

# STRIP Advantage Enrolment Form

UTI Tower, Gn Block Bandra Kurla Complex, Bandra (E), Mumbai-400 051



EUIN-E062011

Agent Name:	ARN No.: <b>71279</b>
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**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.**

I/We have read and understood the contents of the Scheme Information Documents of the source scheme as well as destination scheme and the terms/conditions overleaf. I/We hereby apply for enrolment under STRIP Advantage and agree to abide by the terms and conditions of STRIP Advantage.

Name of the First / Sole Applicant

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PAN\* of First Applicant  Enclosed  PAN Card Copy E-mail ID

Mobile No.

Name of the Second Applicant

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PAN\* of Second Applicant  Enclosed  PAN Card Copy E-mail ID

Mobile No.

Name of the Third Applicant

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PAN\* of Third Applicant  Enclosed  PAN Card Copy E-mail ID

Mobile No.

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

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PAN\* of Guardian  Enclosed  PAN Card Copy E-mail ID

Mobile No.

\*PAN is mandatory as per SEBI guidelines

Folio No. of Source scheme (for existing unitholder)

Source scheme Application Number (If Folio No. is not available for new investor)

From Scheme  Plan  Option

To Scheme  Plan  Option

"Please fill in 5 mutually exclusive entry triggers with corresponding stop loss and profit booking triggers (Sensex levels in multiples of 100 say 8900, 9000 etc.)"

	Levels for entry	Stop Loss	Profit Booking
(1)	<input type="text"/>	<input type="text"/>	<input type="text"/>
(2)	<input type="text"/>	<input type="text"/>	<input type="text"/>
(3)	<input type="text"/>	<input type="text"/>	<input type="text"/>
(4)	<input type="text"/>	<input type="text"/>	<input type="text"/>
(5)	<input type="text"/>	<input type="text"/>	<input type="text"/>

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.

\_\_\_\_\_  
(Signature)  
First/Sole Applicant/Guardian

\_\_\_\_\_  
(Signature)  
Second Applicant

\_\_\_\_\_  
(Signature)  
Third Applicant

## Acknowledgement of STRIP Advantage Enrolment Form (To be filled in by the Unitholder)



Received from Mr/Miss/Ms: \_\_\_\_\_

STRIP Advantage Enrolment Form under Folio No. / Application No. \_\_\_\_\_

From Scheme \_\_\_\_\_

to Scheme \_\_\_\_\_

	Levels for entry	Stop Loss	Profit Booking
(1)	<input type="text"/>	<input type="text"/>	<input type="text"/>
(2)	<input type="text"/>	<input type="text"/>	<input type="text"/>
(3)	<input type="text"/>	<input type="text"/>	<input type="text"/>
(4)	<input type="text"/>	<input type="text"/>	<input type="text"/>
(5)	<input type="text"/>	<input type="text"/>	<input type="text"/>

Date & Stamp of Receiving UFC

## Features and Terms & Conditions

**STRIP Advantage:** Under the UTI-STRIP Advantage, an investor systematically transfers his investments from the source schemes (listed below) to any of the target schemes (eligible equity schemes) (listed below).

- The investor may give 5 mutually exclusive entry triggers (Sensex levels in multiples of 100 say 8900,9000 etc) at which switchover will be made to one of the Target Schemes from Source Schemes, with corresponding Stop loss triggers and Profit triggers.
- When the stop loss trigger or profit trigger gets activated there will be switchover from Target Schemes to Source Schemes.
- Each trigger is executable only once, that is, once a trigger is fired, it gets exhausted and can not be used again.
- Also, if more than one entry trigger gets fired, the higher of the two will be considered with corresponding stop loss and profit triggers.

**Source Schemes:** UTI-Money Market Fund, UTI-Liquid Fund Cash Plan, UTI-Treasury Advantage Fund and UTI-Floating Rate Fund.

**Target Schemes i.e. Eligible Equity Schemes (into which transfer can be done):** UTI Master Index Fund (Growth Option), UTI-Nifty Index Fund (Growth Option) and UTI-Dividend Yield Fund (Growth Option). An investor has to choose one of the said equity scheme.

**Minimum Investment amount in source scheme:** Rs.50, 000/- (Rupees Fifty Thousand). The minimum amount of investment for "Institutional Plan" under the Source Schemes is as mentioned in the Scheme Information Document of the respective Schemes.

**Minimum transfer amount:** Entire amount in the source scheme will be switched over to the target scheme on activation of trigger. Similarly, on reactivation of trigger the entire amount will be transferred back to source scheme from the target scheme.

**Maximum amount of transfer:** There is no upper limit for transfer under both the source and target schemes.

**Reverse Trigger:** At each entry triggers the amount will be invested in the target scheme by redeeming the units from the source scheme at applicable NAV as mentioned below

Similarly, when the stop loss trigger or profit trigger gets activated the units will be redeemed from the target scheme and invested back into the source scheme at applicable NAVs as mentioned below.

**Effective date of trigger:** Trigger will be effective not later than 3 working days of receipt at the office of Registrar. If, the unit holder wishes to change the Trigger Levels, he/she will have to register afresh by completing prescribed STRIP Advantage Enrolment Form.

**#Load structure:** Entry Load / Exit Load: As applicable under Source Schemes and Target Schemes.

#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.

In terms of SEBI circular no. SEBI/IMD/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 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 it the application will not be treated as a direct application.

For direct applications, the area for providing ARN/ Code of a broker/IFA/sub-broker/ distributor should not be left blank. It should be marked "Direct" or "Not Applicable".

No entry and exit load will be charged on Bonus Units issued and on Units allotted on Re-investment of Dividend.

All Official Points of Acceptance will be available on the website of UTI Mutual Fund [www.utimf.com](http://www.utimf.com).

**Termination of STRIP Advantage:** STRIP will automatically get terminated under the following conditions:

- The unit holdings under the both source schemes becomes less than Rs.5000/-
- In the case of death of the first unit holder
- The unit holder can terminate STRIP Advantage at any time by sending a written request to Official Point of Acceptance (OPA). Notice of such termination shall be made effective not later than 3 working days from the date of receipt of the said request. Triggers, which may get activated until the effective date of discontinuation shall be processed in accordance with the terms, laid hereinabove.
- If lien or pledge or STOP is marked against the units in the source scheme.

**Applicable NAV:** The applicable NAV in case of transfer from Source Schemes to Target Schemes will be the next day (T+1) on which trigger takes place. In case of reverse trigger from Target Schemes to Source Schemes, the applicable NAV of equity will be that of the next business day of the day on which trigger has taken. The applicable NAV of liquid Schemes would be T+2 day and credit to Liquid Scheme will be on T+3 day. During this period of 3 days, no fresh trigger can take place.

### 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 Advantage is required to fill in source scheme application form as well as STRIP Advantage enrolment form.
- The provision of "Minimum Application Amount" and "Minimum Redemption Amount" if specified in the respective Scheme Information Document of source and destination scheme will not be applicable in the case of transaction through STRIP Advantage except Institutional Plan.
- STRIP Advantage request will not be registered for a folio, if it is already under Systematic Investment Plan (SIP) or Systematic Transfer Investment Plan (STRIP).
- UTI Asset Management Co. Ltd. reserves the right to reject STRIP Advantage mandate without assigning any reasons thereof.
- UTI AMC reserves the right to change / modify the terms & conditions of STRIP Advantage facility at any time.
- In case of investment of Rs.50,000/- and above, the investor is required to submit copy of KYC acknowledgment provided by service providers as per Prevention of Money Laundering Act, 2002, the rules notified thereunder and SEBI's guidelines on Anti Money Laundering.

### ADDRESS OF REGISTRAR

**Karvy Computershare Pvt. Limited,**  
Narayani Mansion, H No 1-90-2/10/E,  
Vittalrao Nagar, Madhapur, Hyderabad 500 081.  
Tel.: 040 – 23421944 to 47, Fax: 040 - 23115503,  
Email: [uti@karvy.com](mailto:uti@karvy.com)