teraction	on or a	advice	by the	empl	oyee/r	elation				es per	son of t	he above		
1st Applicant Signature / Guardian Signa Important: Please strike off any				\$ TO				nature / POA Si <b>ALL UNIT H</b>					ואוח ו	2 12 16									npressio			
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Investors desiring to get allotment	t of units in de	materializ	ed mode	instead of	f physi	ical mo	ode sl		e the d	etails	in their	demat	acco	unt be	low:		,									
SWITCH REQUEST (Plea	se ✓ any o	ne only)	All C	lear Units	s 1	No. of	Unit	s:				0	R An	nount	(in ₹)				T	T	T					
From Scheme :													Т	Plan	ı / Opt	tion <sup>^</sup>	(S	witch-(	Out !	Scher	ne for	Swite	ch Rec	uest)		
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To Scheme :  Învestors applying under Direct Plants	on must montic	on "Direct	" against t	tha Saham	o nam	no Dof	oult D	lan / Ontion	will on	alv if t	ho choi	oo of D	lan / C		i / Opt		,	WILCII-	Jul	Scrien	101	OWILL	III NEC	luest)		
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*Important Note : If the bank account a foresaid folio. Baroda Mutual Fund or B	mentioned above	e is differen	t from thos	e already re	gistere	d in you	ır folio	OR if the ban				t filled a	bove, 1	the rede	emption	will be	e proce	ssed int	to the	"Defau	t" bank	accour	nt registr	ered for the		
Note: Upfront commission shall be pa I/We have read and understood the conte am/are authorized to make this investme direction or any other applicable laws iss satisfaction of the AMC, I/We hereby auth may be required by law. I/We hereby auth has disclosed to me/us all the commission neither received nor been induced by an nominee, then the Application Form shall circular no. CIR/I/MD/DF/13/2011 dated 2 Applicable for NRIs: I/We confirm that I from my/our monies in my/our domestic a	ents of the schem nt and that the an sued by the Gov norize the AMC to norise Baroda Mu in (in the form of t y rebate or gifts, be processed as 22 August 2011. T am/we are Non-F	e related do nount investernment of o redeem the utual Fund, trail commis- directly or s without no 'his investments of	ocuments a sted in the S India or an ine funds investment its Investment indirectly, in indirectly, in indirectly, in inent is being	nd hereby a cheme is thr by regulatory rested in the ent Managel y other mode n making thi applicable for g made notw tionality/orig	pply for rough le y or sta Schen r and its e), paya s inves r "Exec vithstan gin but r	rallotme egitimate tutory a ne, in fav s agents able to h tment. In tution Or ution the not resid	ent of u e soun uthori vour o s to dis im/it fo /We d nly" tra e advice	units in the Sch ces only and d ty. I/We have f the first appli- close details of or the different eclare that the ansaction: I/W the of the approp	eme. I/W oes not in understo cant at the f my inve- competi informa e, the un- oriatenes	le agre nvolve nod the e appli estmen ng sch tion giv dersign ss/inap	e to abid and is no details icable Na it to my b emes of yen in thi ned, here propriate	e by the of design of the So AV preva ank(s)/E various is applicably ackreness of	terms, ned for cheme ailing o Baroda mutua ation for nowled the sai	condition the purp and in the da Mutual I funds to form is co ge and of me and	ons, rule oose of a the eve ate of su Fund' b from am orrect, o confirm the dist	es & re any co ent "Kn ich rec eank(s) nongst comple that th ributor	gulatio ntraver ow Yor lemptic and/o which ete and e abov has no	ns gover antion or e ar Custo on and to r Distribu the Sche truly sta e transa t charge	rning tevasion omer" of under utor/Beme is ated. I action is ed any	the Schoon of any process ertake si Broker/Ir s being i If I/We h is "Exec y advisor	eme. I/V y act, rul s is not of uch othe nvestme recomm nave not cution Or ry fees o	We here le, regu comple er actio ent Advi nended t ticked ently" as on this t	ulation, neted by renewith sure. The left of me/used for not a explained transaction.	otification of ne/us to the ich funds a ARN holde s. I/We have appointing a d vide SEE on.		
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Drawn on (Bank)				Bank	Name		П						Ī													
SWITCH REQUEST (Please ✓ a	iny one only)	All Clear	Units	No. of Un	its :			Amo	ount (in	₹)													)	ad a		
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REDEMPTION All Clear Ur	nits No. of U	Units :						Amo	ount (in	₹)												ML	JIUAI	. FUND		

#### **INSTRUCTIONS**

- 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
- For additional purchase, the cheque / Demand Draft 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 / DD 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."
- 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, 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.
- Demand draft, 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
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#### For Baroda Asset Management India Limited

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

CIN: U65991MH1992PLC069414

501, Titanium, 5th Floor, Western Express Highway, Goregaon (East), Mumbai - 400 063.

Tel. No.: +91 22 6848 1000 • Toll Free No.: 1800 267 0189 Visit us at: www.barodamf.com • Email: info@barodamf.com

9 a.m. to 6 p.m. - Monday to Saturday on all Business Days

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



# Application Form for change in Bank Account Details / Address / Contact details

Please read documentation requirement & terms and conditions overleaf Please fill in the information below legibly in English and in CAPITALS.



ARN - 64917 EUIN - E434563

In case there is any change in your KYC information, please update the same by using the prescribed "KYC Change Request Form" and s	submit the sa	me at the Po				stration Age	ency.
The Trustee Baroda Mutual Fund			Date D	D N	M M	YYYY	Υ
/ We wish to change the bank details in my / our folio as mentioned below.							
A. UNIT HOLDER INFORMATION							
Existing Folio Number							
NAME OF THE UNIT HOLDER Name							Ш
B. NEW BANK DETAILS							
Account No. (As appearing in your latest cheque book / pass book / bank account statement)							
Account Type [Please tick ( $\checkmark$ )] SAVINGS CURRENT NRE NRO FCNR	_ O	thers		Please	e Specify		
Name of the Bank							
Branch Bank City							
MICR Code (9 digit number appearing next to the Cheque No.)	IFSC Cod	е					$\Box$
	(11 Characte	er code app	earing on y	our chec	ue leaf. If	you do no	t find
	this on your	cheque lea	af, please o	hech fo t	he same	with your B	iank)
C. DOCUMENTS SUBMITTED HEREWITH (PLEASE READ SECTION ON 'PROCEDURE REQUIR	RED FOR	CHANG	E IN BA	NK DE	TAILS'	OVERLE	AF
Document attached : Cancelled Cheque with pre-printed name OR							
Cancelled Cheque without pre-printed name & either Bank Statement		Pas	s Book			Bank Certi	icate
D. NEW ADDRESS (For Micro SIP Investors & KYC NON Compliant Folios only)							
							$\Box$
CITY				PIN			
STATE COUL	NTRY			$\overline{}$			一
E. PROOF OF NEW ADDRESS							
Please submit ANY ONE of the following valid documents (self attested) & tick (✓) against the document attached.							
	Voter Identi	ty Card	* Late	est Bank	A/c State	ment/Pass	sbook
*Latest Telephone Bill (only Land Line)  *Latest Electricity Bill  *Latest Gas Bill UID (Adhaar Card)	Others			F		ecify	
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F. NEW CONTACT DETAILS							
STD Tel. Office		FAX					
Tel. Resi. 1		Mobile					
EMAIL <sup>^</sup>							
I/we wish to receive the following through physical document(s) in lieu of soft copy (Please ✓) ☐ Account State	ement	Annua	al Report		Other Co	ommunicat	tion
G. UNIT HOLDER(S) SIGNATURE(S)							
I/We hereby declare that particulars given above are correct and express my willingness to receive credit of Dividend / transaction is delayed or not effected at all for reasons of incomplete or incorrect information, I/we would not hold <b>Bar</b>							
its registrars and other service providers responsible. I/we will also inform Baroda Mutual Fund / Baroda Asset Manageme							
SIGNATURE(S) (To be signed by ALL UNIT HOLDERS if mode of holding is 'Joint')							

#### **INSTRUCTIONS**

#### Change in Bank Details :

- 1. For any request for change of bank mandate using the Multiple Bank Accounts Registration Form or a standalone Change of Bank Mandate form, investors shall enclose any one of the following, in respect of the new bank account:
  - an original cancelled cheque leaf of the new bank account, with the first unit holder's name and Bank account number printed on the face of the cheque;
  - · a latest original Bank statement;
  - the original Bank passbook with current entries not older than 3 months;
  - an original letter duly signed by the branch manager/authorized personnel of the bank.

If photocopy of any document is submitted, the copy should be certified by the competent authorities including Banks/AMC, or the original should be produced for verification.

In addition to the above, the AMC may require, in respect of the existing bank mandate which is undergoing a change on account of registering the new bank account, any one of the following documents:

- · an original cancelled cheque with the first unit holder's name and bank account number printed on the face of the cheque;
- a latest original copy of bank statement/passbook (if photocopy is submitted, it has to be certified by the bank, or the original has to be produced for verification);
- original letter issued by the bank on the letterhead, confirming the bank account holder with the account details, duly signed and stamped by the branch manager; or
- in case the bank account is already closed, a duly signed and stamped original letter from such bank on the letter head of bank, confirming the closure of the account.

Investors may note that any request without the necessary documents will be treated as invalid and will not be acted upon, and any financial transaction, including redemption, will be carried out with the previously registered details only.

2. Valid change of bank mandate requests with supporting documents will be processed within ten days of the documents reaching the head office of the Registrar, and any financial transaction request received in the interim will be carried out based on the previously registered details. Investors may note that a new unregistered bank account specified in any redemption request for receiving redemption proceeds will not be considered.

#### · Change in Address

Investors may note that change in address request will be accepted by the AMC only for investors having Micro SIPs and for KYC Non compliant folio. KYC Compliant investors should approach the KRAs with their request for change in address. Any such request received by AMC will not be processed.