

# NON COMMERCIAL TRANSACTION FORM



\*To be filled in capital letters.

\*Please strike off the irrelevant fields in the form to prevent any unauthorised use.

Folio/Account No:

Investor can opt for multiple requests in one single application form.

Date

## 1. Investor Details

|                                     |            |             |           |
|-------------------------------------|------------|-------------|-----------|
| Name of First / Sole applicant      | First Name | Middle Name | Last Name |
| Name of Guardian (In case of Minor) | First Name | Middle Name | Last Name |
| Name of Second Applicant            | First Name | Middle Name | Last Name |
| Name of Third Applicant             | First Name | Middle Name | Last Name |

## 2. Change / Updation of Contact Details of Sole / First Applicant

|                                                       |                                              |                                 |                                             |
|-------------------------------------------------------|----------------------------------------------|---------------------------------|---------------------------------------------|
| Mobile no. (For Receiving Transaction Alerts via SMS) | Tel. No. STD Code                            | Office                          | Residence                                   |
| Mobile No. provided pertains to                       | <input type="checkbox"/> Self                | <input type="checkbox"/> Spouse | <input type="checkbox"/> Dependent children |
| Email ID (CAPITAL letters only)                       | (For Receiving Transaction Alerts via Email) |                                 |                                             |
| Email ID provided pertains to                         | <input type="checkbox"/> Self                | <input type="checkbox"/> Spouse | <input type="checkbox"/> Dependent children |

Please register your Mobile No & Email Id with us to get instant transaction alerts via SMS & Email. Investors providing Email Id would mandatorily receive only E - Statement of Accounts in lieu of physical Statement of Accounts.

I hereby authorize the representatives of Bajaj Finserv Mutual Fund and its associates to contact me through any mode of communication. This will override registry on DND / DNDC, as the case may be.

## 3. Change of Mode Of Operation (Applicable only if there are more than one applicant in the Folio)

☐ Joint ☐ Any One or Survivor(s)

## 4. Change of Tax Status \*Please refer the instructions for the documents to be submitted.

☐ Resident Indian to Non Resident Indian (NRO) ☐ Non Resident Indian to Resident Indian BANK ACCOUNT DETAILS (Applicable only if investor has given Change of Status from RI to NRI (NRO) or vice versa)

### OLD BANK DETAILS

|                      |                           |                                                                                    |  |
|----------------------|---------------------------|------------------------------------------------------------------------------------|--|
| Name of the Bank     |                           |                                                                                    |  |
| Account No.          | Account Type              |                                                                                    |  |
| Bank Branch          | Address                   |                                                                                    |  |
| Bank City            | State                     | Pincode                                                                            |  |
| MICR Code (9 digits) | IFSC Code for NEFT / RTGS | This is an 11 Digit Number, kindly obtain it from your cheque copy or Bank Branch. |  |

### NEW BANK DETAILS

|                      |                           |                                                                                    |  |
|----------------------|---------------------------|------------------------------------------------------------------------------------|--|
| Name of the Bank     |                           |                                                                                    |  |
| Account No.          | Account Type              |                                                                                    |  |
| Bank Branch          | Address                   |                                                                                    |  |
| Bank City            | State                     | Pincode                                                                            |  |
| MICR Code (9 digits) | IFSC Code for NEFT / RTGS | This is an 11 Digit Number, kindly obtain it from your cheque copy or Bank Branch. |  |

Please ensure the name in this application form and in your bank account are the same. Please update your IFSC and MICR Code in order to get payouts via electronic mode into your bank account.

## 5. Registration of Power of Attorney (POA) \*Please refer the instructions for the documents to be submitted.

Name of POA Holder:  PAN No.

## 6. Cancellation of Power of Attorney (POA)

Name of POA Holder:

## 7. Change of Income Distribution cum capital withdrawal Option

|        |                                                                                                 |
|--------|-------------------------------------------------------------------------------------------------|
| Scheme | Option                                                                                          |
|        | <input type="checkbox"/> Payout to Reinvestment <input type="checkbox"/> Reinvestment to Payout |

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

Folio/Account No:

Received from Mr./Mrs.

☐ Change/Updation of Contact Details ☐ Change of Mode of Operation ☐ Change of Tax Status ☐ KYC Updation ☐ Updation/Correction of PAN  
☐ Registration of Power of Attorney (POA) ☐ Cancellation of Power of Attorney (POA) ☐ Change of Income Distribution cum capital withdrawal Option

**8. Updation / Correction of PAN \*Please refer the instructions for the documents to be submitted.**

|                             |         |                      |                    |                          |
|-----------------------------|---------|----------------------|--------------------|--------------------------|
| First / Sole applicant      | PAN No. | <input type="text"/> | PAN Proof Enclosed | <input type="checkbox"/> |
| Guardian (In case of Minor) | PAN No. | <input type="text"/> | PAN Proof Enclosed | <input type="checkbox"/> |
| Second Applicant            | PAN No. | <input type="text"/> | PAN Proof Enclosed | <input type="checkbox"/> |
| Third Applicant             | PAN No. | <input type="text"/> | PAN Proof Enclosed | <input type="checkbox"/> |

**9. KYC Updation**

(Please Tick) ☐ First / Sole applicant ☐ Guardian (In case of Minor) ☐ Second Applicant ☐ Third Applicant

**10. Declaration And Signatures**

I / We have read and understood the contents of the Statement of Additional Information, Scheme Information Document and Key Information Memorandum to the respective Scheme(s) and agree to abide by the same, including any addendum(s) thereto and any terms, conditions, rules and regulations of the scheme(s) applicable from time to time. I/ We will not hold Bajaj Finserv Asset Management Limited and its Registrar liable for any loss due to delayed execution or rejection of the request for reason of incomplete/incorrect information.

Sign of 1st Applicant / Guardian /  
Authorised Signatory / POA

Sign of 2nd Applicant /  
Authorised Signatory / POA

Sign of 3rd Applicant /  
Authorised Signatory / POA

**INSTRUCTIONS FOR NON COMMERCIAL TRANSACTION FORM**

- This form should be used to update the below mentioned Non Commercial requests:
  - Change / Updation of Contact Details
  - KYC Updation
  - Change of Mode of Operation
  - Change of Status (RI to NRI and vice versa)
  - Registration of POA
  - Cancellation of POA
  - Change of Income Distribution cum capital withdrawal Option
  - Updation / Correction of PAN
- In case there is more than one holder in the folio then the form needs to be signed as per the mode of holding.
- Separate NON COMMERCIAL TRANSACTION (NCT) forms need to be filled for separate folios of the investor.
- In case of Updation of PAN, self attested copy of the PAN Card needs to be submitted.
- In case of updation of KYC, copy of the KYC acknowledgment issued by CDSL Ventures Limited / KYC Registration Agencies needs to be submitted.
- In case of Change of Mode of Operation both the holders need to mandatorily sign on the NCT form in order to have consent of both the holders.
- In case of Change of Status from Resident Indian to Non Resident Indian, Banker letter (which should not be more than three (3) months old from the date of the request) confirming the account details or cheque copy of the existing bank of the unit holder, reflecting the change in his status from resident to Non-resident.
- Documents to be submitted for the registration of Power of Attorney
  - Copy of Power of Attorney on Rs. 100/- stamp paper, duly signed by all the unitholder(s) and the Power of Attorney Holder, and Original attestation by Notary public \ Gazetted officer.
  - In case of the POA holder being a company, the POA holder to provide the list of Authorized signatories, with their signatures duly attested by the POA holder company.
  - Pan and KYC of the POA holder
- If the investor has an existing POA registered in the folio and wishes to change the same then he has to fill in the details under both Cancellation & Registration of POA.
- In case the investor wishes to change the Income Distribution cum capital withdrawal Option for multiple schemes in the folio then separate NCT forms need to be filled for each scheme.
- In case of KYC Not Complied folios below list of documents will be collected by Bajaj Finserv Asset Management Limited.
  - Proof of new Address (POA).**  
Self attested copy of any one of the documents admissible as Proof of Address) as follows:  
(\*Documents having an expiry date should be valid on the date of submission.)
    - Passport/ Voters Identity Card / Ration Card / Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill / Insurance Copy.
    - Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than months old.
    - Bank Account Statement / Passbook - Not more than 3 months old.
    - Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
    - Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks / Scheduled Co-Operative Bank / Multinational Foreign Banks / Gazetted Officer / Notary public / Elected representatives to the Legislative Assembly / Parliament / Documents issued by any Govt. or Statutory Authority.
    - Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
- For FPI / sub account, Power of Attorney given by FPI / sub-account to the Custodians (which are duly notarized and/or apostiled or consularised) that gives the registered address should be taken.
- The proof of address in the name of the spouse may be accepted.
  - Proof of Identity (POI)**  
Self attested copy of any one of the documents admissible as Proof of identity (POI) as follows:
    - Unique Identification Number (UID) / Passport/ Voter ID card/ Driving license.
    - PAN card with photograph.
    - Identity card/ document with applicant's Photograph, issued by any of the following: Central / State Government and its Departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.
- Communications to the investor If the investor(s) has /have provided his/her email address in the application form or any subsequent communication in any of the folio belonging to the investor(s), Bajaj Finserv Mutual Fund /AMC reserves the right to use Electronic Mail (email) as the default mode to send various communication which includes account statements for transactions done by the investor(s). The investor(s) may request for a physical account statement by writing or calling. Bajaj Finserv Mutual Fund Investor Service center/Registrar & Transfer Agent. In case of specific request received from the investor(s), Bajaj Finserv Mutual Fund shall endeavor to provide the account statement to the investor(s) within 5 working days from the receipt of such request. Bajaj Finserv Mutual Fund shall comply with SEBI Circular No IMD/CIR/12/80083/2006 dated November 20, 2006 with respect to dispatch of Account Statement.
- Investors may submit the duly completed application forms along with the requisite documents at any of the Designated Investor Service Centres. The addresses of the Designated Investor Service Centres are available on the website <https://www.bajajamc.com>
- Permanent Account Number (PAN)**  
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. In order to verify that the PAN of the applicants (in case of application in joint names, each of the applicants) has been duly and correctly quoted therein, the applicants shall attach along with the purchase application, a photocopy of the PAN card duly self-certified along with the original PAN Card. The original PAN Card will be returned immediately across the counter after verification \*includes fresh/ additional purchase, Systematic Investment. Micro SIP & Investors residing in the state of Sikkim are exempt from the mandatory requirement of PAN proof submission however they are required to mandatorily submit KYC Acknowledgment copy to Bajaj Finserv Mutual Fund. Applications not complying with the above requirement may not be accepted/ processed. Additionally, in the event of any Application Form being subsequently rejected for mismatch / nonverification of applicant's PAN details with the details on the website of the Income Tax Department, the investment transaction will be cancelled and the amount may be redeemed at the applicable NAV, subject to payment of exit load, if any.  
Please contact any of the Investor Service Centres/ KFinTech/ Distributors or visit our website <https://www.bajajamc.com> for further details.
- Prevention of Money Laundering and Know Your Client (KYC)**  
In order to reduce hardship and help investors dealing with SEBI intermediaries, SEBI issued three circulars - MIRSD/SE/Cir-21/2011 dated October 05, 2011, MIRSD/Cir-23/2011 dated December 02, 2011 and MIRSD/Cir-26/2011 dated December 23, 2011 informing SEBI registered intermediaries as mentioned therein to follow, with effect from January 01, 2012, a uniform KYC compliance procedure for all the investors dealing with them on or after that date. SEBI also issued KYC Registration Agency ( "KRA") Regulations 2011 and the guidelines in pursuance of the said Regulations and for In-Person Verification ("IPV").

- (i) Requirement for the existing investors in mutual funds (upto December 31, 2011): For the existing investors in mutual funds who have already complied with the KYC requirement (defined for the purpose of this addendum as KYC compliant) and have the KYC compliance letter issued to them by CDSL Ventures Limited are exempt from following the new KYC procedure effective January 01, 2012 for the purpose of making additional investment with any SEBI registered mutual fund. If, however, the KYC compliant investors would like to deal with any SEBI registered intermediary other than mutual funds, they will have to follow the new KYC compliance procedure.
- (ii) Requirement for the new investors in mutual funds (From January 1, 2012) : With effect from January 01, 2012, all investors other than KYC compliant investors as defined above are required to follow the new KYC compliance procedure as mentioned below while making any investing with the Fund:
- Provide the complete details in the KYC application form along with the required documents (for individual investors or nonindividual investors as appropriate). The said form is available on Bajaj Finserv Mutual Fund website i.e. <https://www.bajajamc.com> or on the website of Association of Mutual Funds In India i.e. [www.amfiindia.com](http://www.amfiindia.com) or on the website of any authorised KRA's.
  - KYC application and necessary document should either come along with financial transaction or when the client chooses to trade / invest / deal through the Intermediary and an account is opened in the schemes of Bajaj Finserv Mutual Fund, the investor is required to submit, in person, the completed KYC application form along with all the necessary documents as mentioned in the KYC application form in any of the offices of the distributors (details provided in the following note) or Registrar and Transfer Agent of the Bajaj Finserv Mutual Fund / Bajaj Finserv Asset Management Limited i.e. KFin Technologies Limited (Formerly KFin Technologies Private Limited) and the Bajaj Finserv Mutual Fund;
  - In line with SEBI circular MIRSD/Cir-26/2011 dated December 23, 2011, it is mandatory for SEBI registered intermediaries to carry out "In-Person Verification" ("IPV") of any investor dealing with a SEBI registered intermediary for investments in a mutual fund, the Asset Management Companies, Registrar & Transfer Agent and distributors who comply with the certification process of National Institute of Securities Market (NISM) or Association of Mutual Funds in

India (AMFI) and have undergone the process of "Know Your Distributor (KYD)" are authorised to carry out the IPV. However, in case of applications received by the mutual funds directly from the clients (i.e. not through any distributor), they may also rely upon the IPV performed by the scheduled commercial banks. Unless the IPV process is completed, the intermediary will not be able to process the KYC and obtain a temporary acknowledgment for submission of all the documents. Hence the investor will not be considered as KYC compliant under the new KYC compliance procedure and hence will not be permitted to make any investment in the Fund;

- Once all the documents are verified by a KRA, they will send the investor a letter within 10 working days from the date of receipt of necessary documents by them from the Fund or its Registrar and Transfer Agent informing the investor either about compliance by the investor of the new KYC compliance procedure ("final acknowledgment") or any deficiency in submission of details or documents.acknowledgment for submission of all the documents. Hence the investor will not be considered as KYC compliant under the new KYC compliance procedure and hence will not be permitted to make any investment in the Fund;
- On the basis of the temporary acknowledgement or the final acknowledgement the investor would be eligible to deal with any of the SEBI intermediaries as mentioned in the above mentioned SEBI circulars.
- KRA will send confirmation to investors within 10 days of document receipt form Intermediary All investors (individual and non- individual) are required for KYC compliance. However, 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.