



# MF Utilities India Pvt. Ltd.

103-105, Orion Business Park, Ghodbunder Road, Kapurbawdi,

Thane (West) - 400 607

CIN : U74120MH2013PTC242939

## FOLIO BASED TRANSACTION FORM - SWITCH

APPLICATION NO:

TIME-STAMP NUMBER:

Please read all the instructions carefully before filling the form  
Please fill in ENGLISH and in BLOCK LETTERS with black ink  
Fields marked with (\*) are mandatory and if not filled, the form is liable for rejection

GORN

Distributor / MFU user to write the system generated reference number here

### A. \* UNITHOLDER INFORMATION (Please mention your existing FOLIO):-

Existing Folio Number	<input type="text"/>	AMC / MUTUAL FUND	<input type="text"/>
Name of the First/Sole Holder		<input type="text"/>	

### B. Key Partner / Agent information (Investors applying under DIRECT plan/s must mention "DIRECT" in ARN Column):-

ARN Code	ARN Name	Sub-Agent ARN Code	Internal code for Sub-Agent/RM/Branch	EUIN*
ARN-	<input type="text"/>	ARN-	<input type="text"/>	<input type="text"/>

\* EUIN Declaration (only where EUIN box is left blank) (Refer Instruction B2)

I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this transaction is executed without any interaction or advice by the employee/relationship manager/sales person of the above distributor/sub broker or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor/sub broker.

<input type="text"/>	<input type="text"/>	<input type="text"/>
sign here	sign here	sign here
Sole/First Applicant / Guardian / POA Holder	Second Applicant	Third Applicant

### C. \* Switch Details:-

Tranche 1	Scheme Details	Source Scheme Details	Target Scheme Details
	Scheme / Plan / Option	<input type="text"/>	<input type="text"/>
	Dividend Option (please tick (✓))	Payout <input type="checkbox"/> Reinvestment <input type="checkbox"/>	Payout <input type="checkbox"/> Reinvestment <input type="checkbox"/>
	Switch	Specific Units <input type="text"/> specify units (OR) Specific Amount ₹ <input type="text"/>	(OR) All Units (please tick (✓)) <input type="checkbox"/>

Tranche 2	Scheme Details	Source Scheme Details	Target Scheme Details
	Scheme / Plan / Option	<input type="text"/>	<input type="text"/>
	Dividend Option (please tick (✓))	Payout <input type="checkbox"/> Reinvestment <input type="checkbox"/>	Payout <input type="checkbox"/> Reinvestment <input type="checkbox"/>
	Switch	Specific Units <input type="text"/> specify units (OR) Specific Amount ₹ <input type="text"/>	(OR) All Units (please tick (✓)) <input type="checkbox"/>

Tranche 3	Scheme Details	Source Scheme Details	Target Scheme Details
	Scheme / Plan / Option	<input type="text"/>	<input type="text"/>
	Dividend Option (please tick (✓))	Payout <input type="checkbox"/> Reinvestment <input type="checkbox"/>	Payout <input type="checkbox"/> Reinvestment <input type="checkbox"/>
	Switch	Specific Units <input type="text"/> specify units (OR) Specific Amount ₹ <input type="text"/>	(OR) All Units (please tick (✓)) <input type="checkbox"/>

Tranche 4	Scheme Details	Source Scheme Details	Target Scheme Details
	Scheme / Plan / Option	<input type="text"/>	<input type="text"/>
	Dividend Option (please tick (✓))	Payout <input type="checkbox"/> Reinvestment <input type="checkbox"/>	Payout <input type="checkbox"/> Reinvestment <input type="checkbox"/>
	Switch	Specific Units <input type="text"/> specify units (OR) Specific Amount ₹ <input type="text"/>	(OR) All Units (please tick (✓)) <input type="checkbox"/>

ACKNOWLEDGEMENT SLIP (to be filled in by the investor). For any queries please contact the nearest MFU "Point of Service" or call us at 1800-266-1415 (Toll Free) or +91 22 3952 6363.

MF UTILITIES INDIA PVT. LTD., Address: 103-105, 1st Floor, Orion Business Park, Ghodbunder Road, Kapurbawdi, Thane (West) - 400 607, India

Received from Mr. / Ms. M/s. \_\_\_\_\_ an application for switch as per details mentioned below:-

AMC / Fund	From Scheme / Plan / Option	To Scheme / Plan / Option	Units/Amount	POINT OF SERVICE STAMP & SIGNATURE
<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"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	

Tranche 5	<b>Scheme Details</b>	<b>Source Scheme Details</b>		<b>Target Scheme Details</b>	
	<b>Scheme / Plan / Option</b>	specify source scheme / plan / option		specify target scheme / plan / option	
	<b>Dividend Option</b> (please tick (✓))	Payout <input type="checkbox"/>	Reinvestment <input type="checkbox"/>	Payout <input type="checkbox"/>	Reinvestment <input type="checkbox"/>
	<b>Switch</b>	<b>Specific Units</b> specify units	(OR) <b>Specific Amount</b> ₹	(OR) <b>All Units</b> (please tick (✓))	

**D. \* Declaration and Signature(s):-**

I / We hereby confirm and declare as under:-  
 (1) I / We have read and understood the contents of the respective Scheme Information Document(s), Statement of Additional Information(s), Key Information Memorandum(s), Instructions and Addenda issued by the respective Mutual Funds, including level of risk depicted by colour code boxes and descriptions thereof (Product Labelling), the sections on "Prevention of Money Laundering and Know Your Customers" for all the schemes chosen for investments (both Continuous and Initial Offering) through this Transaction Form, and hereby apply to the Trustee/s of the respective Mutual Funds for Units of the relevant Scheme/s and agree to abide by the terms and conditions, rules and regulations of the Scheme.  
 (2) I/We am/are eligible Investor(s) as per the respective Scheme related documents and am/are authorised to make this switch-in as per the Constitutive documents / authorization(s).  
 (3) I/We will indemnify MFU, Mutual Fund, AMC, Trustee, RTA and other intermediaries in case of any dispute regarding the eligibility, validity and authorization of my/our transactions.  
 (4) The ARN holder (AMFI registered Distributor) has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him/them for the different competing Schemes of various Mutual Funds from amongst which the Scheme/s is/are being recommended to me/us.  
 (5) I/WE HEREBY CONFIRM THAT I/WE HAVE NOT BEEN OFFERED/COMMUNICATED ANY INDICATIVE PORTFOLIO AND/OR ANY INDICATIVE YIELD BY THE FUND/AMC/ITS DISTRIBUTOR FOR THIS INVESTMENT.  
 (6) Where the EUIN box is left blank being an execution only transaction, I/We confirm that the transaction is not withstanding the advice of in-appropriateness, if any, provided by the distributor's employee/relationship manager/sales person and the distributor has not charged any fees on this transaction.

Date : 

D	D	/	M	M	M	/	Y	Y	Y	Y
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Place : \_\_\_\_\_

Sign Here	Sign Here	Sign Here
<b>Sole/First Applicant / Guardian / POA Holder</b>	<b>Second Applicant</b>	<b>Third Applicant</b>

**TERMS AND CONDITIONS**

- A General Instructions:**
- The Folio based switch transaction form can be used for switches, only by investors who DO NOT have a CAN registered with MFU.
  - If you have a CAN, you will have to fill-up the CAN Transaction Form (CTF) which will enable you to transact in schemes across Mutual Funds. Folio based transaction forms, if used to transact in different schemes across Mutual Funds & Folio combination are liable for rejection.
  - Switch requests will not be accepted for units held in the depository account.
  - The Application Form should be completed in ENGLISH and in BLOCK LETTERS only.
  - Information marked (\*) are mandatory. Under the respective sections, all relevant details should be provided, failing which the application is liable for rejection.
  - Investors/Unitholders should provide the Folio & Name of the Sole/Primary Holder. In case the name as provided in this application does not correspond with the name appearing in the existing Folio, the application form may be rejected, at the discretion of MFU.
  - If both Folio & Name of the Sole/Primary Holder are not mentioned, the transaction shall be liable for rejection.
  - MFU will only verify the folio provided in the form with the respective AMC/RTA for availability of the such a folio in their records. If the AMC/RTA confirms the availability of the Folio, the transaction will be captured and sent to the AMC/RTA for further processing. If the AMC/RTA does not confirm the validity of the Folio or the investor name as provided by the RTA does not match what is written in the form, the application is liable to be rejected by MFU / AMC / RTA.
  - Please tick in the appropriate box for relevant options wherever applicable. Do not overwrite. For any correction / changes if made in the Application Form, the Applicant(s) shall enter the correct details pursuant to cancellation of incorrect details and authenticate the corrected details by counter-signing against the changes. Applications with any such changes not counter-signed by the applicants are liable for rejection.
  - Applications complete in all respects, may be submitted at any of the "Points of Services" of MFU. For a list of authorised points of service of MFU, please visit our website [www.mfuidia.com](http://www.mfuidia.com).
  - Applications incomplete in any respect are liable to be rejected. MFU / AMC / RTA shall have absolute discretion to reject any such Application Forms.
  - Applications received at any point of service of MFU would be time-stamped on receipt to evidence time of receipt of the application. An acknowledgement may be issued across the counter confirming the date and time of receipt of the Application.
  - Investors are advised to retain this acknowledgement slip till they receive a confirmation of processing of their transaction from the respective Mutual Fund/RTA.
  - MFU would, based on your request, transmit your switch transaction to the respective Mutual Funds for processing, indicating the date and time of receipt of your switch request.
  - Subject to applicable regulations and provisions in the Scheme Information Document of the scheme(s) including provisions related to availability of funds in the scheme for utilisation, the date and time-stamp appearing on this form would be considered for determining applicable NAV for the transactions.
  - Subject to your request for switch being in order, the Mutual Fund to which you have placed a switch request, would process your switch-out at the applicable NAV based on date and time of submission of your switch request to us.
  - The switch-out will be processed subject to deduction of exit load, STT and TDS (if applicable) and the switch into the target scheme would be processed at the applicable NAV of the target scheme based on applicable regulations and provisions in the Scheme Information Document of the target scheme related to availability of funds in the target scheme for utilisation.
- B Switches through distributors:**
- As per directions of Securities and Exchange Board of India (SEBI), Investors can route their application forms directly and /or through the distributors /employees of the distributor who hold a valid certification from the National Institute of Securities Markets (NISM) and ARN provided by Association of Mutual Funds in India (AMFI). Further, no agents / distributors are entitled to sell units of mutual funds unless registered with AMFI.
  - Employee Unique Identification Number (EUIN):**  
Every employee/ relationship manager/ sales person of the distributor of mutual fund products to quote the EUIN obtained by him/her from AMFI in the Application Form. Investors are requested to verify the AMFI registration details from their Distributor. However, in case of any exceptional cases, where there is no interaction by the employee/ sales person/relationship manager of the distributor/sub broker with respect to the transaction and EUIN box is left blank, you are required to provide the duly signed declaration to the effect as given in the form.
  - New cadre distributors:**  
Postal agents, retired government and semi-government officials (class III and above or equivalent), retired teachers and retired bank officers (all such retired persons with at least 10 years of service) and other similar persons (such as Bank correspondents) as may be notified by AMFI/ the AMC from time to time as new cadre distributors are permitted to sell eligible schemes of the Fund ( details of eligible schemes are available on the websites of the respective Mutual Funds). They also hold an EUIN which must be quoted in the application form. In case your application for switch through such distributor is not for an eligible scheme, it is liable to be rejected. These requirements do not apply to Overseas Distributors.
  - Overseas Distributors:**  
For, overseas Distributors, the ARN Code provided by AMFI is required to be incorporated in the space provided. Overseas Distributors are required to comply with the laws, rules and regulations of jurisdictions where they carry out their operations in the capacity of distributors.
  - Direct Investments :**
    - Investors applying under Direct Plan(s) must mention "DIRECT" in ARN column.
    - Where a valid application is received with the ARN column as blank the application will be processed under "Direct Plan(s)", irrespective of plan mentioned.
    - Where a valid application is received with an ARN code and the investment is in "Direct Plan" in any of the schemes, the application will be rejected.
- C Switch Details:**
- You can use this form to make 5 switches within the schemes of a single participating Mutual Fund under the same Folio.  
For the list of Mutual Funds participating in MFU, please visit our web site [www.mfuidia.com](http://www.mfuidia.com)
  - Please specify the name of the Mutual Fund, the name of the source and target scheme, plan, option, and amount/units you wish to switch. The requests without any of these information, are liable for rejection.
  - If you wish to switch all units, please tick against the box provided for the purpose. Where both units and amount are mentioned for switch, the units mentioned shall be considered for the transaction.
  - A switch-out will be processed only for the amount which has been realised. If the balance in the source-scheme/plan/option after taking into account the switch, is below the minimum switch size (either in amount or in units whichever is less), the transaction will be processed as per the business rules of the respective AMC/Mutual Fund.
- D Declaration and Signatures:**
- Signature(s) should be in English or in any Indian Language.
  - Thumb impressions should be from the left hand for males and the right hand for females and in all cases to be attested by a Magistrate or Notary Public under his/her official seal.
  - The application should be signed in accordance with the following:-
    - CAN based - as per the signature(s) available in the CAN
    - Folio based (without CAN) - as per the signature(s) available in the respective Folio
  - The switch request needs to be signed in accordance with your mode of operation of your CAN / Folio. If the mode of operation of your CAN is "Joint", the request needs to be signed by all unit holders.
  - Switches on behalf of minors should be signed by their natural parent/legal Guardian.
  - If the request for switch is being signed by a Power of Attorney Holder, please ensure that the Power of Attorney is registered with MFU or the respective Mutual Fund before submission of the switch request.
  - Switch requests signed by Authorized Signatories of a Non-individual investor should be affixed with the Official stamp.

**Common Account Number (CAN)**

<b>O</b>	<b>Reference Number for all Mutual Fund Investments</b>	No need to remember / maintain folios at Mutual Fund
<b>N</b>	<b>Account Opening Process</b>	No need to fill separate Account Opening forms for each Mutual Fund
<b>E</b>	<b>Place for Investor Information</b>	No need to submit change requests to each Mutual Fund to get changes updated to investor information
	<b>View for Investments</b>	Consolidated view of all investments across Mutual Funds
	<b>MIS for the Industry</b>	No need to source & consolidate data from different Mutual Funds / RTA