Transaction Form For Conversion of Units (Mutual Funds)

TS2 # *(for office use only)*

For assistance in filling out this form, speak with our Customer Care Executive at 0800-00026 or sms HELP to 8258. Please save 021-111-825-262 in your smart-phone to avail smart Whatsapp self service. type HI and send. Please fill this form with Blue pen.
You can submit the form at your nearest UBL Fund Managers Investment Center, designated UBL Branches or authorized distributor outlets. You can also courier the form to: UBL fund Managers - Operations Office, 4th Floor,STSM Building, Beaumont Road, Civil Lines, Karachi, Pakistan

General Instructions & Guidelines

1) Fill the form in block letters and in legible handwriting to avoid errors in application processing. 2) Fill the form yourself or get it filled in your presence. Do not sign and/or submit blank forms. 3) If any alteration is made, a countersign is mandatory. 4) Applications incomplete in any respect and/or not accompanied by required documents are liable to be held or rejected until complete requirements are fulfilled. 5) It is the responsibility of the applicant to carefully read and understand the guidelines,instructions provided in this form and the terms/conditions in the offering Document(s) of the Funds/ Investment Plan(s). For cut-off timings sms CT to 8258.Capital Repayment Units: The value of units will be treated 100 % as Captial Gains and will be taxed accordingly.

1 Principal Unit Holder Information (Mandatory)

Customer ID ☐☐☐☐☐☐☐☐-☐

CNIC Number ☐☐☐☐☐-☐☐☐☐☐☐☐☐☐☐☐

Principal Unit Holder's Name (Mr/Ms/Mrs/Messers) _____

2 Joint Unit Holder Information (If Applicable)

1. Name _____ 2. Name _____

3 Transcation Type - Conversion between schemes

	From			To	
	Name of Scheme (s) Short Name of Fund/Plan (s)	**Type of Units**	**Perform on (tick one)** ◯ **Amount (Rs.)** ◯ **No.of Units** ◯ **%**	**Name of Scheme (s)** Short Name of Fund/Plan (s)	**Type of Units**
1	_____	☐☐	☐☐☐☐☐☐☐☐☐☐	_____ **Front End Load** (One time cost*) _____ %	☐☐

1. Conversion amount (Rs. / Units) in words _____

_____

Note: In case of Conversion To UBL Fixed Return Plans, Maturity instructions on next page are mandatory

	From			To	
	Name of Scheme (s) Short Name of Fund/Plan (s)	**Type of Units**	**Perform on (tick one)** ◯ **Amount (Rs.)** ◯ **No.of Units** ◯ **%**	**Name of Scheme (s)** Short Name of Fund/Plan (s)	**Type of Units**
2	_____	☐☐	☐☐☐☐☐☐☐☐☐☐	**Front End Load** (One time cost*) _____ %	☐☐

2. Conversion amount (Rs. / Units) in words _____

_____

Note: In case of Conversion To UBL Fixed Return Plans, AL-Ameen Islamic Fixed Return Plan Maturity instructions on next page are mandatory

Guidelines & Instructure 1) Conversion can only be made from one fund to another fund and from one plan to another plan. Conversion from a fund to plan (and vice versa) is not allowed.
2) Front-end/Back-end load (charges) will be applicable as per constitutive documents of the Fund(s)/Investment Plan(s). 3) Conversion charges may be applied as per the Constitutive Documents of the Fund(s)/Investment Plan(s). 4) incase the amount available in a fund/plan is less than the requested amount, the entire amount will be converted. 5) Incase of conversion between conventional and islamic investment plans, Insurance/Takeful Coverage (if offered) will be altered accordingly. 6) Incase of conversion from an investment plan, Insurance/Takeful Coverage (if offered) may be withdrawn if minimum amount required for coverage in that plan is not met. 7) If physical certificates are held, conversion will only be allowed if original (physical) certifcates are surrendered/cancelled.

*Excluding taxes

Scheme Category	Fund Name / CIS	Maximum Front End Load (One time cost)*.***
Money Market *Risk Profile: Low* *Risk of Principal Erosion:Low risk*	UBL Money Market Fund UBL Liquidity Plus Fund UBL Cash Fund* UBL Liquidity Fund	Upto 1% Nil Nil Nil
Shariah Compliant Money Market *Risk Profile: Low* *Risk of Principal Erosion: low risk*	Al-Ameen Islamic Cash Fund Al-Ameen Islamic Cash Plan-I** Al-Ameen Islamic Money Market Fund	Upto 3% Nil Upto 1% (Direct Investment through AMC) Upto 1.5% (Digital Platform of AMC/ Third party)
Capital Protected (Non Equity) *Risk Profile: Low* *Risk of Principal Erosion: Low risk*	UBL Special Savings Fund Plan Name* _____ UBL Special Savings Fund - II Plan Name* _____	Upto 2% (May change in different plans) Upto 1.5% (May change in different plans)
Fixed Return Scheme *Risk Profile: Low* *Risk of Principal Erosion: Low risk*	**UBL Fixed Return Fund*- ___** UBL Fixed Return Plan- ____ Roll-over Disclosure (mandatory): ☐ Yes ☐ No If No: ☐ Convert to UMMF ☐ Transfer to Bank A/C Note: Roll-over will be made in Plan of same duration. The terms & conditions including fixed rate of return may vary for rolled over plans depending upon market conditions on the date of roll-over and will be published on website. In case of no instruction or no same duration plan being offered at maturity, the maturity proceeds (net-off tax) will be transferred to your registered Bank Account.	Nil
Shariah Compliant Fixed Return Scheme *Risk Profile: Low* *Risk of Principal Erosion: Low risk*	**Al-Ameen islamic Fixed Return Fund*- ___** Al-Ameen Islamic Fixed Return Plan- ____ Al-Ameen Islamic Fixed Term Plan- ____ Roll-over Disclosure (mandatory): ☐ Yes ☐ No If No: ☐ Convert to AICF ☐ Transfer to Bank A/C Note: Roll-over will be made in Plan of same duration. The terms & conditions including fixed rate of return may vary for rolled over plans depending upon market conditions on the date of roll-over and will be published on website. In case of no instruction or no same duration plan being offered at maturity, the maturity proceeds (net-off tax) will be transferred to your registered Bank Account.	Nil
Income *Risk Profile: Medium* *Risk of Principal Erosion: Medium risk*	UBL Income Opportunity Fund UBL Government Securities Fund	Upto 1.5% Upto 1%
Aggressive Income *Risk Profile: Medium* *Risk of Principal Erosion: Medium risk*	UBL Growth and Income Fund	Upto 1.5%
Asset Allocation *Risk Profile:* High *Risk of Principal Erosion:* High *risk*	UBL Asset Allocation Fund	Upto 3%
Shariah Compliant Income *Risk Profile: Medium* *Risk of Principal Erosion: Medium risk*	Al-Ameen Islamic Sovereign Fund Al-Ameen Islamic Income Fund	Upto 1% Upto 1.5%
Shariah Compliant Aggressive Income *Risk Profile: Medium* *Risk of Principal Erosion: Medium risk*	Al-Ameen Islamic Aggressive Income Fund Al-Ameen Islamic Aggressive Income Plan_	Upto 1% (May change in different plan)
Shariah Compliant Asset Allocation *Risk Profile: Medium* *Risk of Principal Erosion: Medium risk*	Al-Ameen Islamic Asset Allocation Fund	Upto 3%
Equity *Risk Profile: High* *Risk of Principal Erosion: High risk*	UBL Stock Advantage Fund UBL Financial Sector Fund	Upto 2.5% Upto 3%
Shariah Complaint Equity *Risk Profile: HIgh* *Risk of Principal Erosion: High Risk*	Al-Ameen Shariah Stock Fund Al-Ameen Islamic Energy Fund	Upto 2.5% Upto 3%

*Backend/contingent load may apply for early withdrawal before maturity/time period specified in Offering Document. **Daily dividend distribution. ***Excluding Taxes.

5 Declaration & Signature(s)

Undertaking

I/We, hereby give our consent to UBL Funds to share my/our information with any third party(ies) in order to perform KYC related verification including NADRA Verisys, IBAN, due diligence, Mobile CNIC pairing verification and for improvement in customer services. I/We hereby acknowledge having read and understood the Consolidated Offering Document(s) as amended from time to time, latest Fund Manager Report and/or Fact Sheet of the relevant CIS(s)/VPS(s)/Plan(s). I/We understand to access the Company website to keep myself updated before every operation of this account. I/We declare that I/We am/are the Ultimate Beneficial Owner of the amount invested and the funds are legitimate and not generated from Money Laundering Activities. I/We am/are fully informed and understand that investment in units of CIS(s)/VPS(s)/Plan(s) are not bank deposit, not guaranteed and not issued by any person. Shareholder of UBL Funds are not responsible for any loss to investor resulting from the operations of any CIS(s)/VPS(s)/Plan(s) launched by UBL Funds unless otherwise mentioned.

I/We hereby indemnify UBL Funds against any liability, loss or damages, compensation, legal proceedings arising as a result of the inaccurate and / or incomplete information by me and / or due to technical issue in the site / portal / service for the execution of online transaction (online, IBFT & RTGS). I further indemnify UBL Funds from any loss or liability occurring by blocking of accounts due to any administrative action including missing or outdated Source of Income and/or Know Your Customer related information. I/We hereby further confirmed and undertake that the provided account details ar correct.

Disclaimer

I/We understand that investment in CIS(s)/Plan(s)/VPS(s) are subject to market risks and fund prices may group or down based on market conditions. I/We understand that past performance is not necessarily an indicator of future results and there is no guaranteed return or capital.I/We hereby also acknowledge that I/We have reviewed and understood detail of Sales Load, the Total Expense Ratio, Back-end and Contingent Load percentages including taxes of the Scheme as disclosed at UBL Fund website. Under the Cooling-off Right Investor can claim, first time investment in a CIS(s)/Plan(s)/VPS(s), through a written request at the applicable NAVon the date of the application within three business days of the said investment.

I acknowledge that I have read the Key Fact Statement at the time of investment, and I have read and understood the terms and conditions to the best of my knowledge and have retained copy of the same.

Use of name and logo of UBL Bank / UBL Ameen as given above does not mean that they are responsible for the liabilities/obligations of UBLFund Managers& Al-Ameen Funds or any investment scheme managed by them.

For UBL Fixed Return Plan _____ / Al Ameen Islamic Fixed Return Plan _____ / Al Ameen Islamic Fixed Term Plan only:

I/We confirm that I/We have understood the details mentioned below at the time of investments.

1. Due to uncontrollable factors/force majeure including but not limited to Pandemics, Debt Restructuring, Wars, Government economic restructuring measures etc. there may be situation where the underlying asset lose their value in any shape, form or manner thereby resulting in loss of principal to the investor;
2. In the event of premature redemption, the contingent load, if any, will apply which may result in not delivering the quoted return as well as potential loss in principal investment;
3. Contingent load referred to as exit charges (including taxes), against early redemption of units / withdrawal during subscription period or completion of plan (not applicable on cash dividends).
4. For information regarding investment policy of respective allocation plans, please refer to consolidated offering document specifically annexure B.
5. I/We hereby also agree to inform UBL Fund Managers in writing on specified form, in case of any change in the standing instruction regarding maturity.

Signature: دستخط _____ _____ _____ _____

Principal Unit holder / Guardian (Incase of minor)	**Joint Account Holder**	**Joint Account Holder**	**Joint Account Holder**
پرنسپل یونٹ ہولڈر/سرپرست (اگر درخواست دہندہ نابالغ ہو)	جوائنٹ اکاؤنٹ ہولڈر	جوائنٹ اکاؤنٹ ہولڈر	جوائنٹ اکاؤنٹ ہولڈر

For UBL Special Savings Plan _____ Only:

I/We confirm that I/We have understood the details mentioned below at the time of investments.

1. Due to uncontrollable factors/force majeure including but not limited to Pandemics, Debt Restructuring, Wars, Government economic restructuring measures etc. there may be situation where the underlying asset losses their value in any shape, form or manner thereby resulting in loss of principal to the investor;
2. In the event of premature redemption the contingent load, if any, will apply which may result in not delivering the quoted return as well as potential loss of principal investment;
3. Back End Load (Deferred Sales load) referred to as Exit Charges to be deducted including taxes upon redemption of units before completion of thirty six (36) months from commencement of Life of the Plan (excluding units redeemed during Subscription Period & Cash Dividends)
4. For information regarding the investment policy of the respective allocation plan, please refer to Annexure 'B' of the offering document & thereto supplemental of 'UBL Special Savings Fund/ UBL Special Savings Fund II '

Signature: دستخط _____ _____ _____ _____

Principal Unit holder / Guardian (Incase of minor)	**Joint Account Holder**	**Joint Account Holder**	**Joint Account Holder**
پرنسپل یونٹ ہولڈر/سرپرست (اگر درخواست دہندہ نابالغ ہو)	جوائنٹ اکاؤنٹ ہولڈر	جوائنٹ اکاؤنٹ ہولڈر	جوائنٹ اکاؤنٹ ہولڈر

Date ☐☐☐☐☐☐☐☐☐☐

(DD - MM - YYYY)

1. _____ 2. _____ 3. _____

Signature: Principal Unit holder **Joint Unit Holder'(s) Signature(s)**

7 Undertaking (by the Sales agent/ Supervisor)

I, _____, hereby confirm the following:

1. I have explained the risk of the Fund/Plan being subscribed by the investor
2. I have explained that the principal is at risk (in case of high risk funds) and the investor can lose money.
3. I have not made or implied any guarantee with respect to return/profit or the Principal investment amount.
4. I have not quoted any fixed return/profit percentage or amount to the investor except any Fixed Return or Guaranteed return product being offered.
5. I have explained the Risk Profiling Questionnaire to the Investor.
6. I have explained to the Investor about the Sales Load (if any) of the Scheme/Plan in which the investor is investing.

_____

Signature

Name of Sales Agent: _____
(ICM qualified only)

Date: _____

_____

Signature

Name of Supervisor: _____
(To sign only in case of non-ICM qualified Sales agent)

Date: _____

For Office Use Only

Distributor

Name of Agent _____

Refrence/Agent No. _____ Sub-Agent _____

_____ IC / Location _____

Remarks _____