

UMRN

Utility Code

Sponsor Bank Code

I/We authorize

UTI MUTUAL FUND

To debit (tick✓)

SB / CA / CC / SB-NRE / SB-NRO / OTHER

Bank a/c number

with Bank

IFSC / MICR

an amount of Rupees

₹

Debit Type

☒ Fixed Amount
 ☒ Maximum Amount
 ☒ Frequency
 ☒ Monthly
 ☒ Quarterly
 ☒ Half Yearly
 ☒ Yearly
 ☒ As & when presented

Reference 1

Reference 2

From

DD

MM

YY

YY

To

3

1

1

2

2

0

9

9

Or

☒ Until Cancelled

Signature Primary Account holder

Signature of Account holder

Signature of Account holder

Phone No.

1.

Name as in Bank records

2.

Name as in Bank records

3.

Name as in Bank records

This is to confirm that the declaration has been carefully read, understood & made by me / us. I am authorizing the User entity/ Corporate to debit my account based on the instructions as agreed and signed by me. I have understood that I am authorized to cancel/amend this mandate by appropriately communicating the cancellation/ amendment request to the user entity/ corporate or the bank where I have authorized the debit.



UTI SMaRT SIP Form™

- ☐ Registration of SIP
- ☐ Renewal of SIP
- ☐ Micro SIP
- ☐ Salary Saving SIP
- ☐ Change in Bank Details

ADVISOR CODE & NAME	EJIN	Sub Advisor Code & Name	Sub Code	MOCode	UTI RM No.

☐ Upfront commission shall be paid directly by the investor to the AMFI / NISM certifies UTI MF registered distributors based on the investors' assessment of various factors including the service rendered by the distributor. I/ We confirm that the EJIN box is intentionally left blank by me/ us as this is an " execution-only" transaction without any interaction or advice by the distributor personnel concerned or not withstanding the advice of in-appropriateness, if any, provided by such distributor personnel and the distributor has not charged any advisory feed for this transaction. (Plases tick and sign below when EJIN box is left blank))

APPLICANT DETAILS

APPLICATION NO./ FOLIO NO.

Name Of Sole / 1st holder / Beneficiary Child

Name Of Guardian (In case of Minor)

PAN DETAILS	(If not registered in the folio already)	
First Applicant / Guardian	Second Applicant	Third Applicant
Mandatory Enclosures	Mandatory Enclosures	Mandatory Enclosures
☐ PAN Proof ☐ KYC Complied	☐ PAN Proof ☐ KYC Complied	☐ PAN Proof ☐ KYC Complied
PAN Exempt KYC Ref no (PEKRN for Micro investments) -	PAN Exempt KYC Ref no (PEKRN for Micro investments) -	PAN Exempt KYC Ref no (PEKRN for Micro investments) -

SIP DETAILS		SIP Period		SIP Step Up			
Scheme Name, Plan, Option	SIP Date	Instalment Amount	Frequency	Regular (MM/YY)	Perpetual (MM/YY)	Amount In Multiple of ₹ 500/-	Frequency
	DD	☐ 5000 ☐ 10000 ☐ 25000 OR ₹	☐ Daily ☐ Weekly ☐ Monthly ☐ Quarterly	From To	From To		☐ Half Yearly ☐ Yearly
	DD	☐ 5000 ☐ 10000 ☐ 25000 OR ₹	☐ Daily ☐ Weekly ☐ Monthly ☐ Quarterly	From To	From To		☐ Half Yearly ☐ Yearly
	DD	☐ 5000 ☐ 10000 ☐ 25000 OR ₹	☐ Daily ☐ Weekly ☐ Monthly ☐ Quarterly	From To	From To		☐ Half Yearly ☐ Yearly
Amount in the mandate to bank should be equal or more than this total amount		Total					

My Financial Goal for this SIP (choose anyone).

- ☐ Retirement Corpus
 ☐ Child Education
 ☐ Child Marriage
 ☐ Dream Car
 ☐ Dream House
 ☐ Marriage
 ☐ Holiday
- (In case of saving for Child, mention name of Child)

Target Amount

I/ We hereby authorise UTI MUTUAL FUND and their authorised service providers and my banker, to debit my/our bank account using the Mandate form. If the transaction is delayed or not effected at all for reason of incomplete or incorrect information or other reasons, I/ we would not hold UTI Mutual Fund responsible. I/ We will also inform UTI Mutual Fund, above any changes in my bank account. I/ We have read and understood the contents of the SAL, SID, KIM, Instructions and Addenda issued from time to time of the respective Scheme(s) of UTI Mutual Fund, have read and agreed to the instructions cum terms and conditions of SIP/ Micro SIP. I/ We do not have any existing Micro SIPs which together with the current application will result in aggregate investment exceeding ₹ 50,000 in a year (applicable only for Micro SIP applicants.) 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 Scheme of various Mutual Fund from amongst which the Scheme is being recommended to me/ us. I/ We hereby authorize UTI MF/ UTI AMC to share my data furnished in the Form with other service providers of the UTI MF for the purpose of servicing, issue of account statement, consolidated statement of account, etc and cross selling of products/ scheme of the UTI MF. I/ We hereby request you to register me/ us for availing this facility and carrying out transactions of Purchase/ SIP/ Redemption/ Switch in my/ our above mentioned folio wherever applicable. I/ We have read and understood the Terms & Conditions of the facility in which I/ We wish to subscribe as available on UTI MF website (http://www.uti.com/customer-service/Pages/default.aspx) and also displayed/ available at the UFC wherever applicable.

By signing this SIP enrolment form I/ We understand, that the amount will be debited from the Bank account mentioned in SIP Mandate (Should be signed as per mode of holding in the folio)

1st Holder / Guardian

2nd Unit Holder

3rd Unit Holder

DEMAT ACCOUNT DETAILS-(Please ensure that the sequence of name to mentioned in the application form matches with that of the account held with any one of the Depository Participant. Demat Account details are compulsory if demat mode is opted below.
(Investor client ID should be printed in proof.)



UTI
UTI Mutual Fund

UTI SmaRT SIP FormTM

(For Post Dated Cheque) (Only CTS - 2010 compliant cheques are allowed)

☐ Registration of SIP

☐ Renewal of SIP

☐ Micro SIP

☐ Salary Saving SIP

☐ Change in Bank Details

Haq, ek behtar zindagi ka.

ARN	EUIN	Sub ARN Code	Sub Code	MOCode	UTI RM No.

☐ Upfront commission shall be paid directly by the investor to the AMFI / NISM certifies UTI MF registered distributors based on the investors' assessment of various factors including the service rendered by the distributor. I/ We confirm that the EUIN box is intentionally left blank by me/ us as this is an "execution-only" transaction without any interaction or advice by the distributor personnel concerned or not withstanding the advice of in-appropriateness, if any, provided by such distributor personnel and the distributor has not charged any advisory fee for this transaction. (Please tick and sign below when EUIN box is left blank)

PAN DETAILS										(If not registered in the folio already)																			
First Applicant / Guardian										Second Applicant										Third Applicant									
Mandatory Enclosures										Mandatory Enclosures										Mandatory Enclosures									
☐ PAN Proof ☐ KYC Complied										☐ PAN Proof ☐ KYC Complied										☐ PAN Proof ☐ KYC Complied									
PAN Exempt KYC Ref no (PEKRN for Micro investments) - _____										PAN Exempt KYC Ref no (PEKRN for Micro investments) - _____										PAN Exempt KYC Ref no (PEKRN for Micro investments) - _____									

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3rd Unit Holder

SIP/Micro SIP by cheque/s (only CTS - 2010 compliant cheques)

1. The submission of cheques could be as under :

	Monthly option	Quarterly option
New investor	Cheque of initial investment + 5 cheques (Min)	Cheque of initial investment + 3 cheques
Existing unit holder	6 Cheques (Min)	4 Cheques

Note : if a unit holder desires to submit 12 cheques under the monthly option, the same will be accepted. No up country cheques (UCC) shall be accepted. Only local country cheques (LCC) i.e, from location where Axis bank branch is present shall be accepted as a mode of payment under PDC w.e.f 17th July 2012. CTS 2010 standard complied cheques shall be accepted w.e.f. 1st January 2013.

2. All instalment cheques under MSIP & QSIP should be of uniform amount. For example : if an investor enrolls under MSIP say under UTI Master share for the period Aug 2013 to July 2014, the first cheque can be of any amount drawn on any date of Aug 2013. The remaining cheques should be of uniform date SIP date chosen by investor for uniform amount i.e. ` 2000/-. Similarly for quarterly option the first cheque could be of any amount and of any date of Aug 2013 and subsequent cheques should be of uniform date and amount.

3. Please draw your cheques in the name of the scheme/Plan in which the amount is invested.

4. Returned Cheques, if any will not be presented again.

SIP/Micro SIP is available under the Existing Plan and Direct Plan of the below mentioned schemes

Sr. No.	Scheme Name	Sr. No.	Scheme Name	Sr. No.	Scheme Name
1	Arbitrage Fund	14	Floater Fund	27	Multi Asset Fund
2	Banking & Financial Services Fund	15	Gilt Fund	28	Nifty Index Fund
3	Banking & PSU Debt Fund	16	GSEC - Short Term Plan	29	Nifty Next 50 Index Fund
4	Bond Fund	17	Healthcare Fund	30	Overnight Fund
5	Children's Career Fund (CCF) Investment Plan	18	Hybrid Equity Fund	31	Regular Savings Fund
6	Children's Career Fund (CCF) Savings Plan	19	India Consumer Fund	32	Retirement Benefit Pension Fund
7	Core Equity Fund	20	Infrastructure Fund	33	Short Term Income Fund
8	Corporate Bond Fund	21	Long Term Equity Fund (Tax Saving)	34	Transportation & Logistics Fund
9	Credit Risk Fund	22	Mastershare Unit Scheme	35	Treasury Advantage Fund
10	Dividend Yield Fund	23	Medium Term Fund	36	Unit Linked Insurance Plan
11	Dynamic Bond Fund	24	Mid Cap Fund	37	Ultra Short Term Fund
12	Equity Fund	25	MNC Fund	38	Value Opportunities Fund
13	Equity Savings Fund	26	Money Market Fund	39	UTI-Small Cap Fund
				40	UTI-Focussed Equity Fund

Schemes available in Demat Mode

Sr. No.	Scheme Name	Sr. No.	Scheme Name	Sr. No.	Scheme Name
1	UTI-Hybrid Equity Fund	11	UTI-Healthcare Fund	21	UTI-Nifty Index Fund
2	UTI-Banking and Financial Services Fund	12	UTI-Core Equity Fund	22	UTI Dynamic Bond Fund
3	UTI-Dividend Yield Fund	13	UTI-Transportation and Logistics Fund	23	UTI Credit Risk Fund
4	UTI-Equity Fund	14	UTI-Multi Asset Fund	24	UTI Banking and PSU Debt Fund
5	UTI-India Consumer Fund	15	UTI-Regular Savings Fund	25	UTI Medium Term Fund
6	UTI-Infrastructure Fund	16	UTI-Ultra Short Term Fund	26	UTI Arbitrage Fund
7	UTI-Mastershare Unit Scheme	17	UTI-Gilt Fund	27	UTI Treasury Advantage Fund
8	UTI-Mid Cap Fund	18	UTI-Bond Fund	28	UTI Money Market Fund
9	UTI-MNC Fund	19	UTI-Overnight Fund	29	UTI-Small Cap Fund
10	UTI-Value Opportunities Fund	20	UTI-Short Term Income Fund	30	UTI-Focussed Equity Fund

"Note: Please refer Scheme Information Document (SID) for the applicable load structure of the above Listed scheme."

Instructions Cum Terms and Conditions For SIP & Micro SIP

1. Please refer the SID, SAI, Key Information Memorandum, all instructions, Addenda issued from time to time and our website www.UTIMF.Com for instructions, terms and conditions, Applicable NAV, Risk Factors, Load and other information, various requirements of the respective schemes / Plan before investing. It is deemed that the investor has agreed to all the terms and conditions as prevailing on the date of the application / Investment. SIP / Micro SIP is offered with Daily, Weekly, Monthly and Quarterly Frequency for all schemes except UTI-ULIP. UTI-ULIP is offered with the frequencies of Monthly, Quarterly, Half Yearly and Annual.

2. Investor understands and agrees that mobile number and email id registered / updated in the folio will be used by UTI MF to send alerts with regard to transactions including SIP renewals. Investor authorizes UTI MF to act on the instructions on SIP sent by him through the registered mobile number / email id.

3. Any Day SIP: Investor may choose any date between 1st to 31st of the month as their SIP date. In case the SIP date chosen by the investor does not occur in any month, the SIP installment will be processed for last business day of the month. In daily SIP frequency transaction will be processed on Business days only. In case the chosen date falls on a Non-Business Day in any month, the SIP will be processed on the immediate next scheduled Business day. The investor will not hold AMC/Bank liable for processing such transactions the next day.

4. In case of incomplete mandate form, AMC may initiate remediation process to obtain incomplete details. This process may exceed 30 days and in such case it may also impact the registration of the SIP facility and subsequent instalments. The investor agrees to abide by the terms and conditions of NACH facilities of Reserve Bank of India (RBI). Pursuant to the AMFI Best Practice Guidelines circular on 'Risk mitigation process against Third-Party Cheques in mutual fund subscriptions' read with compliance with 'Know your Customer (KYC)' norms under Prevention of Money Laundering Act, 2002 (PMLA), UTI Asset Management Company Ltd shall not accept applications for SIP accompanied with Mandates from Third Parties.

5. Default Values: In case the SIP date is left blank by the investor the SIP will be registered with a default date of 7th of every month. In case the "SIP From date" is left blank, then by default the SIP will be registered from the next month of the month in which the SIP application is submitted. If the Frequency is not ticked, then by default the SIP will be registered with Monthly frequency. If End date is not mentioned by the investor, SIP will be registered as Perpetual SIP. If the SIP / Micro SIP amount is left blank by the investor, then by default SIP will be registered for Rs. 500 for Daily, Weekly and Monthly frequencies and Rs. 1500 for Quarterly frequencies. Investors are required to submit the SIP forms at least 21 days prior to the first SIP date opted.

6. New Fund Offer of Open Ended Schemes: If the SIP is allowed as per the Scheme Information Document, during the NFO, the investor may submit the SIP form during the NFO period. However, the SIP start date shall be post the date on which the Scheme reopens for subscriptions, subject to the 21 days gap between date of submission and SIP start date as described in point no. 5.

7. Minimum Amount: Please refer the Scheme Information Document and the Addenda issued from time to time.

8. SIP in folio of a Minor: Name of Guardian must be mentioned if investments are being made on behalf of a minor. Date of birth is mandatory in case of minor. The minor shall be the first and the soleholder in the account (folio). Minor's name must one of the holders in Bank Account on which the mandate is being submitted alongwith the SIP Form. This conditions shall not apply to SIP under UTI CCP-Scholarship option.

9. Unit Allotment: Unit allotment will be as per the NAV applicable for the date of realization of the investment amount.

10. The applications will be received at all Official Points of Acceptance of UTI Asset Management Company. In case of SIP with post dated cheques, only CTS cheques will be accepted. No outstation cheques will be accepted.

11. Account Statement: An account statement will be sent to the Unit Holders through Email wherever email id is registered. The physical statement would be despatched to the investors once in 6 months.

12. Investors can choose to discontinue the SIP by submitting a request giving atleast 1 week notice to the registrar of the schemes. In case of 4 consequent failures of SIP installments, the SIP will be paused automatically without any written request from the investor.

13. It will be sole responsibility of the investor's bank and / or branch to ensure proper registration of the debit mandate and confirm the registration. Investor will not hold UTIMF or

its service providers responsible if the transaction is delayed or not effected or the investor's bank account is debited in advance or after the specific SIP due date to various clearing cycles of local holidays. Investors will not hold UTIMF or its service providers responsible for non allotment of Units of SIP / Micro SIP if the payment is not received from the Unit Holder's bank for any reason.

14. UTIMF reserves the right to reject the SIP / Micro SIP / Debit Mandate without assigning any reasons therefor.

15. If the investor is investing through an Financial / Investment Advisor, the investor must clearly mention the ARN / RIA code and the name of the Advisor, Sub ARN Code and EUIN in the application. In case nothing is mentioned, the application will be processed in the Direct Plan of the Scheme.

16. Direct Plan: Investors subscribing under direct plan of a Scheme will have to indicate "Direct Plan" against the Scheme Name in the application form for Example "UTI Dividend Yield Fund – Direct Plan. Investors are advised to write "Direct" in the distributor column when subscribing units in Direct Plan of a scheme. However, even if an Advisor code is mentioned on the application where the scheme name is mentioned with Direct Plan, the Advisor code shall be ignored and application shall be processed in Direct Plan only.

17. The Unit Holder(s) agree that, UTIMF / its Registrar and their agents shall not be held liable for any unsuccessful registration and / or transaction due to any action / inaction of the unit holder's bank including but not limited to the reasons mentioned below and agree to indemnify UTIMF / UTIAMC/RTA for all liabilities, losses, damages and expenses which they may consequently incur or sustain either directly or indirectly.

- Non acceptance or rejection of debit mandate for whatsoever reason by the unit holder's bank / branch with or without any reason assigned by the unit holder's bank.
- Loss of debit mandate form in transaction from RTA to the unit holder(s) bank / branch.
- Non-registration of the debit mandate by the unit holder(s) bank / branch.
- Deemed registration due to Non confirmation of registration or rejection by the bank and any subsequent rejection of the debit of bank account for funds.
- Non availability of funds in the bank account of Unit Holder at the time of debit.
- Rejection of registration or transaction debit for any reason or without assigning any reason whatsoever.

18. SIP Step Up: By opting for this facility investor can choose to increase the SIP amount (SIP / Micro SIP) by a predefined amount at a predefined interval of time (Half Yearly or Yearly). For availing this facility the investor has to, a) provide the details of the SIP step up in the SIP enrolment form, b) SIP Mandate to bank with Debit Type as Maximum Amount, c) Bank Debit amount sufficient to accommodate the maximum stepped amount. In case the amount mentioned in the amount column of bank mandate falls short of the stepped amount, the Step Up will be terminated and the normal SIP or latest stepped amount shall continue to be debited. d) the minimum step amount is Rs. 500/- in multiples of Rs. 500/-, e) if Step Up frequency is not mentioned, the default frequency will be taken as Yearly. F) in case request for cancellation of step up is received from the investor, the last stepped up amount will continue for the rest of the period of the SIP unless modified by the investor.

19. SIP Pause: Pause facility is available for all eligible schemes except UTI-ULIP scheme. This facility can be availed for a period of 6 months. SIP Pause can be exercised by the investor 2 times during the tenure of the SIP. Investor can pause his SIP for a minimum of 1 month and a maximum of 6 months under daily, weekly and Monthly frequencies and a minimum of 1 Quarter and a maximum of 2 Quarters under Quarterly frequency. In case the investor's KYC is not complied as per the SEBI guidelines at the time of processing the SIP installment the SIP shall be paused automatically and installment shall be presented to investor's bank till investor complies with KYC guidelines. Upon subsequent compliance with KYC guidelines, the SIP installment falling due post compliance will be presented to the investor's bank. The installments that have fallen due prior to KYC Compliance shall not be presented for debit.

20. Transaction Charges: For applications received in Regular Plan through mutual fund distributors who have opted in for the transactions charges where subscription amount of Rs. 10,000 or more transaction charges of Rs. 150/- (for first time mutual fund investors) and Rs. 100 for existing mutual fund investors) would be deducted from the subscription amount and paid to the distributors. Units will be issued against the balance amount invested.

21. Multi SIP: Investor can start a SIP in multiple schemes (3 schemes) using one form with all the parameters suiting his requirement. In case investor wants to register SIP in more than 3 schemes he may use an additional SIP enrollment form.

22. Change of Bank: Investor can change the bank from where the debits of SIP installments are happening by submitting the SIP enrolment form by ticking the change of bank option in the SIP enrolment form. Since the mandate is to be registered on is new bank, the form must be submitted atleast 21 days prior to the next installment.

SIP Pause 

Pause facility is available for all eligible schemes except ULIP. Can be opted only after payment of 6 installments and twice in entire life span of SIP tenure. SIP can be pause for minimum of 1 installment and maximum of 6 installments (Monthly Freq) and 1 quarter and maximum of 2 quarters (Quarterly Freq).



ACKNOWLEDGMENT UTI SmaRT SIP Form™

UTI Mutual Fund, UTI Tower, Bandra-Kurla Complex, Bandra (East), Mumbai - 400 051.

Received from Mr./Ms./Mrs

Date

Folio No./Investor Id/Application No.

'SIP/Micro SIP' Application for Scheme/Plan/Option

Scheme	Plan	Option
Scheme	Plan	Option
Scheme	Plan	Option

Unit Holding Option	Payment Mechanism
☐ Physical Mode	☐ Electronic
☐ Demat Mode	☐ Cheque

TIME STAMP

Note: All purchases are subject to realisation of Cheques/ receipt of funds