

# TRANSACTION SLIP

For Existing Investors Only



DISTRIBUTOR INFORMATION			FOR OFFICE USE ONLY		
Name & ARN* / RIA Code / PMRN	Sub Broker Name & Code	EUIN	Register Serial No.	Date of Receipt	Time of Receipt
JAVAHAR.K.P. ARN 10021		E035876			

\*Upfront commission shall be paid directly by the investor to the AMFI registered Distributors based on the investors' assessment of various factors including the service rendered by the distributors.

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 not with standing the advice of in-appropriateness, if any, provided by the employee / relationship manager / sales person of the distributor / sub broker. #By mentioning RIA code (Registered Investment Adviser), I/we authorize you to share the investment Adviser details of my/our transactions in the scheme(s) of LIC Mutual Fund. By mentioning PMRN code (Portfolio Manager's Registration Number), I/we authorize you to share with the SEBI-Registered Portfolio Manager the details of my/our transactions in the scheme(s) of LIC Mutual Fund.

⊗ SIGN HERE First/Sole Applicant/Guardian/POA	⊗ SIGN HERE Second Applicant/POA	⊗ SIGN HERE Third Applicant/POA
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### 01. INVESTOR DETAILS (Mandatory)

Folio No.

First Applicant's Name FIRST MIDDLE LAST

### 02. ADDITIONAL PURCHASE

I/We would like to purchase units in the below mentioned scheme

Scheme Name: LIC MF	SCHEME NAME	Plan	Direct	Regular	<input type="checkbox"/> IDCW frequency
Option Please tick (✓)	Growth	IDCW	Incase of IDCW, Please tick (✓)	Payout of Income Distribution cum capital withdrawal option	Reinvestment of Income Distribution cum capital withdrawal option

Amount (in Fig.): (in words):

Drawn on bank & branch:

Cheque/DD No / OTM UMRN. Date DDMMYY

Account No. Bank A/c type (please ✓) Savings Current NRO NRE FCNR

Mode of payment Please tick (✓) Cheque DD Fund Transfer RTGS/NEFT OTM

Investors desiring to get allotment of units in dematerialized mode instead of physical mode should provide the details of their demat account below.

### 03. DEMAT ACCOUNT DETAILS

NATIONAL SECURITIES DEPOSITORY LTD. (NSDL) CENTRAL DEPOSITORY SERVICES (INDIA) LTD. (CDSL)

Depository Participant Name: Depository Participant Name:

DPID No. I N DPID No.

Beneficiary A/c No. Beneficiary A/c No.

### 04. SWITCH

I/We would like to switch all units OR Partial units OR Rs. (amount in fig):

(amount in words):

FROM LIC MF	SCHEME NAME	Plan	Direct	Regular	<input type="checkbox"/> IDCW frequency
Option Please tick (✓)	Growth*	IDCW	Incase of IDCW, Please tick (✓)	Payout of Income Distribution cum capital withdrawal option	Reinvestment of Income Distribution cum capital withdrawal option

To LIC MF SCHEME NAME Plan Direct Regular  IDCW frequency

Option Please tick (✓)	Growth*	IDCW	Incase of IDCW, Please tick (✓)	Payout of Income Distribution cum capital withdrawal option	Reinvestment of Income Distribution cum capital withdrawal option
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\*Default Option is Growth, incase of IDCW default is Reinvestment of Income Distribution cum capital withdrawal option

### 05. REDEMPTION

I/We would like to redeem all units OR Partial units OR Rs. (amount in fig):

(amount in words):

FROM LIC MF	SCHEME NAME	Plan	Direct	Regular	<input type="checkbox"/> IDCW frequency
Option Please tick (✓)	Growth	IDCW	Incase of IDCW, Please tick (✓)	Payout of Income Distribution cum capital withdrawal option	Reinvestment of Income Distribution cum capital withdrawal option

Redemption proceeds to be credited to the following bank A/c. registered under this folio\*.

Bank/Branch Account No.

\*Please specify the bank details in which you wish to receive the redemption proceeds. Kindly note that this bank account should be one of the registered bank account in the folio else by default the redemption proceeds will be credited into the default bank account. Also, this cannot be treated as change of bank mandate.

### 06. LEGAL ENTITY IDENTIFIER DETAILS

LEI No. Validity Period of LEI: DDMMYY

Legal Entity Identifier is mandatory for all non-individuals and it should be quoted in financial transactions of Rs.50 Crores and above routed through RTGS/NEFT w.e.f 1st April 2021.

### 07. DECLARATION & SIGNATURE

I/We have read and understood the contents of the Statement of Additional Information (SAI), Scheme information Document (SID), Key Information Memorandum (KIM) and addendum. I/We agree to abide by the terms, conditions, rules & regulations of the Scheme(s) as applicable from time to time. I/We confirm that the amount invested in the Scheme is derived through legitimate source.

Date : ⊗	⊗ SIGN HERE First/Sole Applicant/Guardian/POA Holder	⊗ SIGN HERE Second Applicant/POA Holder	⊗ SIGN HERE Third Applicant/Holder
Place : .....			

ACKNOWLEDGMENT SLIP	Folio No. (TO BE FILLED IN BY THE INVESTOR)	ISC Signature, Stamp & Date
	From Mr/Mrs/M/s. (Name of the investor)	
	Scheme LIC MF Plan Option	
	Transaction (Please ✓) <input type="checkbox"/> Purchase <input type="checkbox"/> Switch <input type="checkbox"/> Redemption	

Please Note: Unit of allotment are subject to realisation of Cheque / Demand Draft / Payment Instrument.

Corporate Office:  
Industrial Assurance Building, 4th Floor, Opp. Churchgate Station, Mumbai - 400020.  
Tel.: 022-66016000 | Fax: 022-66016191  
Website: www.licmf.com | Toll Free: 1800-258-5678

Register & Transfer Agents:  
KFin Technologies Limited, Selenium Tower B, Plot No 31 & 32,  
Gachibowli, Financial Dist, Nanakramguda, Serilingampally, Hyderabad -500 032.  
Tel.: 040-44677131-40 | Fax: 040-22388705 | Email ID: service\_licmf@kfintech.com  
Website: www.kfintech.com

## Terms and Conditions:

- 1) For fresh purchases under new scheme, plan, or option – please refer the respective SID/SAI/KIM for more details and default values.
- 2) For additional purchase, the cheque / Demand Draft should be drawn in favour of the name of the scheme and should be crossed A/c Payee and payable locally at our ISC, where the application is being submitted. Outstation cheque / DD will not be accepted. If the Scheme name on the application form and on the cheque is different, then the units will be allotted as per the Scheme name mentioned in the application form.
- 3) In case of multiple holders, the IDCW (where applicable) & redemption amount, will be paid to the first unit holder.

#### 4) Third Party Payments:

Investment/subscription made through Third Party Cheque(s) will not be accepted. Third party cheque(s) for this purpose are defined as:

I) Investment made through instruments issued from an account other than that of the beneficiary investor. II) In case the investment is made from a joint bank account, the first holder of the mutual fund folio is one of the joint holders of the bank account from which payment is made to consider the payment as a non- Third-Party Payment.

a. Third party cheque(s) for investment/subscription shall be accepted, only in exceptional circumstances, as detailed below:

- i) Payment by Employer on behalf of employee under Systematic Investment Plans through Payroll deductions.
- ii) Custodian on behalf of a Foreign Institutional Investor (FII) or a client.

The above -mentioned exception cases will be processed after carrying out necessary checks & verification of documents attached along with the purchase transaction slip/application form, as stated below:

Determining the identity of the Investor and the person making payment i. e. mandatory Know Your Client (KYC) for Investor and the person making the payment

Obtaining necessary declaration from the Investor/unit holder and the person making the payment. Declaration by the person making the payment should give details of the bank account from which the payment is made and the relationship with the beneficiary. Verifying the source of funds to ensure that funds have come from the drawer's account only.

#### 5) Know Your Customer (KYC) Compliance

Investors shall note that KYC is mandatory for all applicants, and they need to comply with the 'Know Your Client' requirements, by submitting requisite documents to KYC Registration Agency. Investors are requested to update their PAN/PEKRN and KYC through the relevant forms available for the purpose of updation. KYC is mandatory for purchases, switch & redemption of units for all investors irrespective of the amount of investment and such transactions must be accompanied with a documentary proof of KYC compliance. Applicants should note that minors cannot apply for KYC compliance and any investment in the name of minors should be through a Guardian, who should be KYC compliant for the purpose of investing with a Mutual Fund. Also applicants/ unit holders intending, to apply for units currently holding units and operating their Mutual Fund folios through a Power of Attorney (POA) must ensure that the issue of POA and the holder of the POA must mention their KYC compliance status at the time of investment. POA holders are not permitted to apply for KYC compliance on behalf of the issuer of the POA, Separate procedures are prescribed for change in name, address, and other KYC related details, should the applicant desire to change such information, POS will extend the services of effecting such changes.

For more information on KYC, please log on to [www.licmf.com](http://www.licmf.com) before investing.

In line with SEBI letter no. OW/16541/2012 dated July 24, 2012 addressed to AMFI, Investments in the mutual fund schemes (including investments through Systematic Investment Plans (SIPs)) up to ` 50,000/- per investor per year shall be exempted from the requirement of PAN. Investor seeking exemption of PAN will need to submit the PAN Exempt KYC Reference No (PEKRN) acknowledgment issued by KRA along with the application Form. This exemption is applicable only for individuals including NRIs (but not POAs), minors acting through guardian, Sole proprietorship firms and joint holders.

In case there is any change in your KYC information please update the same by using the prescribed 'KYC Change Request form' and submit the same at the Point of Service of any KYC Registration Agency.

#### 6) EUIN:

As per SEBI circular CIR/IMD/DF/21/2012 dated September 13, 2012, a unique identity number of the employee/ relationship manager/ salesperson of the distributors interacting with the investor for the sale of mutual fund products, in addition to the AMFI Registration Number (ARN) of the distributor is required to be mentioned in the application form. Employee Unique Identification Number (EUIN) would assist in tackling the problem of mis-selling even if the employee/relationship manager/salesperson leaves the employment of the distributor.

7) Requests for change from IDCW option to growth option and vice versa should be given under switch request.

8) In case of Switch of units, investors shall ensure that they have read and understood the Scheme Information Document of the Switch in Scheme.

9) If there is no sufficient amount/ units, the balance available free units in the respective account will be redeemed/ switched.

10) Redemption requests should not be accompanied with requests for Change of Bank Account Details. If the Change of Bank Account Detail request is received along with Redemption requests only the redemption request will be processed, and the redemption proceeds will be credited to the default registered bank mandate. New bank account can only be registered using the designated "Bank Account Registration Form/Multiple Bank Account Registration Form". In case the investor needs to add/alter the existing bank mandate he should carry out the same 10 calendar days prior to date of redemption.

11) Separate redemption/Switch out request is required for Regular and Direct Plan. Redemption/Switch out request is required to clearly contain the name of the Scheme, plan/option.

12) **Demat Account:** Applicants must ensure that the sequence of names as mentioned in the application form matches that of the account held with the Depository Participant. Client ID, Names, Address and PAN details, other KYC norms mentioned in the application form will be verified against the Depository data which will be downloaded from Depository master. Only those applications where the details are matched with the depository data will be treated as valid applications for allotment of units in dematerialized form. If the details mentioned in the application are incomplete/incorrect, shall be liable to be rejected. If the details not matched with the depository data and if application is in good order, units will be allotted in physical mode. To capture correct depository account details, investors are required to submit Client Master. For units held in demat form, the KYC performed by the Depository participant of the applicants will be considered as KYC verification done by the Trustee/AMC. Please note that where the investor has furnished the details of their depository accounts in the Application Form, it will be assumed that the investor has opted for allotment in electronic form & the allotment will be made only in electronic form as default.

13) Payment through One Time Mandate (OTM) is not applicable in LICMF ETF's.

14) An investor needs to submit non- commercial transaction separately to update / change any information in his/her folio.

15) Allotment of units is subject to realisation of cheque/DD. The statement of account is a record of your transaction in the scheme. In case of any discrepancy, please contact the Registrar's Office. The contents of the statement of account will be considered as correct if no error is reported within 30 days of receipt of the statement of account. This is a non transferable document.