# TRANSACTION FORM

Please read the Terms and Condition, KIM, SID, SAI and any addendum issued for the respective schemes



1. DISTRIBUTOR INFORMATION*  Proker Code/ Sub Broker (Agent)	de l	Internal Code for		ISC Date Timestame
Broker Code/ Sub Broker /Agent ARN / RIA** / PMRN** Code ARN Code	Bank Branch Code	Sub - Agent / Employee	EUIN*	ISC Date Timestamp Reference No.
* By mentioning RIA /PMRN code, I/We authorize you to share with the Inve	etment Advisor/ Portfolio Manag	or the details of my/our transc	nations in the scheme(s) of Bajai Fincary M	utual Eund (Diagos /if applicable)
<ul> <li>I by mentioning RIA / PMRN code, I/We authorize you to share with the linve in case the EUIN box has been left blank, please refer the point related to EUIN egistered distributor, based on the investor's assessment of various factors, it</li> </ul>	I in the Declaration & Signatures	section overleaf. Commission		
<ol> <li>EXISTING UNIT HOLDER INFORMATION (The details in our</li> </ol>			for this application.)	
Folio No.:			PAN	
Name of Unit Holder: First Name		Middle Name		Last Name
2. ADDITIONAL PURCHASE				
(YC compliance status: Please (✓)	plicant	2nd Applicant	☐ 3rd Applicant	
Scheme Please Specify	Regular Plan	Growth (Default)	☐ IDCW Payout	☐ IDCW frequency*
PIDOU for any analysis of the Print Florance Limit Front Print Florance	Direct Plan		☐ IDCW Reinvestment (Default)	
'IDCW frequency is applicable to Bajaj Finserv Liquid Fund, Bajaj Finser Payment Type: Please (✓) Noi				anti December Declaration Form
Note of Payment: Please ( ✓ ) ☐ Cheque/DD ☐ NEFT/RTGS	n-Third Party Payment OTM (One Time Mandate	_	arty Payment (Please attach 'Third P able for Existing Investors who have an e	
Core Banking A/c No.:		A/c. Type Please (√)	SB CA CC SB-NRE S	B-NRO Others Pls Specify
Cheque / DD / UTR No. / UMRN No. Date	Amount of Cheque	e / DD / Drawn on Ba	nk / Branch Pav-In Bank A/o	c No. (For Cheque Only)
	RTGS / NEFT in figu		, =	
2A. DEMAT ACCOUNT DETAILS - Mandatory for units in Demat	Mode - Please ensure that t	he sequence of names as	mentioned as given in folio, matches	as per the Depository Details.
National Securities Depository Limited		Central Depository Services (India) Limited		
DP Name -		DP Name -		
DP ID I N Beneficiary A/c No.		DP ID	Beneficiary A/c No.	
Enclosures - Please ( $\checkmark$ ) $\ $ Client Masters List (CML) $\ $	Transaction cum Holding S	tatement Delivery	/ Instruction Slip (DIS)	
3. REDEMPTION - I WISH TO REDEEM UNITS / AMOUNT AS				
Scheme Please Specify	☐ Regular Plan☐ Direct Plan	☐ Growth	☐ IDCW Payout ☐ IDCW Reinvestment	☐ IDCW Frequency*
*IDCW frequency is applicable to Bajaj Finserv Liquid Fund, Bajaj Finser		insery Money Market Fund		
Amount (in figures) (₹):		ts (in figures):		☐ Or All Units
- Amount (in words) (₹):				
Direct Credit to other than Default Bank Account: I / We red		the proceeds to my	(Bank Name)	
or this transaction, which is one of the multiple bank already rec Any change of bank mandate request received/processed few o		redemption request or	on the same day as a standalone c	hange request the AMC sha
continue to follow cooling period of 10 calendar days for validation				mange request, the Amo she
4. SWITCH REQUEST - I WISH TO SWITCH UNITS / AMOUN				
From Scheme Please Specify	Regular Plan Direct Plan	☐ Growth	☐ IDCW Payout ☐ IDCW Reinvestment	☐ IDCW frequency*
Amount (in figures) (₹):		(in figures):		☐ Or All Unit:
Amount (in ligures) ( < ):	Ur Units	s (in figures):		☐ UF All Units
To Scheme	Regular Plan		☐ IDCW Payout	☐ IDCW frequency*
10 Scheme	☐ Direct Plan	Growth (Default)	☐ IDCW Reinvestment	ibcw frequency
'IDCW frequency is applicable to Bajaj Finserv Liquid Fund, Bajaj Finser	ay Overnight Fund and Baiai F	, ,	(Default)	
5. DECLARATION AND SIGNATURES	v Overnight Fullu dhu bdjaj F	maery Money Market Fund		
/We have read and understood the contents of the respective Schem /We have neither received nor been induced by any rebate or gifts, dommission or any other mode), payable to him for the different convesting in Direct Plan: I/We hereby agree that the AMC has not reccularly left have been intentionally left manager/sales person of the above distributor or notwithstanding the distributor has not charged any advisory fees on this transaction.	irectly or indirectly in making npeting schemes of various I ommended or advised me/us t blank by me/us as this is a	this transaction. The ARN Mutual Funds from among regarding the suitability or n "execution-only" transac	holder has disclosed to me/us all the st which the Scheme is being recomi r appropriateness of the product / sch ction without any interaction or advic	commissions (in the form of tra mended to me/us. For investor neme / plan. te by the employee/relationshi
Signature of 1st Applicant/Guardian/Authorised Signatory/PoA/Karta	Signature of 2nd Applicant//	Authorised Signatory/PoA	Signature of 3rd Applicant	/Authorised Signatory/PoA
ACKNOWLEDGEMENT SLIP Folio No.:	Additional Purc	chase 🔲 Redemption	n Switch <b>Date:</b>	
Scheme:	 Amount (₹) :	<u>.                                    </u>	or Units:	

\_\_\_To Scheme:\_

From Scheme (in case of switch): \_\_\_

## **TERMS AND CONDITIONS**

#### **GENERAL INSTRUCTIONS**

- This Transaction Form would help in making purchases, switches, redemptions, from existing investments. New applicants who wish to invest in Bajaj Finserv Mutual Fund should fill a separate prescribed Common Application Form.
- Please read the Scheme information Document and KIM of the respective schemes carefully before investing.
- Please strike off any sections that are not relevant / applicable. Please .counter-sign in accordance with your mode of holding against any corrections that you make in the Transaction Form.
- Permanent Account Number (PAN): It is mandatory for all investors (including guardians, joint holders, NRIs and power of attorney holders) to provide their Income Tax Permanent Account Number (PAN) and also submit a photo copy of the PAN card at the time of purchase of Units except for investors who are exempted from PAN requirement. Please refer to KYC Form for exemption of PAN requirement. The attestation of the copy of PAN card may be done by a Notary Public or a Gazetted Officer or a Manager of a Bank or a financial adviser under his seal and should carry the name and designation of the person attesting it. In the absence of this, your application will be rejected.
- Please refer the 'Instructions' below. This should help in filling the necessary details correctly and completely.
- Completed Transaction Forms should be submitted to your nearest Investor Service Center of Bajaj Finserv Mutual Fund or KFin Technologies Limited (Formerly KFin Technologies Private Limited)
- If the investor has more than one transaction to provide, he should use separate form for each transaction.

#### INSTRUCTIONS FOR FILLING THE TRANSACTION FORM

#### DISTRIBUTOR INFORMATION

- In case, the investor is directly applying, then they should clearly mention "DIRECT" in the Name and Broker Code/ARN column.
- Any edition or cancellation of the Distributor Information should be countersigned by the investor else the same is liable to be rejected.
- Distributors are advised to ensure that they fill in the RIA/PMRN code, in case they
  are a Registered Investment Advisor or Portfolio Manager.
- · Quoting of EUIN is mandatory in case of advisory transactions.
- Investors are requested to note that EUIN is applicable for transactions such as Purchases, Switches, Registrations of SIP /STP and EUIN is not applicable for transactions such as Installments under SIP/SWP/STP/IDCW Reinvestments, Redemption, SWP Registration.
- Investors are requested to note that EUIN is largely applicable to sales persons of non individual ARN holders only (whether acting in the capacity of the main distributor or sub broker). Further, EUIN will not be applicable for overseas distributors who comply with the requirements as per AMFI circular.

### Section 1 - EXISTING UNIT HOLDER INFORMATION

- · This section is mandatory.
- Please furnish Existing Folio Number, PAN and name of the First/Sole Unit holder.

### Section 2 - ADDITIONAL PURCHASE REQUEST

- Investors subscribing under Direct Plan of the Schemes should indicate the Scheme/Plan name in the transaction form as "Scheme Name Direct Plan" for e.g. "Bajaj Flexi Cap Fund Direct Plan". Investors should also indicate "Direct" in the ARN column of the transaction form. However, in case Distributor code is mentioned in the transaction form, but "Direct Plan" is indicated against the Scheme name, the Distributor code will be ignored and the transaction will be processed under Direct Plan. Please note, where application is received for Regular Plan without Distributor code or "Direct" mentioned in the ARN Column, the application will be processed under Direct Plan.
- For Additional purchase, cheque or demand draft should be payable locally at the
  city where the purchase application is deposited, and should be drawn on any
  bank that is a member of the local Clearing House. All cheques/ drafts accompanying the additional purchase request should be crossed "Account Payee Only",
  and drawn in favour of the Scheme Name in which the investment is being made.

### Note:

- Third Party payment will not be accepted. In case of exceptions (as per AMFI Circular) to third party payment, please fill the 'Third Party Declaration Form'. In case of payment made by Bank draft, please attached Banker certificate as well.
- As per RBI guidelines, cheques with alterations in Payee name and the Amount will not be honored. Hence alterations in the cheques should be avoided.
- Non-Resident Indians (NRI) and Person of Indian Origin (PIOs) are requested to attach a Foreign Inward Remittance Certificate (FIRC) or an Account Debit Certificate from the bankers along with the additional purchase request form to enable the AMC to ascertain the repatriation status of the amount invested.
- · In case the investor desires to invest in more than one scheme/ plan/ option, he

- should submit a separate payment instrument and a separate transaction form for each such investment.
- Please mention the Folio Number and the Name of the First Unit holder behind the cheque / draft before they are handed over to any courier / messenger / distributor / ISC.
- If investor wish to hold the Units in Demat form, please provide the details of Demat account in Section 2 A

#### Section 3 - REDEMPTION REQUEST

- Please specify the scheme / option details and the amount / number of units you
  wish to redeem. If all units are to be redeemed, please tick against the box
  provided for the purpose.
- Where Units under a Scheme are held under both Regular and Direct Plans and the
  redemption request pertains to the Direct Plan, the same must clearly be
  mentioned on the request, failing which the request would be processed from the
  Regular Plan. However, where Units under the requested Option are held only
  under one Plan, the request would be processed under such Plan.
- If the redemption request specifies both amount and units for redemption, the redemption transaction would be processed on the basis of number of units.
- In case the number of units or amount is not specified in the redemption request, the request will be rejected.
- If the balance units in the folio at the time of redemption is not adequate to cover the amount of request, all units in the folio shall be redeemed.
- The Bank Mandate mentioned in the original application form will be considered as
  the default bank mandate and all additional bank mandates would be considered
  as optional bank mandates. To change the Default Bank Mandate under a folio, the
  investor needs to fill the Bank Accounts Registration Form and submit it to the
  nearest Investor Service Center.
- In case the investor wants the redemption proceeds to be credited to any one of
  the optional bank accounts from amongst the bank mandates registered under
  the folio, the investor needs to clearly indicate the same in the redemption
  application; in the absence of such indication, the redemption proceeds would be
  credited to the default bank account.
- In case request for redemption is received together with a change of bank account (using Transaction Form or Bank Accounts Registration Form) or before verification and validation of the new bank account, the redemption request would be processed to the registered default bank account. Unit holders may note that it is desirable to submit their requests for change in bank details at least ten calendar days prior to date of redemption/dividend payment, if any. Any redemption request placed along or during this period shall ordinarily be processed as per the earlier bank account registered in the records of the Registrars.
- Bajaj Mutual Fund will endeavor to remit the redemption proceeds through electronic mode, wherever sufficient bank account details of the unit holder are available.

### Section 4- SWITCH REQUEST

- Please specify the From and To Scheme Scheme / Option for the switch transaction
- Where Units under a Scheme are held under both Regular and Direct Plans and the switch request pertains to the Direct Plan, the same must clearly be mentioned on the request, failing which the request would be processed from the Regular Plan.
   However, where Units under the requested Option are held only under one Plan, the request would be processed under such Plan.
- Please specify the amount / number of units to be switched. If all units are to be switched, then please tick against the box provided.
- If the balance in the Scheme Option after taking into account the switch is below
  the minimum switch size (either in amount or in units whichever is less), the entire
  balance would be switched to the target scheme.
- If the switch request specifies both amount and units for switch, the switch out transaction would be processed on the basis of number of units.

### Section 5 - DECLARATION AND SIGNATURES

- All signatures should be in English or any Indian language. Thumb impressions should be from the left hand for males and the right hand for females and in all cases be attested by a Magistrate, Notary Public or Special Executive Magistrate.
- Applications by minors should be signed by their guardians. In the case of a Hindu Undivided Family (HUF), the Karta should sign on behalf of the HUF.
- Applications by non individual investors must be signed by the authorised officials. A list of authorized officials, duly certified and attested, should also be attached to the transaction form.
- In case of application through constituted attorney, please ensure that the POA
  document is signed by the beneficial investor (POA donor) and the Constituted
  Attorney. The signature in the transaction Form , in such cases should clearly
  indicate that the signature is by the Constituted Attorney.