

# COMMON TRANSACTION SLIP

This Form is for use of Existing Investors only. To be filled in CAPITAL LETTERS



Distributor / RIA / PMRN / ARN Code	Sub Broker ARN	Sub Broker/Branch/RM Internal Code	EUIN (Refer note below)	For Office use only
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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. 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. In case the subscription amount is Rs 10,000/- or more and your Distributor has opted to receive Transaction Charges, Rs 150/- (for first time mutual fund investor) or Rs 100/- (for investor other than first time mutual fund investor) will be deducted from the subscription amount and paid to the distributor. Units will be issued against the balance amount invested.

<input checked="" type="checkbox"/> First / Sole Applicant / Guardian / Authorised Signatory	<input checked="" type="checkbox"/> 2nd Applicant's Signature	<input checked="" type="checkbox"/> 3rd Applicant's Signature
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## 1. APPLICANT'S DETAILS (AS PER FOLIO)

Existing Folio No.

Name of the First / Sole Applicant / Guardian  PAN

## 2. ADDITIONAL PURCHASE (DEFAULT PLAN/OPTION WILL BE APPLIED IN CASE OF NO INFORMATION, AMBIGUITY OR DISCREPANCY)

Scheme Name: \_\_\_\_\_ Plan:  Regular  Direct | Option:  Growth  IDCW Payout

Amount ₹  In Figure Amount ₹  In Words

Payment Mode:  Cheque  DD  NEFT  Fund transfer  One Time Mandate Date:

Ref. Number:  Cheque / Instrument Number:  DD charges, if any. ₹

Bank Name: \_\_\_\_\_ Bank A/C No:

Documents Attached to avoid Third Party Payment Rejection, where Applicable  Bank certificate, For DD  Third party Declaration

## DEMAT DETAILS (MANDATORY ONLY IF EXISTING FOLIO IS IN DEMAT MODE)

NSDL	CDSL	Enclose for Demat Option:
DP ID <input type="text"/>	<input type="text"/>	<input type="checkbox"/> Client Master List
Beneficiary Account No. <input type="text"/>		<input type="checkbox"/> Transaction/Holding Statement
		<input type="checkbox"/> DIS Copy

## 3. REDEMPTION

Full Redemption OR  Partial Redemption Amount: ₹  In Figure or Units:

Amount  In Words

Scheme Name: \_\_\_\_\_ Plan:  Regular  Direct | Option:  Growth  IDCW Payout

Bank Name: \_\_\_\_\_ Bank A/C No:

LEI Code:  (Legal Entity Identifier Number is Mandatory for Redemption Transaction value of INR 50 crore and above for Non-Individual investors.)

## 4. SWITCH

Full Switch OR  Partial Switch Amount: ₹  In Figure or Units:

Amount  In Words

From Scheme Name: \_\_\_\_\_ Plan:  Regular  Direct | Option:  Growth  IDCW Payout

To Scheme Name: \_\_\_\_\_ Plan:  Regular  Direct | Option:  Growth  IDCW Payout

## 11. DECLARATION & SIGNATURES :

**Direct Plan investors:** I/ We have invested in the Scheme(s) of your Mutual Fund under Direct Plan. I/We hereby give you my/our consent to share/ provide the transactions data feed/ portfolio holdings/ NAV etc. in respect of my/our investments under Direct Plan of all Schemes Managed by you, to the above mentioned Mutual Fund Distributor / SEBI-Registered Investment Adviser. **Declaration by NRI/PIO:** I / We hereby confirm that NJ Asset Management Private Limited ("NJAMC") / NJ Mutual Fund ("NJMF") has not communicated in any manner for soliciting its schemes / products in my jurisdiction and I/We have based on my / our own discretion applied / invested in the schemes of NJMF. I/We are aware that NJAMC / NJMF have neither filed any of its constitution / scheme related documents nor registered its Units in any jurisdiction / region except India as stated in the Statement of Additional Information. I/We confirm that my/our application is in compliance with applicable Indian and foreign laws and I am /we are not prohibited from accessing capital markets under any order/ruling/judgment etc. of any jurisdiction / regulation. I/We understand and acknowledge that NJAMC reserves the right to accept or reject any transactions and redeem any investments, at their sole discretion and as they may deem fit without assigning any reason thereto. I/We hereby authorize NJAMC / NJMF, its employees, its agents, its Registrar to disclose, share, remit in any form/manner/mode information with respect to investments made by me/us and/or any part of it including the changes/updates that may be provided by me/us to its agents, third party service providers, SEBI registered intermediaries for the purposes of any Indian or foreign statutory, regulatory, judicial, quasi-judicial authorities/agencies requirements without any intimation/advice to me/us. I/ We hereby agree to provide any additional information / documentation to NJAMC, its agents, employees, its Registrar etc. that may be required in connection with the investments made by me/us. I/We shall indemnify NJAMC/NJMF/NJ Trustee Private Limited and its Sponsor/Group/ Associates, its Officers/Directors/Employees in respect of any loss, cost, charge, expenses and such other claims which may be incurred in respect of any false, misleading, inaccurate and incomplete information in connection with my/our investments in the Scheme(s). **All Investors:** I hereby authorize the representatives of NJ Asset Management Private Limited and its Associates to contact me through any mode of communication. This will override registry on DND / DNDC , as the case may be. I/We confirm that the information provided in this form is true & accurate. I / We hereby authorise the Fund, AMC and its Agents to disclose my / our details including investment details to my / our bank(s) / Fund's bank(s) and / or Distributor / Broker / Investment Advisor and to verify my / our bank details provided by me / us, or to disclose to such service providers as deemed necessary for conduct of business. I hereby declare that the AMC / Fund can provide my information to any institution / tax authorities / governmental body for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. I/We have read and understood the content of the SID / SAI / KIM of the scheme. I have read and understood the terms, conditions, details, rules and regulations governing the scheme. I/We hereby declare that the amount invested in the scheme is through legitimate source only and does not involve designed for the purpose of the contravention of any Act, Rules, Regulations, Notifications or Directives of the provisions of the Income Tax Act, Anti Money Laundering Laws, Anti Corruption Laws or any other applicable laws enacted by the Government of India from time to time. I/We have not received nor have been induced by any rebate or gifts, directly or indirectly in making this investment. I/We confirm that the funds invested in the Scheme, legally belong to me/us. I/We hereby authorize the Mutual Fund, to redeem the funds invested in the Scheme, in favour of the applicant, at the applicable NAV prevailing on the date of such redemption and undertake such other action with such funds that may be required by the law. The ARN holder has disclosed to me/us all the commissions (trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Funds amongst which the Scheme is being recommended to me/us.

<input checked="" type="checkbox"/> First / Sole Applicant / Guardian / Authorised Signatory	<input checked="" type="checkbox"/> 2nd Applicant's Signature	<input checked="" type="checkbox"/> 3rd Applicant's Signature
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## ACKNOWLEDGMENT SLIP (TO BE FILLED IN BY THE INVESTOR)

Existing Folio No.   Additional Purchase  Redemption  Switch Date

Received from \_\_\_\_\_ Amount ₹.  In Figure

Scheme Name: \_\_\_\_\_ Plan:  Regular  Direct | Option:  Growth  IDCW Payout

From Scheme Name: \_\_\_\_\_ For Switch Transaction Plan:  Regular  Direct | Option:  Growth  IDCW Payout

Collection Center's Stamp & Receipt Date and Time

# COMMON TRANSACTION SLIP

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## TERM & CONDITIONS

This form should be used by existing investors only by mentioning their folio number, name and Scheme details. Please read the Scheme related documents, Addenda, KIM and Instructions there-in and below mentioned instructions carefully before filling up the form. Investors should provide details/instructions only in the designated space provided in the form else the same may not be considered.

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. 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.

### 1. ADDITIONAL PURCHASE & PAYMENT DETAILS:

Investors should fill in the name of the scheme, plan and option. In case the details are not proper and clear or in case of incomplete details, non-clarity or ambiguity, default options will be considered and applied. Separate cheques and forms should be given for each separate investment in a different scheme, plan or option.

The first unit holder should be one of the bank account holders in the pay-in bank account. Purchase application through Cheque/DD/RTGS/NEFT/Funds transfer requests should necessarily mention the pay-in bank account details i.e. account number and bank, branch name of the bank account used for issuing the payments to the fund, Cheque/DD should be in favour of scheme name.

If this is not evidenced on the payment cheque/funds transfer/RTGS/NEFT request, or in case of demand drafts, unit holder should attach necessary supporting documents as required by the fund, like a bank certificate, bank passbook copy or statement to prove that the funds are from a bank account held by the first unit holder only.

If the documents are not submitted with the application, the NJ mutual fund reserves the right to reject the application or call for additional details.

In case the pay-in bank details provided with the additional purchase are not any of the registered bank accounts with the folio, and if it is evidenced that the first unit holder is one of the bank account holders in the pay-in bank account, the request will be eligible to process. However the pay-in bank account will not be updated as a registered bank account with the folio. If investors wish to add or modify such bank details with the folio a separate Bank modification or Multiple Bank registration request signed by all the unit holders should be provided, irrespective of mode of holding of the folio.

One time Bank mandate (OTM) facilitates the investor to register a debit Mandate with the investor's banker which will contain a pre-defined upper limit for the amount to be debited from his bank account for every Purchase Transaction done. If the investor is making payment through an OTM facility registered in the folio, then he has to tick the relevant box and not attach any cheque along with the purchase request. The subscription amount will be debited from the bank account details as mentioned in the OTM facility opted by the investor. Investors are requested to select OTM as payment mode only if the OTM is already registered with the Mutual fund. In case the OTM is not registered, a separate OTM registration request should be provided and once the same is approved by the investor's Banker, the investor can select the OTM as mode of payment for future transactions.

Investors shall note that KYC is mandatory and they need to comply with the 'Know Your Client' requirements as applicable from time to time. Applications are liable to be rejected without any intimation to the applicants, if required KYC compliance is not completed by all the applicants/unit holders.

If the existing folio is in demat mode, it is mandatory for investors to provide the demat account details as available in the folio number. If the existing folio is in demat mode but investors wish to provide additional purchase in non-demat mode, or vice versa, Investors are requested to submit Common Application Form for maintaining a separate folios for their demat and non-demat holdings.

**Enclose for Demat Option:** Client Master List, Transaction/Holding Statement, DIS Copy

### 2. REDEMPTION REQUEST:

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.

Note: In case Change of bank details request has been submitted in last 10 working days, we may HOLD the redemption payout for 7 working days. The payout will then be made on the 8th working day. If the 8th working day is a holiday / non-transaction day, then the redemption payout will be made on the next working day

Redemption may not be processed if folio number and full scheme name including plan and option is not mentioned. Please ensure that either of amount or Specific units are mentioned in the partial redemption request.

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

In order to protect the interest of investors from fraudulent encashment of cheques and as per the current SEBI Regulations, it is mandatory for applicants to mention in their Application / Redemption request the bank name and account number.

The fund offers a facility to register multiple bank accounts and designate one of the bank accounts as "Default Bank Account". Default Bank Account will be used for all redemptions payouts, unless the investor specifies one of the existing registered bank accounts in the redemption request for receiving redemption proceeds. A new non-registered bank account specified in the specific redemption request for receiving redemption proceeds will not be considered and the redemption proceeds will by default be credited into the default Bank account. The investor will have to initially get the non registered bank account registered in the folio and then apply for the redemption request. Also if no registered bank account is mentioned at the time of redemption then by default the redemption proceeds will be credited into the default Bank account.

RBI vide circular dated January 2021 on "Introduction of Legal Entity Identifier for Large Value Transactions in Centralized Payment Systems" decided to introduce the LEI

system for all payment transactions of value INR 50 crore and above for Real Time Gross Settlement (RTGS) and National Electronic Funds Transfer (NEFT) from April 1,

2021. In view of the same it will be mandatory to include 20-digit Legal Entity Identifier (LEI) information while initiating any transaction of value INR 50 crore and above by entities (non-Individual) for purchase and redemption transaction.

### 3. SWITCH REQUEST:

Switches will be processed only if the Plan/option and amount/units is clearly mentioned.

The switch request will be subject to the minimum application size and other terms and conditions of the SID of switch in Scheme and the scheme from which the amount is switched out.

The Applicable price for switching out of the existing funds will be the NAV of the Business Day on which the switch request, complete in all respects, is accepted by the AMC, subject to the cut-off time and other terms specified in the SID of the respective existing open ended Schemes considering exit loads if any that the AMC/ Trustee may have from time to time.

### 4. NAV Applicability:

Applicability of NAV shall be based on receipt of application and the entire amount as per the application are credited to the bank account of the respective Scheme or of the Fund before the cut-off time i.e. available for utilization before the cut-off time and other terms specified in the SID, SAI, KIM and other scheme related documents.