



MF Utilities India Pvt. Ltd.

103-105, Orion Business Park, Ghodbunder Road, Kapurbawdi
Thane (West) - 400 607
CIN : U74120MH2013PTC242939

APPLICATION NO:

TIME-STAMP NUMBER:

CAN Transaction Form - STP Registration

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. * Please tick (✓) anyone. In the absence of indication of the option the form is liable to be rejected

NEW REGISTRATION

CANCELLATION

B. * UNITHOLDER INFORMATION (if you have a CAN, please fill in the details):-

Common Account Number (CAN)

Name of the First/Sole Holder

C. 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-		ARN-		

* 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.

Sign here	Sign here	Sign here
Sole/First Applicant / Guardian / POA Holder	Second Applicant	Third Applicant

D. * Scheme Details:-

Tranche 1	AMC / Mutual Fund	specify AMC / Mutual Fund name, source and target schemes should be of the same Mutual Fund and serviced by the same RTA		Folio Number	specify folio number		
	Scheme Details	Source Scheme Details			Target Scheme Details		
	Scheme / Plan / Option	specify source scheme / plan / option			specify target scheme / plan / option		
	Dividend Option (please tick (✓))	Payout <input type="checkbox"/>	Reinvestment <input type="checkbox"/>	Payout <input type="checkbox"/>	Reinvestment <input type="checkbox"/>		
	STP Option ^s (refer instruction C)	Capital Appreciation <input type="checkbox"/>	Fixed Amount [@] ₹ <input type="text"/>	@ - If less than the minimum defined by the scheme, will be processed as per business rules of the AMC			
	Frequency ^s (please tick (✓) anyone) (refer instruction C)	Daily <input type="checkbox"/>	Weekly specify (as offered by the scheme)	Fortnightly specify (as offered by the scheme)	Monthly <input type="checkbox"/>	Quarterly <input type="checkbox"/>	
	Date of Transfer ^s (only for Monthly / Quarterly frequency)	<input type="text"/> <input type="text"/>	Start Month & Year <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	End Month & Year [^] <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	\$ - If not offered by the scheme, will be processed as per business rules of the AMC		

[^] - Leave blank for perpetual

Tranche 2	AMC / Mutual Fund	specify AMC / Mutual Fund name, source and target schemes should be of the same Mutual Fund and serviced by the same RTA		Folio Number	specify folio number		
	Scheme Details	Source Scheme Details			Target Scheme Details		
	Scheme / Plan / Option	specify source scheme / plan / option			specify target scheme / plan / option		
	Dividend Option (please tick (✓))	Payout <input type="checkbox"/>	Reinvestment <input type="checkbox"/>	Payout <input type="checkbox"/>	Reinvestment <input type="checkbox"/>		
	STP Option ^s (refer instruction C)	Capital Appreciation <input type="checkbox"/>	Fixed Amount [@] ₹ <input type="text"/>	@ - If less than the minimum defined by the scheme, will be processed as per business rules of the AMC			
	Frequency ^s (please tick (✓) anyone) (refer instruction C)	Daily <input type="checkbox"/>	Weekly specify (as offered by the scheme)	Fortnightly specify (as offered by the scheme)	Monthly <input type="checkbox"/>	Quarterly <input type="checkbox"/>	
	Date of Transfer ^s (only for Monthly / Quarterly frequency)	<input type="text"/> <input type="text"/>	Start Month & Year <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	End Month & Year [^] <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	\$ - If not offered by the scheme, will be processed as per business rules of the AMC		

[^] - Leave blank for perpetual

ACKNOWLEDGEMENT SLIP (to be filled in by the investor). For any queries please contact our nearest "Point of Service" or call us at our Customer Service Number xxxxxxxxxxxx or xxxxxxxxxxxx (Toll Free)

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 STP as per details mentioned below:-

AMC / Fund	From Scheme / Plan / Option	To Scheme / Plan / Option	Amount (Rs.) / Capital Appreciation

POINT OF SERVICE STAMP & SIGNATURE

Tranche 3	AMC / Mutual Fund	specify AMC / Mutual Fund name, source and target schemes should be of the same Mutual Fund and serviced by the same RTA				Folio Number	specify folio number			
	Scheme Details	Source Scheme Details				Target Scheme Details				
	Scheme / Plan / Option	specify source scheme / plan / option				specify target scheme / plan / option				
	Dividend Option (please tick (✓))	Payout <input type="checkbox"/>		Reinvestment <input type="checkbox"/>		Payout <input type="checkbox"/>		Reinvestment <input type="checkbox"/>		
	STP Option ⁵ (refer instruction C)	Capital Appreciation <input type="checkbox"/>		Fixed Amount [@] ₹ <input type="text"/>		@ - If less than the minimum defined by the scheme, will be processed as per business rules of the AMC				
	Frequency ⁵ (please tick (✓) anyone) (refer instruction C)	Daily <input type="checkbox"/>	Weekly specify (as offered by the scheme)		Fortnightly specify (as offered by the scheme)		Monthly <input type="checkbox"/>	Quarterly <input type="checkbox"/>		
	Date of Transfer ⁵ (only for Monthly / Quarterly frequency)	DD <input type="text"/>	Start Month & Year	MM / YY <input type="text"/>	End Month & Year	MM / YY <input type="text"/>	\$ - If not offered by the scheme, will be processed as per business rules of the AMC			

Tranche 4	AMC / Mutual Fund	specify AMC / Mutual Fund name, source and target schemes should be of the same Mutual Fund and serviced by the same RTA				Folio Number	specify folio number			
	Scheme Details	Source Scheme Details				Target Scheme Details				
	Scheme / Plan / Option	specify source scheme / plan / option				specify target scheme / plan / option				
	Dividend Option (please tick (✓))	Payout <input type="checkbox"/>		Reinvestment <input type="checkbox"/>		Payout <input type="checkbox"/>		Reinvestment <input type="checkbox"/>		
	STP Option ⁵ (refer instruction C)	Capital Appreciation <input type="checkbox"/>		Fixed Amount [@] ₹ <input type="text"/>		@ - If less than the minimum defined by the scheme, will be processed as per business rules of the AMC				
	Frequency ⁵ (please tick (✓) anyone) (refer instruction C)	Daily <input type="checkbox"/>	Weekly specify (as offered by the scheme)		Fortnightly specify (as offered by the scheme)		Monthly <input type="checkbox"/>	Quarterly <input type="checkbox"/>		
	Date of Transfer ⁵ (only for Monthly / Quarterly frequency)	DD <input type="text"/>	Start Month & Year	MM / YY <input type="text"/>	End Month & Year	MM / YY <input type="text"/>	\$ - If not offered by the scheme, will be processed as per business rules of the AMC			

Tranche 5	AMC / Mutual Fund	specify AMC / Mutual Fund name, source and target schemes should be of the same Mutual Fund and serviced by the same RTA				Folio Number	specify folio number			
	Scheme Details	Source Scheme Details				Target Scheme Details				
	Scheme / Plan / Option	specify source scheme / plan / option				specify target scheme / plan / option				
	Dividend Option (please tick (✓))	Payout <input type="checkbox"/>		Reinvestment <input type="checkbox"/>		Payout <input type="checkbox"/>		Reinvestment <input type="checkbox"/>		
	STP Option ⁵ (refer instruction C)	Capital Appreciation <input type="checkbox"/>		Fixed Amount [@] ₹ <input type="text"/>		@ - If less than the minimum defined by the scheme, will be processed as per business rules of the AMC				
	Frequency ⁵ (please tick (✓) anyone) (refer instruction C)	Daily <input type="checkbox"/>	Weekly specify (as offered by the scheme)		Fortnightly specify (as offered by the scheme)		Monthly <input type="checkbox"/>	Quarterly <input type="checkbox"/>		
	Date of Transfer ⁵ (only for Monthly / Quarterly frequency)	DD <input type="text"/>	Start Month & Year	MM / YY <input type="text"/>	End Month & Year	MM / YY <input type="text"/>	\$ - If not offered by the scheme, will be processed as per business rules of the AMC			

F. * Declaration and Signature(s):-

I / We hereby confirm and declare as under:-

- 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.
- 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).
- 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.
- 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.
- 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.
- Where the EUIN box is left blank being an execution only transaction, I/We confirm that the transaction is notwithstanding the advice of in-inappropriateness, if any, provided by the distributor's employee/relationship manager/sales person and the distributor has not charged any fees on this transaction.

Date : DD / MM / YY

Place : _____

Sign Here	Sign Here	Sign Here
Sole/First Applicant / Guardian / POA Holder	Second Applicant	Third Applicant

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TERMS AND CONDITIONS

A General Instructions:

- 1 The CAN Transaction form can be used for STP Registrations, only by investors who already have a CAN registered with MFU.
- 2 If you do not have a CAN and wish to register for STP under existing folios, you will have to fill-up separate forms for STP in different Mutual Funds. CAN Transaction forms without CAN but with STP under different folios are liable for rejection.
- 3 The CAN Transaction form can be used for New Registrations (if the source scheme permits STP-out facility and the target scheme permits STP-in facility) and Cancellation of an existing STP. Please tick the appropriate option.
- 4 STP Registration requests will not be accepted for units held in the depository account.
- 5 The Application Form should be completed in ENGLISH and in BLOCK LETTERS only.
- 6 Information marked (*) are mandatory. Under the respective sections, all relevant details should be provided, failing which the application is liable for rejection.
- 7 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.
- 8 Investors intending to register for STP through different distributors should use different CAN Transaction forms.
- 9 Please read the Scheme Information Document(s), Key Information Memorandum(s) of the scheme(s) and Statement(s) of Additional Information of the respective Mutual Funds and addenda issued for these documents carefully before investing. Investors are advised to assess the suitability of the schemes and the applicable load structure before investing.
- 10 The investors are advised to visit the website/s of the respective Mutual Fund/s for information on the schemes chosen for STP. Investors are advised to assess the suitability of the schemes and the applicable load structure before investing.
- 11 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 web site www.mfuindia.com.
- 12 Applications incomplete in any respect are liable to be rejected. MFU / AMC / RTA shall have absolute discretion to reject any such Application Forms.
- 13 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.
- 14 Investors are advised to retain this acknowledgement slip till they receive a confirmation of processing of their transaction from the respective Mutual Fund/RTA.
- 15 MFU would, based on your request, transmit your STP Registrations to the respective Mutual Funds for processing, indicating the date and time of receipt of your request.
- 16 Subject to your request for STP Registration being in order, each Mutual Fund to which you have placed a request, would process your STP Registration.
- 17 The STP-out will be processed subject to deduction of exit load, STT and TDS (if applicable) and the STP-in 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 STP Registrations through distributors :

- 1 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 the intermediary is registered with AMFI.
- 2 **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.
- 3 **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 STP Registration through such distributor is not for an eligible scheme, it is liable to be rejected. These requirements do not apply to Overseas Distributors.
- 4 **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.
- 5 **Direct Investments :**
 - a. Investors applying under Direct Plan(s) must mention "DIRECT" in ARN column.
 - b. 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.
 - c. 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 STP Registration Details:

- 1 You can use this form to make STP Registrations as below:
 - (a) If CAN based - Up to 5 STP Registrations. Each STP should be within the Mutual Fund (participating in MFU)
 - (b) If Folio based (without CAN) - Up to 5 STP Registrations within the same Folio of a participating Mutual FundFor the list of Mutual Funds participating in MFU, please visit our web site www.mfuindia.com
- 2 Please ensure to specify all the required information in the respective sections. Forms where the required information is not provided are liable to be rejected. If you do not specify the end month & year, your STP will continue till transfer of your entire investments in the scheme or till you instruct discontinuation of your STP, whichever is earlier or as per the business rules of the respective AMC.
- 3 Please refer the Scheme Information Document of the respective schemes for applicable terms and conditions for STPs across various Schemes within the same Mutual Funds, including stipulations on minimum instalment size, minimum number of instalments, available frequencies, available STP dates, etc. **Applications not qualifying the terms and conditions of the respective schemes will be processed as per business rules of the respective AMC are liable to be rejected.**
- 4 Your STP Application would be processed by the respective fund houses subject to your STP application fulfilling these terms and conditions.
- 5 Where the balance in the scheme / plan / option after taking into account the STP-out is below the minimum size (either in amount or in units whichever is less), the STP-out will be processed as per the Business rules of the respective AMC/Mutual Fund.

D Declaration and Signatures:

- 1 Signature(s) should be in English or in any Indian Language.
- 2 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.
- 3 The STP Registration 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.
- 4 STP Registration requests on behalf of minors should be signed by their natural parent/legal Guardian.
- 5 If the request for STP 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 STP Registration request.
- 6 STP Registration requests signed by Authorized Signatories of a Non-individual investor should be affixed with the Official stamp.

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