TRANSACTION SLIP

JM FINANCIAL MUTUAL FUND

Folio No. [   ]   **Date** [D D M M Y Y Y Y]

DISTRIBUTOR INFORMATION				FOR OFFICE USE ONLY	
Name & ARN of Distributor / RIA Code*	Internal Sub-Broker Code (as alloted by Distributor)	Sub-Broker ARN Code No.	Employee Unique Identification No. (EUIN)^	In-House number as per K-BOLT	Date, Time and Number as per Time Stamping Machine
ARN -	ARN -		E		

^Mandatory: Furnishing of EUIN is mandatory for all transactions (Purchase/Switch/SIP/STP) or following declaration should be signed by the investor (Please ✓ the box).

☐ **Declaration:** "I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this transaction is executed without any interaction or advice by the employee/relationship manager/sales person of the above distributor/sub broker or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor/sub broker."

*RIA/Declaration: 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 SEBI registered investment adviser/RIA.

SIGNATURE (s)	✎ SOLE / FIRST APPLICANT	✎ SECOND APPLICANT	✎ THIRD APPLICANT

"Upfront Fee or commission shall be paid directly by the investor to the AMFI registered Distributor based on the investor's assessment of various factors including the service rendered by the distributor".

NAME OF SOLE /1ST APPLICANT Mr. Ms. M/s. [   ]

LEI No. (Legal Entity Identifier) of Non-Individual Investor (Mandatory) : [   ]   **Valid Upto ____ /____ /202__**

Note : In case the first 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.

I/We would like to apply for ☐ ADDITIONAL PURCHASE (fill section-A) ☐ REDEMPTION (fill section-B) ☐ SWITCH (fill section-C)

A. ADDITIONAL PURCHASE

Scheme	Plan	Option	Amount
Total — In words			In figures

Payment Options ☐ Cheque / DD ☐ RTGS / NEFT ☐ Transfer ☐ One Time Mandate

Bank Name [   ] **Instrument No.** [UTR No (in case of RTGS / NEFT) / OTM ref no. in case of One time Mandate]

₹ (in figures) [   ] **₹ (in words)** [   ]

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.

B. REDEMPTION

☐ All units OR ☐ No. of Units [   ]

OR ₹ (in figures) [   ] **₹ (in words)** [   ]

Scheme [   ] **Plan** [   ] **Option** [   ]

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

*Bank account No.: [   ] **Bank Name:** [   ]

(***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 can not be treated as change of bank mandate.)

C. SWITCH

☐ All units OR ☐ No. of Units [   ]

OR ₹ (in figures) [   ] **₹ (in words)** [   ]

From Scheme [   ] **Plan** [   ] **Option** [   ]

To Scheme [   ] **Plan** [   ] **Option** [   ]

SIGNATURE (s)	✎ SOLE / FIRST APPLICANT	✎ SECOND APPLICANT	✎ THIRD APPLICANT

I/ We have read and understood the contents of the SID / SAI of the Scheme(s). I/ We have not received nor have been induced by any rebate or gifts, directly of indirectly in making this investment. The money invested in the schemes is through legitimate sources and is not in contravention of any prevailing laws. Upfront commission shall be paid directly by me/us to the AMFI registered distributor based on my/our assessment of various factors including the service rendered by the distributor.

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JM FINANCIAL MUTUAL FUND **ACKNOWLEDGEMENT SLIP** (To be filled by the investor)

Collection Center's Stamp & Receipt Date and Time

Folio No. [   ] Received a request for ☐ ADDITIONAL PURCHASE ☐ REDEMPTION ☐ SWITCH

Name [   ]

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 hs arrangements for direct credit with the following 14 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. Citibank 3. Deutsche Bank 4. Development Credit Bank (DCB) 5. HDFC Bank 6. HSBC 7. ICICI Bank 8. IDBI Bank 9. Indusind Bank 10. ING Vysya Bank 11. Kotak Mahindra Bank 12. Standard Chartered Bank 13. Royal Bank of Scotland 14. Yes Bank.

6. That JM Financial Asset Management Pvt. Ltd /JM Financial Mutual Fund /JM 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

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 PANof 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. Investors who have complied with KYC process before December 31, 2011 (KYC status with CVL-KRA as "MF - VERIFIED BY CVLMF") and not invested in any Mutual Fund and wishes to invest on or after December 01, 2012, such investors will be required to submit 'missing/not available' KYC information and complete the IPV requirements. Updation of 'missing / not available' KYC information along with IPV is currently a one-time requirment and needs to be completed with any one of the mutual funds i.e.need not be done with all the mutual funds where investors have existing investments. Once the same is done then the KYC status at CVL-KRA will change to 'Verified by CVL KRA' after due verification. In such a scenario, where the KYC status changes to 'Verified by CVL KRA', investors need not submit the 'missing/not available'KYCinformation to mutual funds again. Individual Investors are required to submit 'KYC Details Change Form' issued by CVL-KRA available on their websitewww.cvlkra.com. In case of Non Individual investors, complied withKYCprocess before December 31,2011, KYC needs to be done afresh due to significant and major changes in KYC requirements.

4. For KYC compliant investors, the address will be captured from the data-base 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.