

# TRANSACTION SLIP



## 1. DISTRIBUTOR INFORMATION

ARN/RIA Code/Portfolio Manager's Registration (PMRN) #	Sub Broker's ARN	Internal Code for Sub-Broker/ Employee	Employee Unique Identification Number (EUIN)	FOR OFFICE USE ONLY Registrar/Bank Serial No./ Date and Time of Receipt
ARN- 10021	ARN-		E- 035876 (RN holder or of employee/ Relationship Manager/Sales Person of the Distributor)	

#By mentioning RIA / PMRN code, I/We authorize you to share with the Investment Adviser the details of my/our transactions in the scheme(s) of TRUST Mutual Fund.  
Declaration for "execution-only" transaction (only where EUIN box is left blank) – I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this is an "execution-only" transaction without any interaction or advice by the employee/relationship manager/sales person of the above distributor or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales /sub broker of the distributor and the distributor has not charged any advisory fees on this transaction.

Signature of First/Sole Unit Holder/Guardian	Signature of Second Unit Holder	Signature of Third Unit Holder
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## 2. UNIT HOLDER DETAILS (MANDATORY) (Mandatory to submit FACTA & CRS declaration form if not submitted earlier or in case of change in status)(Refer section 2 under instructions)

Folio No.  Legal Entity Identification (LEI) Code<sup>§</sup>

Name of First/Sole Applicant  PAN / PEKRN

<sup>§</sup> LEI is applicable for non-individual investor including HUF, not applicable to individuals, minor & NRI investor

Note : In case the 1st applicant is Non Individual please attach FATCA, CRS & UBO Self Certification Form. LEI No. is Mandatory for transaction amount 50 Crs and above for Non Individual.

## 3. ADDITIONAL PURCHASE REQUEST

Scheme Name:  Plan: (Please ✓)  Regular  Direct

Option:  Growth  Dividend Payout\*  Dividend Re-Investment\* Dividend Frequency:

Mode of Payment:  Cheque  Demand Draft  RTGS/NEFT  Transfer  One Time mandate  Others

Cheque/DD/UTR/UMR No.:  Cheque Date:

Account No.:  Account Type:  Saving  Current  NRO  NRE  FCNR  Others (Please specify)

Bank & Branch Name:  Amount:

### DEMAT ACCOUNT DETAILS OF FIRST / SOLE APPLICANT NSDL CDSL

Depository Participant Name  Depository Participant (DP) ID

Beneficiary Account Number

Note: 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.

## 4. REDEMPTION REQUEST

Partial Redemption OR  Full Redemption

Amount ₹  or Units

Amount (in words)

Scheme  Plan  Option

Note: if the balance in your folio is less than this redemption request, all units or entire balance shall be redeemed.

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.

Bank Name:

Account No.:

## 5. SWITCH

Partial Switch OR  Full Switch

Amount ₹  or Units

From Scheme  Plan  Option

To Scheme  Plan  Option

## 6. DECLARATION AND SIGNATURES (To be signed by ALL UNIT HOLDERS if mode of holding is 'Joint')

I/We have read and understood the contents of the respective Scheme Information Document, Statement of Additional Information and Key Information Memorandum of TRUST Mutual Fund. I/We hereby apply to the Trustees of TRUST Mutual Fund for units of the Scheme as indicated above and agree to abide by the terms, conditions, rules and regulations of the Scheme. I/We have understood the details of the Scheme and I/We have not received nor have been induced by any rebate or gifts, directly or indirectly, in making this investment. The Distributor 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 declare that the particulars given above are correct. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information, I/We would not hold TRUST Asset Management Private Limited (Investment Manager to TRUST Mutual Fund), their appointed service providers or representatives responsible. I/We hereby declare that the amount being invested by me/us in the Scheme of TRUST Mutual Fund is derived through legitimate sources and is not held or designed for the purpose of contravention of any Act, Rules, Regulations or any statute or legislation or any other applicable laws or any Notifications, Directions issued by any governmental or statutory authority from time to time.

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

SIGNATURES(S) In case of Joint Holders, all unit holders must sign this form.											
Date	D	D	M	M	Y	Y	Y	Y			
Sole/First Unit Holder/Guardian				Second Unit Holder				Third Unit Holder			



## ACKNOWLEDGEMENT SLIP (To be filled in by the Investor)

Folio No.   Additional Purchase  Redemption  Switch  SWP  STP

Received from Mr. / Ms.  Date :  /  /

Stamp & Signature

## DECLARATION

The investor by signing the transaction slip overleaf confirms having understood and agreed to the following Terms & Conditions

1. The ARN holder/s has/have disclosed to Investor/s all the commissions (in the form of trail commission or any other mode), payable to him/her/them for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to him/her/them.
2. That the investor/s has / have read and understood the contents of the Scheme Information Document (s) & Scheme Additional Information of the respective scheme/s and subsequent amendments thereto including the section on "Prevention of Money Laundering". The request for Additional Purchases/Redemptions/Switches etc will be subject to the terms and conditions of the scheme concerned as per the current Scheme Information Document(s) including minimum Investment Amount/Units/Multiple criteria.
3. That the investor/s has/ have neither received nor been induced by any rebate or gifts, directly or indirectly in making this investment.
4. That AMC / Registrar will reject the transaction in case Additional Purchase Request is made along with Redemption and or Switch requests, or vice-versa or a combination of any such requests as two different types of Financial Transactions including SIP/STP/SWP or transactions pertaining to two or more folios are not permissible by the AMC through Single Transaction Slip. AMC/Registrar may summarily reject any financial transaction if not submitted in the transaction slip as specified by the AMC. Similarly any stoppage of SIP/SWP/STP will not be accepted on a transaction slip
5. That the AMC may credit the dividend/redemption proceeds into investor's Bank Account through Direct Credit in cases where the AMC has arrangements with the same Bank with which investor has an account. At present, the AMC has arrangements for direct credit with the following 7 Banks which may be deleted or added as the discretion of the AMC without any prior information/notice to the Investors 1. Axis Bank 2. HDFC Bank 3. ICICI Bank 4. IDBI Bank 5. Kotak Mahindra Bank 6. State Bank Of India 7. Yes Bank.
6. That TRUST Asset Management Pvt. Ltd /TRUST Mutual Fund /TRUST Financial Trustee Co. Pvt. Ltd, will not be held responsible in case of delayed credit / credit of dividend / redemption proceeds not having been effected on account of incorrect/incomplete Bank details furnished by the investor or any other reason beyond its control. Also that a cheque/Demand Draft will be issued in the event of rejection of Direct Credits by Bank beyond AMC's control.
7. The Bank Details will be updated for the particular scheme/plan/option only, if the transaction slip containing the computer printed/hand-written scheme/plan/ option is used instead of making a request through a letter for such change with folio number only. However, if the transaction slip is used/written request is made by mentioning only folio number (i.e. without mentioning the scheme/plan/option), the bank details will be updated for entire folio provided no other financial transaction is mentioned in the slip. Further, the investor/s understand/s that the request for updation for change/correction in address or contact details will always be updated at folio level and for KYC compliant investor's, the updation will be done as mentioned in point 3 (under Mandatory Requirements) below.
8. In case of difference / ambiguity in the amount and units mentioned in any request for Redemption/Switch, the lower of the two on rupee equivalent basis on the Transaction/applicable NAV date will be considered by the AMC. In the event of investor not having filled in the amount/unit/s in the Transaction Slip, the AMC may redeem/switch-out all the outstanding units in case the Scheme, Plan, Option are clearly mentioned or investor has holdings in one plan only in the folio. However, in case of holdings in multiple plan / schemes, the redemption / switch out request containing any ambiguity will be summarily rejected if the investor does not furnish a clarificatory signed letter on the date of transaction itself up to the normal office hours. Incomplete request may be rejected. However in case of fresh/ additional purchase, if the Investor does not mention the name of the Plan/ Option/Sub – Options/or wherever there is an ambiguity in the choice of Plan/ Option/Sub Option opted for, the AMC/Registrar will allot the units based on the Plan/Options/Sub- Options appearing in the Payment Instrument or as per the default Plan/Options/Sub- Options.
9. Redemption with Change/updation in bank mandate is not permitted. There will be cooling period of 10 calendar days for processing and registration of new bank account. In case of receipt of valid redemption request during the said cooling off period, dispatch of redemption proceeds shall be completed after the completion of cooling period but within 10 business days from the date of processing of redemption request. Additionally, any unregistered bank account or a new bank account forming part of valid redemption request will not be processed and the redemption proceeds will be despatched with the last registered Bank Account ( i.e. existing bank mandate ). The mode of payment of redemption/dividend proceeds will be at the discretion of the AMC.
10. All Financial /Non Financial Transactions should be signed by all the joint holders in case of the Units are held in joint holding. In case the units are held on the Basis of Either /Anyone or Survivor, any one of the joint holders may sign the requests. The Purchase /additional Purchase /Switch In transaction will be treated as " Direct" if the existing or New Broker code is not mentioned in the transaction slip every time.
11. For purchase through " Opt-in broker " transaction charges will be deducted @ Rs.100/- or 150/- as the case may be.

### Mandatory Requirements:

1. Furnishing Bank Details is mandatory as per SEBI guidelines to avoid fraudulent encashment of payment instrument/s issued by the AMC from time to time. Investor may furnish the same with the requisite documentary proofs if not furnished earlier by using the Transaction Slip duly signed by all investors.
2. SEBI has made it mandatory for all applicants (in the case of application in joint names, each of the applicants) to mention his/her permanent account number (PAN) irrespective of the amount of purchase. Where the applicant is a minor, and does not possess his / her own PAN, he / she shall quote the PAN of his/ her father or mother or the guardian, signing on behalf of the minor, as the case may be. For Further details investors are requested to refer SAI.
3. Pursuant to SEBI Circular No. CIR/MIRSD/ 66 /2016 dated July 21, 2016, pertaining to 'Operationalisation of Central KYC Records Registry (CKYCR)' read along with the AMFI Best Practices Guidelines Circular No.68 / 2016-17 dated December 22, 2016 on 'Implementation of Central KYC (CKYC) norms', investors shall take note of the following :
  - i. Any prospective individual investors, who have never done 'Know Your Customer (KYC)' formalities under KYC Registration Agency (KRA) regime and whose KYC is not registered or verified in the KRA system ("new investors"), shall use the new 'CKYC & KRA KYC Form' to complete their KYC formalities.
  - ii. If new investors uses the old KRA KYC form, which does not have all information needed for registration with CKYC, such investor should either fill the new 'CKYC & KRA KYC Form' or provide additional/ missing information using the 'Supplementary CKYC Form'.
  - iii. If new investors have already completed CKYC and have a KYC Identification Number (KIN) issued from CKYCR, can invest in the schemes of the Fund by quoting their 14 digit KIN in the scheme application form(s). The AMC / Fund shall use the KIN provided by the investor to download the KYC information from CKYCR system and update its records. In case the KIN provided by the investor is obtained by him/ her using a form other than the new CKYC & KRA KYC Form (applicable for mutual fund investors), the investor shall provide a fresh CKYC & KRA KYC Form. Further, in case the investor's PAN is not updated in the CKYCR system, the investor shall provide a self-certified copy of the PAN card to the AMC/Fund.
4. For KYC compliant investors, the address will be captured from the database maintained with M/s CVL (CDSL Venture Ltd), provided the same is also intimated to AMC / Registrar. Hence, KYC compliant investors should first approach M/s CVL for any change in address and subsequently intimate AMC / Registrar. The Registrar will not take cognizance of any request for change in address if received with or without any financial transaction for KYC compliant investors. All correspondence / dispatches / remittances will be made at the last address appearing the record.