

**SYSTEMATIC  
TRANSFER  
INVESTMENT  
PLAN**

# STRIP ENROLMENT FORM

(Please read terms and conditions/instructions overleaf)

(OCBs & US Persons Including Qualified Foreign Investors Registered in USA and Canada and Residents of Canada are not allowed to Invest in Units of any of the schemes of UTI MF)



For office use only

| Name of Financial Advisor and ARN | Sub ARN Code | Sub Code | EUI No. | MO Code | UTI RM No. | IH NO. | Reporting Branch Name |
|-----------------------------------|--------------|----------|---------|---------|------------|--------|-----------------------|
| ARN-9992                          |              |          |         |         |            |        |                       |

Upfront Commission shall be paid directly by the investor to the AMFI/NISM registered Distributor based on the investors' assessment of various factors including the service rendered by the distributor. I/We confirm that the EUIN box is intentionally left blank by me/us as this is an "execution-only" transaction without any interaction or advice by the distributor personnel concerned or notwithstanding the advice of in-appropriateness, if any, provided by such distributor personnel and the distributor has not charged any advisory fees for this transaction. (☐ Please tick only when EUIN box is left blank)

|                                       |                            |                            |
|---------------------------------------|----------------------------|----------------------------|
|                                       |                            |                            |
| Signature of 1st Applicant / Guardian | Signature of 2nd Applicant | Signature of 3rd Applicant |

Application / Folio No. of Source Scheme 



 Date:

## 1. FIRST / SOLE APPLICANT INFORMATION (MANDATORY)

Name of First / Sole Applicant

Name of the Second Applicant

Name of the Third Applicant

Name of the Guardian (in case First / Sole Applicant is a minor)

| APPLICANT            | PAN (Mandatory)   | KYC Complied             | Mobile No. | E-mail ID |
|----------------------|---|--------------------------|------------|-----------|
| First/Sole Applicant | <table border="1" style="display: inline-table; width: 100px; height: 15px;"></table> | <input type="checkbox"/> |            |           |
| Second Applicant     | <table border="1" style="display: inline-table; width: 100px; height: 15px;"></table> | <input type="checkbox"/> |            |           |
| Third Applicant      | <table border="1" style="display: inline-table; width: 100px; height: 15px;"></table> | <input type="checkbox"/> |            |           |
| Guardian             | <table border="1" style="display: inline-table; width: 100px; height: 15px;"></table> | <input type="checkbox"/> |            |           |

## 2. SYSTEMATIC TRANSFER INVESTMENT PLAN DETAILS (Please note that it will take 7 days to Register STRIP)

| Frequency of STRIP   | Daily             | Weekly                  | Monthly                 | Quarterly               |
|----------------------|-------------------|-------------------------|-------------------------|-------------------------|
| Minimum No. of STRIP | 20                | 6                       | 6                       | 2                       |
| Minimum amount       | ₹ 100             | ₹ 1000                  | ₹ 1000                  | ₹ 3000                  |
| Dates of transfer    | All business days | 1st, 7th, 15th and 25th | 1st, 7th, 15th and 25th | 1st, 7th, 15th and 25th |

| FROM - UTI | SCHEME NAME | Plan | Option |
|------------|-------------|------|--------|
|------------|-------------|------|--------|

| TO - UTI | SCHEME NAME | Plan | Option |
|----------|-------------|------|--------|
|----------|-------------|------|--------|

Fixed Amount per transfer 



 Frequency (Please ✓ Tick) ☐ DAILY ☐ WEEKLY ☐ MONTHLY ☐ QUARTERLY

Dates (please ✓ tick) ☐ 1st ☐ 7th ☐ 15th ☐ 25th Number of transfers

Transfer period from 



 To

## 3. DECLARATION AND SIGNATURES

I/We have read and understood the contents of the Scheme Information Document (SID) and Key Information Memorandum (KIM), addenda issued till date of the source scheme as well as destination scheme and the terms/conditions overleaf. I/We hereby apply for enrolment under STRIP and agree to abide by the terms and conditions of STRIP. I / We undertake to confirm that this investment has been duly authorised by appropriate authorities in terms of all relevant documents and procedural requirements.

I / We have not received nor been induced by any rebate or gifts, directly or indirectly in making investments.

**The ARN holder 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 confirm that we are Non-Residents of Indian Nationality / Origin and that the funds are remitted from abroad through approved banking channels or from my / our NRE / NRO Account.

I / We undertake to provide further details of source of funds and any such other relevant documents, if called for by UTI Mutual Fund.

**\* Applicable to NRIs**

(Signature)  
First /Sole Unitholder /Guardian

(Signature)  
Second Unitholder

(Signature)  
Third Unitholder

## Acknowledgement of STRIP Enrolment Form (To be filled in by the Unit holder)



(for existing unitholder) Folio No. \_\_\_\_\_

Received from Mr./Miss/Mrs : \_\_\_\_\_

STRIP application.

Amount of transfer per installment ₹ \_\_\_\_\_ From Scheme / Plan \_\_\_\_\_  
to Scheme/Plan \_\_\_\_\_

| Transfer Frequency                 | STRIP Date  |
|------------------------------------|---|
| <input type="checkbox"/> Daily     |   |
| <input type="checkbox"/> Weekly    | <input type="checkbox"/> 1st <input type="checkbox"/> 7th   |
| <input type="checkbox"/> Monthly   | <input type="checkbox"/> 15th <input type="checkbox"/> 25th |
| <input type="checkbox"/> Quarterly |   |

### Transfer Period From

to

Fixed Amount per Transfer

in figures

Date & Stamp of Receiving UFC

## Features and Terms & Conditions

- Systematic Transfer Investment Plan:** is a facility wherein investor can opt to transfer a fixed amount at regular intervals from one designated scheme to another designated scheme of UTI Mutual Fund.
- Minimum amount of investment:** in the source scheme is Rs 12,000/-. This is applicable for the initial investment in the case of new investors and outstanding balance in the case of existing Unitholders.  
The minimum amount of investment for "Institutional Plan" under the Source Schemes, wherever applicable, for Systematic Transfer Investment Plan (STRIP) will be the same as applicable for normal investment under "Institutional Plan" as mentioned in the Scheme Information Document of the respective Schemes. Where the Destination Scheme is UTI-Floating Rate Fund (Short Term Plan) / UTI-Liquid Cash Plan / UTI-Money Market Fund / UTI-Treasury Advantage Fund, an Investor is required to maintain the minimum amount required for the scheme as applicable for the respective schemes.
- Default Investment:** In the "To Scheme" if no investment option is ticked default option will be Growth Option. If no dividend option type is selected, default option will be 'Reinvestment'. If no frequency is ticked, however date of transfer is ticked by the investor, then by default Monthly option will be considered. If no frequency is ticked and if all 4 dates are ticked, same will be treated as weekly option and processed accordingly.  
If frequency and Date are ticked however no period is mentioned / Number of transfer is left blank, STP shall commence immediately on the next STP date (Business Day) after 7 days from the time stamping date of the form and will continue until default period of 5 years.  
Default amount:- If no amount is mentioned then by default minimum amount as prescribed under each frequency shall be considered as the STRIP amount.
- Periodicity of transfer:** STRIP facility is offered with the following periodicity: Daily, Weekly, Monthly and Quarterly. Weekly STRIP will not be allowed, if the STRIP under the folio is already registered with any other frequency (Daily / Monthly / Quarterly).
- Minimum No. of Days for Registration of STRIP:** The application for enrolment of STRIP should be submitted atleast 7 days prior to the commencement of first STRIP date.
- Transfer of funds:** Transfer of funds will take place from source scheme to destination scheme for the schemes mentioned below in the table.
- Date of transfer:** Unitholders will be eligible to transfer a fixed amount on daily basis i.e. on every business day; on specified date i.e. 1st, 7th, 15th, & 25th of each month under Weekly periodicity; on a pre-specified date i.e. on 1st or 7th or 15th or 25th of each month under the Monthly periodicity and on 1st or 7th or 15th or 25th of the first month of each quarter, under Quarterly periodicity. If that day being a holiday, next business day would be considered for the transaction.
- Minimum amount of transfer:** The minimum amount to be transferred is Rs.100/- per business day under Daily Periodicity; Rs.1000/- under the Weekly Periodicity; Rs.1,000/- under the Monthly Periodicity and Rs.3,000/- under the Quarterly Periodicity.

- Maximum amount of transfer:** There is no upper limit for transfer under all the periodicities.
- Minimum Number of STRIPS:** Minimum number of STRIP will be 20 under Daily Periodicity, 6 under Weekly Periodicity, 6 under Monthly Periodicity and 2 under Quarterly Periodicity. There will be no upper limit. If the minimum number is not mentioned, then by default, the transaction to be continued till the amount in the source scheme gets exhausted.
- Transfer of amount:** The transfer of amount from the source scheme to the destination scheme will be effected by redeeming the units of the source scheme at applicable NAV/redemption price as on specified date and the amount will be converted into units as per applicable NAV/purchase price under the destination scheme as on the specified date.
- Load:** Load structure existing at the time of investment under source / destination scheme will be applicable under the respective schemes.  
In terms of SEBI circular no. SEBI/MD/CIR No.4/ 168230/09 dated June 30, 2009, no entry load will be charged by the Scheme to the investor effective August 1, 2009. 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 distributor. No entry load shall be charged for direct applications received by the Asset Management Company (AMC) i.e. applications received through internet, submitted to AMC or collection centre that are not routed through any distributor/agent/broker. No entry load shall also be charged for additional purchases done directly by the investor under the same folio and switch in to a scheme from other schemes if such a transaction is done directly by the investor. Wherever the ARN/Code of a broker/IFA/sub-broker/distributor given in the application form has to be struck off, it has to be counter signed by the first applicant. In case the first applicant does not counter sign the application will not be treated as a direct application. For direct applications, the area for providing ARN/ Code of a broker/IFA/subbroker/ distributor should not be left blank. It should be marked "Direct" or "Not Applicable". All Official Points of Acceptance will be available on the website of UTI Mutual Fund www.utimf.com.  
No entry and exit load will be charged on Bonus Units issued and on Units allotted on Re-investment of Dividend.
- Termination of STRIP:** STRIP will automatically get terminated under the following conditions
  - The unit holdings under the source scheme becomes nil or lower than minimum amount to be transferred as stipulated.
  - In the case of death of the first unit holder.
  - If the unit holder wishes to terminate at any time by sending a written request to official point of acceptance. Such notice will have to be sent at least 15 calendar days prior to the due date of the next transfer date.
  - If lien or pledge or STOP is marked against the units in the source scheme.
  - If redemption is put for all units or entire amount during the STRIP transfer then the STRIP would cease off after units are redeemed.

### GENERAL INSTRUCTIONS

- The name of unitholders (1st, 2nd & 3rd) and their order should be identically mentioned in the source scheme application form as well as STRIP enrolment form.
- New Investor desiring to opt for STRIP facility is required to fill in source scheme application form as well as STRIP enrolment form.
- The provision of "Minimum Application Amount" and "Minimum Redemption Amount" if specified in the respective scheme information document of the source and destination scheme will not be applicable in the case of transaction through STRIP except Institutional Plan.
- STRIP request will be registered for a folio, even if it is already under Systematic Investment Plan (SIP), Monthly Withdrawal Plan (MWP) or Fixed Withdrawal Plan (FWP).
- If the residual amount in source Scheme is less than the scheme minimum amount or strip amount whichever is less, then the residual amount will be included in the last STRIP installment. However, on termination of STRIP, if the balance in the destination scheme is found to be below the minimum amount as per the provisions of scheme, the same will be redeemed at the redemption price applicable on the effective date of termination under the conditions stated in point no. 13 above.
- If the total investment amount to be transferred is not mentioned then the entire invested amount will be transferred.
- UTI Asset Management Co. Ltd. reserves the right to reject STRIP mandate without assigning any reasons thereof.
- UTI AMC reserves the right to change / modify the terms & conditions of STRIP facility at any time.
- SoAs under STRIP – Daily / Weekly Periodicity will be issued on a quarterly basis viz December, March, June & September respectively.
- Know Your Client (KYC) requirement is now mandatory for all investors, irrespective of the amount of investment w.e.f. January 01, 2011. For details, please refer to Statement of Additional Information (SAI).
- Note on EUIN:** Investors should mention the EUIN of the person who has advised the investor. If left blank, please sign the declaration provided in the application form. EUIN will assist in tackling the problem of mis-selling even if the employee/ relationship manager/sales person leave the employment of the ARN holder /Sub broker.  
**Applicability of EUIN :**
  - Transactions to be included - Purchases, Switches, SIP/ STP / STP Triggers registration, Dividend Transfer Plan registration.
  - Transactions to be excluded – Auto SIP/ STP / SWP / STP Triggers Installments, Dividend Reinvestments, Bonus Units, Redemption, SWP Registration, Zero Balance Folio creation and Dividend Transfer Plan installments.

## List of Schemes where STRIP facility is available

STRIP facility is available under all Plans and Options of the below mentioned Source/Destination Schemes.

| Source Scheme                                      |
|--|
| UTI-Banking & PSU Debt Fund                        |
| UTI-Bond Fund                                      |
| UTI-Dynamic Bond Fund                              |
| UTI-Gilt Advantage Fund – LTP                      |
| UTI-G-Sec Fund Short Term Plan                     |
| UTI-Income Opportunities Fund                      |
| UTI-MIS Advantage Plan                             |
| UTI-Monthly Income Scheme                          |
| UTI-Short Term Income Fund                         |
| UTI-Floating Rate Fund (Short Term Plan)           |
| UTI-Liquid Cash Plan                               |
| UTI-Money Market Fund                              |
| UTI-Treasury Advantage Fund                        |
| UTI-SPrEAD Fund                                    |
| Destination Schemes<br>(To any one of the schemes) |
| UTI Balanced Fund                                  |
| UTI Banking Sector Fund                            |

|                                       |
|---------------------------------------|
| UTI Dividend Yield Fund               |
| UTI Energy Fund                       |
| UTI Equity Fund                       |
| UTI Equity Tax Savings Plan           |
| UTI Infrastructure Fund               |
| UTI Leadership Equity Fund            |
| UTI Mastershare Unit Scheme           |
| UTI Mid Cap Fund                      |
| UTI MNC Fund                          |
| UTI Multi Cap Fund                    |
| UTI Nifty Index Fund                  |
| UTI Opportunities Fund                |
| UTI Pharma & Healthcare Fund          |
| UTI SPrEAD Fund                       |
| UTI Top 100 Fund                      |
| UTI Transportation and Logistics Fund |
| UTI Wealth Builder Fund Series-II     |
| UTI-India Lifestyle Fund              |
| UTI-Banking & PSU Debt Fund           |
| UTI-Bond Fund                         |
| UTI-Dynamic Bond Fund                 |

|   |
|---|
| UTI-Gilt Advantage Fund – LTP   |
| UTI-G-Sec Fund Short Term Plan  |
| UTI-Income Opportunities Fund   |
| UTI-MIS Advantage Plan  |
| UTI-Monthly Income Scheme   |
| UTI-Short Term Income Fund  |
| UTI Children's Career Balanced Plan   |
| UTI Mahila Unit Scheme  |
| UTI Retirement Benefit Pension Fund   |
| UTI-CCP Advantage Fund  |
| UTI-Unit Scheme for Charitable & Religious Trusts & Registered Societies (UTI-CRTS) |
| UTI-Floating Rate Fund (Short Term Plan)  |
| UTI-Liquid Cash Plan  |
| UTI-Money Market Fund   |
| UTI-Treasury Advantage Fund   |
| UTI-Unit Linked Insurance Plan  |
| UTI-Medium Term Fund  |

Following table may please be referred for Default options:

| Default option        |                             |                              |  |   |
|-----------------------|-----------------------------|------------------------------|--|---|
| Dividend Option type  | Destination scheme option   | If no frequency is ticked    | If no dates are ticked   | If no amount is mentioned                         |
| Dividend Reinvestment | Growth Option of the scheme | Monthly frequency by default | Immediately on the next STP date (Business Day) after 7 days from the time stamping date of the form and will continue until default period of 5 years | Minimum amount as prescribed under each frequency |

Please refer instruction no. 3