

INSTRUCTIONS

- This Know Your Client (KYC) Form of UTI Mutual Fund is for use by Individuals only. A minor cannot apply for UTI Mutual Fund Investor Identification Number (UMIN). In case of investments through minor the UMIN of the Guardian must be provided. Upon the Minor becoming a Major, he/she should immediately apply for a UMIN in his/her own capacity as an adult individual and intimate the Mutual Fund, in order to be able to transact further himself/herself.
- The Application Form should be completed in English and in **BLOCK LETTERS**. Please tick in the appropriate box wherever applicable. Overwriting in the form is not allowed. Corrections if any should be counter-signed by the applicant.
- Applications incomplete in any respect are liable to be rejected.
- Applications which are not accompanied by legible documents shall be rejected.
- Submission of this Application Form is only for allotment of UMIN. UMIN must be used by the Applicant while investing in any UTI Mutual Fund Scheme.
- Applications complete in all respects should be submitted at the designated Points of Service (PoS) of UTI Mutual Fund. Submission of UMIN Application Form is in addition to the Application Form for subscription to any of the schemes of UTI Mutual Fund.
- In addition to the documents listed for proof of identity, investors can also submit Photo identification issued by Bank Managers of Scheduled Commercial Banks, Gazetted Officers or Elected representatives to the Legislative Assembly or Parliament. Proof of identity and address can also be established by any document containing the photograph, address and signature, duly attested by a manager of a scheduled commercial bank (the designation seal should be affixed), notary public or gazetted officer.
- Documents submitted to support Identity and Address should be (a) Original Documents + Self-attested photocopies duly verified by an Officer of UTI AMC Pvt. Ltd. or an ARN holder appointed by UTI AMC as agent (Originals will be returned over-the-counter after verification) or (b) True Copies attested in **original** by a Notary Public / Gazetted Officer / Manager of a Scheduled Commercial Bank (Name, Designation and Seal should be affixed). Mere photocopies of an original document or of notarised copies are not adequate.
- Information relating to address(es) provided under the KYC form overleaf will supersede existing information and will be overwritten in the records of the Mutual Fund / Registrars and Transfer Agent to the Mutual Fund. UTI Mutual Fund will not be liable for any errors or omissions on the part of Unit holders in the KYC form.**
- Name of Applicant / Unit holder as appearing in the KYC form should match with that on the supporting documents provided to establish proper proof of Identity. Address as provided in this KYC form must match in any of the documents supporting your Proof of Address.
- PoA holder should fill in a KYC form and obtain a UMIN. Such UMIN shall need to be quoted to the Mutual Fund in addition to the UMIN of the investor. Other requirements of PoA of UTI MF will additionally be applicable.
- Financial / Non Financial Transaction requests **must not** be submitted along with KYC forms. They must be submitted at any of the designated Official Points of Acceptance. Applicants / Unitholders must quote their UMIN along with **every** financial / non financial transaction.
- After allotment of UMIN, any change(s) in address (both permanent and present or any one such address) or change in name / status must be intimated to the designated PoS immediately along with required supporting documents, using the prescribed form for such changes, quoting the UMIN. For change of signature (e.g., upon marriage), please submit prescribed application at PoS furnishing UMIN, old as well as revised signature, duly attested by your banker.
If the present address and permanent address is the same, please mention one address, duly supported with documentary proof. In such a case please mention "same as above" in the box for Permanent Address. If they are different, please mention both addresses, duly supported with documentary proof.
- UTI Mutual Fund reserves the right to seek additional information / documentation in terms of the Prevention of Money Laundering Act, 2002 at any point of time.
- In respect of existing unitholders, signature on the UMIN Application Form should match with that on the records of the Mutual Fund.
In respect of new investors, signature on the Application Form for investing / transacting in Mutual Fund should match with that on this UMIN Application Form.
- In the event of any operation of law, e.g., transmission of units upon death of a unitholder, the claimant / person/s entering the Register of Unitholders of the Mutual Fund will be required to obtain UMIN.
- Any single investment made for amounts equal to and greater than Rs. 50,000 will require a UMIN. Such Unitholders must quote their UMIN on the Application Form(s) / Transaction Slip(s) for investing with UTI Mutual Fund. Such investments not accompanied by the UMIN are liable to be rejected.**
- UTI Mutual Fund will, on a best effort basis ensure, the documents received in support of UMIN requirements are verified. In the event of any KYC form being rejected for lack of information / deficiency / insufficiency of mandatory documentation, investment amounts as specified under (17) above will be refunded at applicable NAV, subject to payment of exit load were ever applicable. Such refunds will be dispatched within a maximum period of 21 days from Date of Allotment of Units.
- UTI Mutual Fund, UTI Asset Management Company Private Limited, UTI Trustee Company Private Limited and their Directors, employees and agents shall not be liable in any manner for any claims arising whatsoever on account of freezing the folios / rejection of any application/ non-allotment of units or mandatory redemption of units due to non-compliance with the provisions of the PML Act 2002, SEBI guidelines or where the AMC / Mutual Fund believes that transaction(s) by and applicant/unit holder is/are suspicious in nature within the purview of the PML Act., 2002 and SEBI guidelines and required reporting the same to Financial Intelligence Unit - India (FIU-IND).

CHECKLIST FOR ALL INDIVIDUAL APPLICANTS

Please ensure the following while submitting your KYC Application Form

- KYC Form is complete in all respects
- KYC Form is signed by the applicant
- Signature on the KYC Form must match with that on the identity proof submitted
- Photograph is pasted on the form and the investor has signed across the photograph
- Address mentioned in the form is matching with the address proof submitted
- Required documents as under are attached to KYC Form

Proof of Identity (any one of the following)

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|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------|
| <input type="checkbox"/> Valid Passport | <input type="checkbox"/> Photo PAN Card |
| <input type="checkbox"/> Voter's Identity Card | <input type="checkbox"/> Valid Driving Licence |
| <input type="checkbox"/> UN (MAPIN) Card | |
| <input type="checkbox"/> DN Card | |
| <input type="checkbox"/> Valid Photo Debit Card issued by a bank in India | |
| <input type="checkbox"/> Valid Ration Card with your photograph | |
| <input type="checkbox"/> Photo Identification issued by Bank Managers of Scheduled Commercial Banks / Gazetted Officer / Elected Representatives to the Legislative Assembly / Parliament | |

Proof of Address (any one of the following)

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|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <input type="checkbox"/> Telephone Bill* | <input type="checkbox"/> Electricity Bill * |
| <input type="checkbox"/> Valid Passport | <input type="checkbox"/> Bank Passbook / bank account statement* |
| <input type="checkbox"/> Demat Account Statement* | <input type="checkbox"/> Voters Identity Card (with address) |
| <input type="checkbox"/> Valid Driving Licence | |
| <input type="checkbox"/> Valid Ration Card | |
| <input type="checkbox"/> Valid Registered Rent Agreement / Sale Agreement | |
| <input type="checkbox"/> Any other document containing the photograph, address and signature duly attested by a person (mentioned in the last item under proof of Identity section) | |

* Not over 3 months old

- Non-Resident Indians must mention their Mailing and Overseas Address supported by valid documents
- For Resident Indians proof of address for correspondence is a must

For queries / clarification please call the nearest PoS

or

e-mail us at : www.utimf.com