

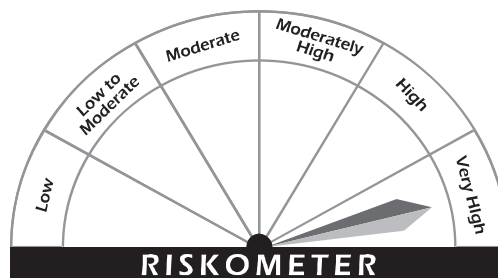
APPLICATION FORM

UTI FOCUSED EQUITY FUND

(An open ended equity scheme investing in maximum 30 stocks across market caps)

THIS PRODUCT IS SUITABLE FOR INVESTORS WHO ARE SEEKING*:

- ❖ Long term capital Growth
- ❖ Investment in equity & equity related securities across market capitalization in maximum 30 stocks



Investors understand that their principal will be at Very High Risk.

Product labelling assigned during the NFO is based on internal assessment of the scheme characteristics or model portfolio and the same may vary post NFO when the actual investments are made.

* Investors should consult their financial advisers if in doubt about whether the product is suitable for them

Offer of Units of Rs. 10/- each during New Fund Offer (NFO) and Continuous Offer of Units at NAV based prices

New Fund Offer will not be kept open for more than 15 days

New Fund Offer Opens on : Wednesday, August 4, 2021

New Fund Offer Closes on : Wednesday, August 18, 2021

Scheme Re-opens on : Thursday, August 26, 2021

This Key Information Memorandum (KIM) sets forth the information, which a prospective investor ought to know before investing. **For further details of the scheme/Mutual Fund, due diligence certificate by the AMC, Key Personnel, Investors' rights & services, risk factors, penalties & pending litigations etc. investors should, before investment, refer to the Scheme Information Document (SID) and Statement of Additional Information (SAI) available free of cost at any of the UTI Financial Centres or distributors or from the website www.utimf.com.**

The scheme particulars have been prepared in accordance with Securities and Exchange Board of India (Mutual Funds) Regulations 1996, as amended till date, and filed with Securities and Exchange Board of India (SEBI). The units being offered for public subscription have not been approved or disapproved by SEBI, nor has SEBI certified the accuracy or adequacy of this KIM.

SPONSORS

State Bank of India, Punjab National Bank, Bank of Baroda and Life Insurance Corporation of India
(Liability of sponsors limited to ₹ 10,000/-)

TRUSTEE

UTI Trustee Co. (P) Ltd.
(Incorporated under the Companies Act, 1956)

INVESTMENT MANAGER

UTI Asset Management Co. Ltd.
(Incorporated under the Companies Act, 1956)

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GENERAL INSTRUCTIONS FOR FILLING THE APPLICATION FORM

PLEASE FILL IN ALL COLUMNS IN CAPITAL LETTERS ONLY
[Fields Marked with (*) must be Mandatorily filled in]

[Before Filling up the Form, Please read the Cover Page Carefully to know the Risk Profile of the Scheme(s) you are Investing in]

- (a) Please read the terms of the Key Information Memorandum, Scheme Information Documents and Statement of Additional Information carefully before filling the Application Form. Investors should also apprise themselves of the prevailing Load structure on the date of submitting the Application Form.
Investors are deemed to have accepted the terms subject to which this offer is being made and bind themselves to the terms upon signing the Application Form and tendering payment.
- (b) Before submission of application form at UTI Financial Centres and other authorised collection centres investors may please ensure that the form has been filled in completely and signed by all the applicants properly as incomplete application is liable to be rejected.
- (c) NRI applicants should preferably submit the application at NRI Branch, Mumbai, Dubai Representative Office or any Financial Centre of UTI AMC along with NR(E)/ NR(O) cheque or a rupee draft payable at the place where the application is submitted.
- (d) **Please write the application serial Number on the reverse of the cheque / draft.**
- (e) Please fill in the names of the applicant(s) / beneficiary / alternate child (if any) / institution / parent or lawful guardian / minor / alternate applicant / nominee etc. at the appropriate places in the application form. PIN code no. must be given with address to avoid delay / loss in transit.
- (f) Attach any one of the documents as proof of date of birth and relationship with minor viz., birth certificate, School leaving certificate/mark sheet issued by Higher Secondary Board of respective states, ICSE, CBSE etc., Passport of the minor or any other suitable proof evidencing the date of birth and relationship with the minor.
- (g) It is mandatory for an applicant to furnish full and correct particulars of bank account such as nature and number of the account, name and address of the bank, name of the branch, MICR code of the branch (where applicable) etc. at the appropriate place in the application form. Application without such bank particulars is liable to be rejected. If the credit of Income distribution is delayed or not effected at all for reason of incomplete or incorrect information furnished by the applicant, UTI AMC cannot be held responsible.
- (h) If you have invested through a distributor, kindly specify the Name and ARN Code, Sub ARN Code of the distributor, else for Direct Investment, please mention "Direct" in the Column "Name & Broker Code/ARN / Sub ARN Code". In case nothing is specified, then by default, the Broker Code will be treated as Direct and the application form will be treated as Direct Application.
- (i) **Transaction Charges**
For Investments of value ₹ 10000/- and above only, a transaction charge of ₹ 100 (for existing investors) and ₹ 150 (for first time investor in mutual funds) will be deducted from the subscription amount and paid to the Distributor whose information is provided in the Application Form. However, upfront commission, if any, shall be paid directly by the Investor to the Distributor based on his assessment of various factors including service rendered by the Distributor. For further details on Transaction charges, refer to SAI/SID of the respective Scheme.
- (j) **Direct Plan**
Direct Plan is for all category of eligible investors (whether existing or new Unitholders) who purchase/subscribe Units directly with the Fund and is not available for investors who route their investments through a Distributor.
The Direct Plan will be a separate plan under the Fund/Scheme and shall have a lower expense ratio excluding distribution expenses, commission etc and will have a separate NAV. No commission shall be paid from Direct Plan. Portfolio of the scheme under the Regular Plan and Direct Plan will be common.
For further details refer to SID.
- (k) **'Friend In Need'** details will be used by UTI MF only for ascertaining the present address of the unit holder (without disclosing investment details of the investor) if no response is received from the unit holder on sending communication in any form to his/her registered address or e-mail ID, if available, atleast for two occasions. For further details, please refer to SAI.
- (l) SEBI has made it mandatory for all applicants, irrespective of amount of investment, to furnish Income Tax PAN (PAN not applicable to Micro SIP). An application without PAN will be rejected. Investors are required to provide the photocopy (self attested by the investor) of the PAN card along with the application form. If the investment is in the name of minor the PAN of the minor or his father / mother / guardian whose particulars are provided in the application form is to be provided.

Investment & Payment Details

- (m) **The cheque/draft accompanying an application should be made payable in favour of "the name of the scheme".**
In the case of 'Direct Plan', the cheque/draft shall be payable in favour of "the name of the scheme - Direct Plan".
- (n) Outstation cheques are not accepted. In case the payment is made by demand draft, the draft commission will have to be borne by the applicants.
However for investment made from areas where there are no UTI Financial Centres or authorised collection centres (where local cheques are accepted), UTI AMC may, if it so decides, bear draft charges to the extent of ₹ 250/- per application or the actual as is prescribed by banks, whichever is lower or such amount as may be decided by UTI AMC from time to time. The investors have to attach proof of the DD charges paid to a bank (i.e. acknowledgement issued by the bank where DD is purchased). The reimbursement/adjustment of DD charges is solely at the discretion of UTI AMC and in case if it is found that such charges are unreasonably higher than normal market rates, such charges may not be admissible. For further details, refer to SAI/SID of the respective scheme.
- (o) UTI AMC/MF shall not accept application for subscription of units accompanied with Third Party Payment except in certain exceptional cases as may be permitted. For details please refer to SID/SAI.

Payment Modes

- (p) **No money orders, outstation cheques, post-dated cheques [except through Systematic Investment Plan (SIP) / Micro SIP] and postal orders will be accepted.**
However, cash payment to the extent of ₹ 50,000/- per investor, per Mutual Fund, per financial year through designated branches of Axis Bank will be accepted subject to the following procedure:-
- Investors who desire to invest upto ₹ 50,000/- per financial year shall contact any of our UTI UFCs and obtain a Form for Deposit of Cash and fill-up the same.
 - Investors shall then approach the designated branch of Axis Bank along with the duly filled-in Form for Deposit of Cash and deposit the cash.
 - Axis Bank will provide an Acknowledgement slip containing the details of Date & Time of deposit, Unique serial number, Scheme Name, Name of the Investor and Cash amount deposited. The Investors shall attach the Acknowledgement slip with the duly filled-in application form and submit them at the UFCs for time stamping.
 - Applicability of NAV will be based on depositing of cash at the designated bank branch before the cut-off time and time-stamping of the valid application together with the acknowledgment slip at the UTI Financial Centre (UFC)/Official Point of Acceptance (OPA).
- For further details please refer to SAI.

(q) Know Your Customer (KYC) Norms:

Investors desiring to invest / transact in mutual fund schemes are required to comply with the KYC norms applicable from time to time.

A. For Individual Investors

I Central KYC Norms for Individual Investors new to KYC system with effect from 1st February 2017

Government of India, vide Gazette notification dated November 26, 2015, had authorized the Central Registry of Securitization and Asset Reconstruction and Security Interest of India (CERSAI), to act and perform the functions of Central KYC Records Registry (CKYCR) including receiving, storing, safeguarding and retrieving the Know Your Client (KYC) records of an investor in digital form.

In terms of the above, the following Norms are applicable with effect from 1st February 2017 in case of an Individual investor who is new to the KYC Registration system:-

- An Individual Investor who is new to KYC Registration system and whose KYC is not registered or verified with any of the Agencies for KYC Registration (KRA), shall use the CKYC form to register their KYC.
- In case an Individual Investor uses old KRA KYC form, such investor should either fill the new CKYC form or provide additional / missing information in the Supplementary CKYC form.
- An Individual Investor who has already completed CKYC and has a KYC Identification Number (KIN) from CKYCR, can invest in the Schemes of UTI Mutual Fund by quoting their KIN.
- In case PAN of an investor is not updated in CKYCR system, the investor shall be required to submit a self certified copy of PAN card at the time of investment
- The KYC requirements shall be governed by SEBI Circulars / notifications and AMFI Guidelines issued from time to time.

For further details refer to SAI and SEBI Circulars No. CIR/MIRSD/66/2016 dated July 21, 2016 and CIR/MIRSD/120/2016 dated November 10, 2016.

II Existing investors who are KYC compliant before 1st January 2012 will have to complete the new KYC requirements and get the IPV done if they wish to deal with any other SEBI registered intermediary other than a Mutual Fund.

III PAN-Exemption for micro financial products

Only individual Investors (including NRIs, Minors & Sole proprietary firms) who do not have a PAN, and who wish to invest upto ₹ 50000/- in a financial year under any Scheme including investments, if any, under SIPs shall be exempted from the requirement of PAN on submission of duly filled in purchase application forms with payment along with KYC application form with other prescribed documents towards proof of identity as specified by SEBI. For all other categories of investors, this exemption is not applicable

B. For Non-Individual Investors

Investors have to fill up and sign the KYC application form available on the UTI Mutual Fund's website, www.utmfm.com or the website of the KYC Registration Agencies (KRAs) M/sCvL, www.cvlkra.com; M/sNDML, www.ndml.in; M/sDotEx, www.nseindia.com/supra_global/content/dotex/about_dotex.htm; M/s CAMS Investor Services Private Limited and M/s Karvy Data Management Services Ltd. Further details on filling up / submission of KYC Application form are available in SEBI Circular no. MIRSD/SE/Cir-21/2011 dated October 5, 2011.

C. For both Individual and Non-Individual Investors

- Existing investors in mutual funds who have already complied with the KYC requirement are exempt from following the new KYC procedure effective January 01, 2012 but only for the purpose of making additional investment in the Scheme(s) / Plan(s) of any Mutual Fund registered with SEBI
 - For 'KYC-On-Hold' cases, investor need to submit missing information or update pending KYC related information so as to enable AMC to process purchase transaction (whether fresh or additional) and switches
 - In terms of AMFI guidelines, with effect from January 1, 2016,
 - to make additional subscription (including switches), it shall be mandatory for all existing investors to provide additional KYC information such as Income details, Occupation, association with politically exposed person, net worth etc. where such information was not provided to KRAs earlier.
 - However, SIP and STP already registered till December 31, 2015 in such existing folios are exempted from the above stipulations.
 - Non-Applicability of KYC guidelines**
The new KYC guidelines shall not be applicable to the following categories / transactions:
 - The investors falling under the category of Micro Pension (as per the arrangement between UTI AMC with the respective organization(s), who are exempt from the requirement of PAN.
 - Investments received from Government bodies/authorities/Departments in favour of beneficiaries identified by them.
 - Income distribution cum capital withdrawal (Reinvestment)
- For further details on KYC requirements to be complied with by the Investors, please refer to SAI.**

(r) Disclaimer of WhatsApp Service:

The user is subscribing to the transaction updates, promotional alerts and/or any other relevant details from UTI Mutual Fund through WhatsApp. The user can unsubscribe to the medium/channel at any time by sending an email to us at uti@kfintech.com. Please note this medium/channel cannot be used for grievance redressal or reporting fraud, UTI Mutual Fund will have no liability whatsoever if any such incidents are reported on this medium/channel. It is advisable for users who have subscribed to this service to delete WhatsApp when changing their device. These terms and conditions may be withdrawn/ superseded/ modified at any time whatsoever, by UTI Mutual Fund without any prior notice. Users shall not submit or transmit any content through this service that is:

- Obscene, Vulgar, Pornographic, Political, Religious, Libellous, Defamatory, Abusive, Threatening, Tortuous, Offensive, Hateful, or Racially, Ethnically or otherwise Objectionable etc.
- Encourages the commission of a crime or violation of any law.
- Violates any State or Central law or any other applicable law in India and/or any other jurisdiction.
- Infringes the intellectual property rights of UTI AMC/ UTI MF or of a third party.
- Violates any right of any individual or a third party.

The user consents to storage and usage of the information by UTI Mutual Fund/UTI AMC shared by/with UTI Mutual Fund /UTI AMC including for records, regulatory and business

purposes. UTI Mutual Fund /UTI AMC. Further, under no circumstances shall UTI Mutual Fund and/or UTI AMC or their agents, affiliates, officers, directors, employees, representatives and contractors be liable for any direct, indirect, punitive, incidental, special, or consequential damages that result from the use of, or inability to use, this service or for receipt of any answer provided by the program running at the back-end. The user understands that using WhatsApp application may carry extra risks and may not be secured. Further any message and information exchanged is subject to the risk of being read, interrupted, intercepted, or defrauded by a third party or otherwise subject to manipulation by a third party or involve delay in transmission. UTI Mutual Fund and/or UTI AMC or their agents, affiliates, officers, directors, employees, representatives and contractors shall not be responsible or liable to the user or any third party for the consequences arising out of or in connection with using of this service. The user is responsible for keeping security and safeguard of his WhatsApp account linked to the registered mobile number. UTI Mutual Fund and/or UTI AMC has the right to retract the service anytime it deems fit. The user agrees that the user shall not have any claim against UTI Mutual Fund and/or UTI AMC, their agents, affiliates, officers, directors, employees, representatives and contractors on account of any suspension, interruption, non-availability or malfunctioning of the service due to any link/ mobile/system failure at UTI Mutual Fund 's end for any reason whatsoever. These terms and conditions are to be read in conjunction with the terms and conditions including as provided in the Scheme Information Document, Statement of Additional Information, KIM and the Application Form, as amended from time to time, and are subject to change at any time as per the sole discretion of UTI AMC/ UTI MF which shall be binding on the user. Furthermore, use of WhatsApp service shall always remain subject to necessary permissions/licenses/authorizations/terms and conditions of WhatsApp Inc. or their authorised agents from time to time which UTI Mutual Fund/UTI AMC shall not be responsible to obtain for the user(s) in any manner.

(s) **Consolidated Account Statement (CAS)**

The AMC will issue a Consolidated Account Statement (CAS) for each calendar month to the investor in whose folios transactions has taken place during that month and such statement will be issued on or before the 10th day of the succeeding month detailing all the transactions and holding at the end of month including transaction charges paid to the distributor, if any, across all schemes of all mutual funds.

Further, CAS as above, will also be issued every half yearly (September/March), on or before the 10th day of succeeding month detailing holding at the end of the sixth month, across all schemes of all mutual funds, to all such investors in whose folios no transactions has taken place during that period.

The word "transaction" for the purposes of CAS would include purchase, redemption, switch, IDCW (payout), IDCW (reinvestment), Systematic Investment Plan (SIP), Systematic Withdrawal Plan (SWP), Systematic Transfer of Investment Plan (STRIP) and merger, if any. However, Folios under Micropension arrangement shall be exempted from the issuance of CAS.

Statement of Account for Demat Account holders:-

- (I) The unit holders who do not have Demat account shall continue to receive the Consolidated Account Statements (CAS) as per the existing practice.
- (II) For unit holders having Mutual Fund (MF) investments and Demat Account -
 - a. Such Investors shall receive a single Consolidated Account Statement (CAS) from the Depository.
 - b. Consolidation shall be done on the basis of Permanent Account Number (PAN). In case of multiple holding, it shall be PAN of the first holder and pattern of holding.
 - c. In case an investor has multiple accounts across two depositories, the depository with whom the Demat account has been opened earlier will be the default depository which will consolidate the details across depositories and MF investments and dispatch the CAS to the investor.
 - d. The CAS will be generated on monthly basis.
 - e. If there is any transaction in any of the Demat accounts of the investor or in any of his mutual fund folios, depositories shall send the CAS within ten days from the month end. In case, there is no transaction in any of the mutual fund folios and demat accounts, then CAS with holding details shall be sent to the investor on half yearly basis.
 - f. The dispatch of CAS by the depositories shall constitute compliance by UTI AMC/ UTI Mutual Fund with the requirements under Regulation 36(4) of SEBI (Mutual Funds) Regulations, 1996.

For further details on other Folios exempted from issuance of CAS, PAN related matters of CAS etc, please refer to SAI.

(t) **MF Utility for Investors**

UTI AMC Ltd has entered into an agreement with MF Utilities India Private Ltd (MFUI) for usage of MF Utility (MFU), a shared service initiative of various Asset Management Companies, which acts as a transaction aggregation portal for transacting in multiple Schemes of various Mutual Funds with a single form and a single payment instrument through a Common Account Number (CAN)

Accordingly, all financial and non-financial transactions pertaining to the scheme are available through MFU either electronically on www.mfuonline.com as and when such a facility is made available by MFUI or physically through authorised Points Of Service ("POS) of MFUI with effect from the respective dates as published on MFUI website against the POS locations. However, all such transactions shall be subject to the eligibility of investors, any terms and conditions and compliance with the submission of documents and procedural requirements as stipulated by UTI MF/UTI AMC from time to time in addition to the conditions specified by MFU, if any.

The online portal of MFUI i.e. www.mfuonline.com and the POS locations aforesaid shall act as Official Points of Acceptance (OPAs) in addition to the existing OPAs of the UTI AMC Ltd and any transaction submitted at such POS will be routed through MFUI or as may be decided by UTI AMC. Investors not registered with MFUI also can submit their transactions request by giving reference to their existing folio number. All valid applications received for any other scheme apart from eligible schemes as stated above may be accepted by UTI AMC at its own discretion

The uniform cut off time as prescribed by SEBI and as mentioned in the SID/KIM of the respective Schemes shall be applicable for applications received by MFUI. However, in case of investment of any amount in liquid funds and ₹ 2 lacs and above for other Schemes, the applicability of NAV will be subject to the date and time of receipt of credit of amount to the specified bank account of AMC.

For further details regarding procedures for obtaining CAN and other particulars about MFU etc, please refer to SAI. Investors may also contact the nearest POS aforesaid for procedures to be complied with in this regard.

- (u) **E-mail communication:** Unitholders who have opted to receive documents/communication by e-mail will be required to download and print the documents/communication after receiving the e-mail from UTI AMC. Should the unitholder experience any difficulty in accessing the electronically delivered documents/communication, the unitholder should advise the Registrars immediately to enable UTI AMC to send the same through alternate means. In case of non receipt of any such intimation of difficulty within 24 hours from receiving the e-mail, it will be regarded as receipt of email by the unitholder. It is deemed that the unitholder is aware of all the security risks including possible third party interception of the documents/communications and contents of the same becoming known to third parties. SMS and Email on the registered address of the investor shall be sent confirming the number of unit allotted within 5 business days from the date of transaction.

(v) **Abridged Annual Report (AAR):**

The AAR shall be sent: (i) by e-mail to the Unit holders whose e-mail address is available with the Fund, (ii) in physical form to the Unit holders whose email address is not registered with the Fund and have opted for receiving physical AAR. The scheme-wise AAR will also be made available on the website of UTI Mutual Fund (www.utimf.com) and on the website of Association of Mutual Funds in India (AMFI).

- (w) **Note on EUN:** Investors should mention the EUN of the person who has advised the investor. If left blank, please sign the declaration provided in the application form. EUN will assist in tackling the problem of mis-selling even if the employee/relationship manager/sales person leave the employment of the ARN holder /Sub broker.

Applicability of EUN:

- a. Transactions to be included - Purchases, Switches, SIP/ STP / STP Triggers registration, IDCW Transfer Plan registration.
 - b. Transactions to be excluded – Auto SIP/ STP / SWP / STP Triggers Installments, IDCW (Reinvestments), Redemption, SWP Registration, Zero Balance Folio creation and IDCW Transfer Plan installments.
- (x) Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

(y) **Risk Mitigation process against Third Party Cheques**

Third party payments are not accepted in any of the schemes of UTI Mutual Fund subject to certain exceptions.

"Third Party Payments" means the payment made through instruments issued from an account other than that of the beneficiary investor mentioned in the application form. However, in case of payments from a joint bank account, the first named applicant/investor has to be one of the joint holders of the bank account from which payment is made.

For further details on documents to be submitted under the process to identify third party payments, Exceptions for accepting such cheques etc, refer to SAI.

Bank Mandate registration as part of the New Folio creation

In order to reduce frauds and operational risks relating to fraudulent encashment of Redemption / Income distribution proceeds, Investors are required to submit any of the prescribed documents (along with original document for verification) in support of the bank mandate mentioned in the application form for subscription under a new folio, in case these details are not the same as the bank account from which the investment is made.

(z) **Foreign Account Tax Compliance Act (FATCA) is a United States (US) Law aimed at prevention of tax evasion by US citizens and residents ("US Persons") through use of offshore accounts.**

FATCA obligates foreign financial institutions (FFIs), including Indian financial institutions to provide the US Internal Revenue Service (IRS) with information and to report on the accounts held by specified US Persons. The term FFI is defined widely to cover a large number of non-US based financial service providers such as mutual funds, depository participants, brokers, custodians as well as banks. FATCA requires enhanced due diligence processes by the FFI so as to identify US reportable accounts.

- The identification of US person will be based on one or more of following "US indicia"-
- Identification of the Account Holder as a US citizen or resident;
- Unambiguous indication of a US place of birth;
- Current US mailing or residence address (including a US post office box);
- Current US telephone number;
- Standing instructions to transfer funds to an account maintained in USA;
- Current effective power of attorney or signing authority granted to a person with a US address or
- An "in-care of" or "hold mail" address that is the sole address that the Indian Financial Institution has on the file for the Account Holder

Common Reporting Standard - The New Global Standard for Automatic Exchange of Information

On similar lines as FATCA the Organization of Economic Development (OECD), along with the G20 countries, of which India is a member, has released a "Standard for Automatic Exchange of Financial Account Information in Tax Matters", in order to combat the problem of offshore tax evasion and avoidance and stashing of unaccounted money abroad, requiring cooperation amongst tax authorities. The G20 and OECD countries have together developed a Common Reporting Standard (CRS) on Automatic Exchange of Information (AEOI).

Please refer to Instructions given in the FATCA/CRS Form before filling in the particulars and for further details relating to FATCA/CRS, refer to SEBI Circular No. CIR/ MIRS/3/2015 dated 10th September 2015.

(aa) **Power of Attorney**

If the investment is made by a Constituted Attorney on behalf of the investor, please furnish the following details and enclose a Notarised copy of the Power of Attorney(PoA) and register the same with the Registrars to the Scheme. If you have already registered your PoA, please provide the PoA Registration Number in the space provided below the signature box in the Application Form

1. PoA Holder's Name: Mr / Ms
2. PoA for First/Sole Applicant Second Applicant Third Applicant
3. PAN of PoA Holder (Attach Pan Card Copy)
4. Please Note that PoA Holder must comply with applicable KYC requirements
5. Date of Birth: (dd/mm/yyyy) & Email :

CHECK LIST

Please ensure that:

Application Form is filled in Capital letters only

- ☐ Your name and address is given in full.
- ☐ Your preferred Scheme, plan and option is selected.
- ☐ Your investment is not less than the minimum investment amount.
- ☐ Your application is complete and signed by all applicants.
- ☐ Cheques are drawn in favour of 'The name of the scheme' (in case of Direct Plan, "the name of the scheme - Direct Plan") dated, signed and crossed 'A/c Payee only'.
- ☐ On the reverse of each cheque submitted, the Application Form number is written.
- ☐ PAN details of all holders are given failing which your application will be rejected (PAN not applicable to micro SIP).
- ☐ Copy of KYC acknowledgement for all holders provided by service provider is given, failing which your application will be rejected.
- ☐ Your bank account details are entered completely and correctly. This is mandatory. If this is not included, your application will be rejected.
- ☐ Only CTS-2010 complied cheques are submitted.



Haq, ek behtar zindagi ka.

UTI FOCUSED EQUITY FUND

(An open ended equity scheme investing in maximum 30 stocks across market caps)

(OCBs ARE NOT ALLOWED TO INVEST IN UNITS OF ANY OF THE SCHEMES OF UTI MF)

Sr.No. 2021/

TIME STAMP

Registrar Sr. No.

(Please read instructions carefully before filling the form and use **BLOCK LETTERS** only)

[Fields Marked with (*) must be Mandatorily filled in]

DISTRIBUTOR INFORMATION (only empanelled Distributors/Brokers will be permitted to distribute Units) (refer instruction 'h')

BDA / CA Code

ARN/RIA Code^	Sub ARN Code	Sub Code/	M O Code Bank Branch Code	EUI No.®	UTI RM No.

^ By mentioning RIA code, I/we authorise you to share with the Investment Adviser the details of my/our transactions.

Upfront commission shall be paid directly by the investor to the AMFI / NISM certified UTI MF registered Distributors based on the investors' assessment of various factors including the service rendered by the distributor.

@ I/We confirm that the EUI 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 notwithstanding the advice of in-appropriateness, if any, provided by such distributor personnel and the distributor has not charged any advisory fees for this transaction.
(☐ Please tick and sign below when EUI box is left blank) (refer instruction 'w').

Signature of 1st Applicant / Guardian

Signature of 2nd Applicant

Signature of 3rd Applicant

TRANSACTION CHARGES TO BE PAID TO THE DISTRIBUTOR (Please tick any one of the below) (Refer Instruction 'i')

☐ I AM A FIRST TIME INVESTOR IN MUTUAL FUNDS

OR

☐ I AM AN EXISTING INVESTOR IN MUTUAL FUNDS

₹ 150 will be deducted as transaction charges per Subscription of ₹ 10,000 and above

₹ 100 will be deducted as transaction charges per Subscription of ₹ 10,000 and above

Existing Unit Holder information : If you have an existing Folio No. with PAN & KYC validation, mention your Folio No. :

APPLICANT'S PERSONAL DETAILS ☐ Mr. ☐ Ms. ☐ Mrs. ☐ M/s

* Denotes Mandatory Fields

Name of First Applicant

FIRST NAME: F I R S T M I D D L E LAST NAME: L A S T Date of Birth: d d m m y y y y Mandatory for minors

Date of birth will be taken as per the KYC record (Not applicable for minor child)

NAME IN FULL OF THE FATHER (OR) MOTHER / GUARDIAN (IN CASE OF MINOR) \$\$ / CONTACT PERSON FOR INSTITUTIONAL APPLICANTS

☐ Mr. ☐ Ms. ☐ Mrs.

FIRST NAME: F I R S T M I D D L E LAST NAME: L A S T

\$\$ Proof of date of birth and proof of relationship with minor to be attached or else sign the declaration on the reverse (Refer instruction 'f').

*PAN/PEKRN\$ OF 1ST APPLICANT/FATHER/MOTHER/GUARDIAN Enclosed ☐ PAN/PEKRN CARD/ID PROOF COPY

CKYC ID Enclosed ☐ Know Your Customer (KYC)* Acknowledgement Copy

First Applicant's Address (Do not repeat the name) Name & Address of resident relative in India (for NRIs) (P.O. Box No. is not sufficient)

Village/Flat/Bldg./Plot* Street/Road/Area/Post City/Town* State Pin*

OVERSEAS ADDRESS (Overseas address is mandatory for NRI / FPI applicants in addition to mailing address in India)

State Country* City* Zip/Pin*

DETAILS OF OTHER APPLICANTS

Name of 2nd Applicant ☐ Mr. ☐ Ms. ☐ Mrs.

Date of Birth of 2nd Applicant: d d m m y y y y

FIRST NAME: F I R S T M I D D L E LAST NAME: L A S T

*PAN/PEKRN\$ OF 2ND APPLICANT Enclosed ☐ PAN/PEKRN CARD/ID PROOF COPY

CKYC ID Enclosed ☐ Know Your Customer (KYC)* Acknowledgement Copy

Name of 3rd Applicant ☐ Mr. ☐ Ms. ☐ Mrs.

Date of Birth of 3rd Applicant: d d m m y y y y

FIRST NAME: F I R S T M I D D L E LAST NAME: L A S T

*PAN/PEKRN\$ OF 3RD APPLICANT Enclosed ☐ PAN/PEKRN CARD/ID PROOF COPY

CKYC ID Enclosed ☐ Know Your Customer (KYC)* Acknowledgement Copy

\$ Required for MICRO Investment upto ₹ 50,000/- (refer instruction 'q')

BANK PARTICULARS OF 1ST APPLICANT (Mandatory as per SEBI Guidelines)

Bank Name	Branch
Address	MICR Code (this is a 9-digit number next to your cheque number)
City	Pin* IFS Code (this is a 11-digit number)

Account type (please ✓) ☐ Savings ☐ Current ☐ NRO ☐ NRE

Account No.

INVESTMENT DETAILS

☐ Scheme **UTI FOCUSED EQUITY FUND** Plan : ☐ Regular Plan ☐ Direct Plan Option : ☐ Growth ☐ IDCW (Payout)

☐ Scheme _____ Plan : ☐ Regular Plan ☐ Direct Plan Option : _____

(Option to invest in liquid / debt scheme and switch to NFO)

AUTOMATIC SWITCH TO UTI FOCUSED EQUITY FUND *(Switch out will happen on the closing date of NFO)*

SWITCH: I/We would like to Switch All units ☐ (or) Partial units ☐ No. of Units: _____ (or) Amount in figure : ₹ _____

Amount (in words) _____

To Scheme UTI FOCUSED EQUITY FUND Plan : ☐ Regular Plan ☐ Direct Plan Option : ☐ Growth ☐ IDCW (Payout)

On August 18, 2021 (NFO Closure Date) of **UTI Focused Equity Fund** *IDCW - Income distribution cum capital withdrawal*

IDCW - Income distribution cum capital withdrawal

I/We have read and understood the terms and conditions applicable to the switch facility and am/are fully aware of the risk associated with such event.

I/We have read and understood the Scheme Information Document (SID)/Statement of Additional Information (SAI) and Key Information Memorandum (KIM) of the Target Scheme and have understood the investment objectives, investment pattern and risk factors applicable to the Target Scheme.

PAYMENT DETAILS (Refer Instruction 'y') (Please ensure that the cheque complies to the CTS 2010 standard)

#Cheque/DD/NEFT/*RTGS Ref. No. / Unique Serial No. (For Cash) ☐ Cash Account type ☐ Savings ☐ Current ☐ NRE

☐ Cash Account type ☐ Savings ☐ Current ☐ NRE

(please ✓) ☐ NRO ☐ DD issued from abroad

Account No. _____ (please ✓) ☐ NRO ☐ DD issued from abroad

Date	Amt. of investment (i)	<input type="checkbox"/> Off Smart Form if already registered (Applicable for existing investors)
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☐ UTI Smart Form if already registered (Applicable for existing investors)

Bank	DD Charges if any (ii)	# Please mention the application No. on the reverse of the cheque / DD / NEFT / RTGS advice. Cheque
------	------------------------	---

Please mention the application No. on the reverse of the cheque / DD, NEFT / RTGS advice. Cheque / DD must be drawn in favour of **"The Name of the Scheme"** & crossed **"A/c Payee Only"**

Branch	Net amount paid (i-ii)	/ DD must be drawn in favour of "The Name of the Scheme" & crossed "A/c Payee Only"
--------	------------------------	---

- ❖ Investment amount shall be ₹ 2 lacs and above in case of payments through RTGS.

Amt. in words		♦ Investment amount shall be ₹ 2 lacs and above in case of payments through RTGS
---------------	--	--

Unitholding Option ☐ Physical Mode ☐ Demat Mode (if Demat account details are provided below, units will be allotted, by default, in Electronic Mode only)

(if Demat account details are provided below, units will be allotted, by default, in Electronic Mode only)

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. Demat Account details are compulsory if demat mode is opted above

National Securities Depository Limited	Central Depository Services (India) Limited
Depository Name _____ DP ID No. <table border="1" style="display: inline-table; width: 100px; height: 20px; vertical-align: middle;"></table> Beneficiary Account No. <table border="1" style="display: inline-table; width: 150px; height: 20px; vertical-align: middle;"></table>	Depository Name _____ Target ID No. <table border="1" style="display: inline-table; width: 250px; height: 20px; vertical-align: middle;"></table>

[illegible]

Enclosures : ☐ Client Master List (CML) ☐ Transaction cum Holding Statement ☐ Delivery Instruction Slip (DIS)

FRIEND IN NEED DETAILS In case UTI MF is unable to communicate with me/us at my / our registered address, I / we authorize UTI MF to correspond with the following person to ascertain my/our updated contact details. (refer instruction - k)

Name	F	I	R	S	T			M	I	D	D	L	E							L	A	S	T	
------	---	---	---	---	---	--	--	---	---	---	---	---	---	--	--	--	--	--	--	---	---	---	---	--

Address:

[illegible]

DETAILS OF BENEFICIAL OWNERSHIP (Please tick applicable category).

Ownership details to be provided if the Ownership percentage/interest in the trust of any Beneficiary is as per the threshold limit provided below. Details to be provided for each such beneficiary. (Refer instruction q)

Category	<input type="checkbox"/> Unlisted Company	<input type="checkbox"/> Partnership Firm	<input type="checkbox"/> Unincorporated Association / Body of Individuals	<input type="checkbox"/> Trust	<input type="checkbox"/> Foreign Investor \$\$\$
Ownership per cent @@@	>25%	>15%	>15%	>=15%	

@@@ Ownership percentage of shares/capital/profits/property of juridical person/interest in the Trust as on the date of the application shall be furnished by the investor.

\$\$\$ In the case of Foreign investors, the beneficial ownership will be determined as per SEBI guidelines. For details refer to SAI/relevant Addendum.

In case of any change in the beneficial ownership, the investor will be responsible to intimate UTI AMC / its Registrar / KRA as may be applicable immediately about such change.

Details of Beneficial Ownership (Please attach a separate sheet with this format if the space provided is insufficient)

Sr. No.	Name	Address	Details of Identity such as PAN / Passport	% of ownership
1				
2				
3				

[Please attach self attested copy of PAN/Passport (proof of photo identity) along with application form]

Note : IDCW - Income Distribution cum Capital Withdrawal

GENERAL INFORMATION - Please (✓) wherever applicable

STATUS: ☐ Resident Individual ☐ Minor through guardian ☐ HUF ☐ Partnership ☐ Trust
☐ Sole Proprietorship ☐ Society / Club ☐ Body Corporate ☐ AOP ☐ BOI
☐ FPI ☐ NRI ☐ Foreign Nationals^{##} ☐ Listed Company ☐ LLP
☐ Unlisted 'Not for Profit'^{^^} Company ☐ Other Unlisted Company ☐ PIO
☐ Others (Please specify) _____

^{^^} 'Not for Profit' Company as defined under Companies Act (Act of 1956/2013).

^{##} Overseas Corporate Bodies (OCBs) are not allowed to invest in units of any of the schemes of UTI MF

OCCUPATION: ☐ Business ☐ Student ☐ Agriculture ☐ Self-employed ☐ Professional
☐ Housewife ☐ Retired ☐ Private Sector Service ☐ Public Sector Service ☐ Government Service
☐ Forex Dealer ☐ Others (Please specify) _____

MODE OF HOLDING: ☐ Single ☐ Anyone or survivor ☐ Joint

MARITAL STATUS: ☐ Unmarried ☐ Married ☐ Wedding Anniversary

OTHER DETAILS (MANDATORY)**FOR INDIVIDUALS ONLY**

1st Applicant: (A) **Gross Annual Income Details** Please tick (✓)

☐ Below 1 Lac ☐ 1-5 lacs ☐ 5-10 Lacs ☐ 10-25 Lacs ☐ >25 Lacs - 1 Crore ☐ >1 Crore

[OR]

Net-worth in ₹ _____ (Net worth should not be older than 1 year) as on (date)

(B) **Please tick if applicable:** ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)
(For definition of PEP, please refer instruction 'x').

(C) **Any other information:** _____

2nd Applicant: (A) **Gross Annual Income Details**

☐ Below 1 Lac ☐ 1-5 lacs ☐ 5-10 Lacs ☐ 10-25 Lacs ☐ >25 Lacs - 1 Crore ☐ >1 Crore

[OR]

Net-worth in ₹ _____ (Net worth should not be older than 1 year) as on (date)

(B) **Please tick if applicable:** ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)

(C) **Any other information:** _____

3rd Applicant: (A) **Gross Annual Income Details**

☐ Below 1 Lac ☐ 1-5 lacs ☐ 5-10 Lacs ☐ 10-25 Lacs ☐ >25 Lacs - 1 Crore ☐ >1 Crore

[OR]

Net-worth in ₹ _____ (Net worth should not be older than 1 year) as on (date)

(B) **Please tick if applicable:** ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)

(C) **Any other information:** _____

FOR NON-INDIVIDUALS ONLY

(A) **Gross Annual Income Details**

☐ Below 1 Lac ☐ 1-5 lacs ☐ 5-10 Lacs ☐ 10-25 Lacs ☐ >25 Lacs - 1 Crore ☐ >1 Crore

[OR]

Net-worth in ₹ _____ (Net worth should not be older than 1 year) as on (date)

(B) **Is the entity involved in / providing any or the following services**

– Foreign Exchange / Money Changer Services ☐ YES ☐ NO – Gaming / Gambling/Lottery Services (e.g. casinos, betting syndicates) ☐ YES ☐ NO
– Money Lending / Pawning ☐ YES ☐ NO

(C) **Any other information:** _____

DETAILS UNDER FATCA (FOREIGN TAX COMPLIANCE ACT) AND CRS (COMMON REPORTING STANDARD)

(Refer Instruction 'z')

Information to be provided by all Applicants in the same sequence of Names as given in this Application form

Are you a tax resident of any country other than India ?

If **No**, please tick here: ☐ First Applicant ☐ Second Applicant ☐ Third Applicant

If **Yes**, please fill in the Particulars in the prescribed Form for FATCA/CRS and attach it with this Application Form.



Haq, ek behtar zindagi ka.

ACKNOWLEDGEMENT
(To be filled in by the Applicant)
UTI Focused Equity Fund

Sr. No. 2021/

Received from Mr / Ms / M/s

along with Cheque[§]/DD[§]/NEFT/RTGS
Ref. No./Unique Serial No. (For Cash)

Drawn on (Bank)

for ₹ (in figures)

Stamp of UTI AMC Office/
Authorised Collection Centre

[§] Cheques and drafts are subject to realisation.

NOMINATION DETAILS (Please ✓) (please sign if you do not wish to nominate)

☐ I/We hereby nominate the undermentioned Nominee to receive the amounts to my / our credit in the event of my / our death. I/We also understand that all payments and settlements made to such Nominee and signature of the Nominee acknowledging receipt thereof, shall be a valid discharge by the AMC / Mutual Fund / Trustee.

Name of Nominee <div></div> <div></div> Date of Birth <div>d d m m y y y y</div> (in case of nominee is a minor) *PAN <div></div>	To be furnished in case nominee is a minor
	Name of the guardian
	Address of guardian
	Signature of Nominee / guardian (for minor)

Investors who wish to nominate two or three persons may fill in the separate form prescribed for the same and attach it with this application form.

☐ I/We do not wish to nominate

--

Signature of 1st Applicant / Guardian

--

Signature of 2nd Applicant

--

Signature of 3rd Applicant

DECLARATION AND SIGNATURE OF APPLICANT/s

● I/We have read and understood the contents of the Scheme Information Document, Statement of Additional Information and Key Information Memorandum, addenda issued till date and apply to the Trustee of UTI Mutual Fund as indicated above. I/We agree to abide by the terms and conditions, rules and regulations of the scheme as on the date of investment. I/We undertake to confirm that this investment has been duly authorised by appropriate authorities in terms of all relevant documents and procedural requirements. ● I/We have not received nor been induced by any rebate or gifts, directly or indirectly in making investments. ● 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. ● I/We hereby authorize UTI MF/UTI AMC to share my data furnished in the Form to my distributor and 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/schemes of the UTI MF. ● I/We confirm that we are Non-Residents of Indian Nationality/Origin and that the funds are remitted from abroad through approved banking channels or from my / our NRE / NRO Account. I/We undertake to provide further details of source of funds and any such other relevant documents, if called for by UTI Mutual Fund (Applicable to NRI's). ● I hereby solemnly declare that I am the father/mother/guardian of the minor child in whose name the application is made. The date of birth stated by me is true and correct. ● I/We wish to receive E-mail and SMS communication from UTI AMC/ UTI MF

OPTION FOR DESPATCH OF STATEMENT OF ACCOUNT (SoA) / ABRIDGED ANNUAL REPORT (AAR)[∞]

Applicable to NRIs

☐ SoA in Physical Form☐ At my Overseas address as mentioned above

☐ AAR in Physical Form

☐ To be dispatched to my resident relative's address in India as mentioned above

[∞] On providing email-id investors shall receive scheme wise annual report or an abridged summary thereof/ account statements/ transaction confirmation, communication of change of address, change of bank details etc. through email only.

First Applicant Details	*Mobile No.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	Tel. (R)	<input type="text" value="STD CODE"/>	<input type="text"/>	Tel. (O)	<input type="text" value="STD CODE"/>	<input type="text"/>
	<div>*E-mail <input type="text"/></div> <div>Alternate E-mail <input type="text"/></div>															

I/we hereby authorise UTI AMC/ UTI MF to send important information, transaction updates and/or any other relevant details to me/us on WhatsApp number. If you DO NOT wish to receive communication on WhatsApp, tick the box ☐

--	--

Signature of 1st Applicant / Guardian / POA^^

Name of 1st Authorised Signatory

--

Signature of 2nd Applicant / POA^^

Name of 2nd Authorised Signatory

--	--

Signature of 3rd Applicant / POA^^

Name of 3rd Authorised Signatory

Designation

Designation

Designation

^^Power of Attorney (POA) Registration No. (if already registered) (refer instruction 'ab')

Notes :

1. If the application is incomplete and any other requirement is not fulfilled, the application is liable to be rejected.
2. Consolidated Account Statement (CAS) will be sent within 10 days of the following month of the transaction.
3. **Please ensure that all KYC Compliance Proof and PAN details are given, failing which your application will be rejected. PAN not applicable for Micro SIP.**
4. All communication relating to issue of Statement of Account, Change in name, Address or Bank particulars, Nomination, Redemption, Death Claims etc., may please be addressed to the Registrar :

M/s Kfin Technologies Private Limited; Unit : UTIMF, Selenium Tower B, Plot Nos. 31 & 32, Financial District ,Nanakramguda, Serilingampally Mandal, Hyderabad - 500032 | India **Board:** 040-6716 2222. **Fax no:** 040-6716 1888. **Email:** uti@kfintech.com

3rd Unit Holder

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

1. The submission of cheques could be as under :

Investor Type	Monthly Option	Quarterly Option
New investor	Cheque of initial investment + 5 cheques (Min)	Cheque of initial investment + 3 cheques (Min)
Existing investor	6 cheques (Min)	4 cheques (Min)

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 Monthly SIP (MSIP) and Quarterly SIP (QSIP) should be of uniform amount. For example; if an investor enrolls under MSIP say under UTI Flexi Cap Fund for the period May 2019 to April 2020, the first cheque can be of any amount drawn on any date of May 2019. The remaining cheques should be of uniform date. SIP date choosen 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 May 2019 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 is available under the Regular Plan and Direct Plan of the below mentioned schemes

SI No.	Equity Schemes	SI No.	Liquid & Debt Schemes	SI No.	Hybrid & Solution Schemes
1	UTI Banking and Financial Services Fund	1	UTI Banking & PSU Debt Fund	1	UTI Arbitrage Fund
2	UTI Core Equity Fund	2	UTI Bond Fund	2	UTI Childrens Career Fund - Investment Plan
3	UTI Dividend Yield Fund	3	UTI Corporate Bond Fund	3	UTI Childrens Career Fund - Savings Plan
4	UTI Flexi Cap Fund	4	UTI Credit Risk Fund	4	UTI Equity Savings Fund
5	UTI Healthcare Fund	5	UTI Dynamic Bond Fund	5	UTI Hybrid Equity Fund
6	UTI India Consumer Fund	6	UTI Floater Fund	6	UTI Multi Asset Fund
7	UTI Infrastructure Fund	7	UTI Gilt Fund	7	UTI Regular Savings Fund
8	UTI Long Term Equity Fund (Tax Saving)	8	UTI Medium Term Fund	8	UTI Retirement Benefit Pension Fund
9	UTI Mastershare Unit Scheme	9	UTI Money Market Fund	9	UTI Unit Linked Insurance Plan
10	UTI Mid Cap Fund	10	UTI Overnight Fund		
11	UTI MNC Fund	11	UTI Short Term Income Fund		
12	UTI Nifty 200 Momentum 30 Index fund	12	UTI Treasury Advantage Fund		
13	UTI Nifty Index Fund	13	UTI Ultra Short Term Fund		
14	UTI Nifty Next 50 Index Fund				
15	UTI Small Cap Fund				
16	UTI Transportation and Logistics Fund				
17	UTI Value Opportunities Fund				

Schemes available in Demat Mode

SI No.	Equity Schemes	SI No.	Liquid & Debt Schemes	SI No.	Hybrid & Solution Schemes
1	UTI Banking and Financial Services Fund	1	UTI Banking & PSU Debt Fund	1	UTI Arbitrage Fund
2	UTI Core Equity Fund	2	UTI Bond Fund	2	UTI Equity Savings Fund
3	UTI Dividend Yield Fund	3	UTI Corporate Bond Fund	3	UTI Hybrid Equity Fund
4	UTI Flexi Cap Fund	4	UTI Credit Risk Fund	4	UTI Multi Asset Fund
5	UTI Healthcare Fund	5	UTI Dynamic Bond Fund	5	UTI Regular Savings Fund
6	UTI India Consumer Fund	6	UTI Floater Fund		
7	UTI Infrastructure Fund	7	UTI Gilt Fund		
8	UTI Long Term Equity Fund (Tax Saving)	8	UTI Medium Term Fund		
9	UTI Mastershare Unit Scheme	9	UTI Money Market Fund		
10	UTI Mid Cap Fund	10	UTI Overnight Fund		
11	UTI MNC Fund	11	UTI Short Term Income Fund		
12	UTI Nifty 200 Momentum 30 Index fund	12	UTI Treasury Advantage Fund		
13	UTI Nifty Index Fund	13	UTI Ultra Short Term Fund		
14	UTI Nifty Next 50 Index Fund				
15	UTI Small Cap Fund				
16	UTI Transportation and Logistics Fund				
17	UTI Value Opportunities Fund				

Scheme	Plan	Option
Scheme	Plan	Option
Scheme	Plan	Option

Unit Holding Option	Payment Mechanism
<input type="checkbox"/> Physical Mode	<input type="checkbox"/> Electronic
<input type="checkbox"/> Demat Mode	<input type="checkbox"/> Cheque

Instructions Cum Terms and Conditions for Systematic Investment Plan (SIP)



Haq, ek behtar zindagi ka

1. Please refer the SID, SAI, Key Information Memorandum, all instructions, addenda issued from time to time and our website www.utmfm.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 is offered with Monthly and Quarterly periodicity.
2. **Any day SIP:** investor may choose any date between 1st and 31st of the month as their SIP date. In case SIP date is left blank, the date mentioned in the SIP Start date will be considered as SIP date. In case the SIP Start date is left blank, SIP date opted by the investor falling 21 days from the date of submission of the applications shall be taken as the SIP Start date. If the frequency is not ticked by the Investor, Monthly will be taken as frequency by default. However, the above is subject to the acceptance of the investors' mandate by his / her bank. There is no stipulated period up to which a SIP can be under operation. However, if no period is specified period ended December 2099 will be taken by default. Investors are required to submit the SIP forms at least 21 days prior to the first SIP date opted.
3. If the SIP amount is not mentioned by the investor in the SIP form, then by default, the same will be taken as ₹ 500 under the monthly option and ₹ 1500 under the quarterly option.
4. **Minimum SIP Amount:** The minimum amount of each investment for SIP is ₹ 500 (for Monthly Option) and ₹ 1500 (for Quarterly Option) for all schemes except for UTI Mastershare Unit Scheme - Growth Option. The minimum SIP amount for UTI Mastershare Unit Scheme is ₹ 100 (for Monthly Option) and ₹ 300 (for Quarterly Option). Minimum application amount as specified in the respective SID of the Schemes of (UTI MF) is not applicable in case of transactions through SIP.
5. Investors shall necessarily furnish their email account and mobile number, in case, they opt for Initial Investment lower than ₹ 5,000/-, subsequent Investment lower than ₹ 1,000/-, monthly SIP lower than ₹ 500/-, quarterly SIP lower than ₹ 1,500/- and step up SIP lower than ₹ 500/- . All communications to such investors will be done in electronic mode. However, in case of any request from these unit holders for physical copies, UTI AMC / UTI Mutual Fund shall provide the same.
6. **Unit Allotment:** Units will be allotted at NAV based purchase price declared on the applicable SIP date opted by the investors of the month or quarter. In case date falls on a non business day or falls during a book closure period, the immediate next business day will be taken into account for the purpose of determining the price. However, if the SIP amount is equal to or more than ₹ 2,00,000 the unit allotment will be as per the NAV applicable for the date of realization of the investment amount.
7. The applications will be received at all official points of acceptance of UTI Asset Management Company Ltd. (UTI AMC Ltd.). Outstation cheques will not be accepted. Only CTS - 2010 compliant cheques are allowed.
8. **Account Statement:** An Account Statement will be sent to the unit holder through Email where ever email ID is registered. The physical statement would be dispatched to the unit holders once in 6 months.
9. Investors can choose to discontinue SIP facility by giving 10 days written notice to the registrar of the Schemes. In case of 4 consecutive failures of SIP installments due to insufficient funds, UTI MF reserves the right to terminate such SIP without a written request from the investor.
10. It will be sole responsibility of the investor's bank and / or branch to ensure proper registration of the debit mandate and confirm its registration. Investor will not hold UTI MF 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 date due to various clearing cycles, local holidays. Investors will not hold UTI MF or its service providers responsible for non allotment of Units for SIP if the payment is not received from the Unit Holders bank for various reasons.
11. UTI MF or its other service providers shall not be responsible and liable for any damages / compensations for any loss, damage, etc. incurred by the Investor. The Investor assumes the entire risk of using this facility and takes full responsibility. In case all the cheques are not attached with initial SIP application, UTI MF shall not be responsible for discontinuation of SIP due to non receipt of subsequent cheques in time.
12. UTI MF reserves the right to reject SIP / Debit mandate without assigning any reasons therefor.
13. If you have invested through a distributor kindly specify the name of financial advisor and ARN Code, Sub ARN Code and EUIN of the distributor or else, for Direct Investment, please mention 'Direct' in the column Name of Financial Advisor. In case nothing is specified, then by default, the application form will be treated as Direct Application.
14. **Direct Plan:** investor subscribing under direct plan of a Scheme will have to indicate 'Direct Plan' against the Scheme Name in the Application form, Example 'UTI Flexi Cap Fund - Direct Plan'. Investors should also indicate 'Direct' in the application form. However in case distributor code is mentioned in the application form, but 'Direct Plan' is indicated against the Scheme name, the distributor code will be ignored and the application will be processed under the Direct Plan. In case investors do not indicate his / her choice and no ARN code is mentioned, it will be treated as Direct application and accordingly considered under 'Direct Plan'.
15. It will be the sole responsibility of the unit holder(s) bank and its branch to ensure proper registration of the debit mandate and confirm registration. If no confirmation of registration/ rejection is received, the AMC /RTA/ its agents will deem the same to be registered and confirm the registration to unit holders entirely at the risk of unit holder(s). In case of rejection of SIP form for any reason what so ever, the UTI MF will not entertain any request for refund of proceeds of the first cheque which is already realized. Investors may redeem the units allotted through first cheque at applicable NAV.
16. The unit holder(s) agree that, UTI MF / its RTA and their agents shall not be held liable for any unsuccessful registration and / or transaction due to any action or inaction of the unit holder's bank including but not limited to the reasons mentioned below and agree to Indemnity UTI MF / UTI AMC / RTA for all liabilities, losses, damages and expenses which they may consequently incur or sustain either directly or indirectly.
 - a. Non acceptance or rejection of debit mandate for whatsoever reason by the unit holder(s) bank branch, with or without any reasons assigned by the unit holder(s) bank.
 - b. Loss of debit mandate form in transit from point of acceptance of the form to RTA office and further to the unit holder(s) bank and /or branch.
 - c. Non registration of the debit mandate by the unit holder(s) bank and branch.
 - d. Deemed registration due to non confirmation of registration or rejection by the bank and any sub sequent rejection of the debit of bank account for funds.
 - e. Non availability of funds in the bank account of the Unit holder(s) at the time of debit.
 - f. Rejection of registration or transaction debit for any reason or without assigning any reason whatsoever.
17. **SIP Step Up:** By opting for this facility investor can choose to increase the SIP by a predefined amount at predefined intervals (Half yearly or Yearly). For availing the facility the investor has to
 - a. Provide the details of the SIP Step up in the SIP enrolment form.
 - b. Sign the SIP mandate to bank with the Debit type as Maximum Amount, and the amount sufficiently higher to accommodate the maximum stepped up amount. In case the amount mentioned in the mandate falls short of stepped amount, the step up will be cancelled in our records automatically. However, the SIP with the last stepped up amount will continue.
 - c. The minimum step up amount is ₹500 and in multiples of ₹500.
 - d. If step amount is mentioned and frequency is not mentioned, the default frequency will be taken as Yearly.
 - e. In case of request for Cancellation of Step up facility received from the investor, the last stepped amount will continue for the rest of the period of SIP unless modified by the investor.
18. National Automated Clearing House (NACH) is Direct Electronic Debit mode implemented by National Payment Corporation of India (NPCI). List of Banks under this mode is available on NPCI website www.npci.org.in. The said list is subject to modifications. The Investor agrees to abide by the terms and conditions of NACH /Auto Debit. If any city/ Bank is removed from the above mentioned list UTI Mutual Fund at its sole discretion will change the mode of collecting the SIP amounts for the balance period. UTI AMC reserves the right to get the SIP mandate registered with the Investors bank in NACH mode at its discretion.
19. Transaction Charges for application through Distributors / Agents only. In case the subscription amount ₹10,000/- or more and if your Distributor has opted to receive the transaction charges, ₹ 150 (for first time mutual fund Investor) or ₹100 (for Investor other than first time mutual fund Investor) would be deducted from the subscription amount and paid to the distributor. Units will be issued against the balance amount invested.
20. **Multi SIP:** Investor can start SIP in multiple schemes (3 schemes) using the form overleaf with all the parameters suiting his requirement. In case Investors wants to register SIP in more than 3 schemes investors may use an additional SIP enrolment form
21. **Change of Bank:** Investor needs to submit the UTI SMaRT Form duly filled with the details of new bank details from which the SIP should be started. Investor must tick the option of Change of Bank in the UTI SMaRT SIP Form and also mention the details of the SIP in which the Change of Bank Details is requested. This form should be submitted at least 21 days prior to the subsequent SIP installment debit date
22. **Request for Change in SIP Scheme:** Investors must use the SIP Service Request form duly filled in at least 15 days prior to the subsequent SIP installment date.
23. SIP in schemes through post dated cheques is available only on "01st /10th /15th / 25th" of a month
24. For SIP under UTI RBPF UTI CCF / UTI ULIP. Please refer to the scheme provisions before registering for the SIP.