

Transaction Form For Existing Investors (Individual & Corporate)



Date -- (dd - mm - yy)

General Instructions

1. This form is for use by existing Unit Holders who want to make the following types of transactions in their investment account: 1) Purchase of Additional Units, 2) Redemption of Units, and 3) Conversion of Units. Please use a separate form for each transaction type (multiple transaction types on a single form is not allowed)
2. Fill the form in block letters and in legible handwriting to avoid errors in application processing. If any alteration is made, a countersign is mandatory
3. Fill the form yourself or get it filled in your presence. Do not sign and/or submit blank forms
4. It is the responsibility of the Unit Holder to carefully read and understand the guidelines and instructions provided in this form and the terms and conditions, especially risk disclosure, disclaimer, warning statement, investment objective in the Offering Document(s) of the relevant Funds(s) prior to submitting the form
5. In case this form is incomplete or not duly filled and there is any discrepancy, the entire form or the particular transaction(s) may not be processed
6. Applications complete in all respects and carrying necessary documentary attachments should be submitted at the following address: "Operations Department, UBL Fund Managers Limited, 4th floor, STSM Building, Beaumont Road, Civil Lines, Karachi, Pakistan."

1 Principal Unit Holder Information (Mandatory)

Principal Unit Holder's Name (Mr/Ms/Mrs/Messrs) _____ Customer ID

2 Joint Unit Holder Information (If Applicable)

1. Name _____ 3. Name _____
2. Name _____ 4. Name _____

3 Transaction Type - Additional Purchase of Units

| | Name of Fund | Type of Units | Amount | Currency* |
|---|--------------|---------------|--------|-----------|
| 1 | | | | |
| 2 | | | | |
| 3 | | | | |

| | Mode of Payment | Remittance No. | Remittance From Bank Account |
|---|-----------------|----------------|------------------------------|
| 1 | Remittance | | |
| 2 | Remittance | | |

Note: In case of 'Joint Operating Instructions', signatures of both the primary Unit Holder and Joint Holder(s) are mandatory
Official stamp required in case of Corporate Unit Holder

Date -- (dd - mm - yy) _____ 1. _____ 2. _____ 3. _____
Principal Unit Holder(s) Signature Joint Unit Holder(s) Signature(s)

Guidelines & Instructions

1. Payment shall be made in favor of 'CDC Trustee - <Name Of The Fund>'
2. Front-end load (charges) will be applicable on investment as per the constitutive documents of the relevant fund(s)
3. Transaction will be processed as per cut-off timings for the fund as applicable in Pakistan.

4 Source of Funds (Mandatory)

Source of Funds (Multiple options may be selected) ☐ Salary ☐ Self-owned / Family Business (Please specify) _____

☐ Home Remittance ☐ Inheritance ☐ Stocks/ Investments ☐ Other _____
(please specify)

| | Name of Fund | Type of Units | Amount / No. of Units / % | Currency* |
|---|--------------|---------------|---------------------------|-----------|
| 1 | | | | |
| 2 | | | | |

IBAN # _____ Bank name _____ Branch name _____

Note:

1. Encashment proceeds would only be paid in favor of the Unit holder or the first name of the account holder in case of joint holding.

Guidelines & Instructions

1. Zakat (if applicable) will be deducted incase zakat affidavit (exemption) has not been submitted
2. Back-end load (charges) may be applicable on redemption as per the constitutive documents of the relevant fund(s)
3. Applications received in Pakistan on a particular date shall be processed as per cut-off timings as mentioned in the Offering Document of the Fund(s)
4. Redemptions may take up to six (6) business days from receipt of application as per the constitutive documents of the Fund.
5. Tax Charges maybe applicable on Redemption Proceeds as per the Income Tax Law.

Transaction Type - Conversion of Units

| From | | | | To | |
|------|--------------|---------------------------------|---------------|--------------|---------------|
| | Name of Fund | Amount (Rs.) / No. of Units / % | Type of Units | Name of Fund | Type of Units |
| 1 | | | | | |
| 2 | | | | | |

Guidelines & Instructions

1. Conversion can only be made from one fund to another fund
2. Front-end and/or back-end load (charges) will be applicable on conversion as per the constitutive documents of the relevant fund(s)
3. Conversion charges may be applied as per the constitutive documents of the fund(s)
4. Applications received in Pakistan on a particular date shall be processed as per cut-off timings as mentioned in the Offering Document of the Fund(s)
5. Incase the amount available in a fund is less than the requested amount, the entire amount will be converted as indicated by the Unit Holder in this form

Declaration & Signature(s)

I/We have carefully read, understood and accepted the terms and conditions given in the relevant Trust Deed(s) and Offering Document(s) of the Fund(s)/Plan(s). I/we hereby confirm that I/we have received and read the latest Fund Manager Report and/or Fact Sheet as the case may be. I/We understand that investments in mutual funds are subject to market risks and fund prices may go up or down based market conditions. I/We understand that past performance is not necessarily an indicator of future results and there is no fixed or guaranteed return. I/We declare that the amount so invested is legitimate and not generated from money laundering activities.

I/We confirm that I/We have understood the details of Sales Load to be deducted including taxes thereon. I/We hereby also acknowledge that I/We have reviewed and understood the Total Expense Ratio, Management Fee, Selling & Marketing expenses, Front-end, Back-end and Contingent Load of the Scheme as disclosed on the UBL Fund Managers website link <https://www.ublfunds.com.pk/individual/resources-tools/fund-performance-tools/latest-fund-prices/>

میں/ہم نے فنڈ (منصوبوں) / پلان (منصوبوں) کی متعلقہ ٹرسٹ ڈیڈ اور پیش کش دستاویز میں دیئے گئے شرائط و ضوابط کو بغور پڑھا، سمجھا اور قبول کیا ہے۔ میں/ہم اس کے مطابق ہیں کہ میں/ہم نے فنڈ مینیجر کی تازہ ترین رپورٹ اور/یا فیکٹ شیٹ کو موصول اور پڑھا ہے جیسا کہ معاملہ ہو سکتا ہے۔ میں/ہم سمجھتے ہیں کہ باہمی فنڈز میں کی جانے والی سرمایہ کاری مارکیٹ کے خطرات سے مشروط ہے اور فنڈ کی قیمتیں مارکیٹ پر مبنی شرائط میں یا نیچے جاسکتی ہیں۔ میں/ہم سمجھتے ہیں کہ ماضی کی کارکردگی ضروری نہیں کہ مستقبل کے نتائج کا اشارے ہو اور نہ ہی کوئی واپسی ہو اور نہ ہی اس کی ضمانت ہو۔ میں/ہم اعلان کرتے ہیں کہ اس میں لگائی گئی رقم جائز ہے اور منی لانڈرنگ کی سرگرمیوں سے حاصل نہیں ہوتی ہے۔

میں/ہم سمجھتے ہیں کہ میں/ہم نے سلاز لوڈ کی کوئی کی تفصیلات کو سمجھ لیا ہے جس میں ٹیکس بھی شامل ہے۔ میں/ہم اس کے ذریعہ بھی تسلیم کرتے ہیں کہ میں/ہم نے UBL فنڈ مینیجرز کی ویب سائٹ لنک پر انکشاف کردہ اسکیم کے کل اخراجات کا تناسب، مینجمنٹ فیس، فروخت اور مارکیٹنگ کے اخراجات، فرنٹ اینڈ، بیک اینڈ اور متواتر بوجھ کا جائزہ لیا ہے اور اسے سمجھا ہے۔

<https://www.ublfunds.com.pk/individual/resources-tools/fund-performance-tools/latest-fund-prices/>

Cooling-off Right:

The unit holders have the right to obtain a refund of their first time investment (cooling-off right) in a particular Collective Investment Scheme. The cooling-off right shall be available to the individual unit holders only. The cooling-off period shall comprise of three business days commencing from the date of issuance of investment report (transaction statement) to the unit holder. The cooling-off right shall be exercised by the unit holder upon written request to the AMC. The investment amount is being refunded at the applicable NAV on the date the cooling-off right is exercised which shall be paid to the unit holder within six business days of receipt of written request from the unit holder. The AMC shall also refund any sales load paid by the unit holder. However, contingent load (Back end load) shall be payable by the unit holder where applicable.

Date -
(dd - mm - yy)

Principal Unit Holder'(s) Signature

1.

2.

3.

Joint Unit Holder'(s) Signature(s)

| | | |
|---------------------------|-----------------------|-----------------|
| Distributor _____ | Name of Agent _____ | Sub-Agent _____ |
| Reference/Agent No. _____ | Branch/Location _____ | Remarks _____ |