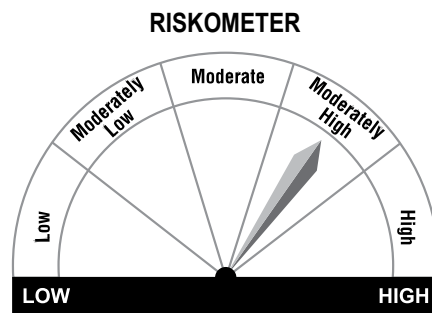


KEY INFORMATION MEMORANDUM

UTI - NIFTY NEXT 50 EXCHANGE TRADED FUND (UTI-NIFTY NEXT 50 ETF) (An open ended Exchange Traded Fund)

The product is suitable for investors who are seeking*:

- ❖ Long term investment
- ❖ Investment in securities covered by Nifty Next 50 Index



Investors understand that their principal will be at Moderately High risk

* Investors should consult their financial advisers if in doubt about whether the product is suitable for them.

New Fund Offer Opens on	:	Tuesday, July 18, 2017
New Fund Offer Closes on	:	Friday, July 28, 2017
Scheme Reopens on	:	Tuesday, August 8, 2017

Offer of Units of ₹ 10/-each for cash issued at a premium Approximately Equal to the Difference between Face Value and allotment Price during the New Fund Offer Period and at NAV based prices during Continuous Offer.

This Key Information Memorandum (KIM) sets forth the information, which a prospective investor ought to know before investing. For further details of the scheme/Mutual Fund, due diligence certificate by the AMC, Key Personnel, Investors' rights & services, risk factors, penalties & pending litigations etc. investors should, before investment, refer to the Scheme Information Document and Statement of Additional Information available free of cost at any of the UTI Financial Centres or distributors or from the website www.utimf.com.

The scheme particulars have been prepared in accordance with Securities and Exchange Board of India (Mutual Funds) Regulations 1996, as amended till date, and filed with Securities and Exchange Board of India (SEBI). The units being offered for public subscription have not been approved or disapproved by SEBI, nor has SEBI certified the accuracy or adequacy of this KIM.

SPONSORS

State Bank of India, Punjab National Bank, Bank of Baroda and Life Insurance Corporation of India (Liability of sponsors limited to ₹ 10,000/-)

TRUSTEE

UTI Trustee Co. (P) Ltd.
(Incorporated under the Companies Act, 1956)

INVESTMENT MANAGER

UTI Asset Management Co. Ltd.
(Incorporated under the Companies Act, 1956)

KEY INFORMATION MEMORANDUM

UTI - NIFTY NEXT 50 EXCHANGE TRADED FUND (UTI-NIFTY NEXT 50 ETF)

(An open ended Exchange Traded Fund)



Haq, ek behtar zindagi ka.

Investment Objective	<p>The investment objective of the scheme is to provide returns that, before expenses, closely correspond to the total returns of the securities as represented by the underlying index, subject to tracking error.</p> <p>However there is no guarantee or assurance that the investment objective of the scheme will be achieved.</p>																																																																																																										
Asset Allocation Pattern of the scheme	Instruments	Indicative Allocation (% of total assets)																																																																																																									
		Maximum	Minimum																																																																																																								
	Securities covered by the underlying Index	100%	95%																																																																																																								
	Cash/Money Market Instruments including CBLO and Units of Liquid Mutual Fund	5%	0%																																																																																																								
	<p>UTI AMC will endeavour to keep the tracking error within the range of 2% on an annualized basis in the scheme as against the returns of the underlying Index.</p> <p>The exposure of Scheme in derivative instruments shall be restricted to 5% of the net assets of the Scheme for hedging and portfolio rebalancing.</p> <p>The Scheme will not invest in Securitised Debt, Foreign Securities, ADRs, GDRs and will not engage in Securities Lending.</p> <p>The Scheme will not engage in Short Selling, Credit default swaps.</p> <p>The scheme does not intend to invest in repo in corporate debt securities.</p> <p>If the investments fall outside the asset allocation range given above, the portfolio of the scheme will be rebalanced within a period not later than seven days from the date of such change in the asset allocation pattern. The funds raised under the scheme shall be invested only in securities as permitted by SEBI (Mutual Funds) Regulations, 1996.</p>																																																																																																										
Portfolio of the scheme/ Types of Instruments in which the Scheme will Invest	<p>The Scheme will invest in Securities which are constituents of Nifty Next 50 Index and in Cash/ Money Market Instruments including CBLO and Units of Liquid Mutual Fund in accordance with the Asset allocation pattern indicated above.</p> <p>The constituents and weights of the Nifty Next 50 Index as on 25th May 2017 is given below:</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">SECURITY NAME</th> <th style="text-align: center;">WEIGHTAGE</th> <th style="text-align: left;">SECURITY NAME</th> <th style="text-align: center;">WEIGHTAGE</th> </tr> </thead> <tbody> <tr><td>ABB INDIA LTD.</td><td style="text-align: center;">1.20%</td><td>JSW STEEL LTD.</td><td style="text-align: center;">3.03%</td></tr> <tr><td>ASHOK LEYLAND LTD.</td><td style="text-align: center;">1.80%</td><td>LIC HOUSING FINANCE LTD.</td><td style="text-align: center;">3.14%</td></tr> <tr><td>BAJAJ FINSERV LTD.</td><td style="text-align: center;">3.68%</td><td>MARICO LTD.</td><td style="text-align: center;">2.47%</td></tr> <tr><td>BAJAJ FINANCE LTD.</td><td style="text-align: center;">3.92%</td><td>UNITED SPIRITS LTD.</td><td style="text-align: center;">1.58%</td></tr> <tr><td>BHARAT ELECTRONICS LTD.</td><td style="text-align: center;">1.78%</td><td>MOTHERSON SUMI SYSTEMS LTD.</td><td style="text-align: center;">3.36%</td></tr> <tr><td>BHARAT HEAVY ELECTRICALS LTD.</td><td style="text-align: center;">2.09%</td><td>NHPC LTD.</td><td style="text-align: center;">0.96%</td></tr> <tr><td>BRITANNIA INDUSTRIES LTD.</td><td style="text-align: center;">3.20%</td><td>NMDC LTD.</td><td style="text-align: center;">1.40%</td></tr> <tr><td>CADILA HEALTHCARE LTD.</td><td style="text-align: center;">1.74%</td><td>ORACLE FINANCIAL SERVICES SOFTWARE LTD.</td><td style="text-align: center;">1.21%</td></tr> <tr><td>COLGATE PALMOLIVE (INDIA) LTD.</td><td style="text-align: center;">2.03%</td><td>OIL INDIA LTD.</td><td style="text-align: center;">0.90%</td></tr> <tr><td>CONTAINER CORPORATION OF INDIA LTD.</td><td style="text-align: center;">1.99%</td><td>PIRAMAL ENTERPRISES LTD.</td><td style="text-align: center;">3.31%</td></tr> <tr><td>CUMMINS INDIA LTD.</td><td style="text-align: center;">1.91%</td><td>PETRONET LNG LTD.</td><td style="text-align: center;">1.97%</td></tr> <tr><td>DABUR INDIA LTD.</td><td style="text-align: center;">2.33%</td><td>POWER FINANCE CORPORATION LTD.</td><td style="text-align: center;">1.96%</td></tr> <tr><td>DIVI'S LABORATORIES LTD.</td><td style="text-align: center;">1.09%</td><td>PROCTER & GAMBLE HYGIENE & HEALTH CARE LTD.</td><td style="text-align: center;">1.07%</td></tr> <tr><td>DLF LTD.</td><td style="text-align: center;">1.31%</td><td>PIDILITE INDUSTRIES LTD.</td><td style="text-align: center;">1.71%</td></tr> <tr><td>EMAMI LTD.</td><td style="text-align: center;">1.02%</td><td>PUNJAB NATIONAL BANK</td><td style="text-align: center;">1.69%</td></tr> <tr><td>GLAXOSMITHKLINE PHARMACEUTICALS LTD.</td><td style="text-align: center;">0.78%</td><td>RURAL ELECTRIFICATION CORPORATION LTD.</td><td style="text-align: center;">2.63%</td></tr> <tr><td>GLENMARK PHARMACEUTICALS LTD.</td><td style="text-align: center;">1.48%</td><td>STEEL AUTHORITY OF INDIA LTD.</td><td style="text-align: center;">0.90%</td></tr> <tr><td>GODREJ CONSUMER PRODUCTS LTD.</td><td style="text-align: center;">3.41%</td><td>SHREE CEMENT LTD.</td><td style="text-align: center;">2.33%</td></tr> <tr><td>GLAXOSMITHKLINE CONSUMER HEALTHCARE LTD.</td><td style="text-align: center;">0.95%</td><td>SIEMENS LTD.</td><td style="text-align: center;">1.82%</td></tr> <tr><td>HAVELLS INDIA LTD.</td><td style="text-align: center;">1.61%</td><td>SHRIRAM TRANSPORT FINANCE CO. 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(Source: Daily Index composition files received from NSE)</p>			SECURITY NAME	WEIGHTAGE	SECURITY NAME	WEIGHTAGE	ABB INDIA LTD.	1.20%	JSW STEEL LTD.	3.03%	ASHOK LEYLAND LTD.	1.80%	LIC HOUSING FINANCE LTD.	3.14%	BAJAJ FINSERV LTD.	3.68%	MARICO LTD.	2.47%	BAJAJ FINANCE LTD.	3.92%	UNITED SPIRITS LTD.	1.58%	BHARAT ELECTRONICS LTD.	1.78%	MOTHERSON SUMI SYSTEMS LTD.	3.36%	BHARAT HEAVY ELECTRICALS LTD.	2.09%	NHPC LTD.	0.96%	BRITANNIA INDUSTRIES LTD.	3.20%	NMDC LTD.	1.40%	CADILA HEALTHCARE LTD.	1.74%	ORACLE FINANCIAL SERVICES SOFTWARE LTD.	1.21%	COLGATE PALMOLIVE (INDIA) LTD.	2.03%	OIL INDIA LTD.	0.90%	CONTAINER CORPORATION OF INDIA LTD.	1.99%	PIRAMAL ENTERPRISES LTD.	3.31%	CUMMINS INDIA LTD.	1.91%	PETRONET LNG LTD.	1.97%	DABUR INDIA LTD.	2.33%	POWER FINANCE CORPORATION LTD.	1.96%	DIVI'S LABORATORIES LTD.	1.09%	PROCTER & GAMBLE HYGIENE & HEALTH CARE LTD.	1.07%	DLF LTD.	1.31%	PIDILITE INDUSTRIES LTD.	1.71%	EMAMI LTD.	1.02%	PUNJAB NATIONAL BANK	1.69%	GLAXOSMITHKLINE PHARMACEUTICALS LTD.	0.78%	RURAL ELECTRIFICATION CORPORATION LTD.	2.63%	GLENMARK PHARMACEUTICALS LTD.	1.48%	STEEL AUTHORITY OF INDIA LTD.	0.90%	GODREJ CONSUMER PRODUCTS LTD.	3.41%	SHREE CEMENT LTD.	2.33%	GLAXOSMITHKLINE CONSUMER HEALTHCARE LTD.	0.95%	SIEMENS LTD.	1.82%	HAVELLS INDIA LTD.	1.61%	SHRIRAM TRANSPORT FINANCE CO. 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<p>Risk Profile of the Scheme</p>	<p>Mutual Fund investments are subject to market risks. Please read the SID carefully for details on risk factors before investment.</p> <p>Past performance of the Sponsors / AMC / Mutual Fund does not guarantee future performance of the scheme.</p> <p>Safety net or guarantee provided – The Scheme does not provide any guarantee or assured return.</p> <p>Scheme Specific Risk Factors:</p> <p>UTI-Nifty Next 50 ETF, the scheme will be a passively managed by providing exposure to Nifty Next 50 Index and tracking its performance and yield, before expenses, as closely as possible. The scheme performance may be affected by a general decline in the Indian markets relating to its underlying Index. The scheme invests in the underlying Index regardless of its investment merit.</p> <p>Although the units are proposed to be listed on the Stock Exchange/s, the Trustee/AMC will not be liable for any delay in listing of units of the Scheme on the stock exchange(s)/ or due to connectivity problems with the depositories due to the occurrence of any event beyond their control</p> <p>The securities in which the Scheme invests may underperform the various general securities markets or different asset classes. Different type of securities tends to go through cycles of outperformance and under-performance in comparison to the general securities markets.</p> <p>The scheme may not fully replicate the performance of the Nifty Next 50 Index due to temporary unavailability of certain Index Securities in the secondary market or due to other extraordinary circumstances.</p> <p>Performance of the underlying Index will have a direct bearing on the performance of the Scheme. In the event the underlying Index is dissolved or is withdrawn by Index Service Provider, the Trustee reserves the right to modify the Scheme so as to track a different and suitable index and the procedure stipulated in the regulations shall be complied with.</p> <p>Tracking error may have an impact on the performance of the scheme. “Tracking Error” means the extent to which the NAV of the fund moves in a manner inconsistent with the movements of the underlying Index on any given day or over any given period of time from any cause or reason whatsoever including but not limited to differences in the weightage of the investments in the securities and the weightage to such securities in the underlying index, time lags in deployment or realization of funds under the Scheme as compared to the movement of or within the said index, expenditure incurred by the scheme, corporate actions such as debenture or warrant conversions, rights, mergers, etc, change in constituents of Index, rounding of quantity of shares underlying the index, dividend payouts, whole cash not invested at all times as it may keep a portion of funds in cash to meet redemption etc. However UTI AMC will endeavor to keep the tracking error as low as possible.</p> <p>UTI AMC will endeavour to keep the tracking error within the range of 2% on an annualized basis in the scheme as against the returns of the underlying Index.</p> <p>The Trustees, AMC, Fund, their directors or their employees shall not be liable for any tax consequences that may arise in the event that the scheme is wound up for the reasons and in the manner provided under the Scheme Information Document & Statement of Additional Information.</p> <p>Redemption by the unit holder due to change in the fundamental attributes of the Scheme or due to any other reasons may entail tax consequences. The Trustees, AMC, Fund their directors or their employees shall not be liable for any tax consequences that may arise.</p> <p>The Scheme would be investing in equities and money market instruments (such as CBLO or as defined by SEBI regulations, term/notice money market, repos, reverse repos and any alternative to the call money market as may be directed by the RBI). The liquidity of the scheme’s investments is inherently restricted by trading volumes and settlement periods. In the event of an inordinately large number of redemption requests, or of a restructuring of the scheme’s investment portfolio, these periods may become significant. In view of the same, the Trustees have the right in their sole discretion to limit redemptions (including suspending redemptions) under certain circumstances.</p> <p>The Mutual Fund is not assuring any dividend nor is it assuring that it will make any dividend distributions. All dividend distributions are subject to the availability of distributable surplus and would depend on the performance of the scheme.</p> <p>Portfolio concentration risk</p> <p>ETF being a passive investment carries lesser risk as compared to active fund management. The portfolio follows the index and therefore the level of stock concentration in the portfolio and its volatility would be the same as that of the index, subject to tracking error. Thus there is no additional element of volatility or stock concentration on account of fund manager’s decisions.</p> <p>Risks pertaining to transaction in units through Stock Exchange</p> <ol style="list-style-type: none"> 1. Although the Scheme’s Units will be listed on stock exchange/s, there can be no assurance that an active secondary market will develop or be maintained. Hence there would be times when trading in the Units of the Scheme would be infrequent/less liquid. 2. Trading in the Units of the Schemes on stock exchange/s may be halted because of market conditions or for reasons that in view of stock exchange/s &/or SEBI, trading in the Units of the Schemes are not advisable. In addition, trading of the Units of the Scheme are subject to trading halts caused by extraordinary market volatility and pursuant to stock exchange/s and SEBI ‘circuit filter’ rules. There can be no assurance that the requirements of stock exchange/s necessary to maintain the listing of the Units of the Schemes will continue to be met or will remain unchanged. 3. The Schemes may not be able to immediately sell certain types of illiquid Securities. The purchase price and subsequent valuation of restricted and illiquid Securities may reflect a discount, which may be significant, from the market price of comparable Securities for which a liquid market exists. 4. The Units of the Schemes may trade above or below their NAV. The NAV of the Schemes will fluctuate with changes in the market value of the holdings of the Schemes. The trading prices of the Units of the Schemes will fluctuate in accordance with changes in their NAV as well as market supply and demand for the Units of the Schemes. Any changes in the trading regulations by the Stock Exchange/s or SEBI or other applicable regulations may affect the ability of market participants to arbitrage resulting it to wider premium/discount to NAV. However, it is expected that large discounts or premiums to the NAV of Units of the Schemes may not sustain for long due to market participants’ actions on arbitrage opportunity available under such circumstances.
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5. Impact cost risk: The scheme may have to bear the impact cost arising from sale and purchase of underlying securities either when it accepts/gives cash or cash equivalents in lieu of one or more Index securities, cash component on issue and repurchase of units or while undertaking rebalancing of the scheme portfolio as a consequence of change in the composition or change in relative weightages of the securities underlying Index.
6. Reinvestment Risk: This risk refers to the interest rate levels at which cash flows received from the Securities in the Schemes are reinvested. The additional income from reinvestment is the "interest on interest" component. The risk is that the rate at which interim cash flows can be reinvested may be lower than that originally assumed.
7. Risk of Substantial Redemptions: In the event of receipt of inordinately large number of redemption requests or of a restructuring of the Schemes' portfolio, there may be delays in the redemption of units. Substantial Redemptions of Units within a limited period of time could require the Schemes to liquidate positions more rapidly than would otherwise be desirable, which could adversely affect the value of both the Units being Redeemed and that of the outstanding Units of the Schemes. The Trustee, in the general interest of the Unit holders of the Schemes offered under this SID and keeping in view of the unforeseen circumstances/unusual market conditions, may limit the total number of Units which can be redeemed on any Business Day depending on the total "Saleable Underlying Stock" available with the Fund.

Investments under the scheme may also be subject to the following risks:

I. Investment in Equities:

- a. Equities are volatile in nature and are subject to price fluctuations on daily basis. The volatility in the value of the equity instruments is due to various micro and macro economic factors affecting the securities markets. This may have adverse impact on individual securities /sector and consequently on the NAV of Scheme.
- b. The inability of the Scheme to make intended securities purchases due to settlement problems could cause the Scheme to miss certain investment opportunities as in certain cases, settlement periods may be extended significantly by unforeseen circumstances. Similarly, the inability to sell securities held in the scheme portfolio may result, at times, in potential losses to the scheme, should there be a subsequent decline in the value of the securities held in the scheme portfolio.
- c. Trading volumes, settlement periods and transfer procedures may restrict the liquidity of the investments made by the scheme. Different segments of the Indian financial markets have different settlement periods and such periods may be extended significantly by unforeseen circumstances leading to delays in receipt of proceeds from sale of securities.
- d. As the liquidity of the investments made by the Scheme could, at times, be restricted by trading volumes and settlement periods, the time taken by the Mutual Fund for redemption of units may be significant in the event of an inordinately large number of redemption requests or a restructuring of the Scheme. In view of this, the Trustee has the right, in its sole discretion to limit redemptions (including suspending redemptions) under certain circumstances.

II Risk associated with investing in Money Market Instruments/Debt and Derivative securities:

Money market instruments are subject to price volatility due to factors such as changes in interest rates general levels of market liquidity, market perception of credit worthiness of the issuer of such instruments and risks associated with settlement of transactions and reinvestment of intermediate cash flows. The NAV of a scheme's Units, to the extent that such Scheme is invested in money market instruments, will consequently be affected by the aforesaid factors.

Credit Risk: Bonds /debentures as well as other money market instruments issued by corporates run the risk of down grading by the rating agencies and even default as the worst case. Securities issued by Central/State governments have lesser to zero probability of credit / default risk in view of the sovereign status of the issuer.

Interest -Rate Risk: Bonds/ Government securities which are fixed income securities, run price-risk like any other fixed income security. Generally, when interest rates rise, prices of fixed income securities fall and when interest rates drop, the prices increase. The level of interest rates is determined by the rates at which government raises new money through RBI, the price levels at which the market is already dealing in existing securities, rate of inflation etc. The extent of fall or rise in the prices is a function of the prevailing coupon rate, number of days to maturity of a security and the increase or decrease in the level of interest rates. The prices of Bonds/ Government securities are also influenced by the liquidity in the financial system and/or the open market operations (OMO) by RBI.

Migration of rating Risk: This relates to the risk on account of a fall/rise in price of rated securities on account of change in ratings of such securities.

Pressure on exchange rate of the rupee may also affect security prices. Such rise and fall in price of bonds/ government securities in the portfolio of the schemes may influence the NAVs under the schemes as and when such changes occur.

Liquidity Risk: The Indian debt market is such that a large percentage of the total traded volumes on particular days might be concentrated in a few securities. Traded volumes for particular securities differ significantly on a daily basis. Consequently, the schemes might have to incur a significant "impact cost" while transacting large volumes in a particular security.

Securities Lending: It is one of the means of earning additional income for these schemes with a lesser degree of risk. The risk could be in the form of non availability of ready securities for sale during the period the securities remain lent. The schemes could also be exposed to risk through the possibility of default by the borrower/ intermediary in returning the securities.

However, the risk would be adequately covered by taking in of suitable collateral from the borrower by the intermediary involved in the process. The schemes will have a lien on such collateral. They will also have other suitable checks and controls to minimise any risk involved in the securities lending process.

Reinvestment Risk: This risk refers to the interest rate levels at which cash flows received from the securities in the Scheme are reinvested. The additional income from reinvestment is the "interest on interest" component. The risk is that the rate at which interim cash flows can be reinvested may be lower than that originally assumed.

Money Market Securities are subject to the risk of an issuer's inability to meet interest and principal payments on its obligations and market perception of the creditworthiness of the issuer.

Plans and Options Offered	Not available
Dividend Policy	<p>Dividend distribution, if any, under the schemes will be made subject to availability of distributable surplus and other factors and a decision is taken by the Trustee to make dividend distribution.</p> <p>There is no assurance or guarantee to the Unit holders as to the rate of Dividend distribution nor that the dividend will be paid regularly. If the Fund declares Dividend, the NAV of the respective Schemes will stand reduced by the amount of Dividend and Dividend distribution tax (if applicable) paid. All the Dividend payments shall be in accordance and compliance with SEBI & NSE Regulations, as applicable from time to time.</p>
Eligible Investors	<p>An application for issue of units may be made by any resident or non-resident Indian as well as non-individuals as indicated below:</p> <ul style="list-style-type: none"> (a) a resident individual or a NRI or person of Indian origin residing abroad either singly or jointly with another or upto two other individuals on joint/anyone or survivor basis. An individual may make an application in his personal capacity or in his capacity as an officer of a Government or of a Court; (b) a parent, step-parent or other lawful guardian on behalf of a resident or a NRI minor. Units can be held on 'Joint' or 'Anyone or Survivor' basis; (c) an association of persons or body of individuals whether incorporated or not; (d) a Hindu Undivided Family both resident and non-resident; (e) a body corporate including a company formed under the Companies Act, 1956 now named The Companies Act, 2013 (No. 18 of 2013) or established under State or Central Law for the time being in force; (f) a bank including a scheduled bank, a regional rural bank, a co-operative bank etc; (g) an eligible trust including Private Trust being irrevocable trust and created by an instrument in writing; (h) a society as defined under the scheme; (i) a Financial Institution; (j) an Army/Navy/Air Force/Paramilitary Fund; (k) a partnership firm; (l) Foreign Portfolio Investor (FPI) as defined under Regulation 2(1)(h) of Securities and Exchange Board of India (Foreign Portfolio Investors) Regulations, 2014; (m) Mutual Funds registered with SEBI; (n) Scientific and Industrial Research Organisation; (o) Multilateral Funding Agencies / Bodies Corporate incorporated outside India with the permission of Government of India/Reserve Bank of India; (p) Other schemes of UTI Mutual Fund subject to the conditions and limits prescribed by SEBI Regulations; (q) Provident/Pension/Gratuity and other such Funds as and when permitted to invest; (r) Such other individuals / institutions / body corporate etc., as may be decided by the AMC from time to time, so long as wherever applicable they are in conformity with SEBI Regulations. <p>Subject to the Regulations, the sponsors, the Mutual Funds managed by them, their associates and the AMC may acquire units of the scheme. The AMC shall not be entitled to charge any fees on its investments in the scheme.</p> <p>The fund reserves the right to include/exclude, new/existing categories of investors to invest in the schemes from time to time, subject to SEBI Regulations, if any.</p> <p>Non-acceptance of subscriptions from Overseas Corporate Bodies (OCBs) in the Schemes of UTI MF. For detailed information please refer to SID and SAI</p>
Applicable NAV	<p>On the Exchange:</p> <p>As the units of the Scheme will be listed on stock exchange/s, any eligible investor can buy/sell units on an ongoing basis on the capital market segment of stock exchange/s where units are listed, at the traded prices in a minimum number of 1 unit and in multiples thereof during trading hours on trading days of the exchanges as aforesaid.</p> <p>Directly with the Fund:</p> <p>Ongoing purchases & sale or creation & redemption, directly from the Mutual Fund would be restricted to Authorized Participants/Large Investors provided the value of units to be purchased or redeemed is in creation unit size. Authorised Participants/Large Investors may buy/sell the units on any Business day of the scheme directly from the Mutual Fund by paying applicable transaction handling charges and cash component in cash and by depositing the prescribed basket of securities comprising underlying index. In case of creation, units may be allotted only after realization of payment by investor where the full consideration for creation unit is paid and at the value at which the underlying stocks for the creation unit is purchased against that purchase request.</p> <p>'Creation Unit' is fixed number of units of the Scheme, which is exchanged for a basket of shares underlying the Index called the Portfolio Deposit and a Cash Component.</p> <p>The number of units of the Scheme that investors can created or redeemed in exchange of the Portfolio Deposit and Cash Component is minimum of "Creation Units" and in multiples thereof.</p> <p>AMC / Trustees reserves the right to change the size of Creation of units in order to equate it with marketable lot of the underlying instrument.</p> <p>Note :</p> <ul style="list-style-type: none"> a) In addition to the NAV, any person transacting with the fund will have to reimburse charges pertaining to transaction - brokerage, STT, NSDL charges etc. & any other regulatory charges applied from time to time. b) Charges related to transactions payable by the investor is per creation/redemption request and will be as determined by the AMC at the time of transaction.

	<p>c) Switches are not allowed under the scheme. Units of the Scheme in less than Creation Unit cannot be purchased/ redeemed directly with the Fund.</p> <p>d) Extension of credit facilities during creation of units would not be allowed.</p> <p>e) The Fund at its discretion may allow cash creation/ redemption.</p> <p>For details regarding exit opportunity for Investors other than Authorised Participants and Large investors, please refer to SID</p>
Role of Authorised Participants	<p>The role of Authorised Participants is to offer liquidity of the units of the Scheme on the Stock Exchange where the Units are listed.</p> <p>AMC will empanel at least two Authorised Participants (Name of these AP's shall be disclosed at the time of launch of the Scheme).</p> <p>Authorised Participants may offer to buy and sell quotes (bid and ask quotes) on the Exchanges such that buy and sell orders get executed in the market subject to price compatibility. Authorised Participants may for the purpose of creating liquidity subscribe or redeem the units of the Scheme directly with the Mutual Fund.</p> <p>The AMC reserves right to appoint / remove any Authorised Participants.</p>
Dematerialisation	<p>a) The units of the Scheme will be available only in the Dematerialized (electronic) form.</p> <p>b) The applicant under the Scheme will be required to have a beneficiary account with a Depository Participant of NSDL/ CDSL and will be required to indicate in the application the DP's name, DP ID Number and beneficiary account number of the applicant with the DP.</p> <p>c) The units of the Scheme will be issued/ repurchased and traded compulsorily in dematerialized form. Applications without relevant details of his or her depository account are liable to be rejected.</p> <p>d) Since the units are issued / repurchased and traded compulsorily in dematerialized form, no request for rematerialisation of the units will be entertained.</p>
Additional Mode of Payment during NFO	<p>Investors may apply for the UTI-Nifty Next 50 ETF through Applications Supported by Blocked Amount (ASBA) process during the NFO period by filling in the ASBA form and submitting the same to their respective banks, which in turn will block the subscription amount in the said account as per the authority contained in ASBA form and undertake other tasks as per the procedure specified therein. (The details of banks' branches accepting ASBA form are available on the websites of BSE (www.bseindia.com), NSE (www.nseindia.com) and SEBI (www.sebi.gov.in) or at your nearest UTI Financial Centre.) For applicants applying through ASBA, on the date of allotment, the amount will be unblocked in their respective bank accounts and account will be debited to the extent required to pay for allotment of Units applied in the application form.</p>
Minimum Application Amount	<p>During NFO period - Rs. 5000 and in multiples of Rs. 1/- thereof.</p> <p>On Continuous basis –</p> <p>Directly with Fund: Only Authorised Participants / Large Investors can directly purchase / redeem from the fund in Creation unit size as stated above on any business day.</p> <p>On the Exchange -</p> <p>The units of the Scheme can be purchased / redeemed in minimum lot of 1 unit and in multiples of one thereof.</p>
Allotment	On allotment, value of each unit will be approximately equal to 1/10th of the value of Nifty Next 50 Index
Benchmark Index	Nifty Next 50 Index
Name of the Fund Manager	Shri Kausik Basu is the Fund Manager for the scheme
Name of the Trustee Company	UTI Trustee Company Private Limited
Performance of the Scheme	This scheme is a new scheme and does not have any performance track record.
Expenses of the scheme	Entry Load: Not Applicable *
(i) Load Structure	* 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.
(ii) Recurring Expenses	<p>Exit Load : Not Applicable</p> <p>The expenses are accrued daily and are reflected in the daily NAV of UTI-Nifty Next 50 ETF.</p> <p>The schemes estimated ordinary operating expenses are accrued daily commencing after the first day of the trading of the units on the NSE and are reflected in the NAV of the scheme.</p> <p>The AMC has estimated that upto 1.50 % of the daily average net assets of the scheme will be charged to the scheme as expenses. For the actual current expenses being charged, the investor should refer to the website of the mutual fund.</p>
Tax Treatment for the Investors (Unitholders)	Investors are advised to refer to the details in the Statement of Additional Information and also independently refer to his tax advisor.
Daily Net Asset Value (NAV) Publication	The NAVs will be declared by 9 p.m. on every business days and will be published in atleast two daily newspapers having nationwide circulation and will also be available on the website of UTI Mutual Fund, www.utimf.com by 9 p.m. on every business day and website of AMFI namely www.amfiindia.com . You can also call us at 1800 22 1230 (toll free number) or (022) 2654 6200 (non toll free number).
For Investor Grievance please contact	<p>Name and Address of Registrar M/s. Karvy Computershare Pvt. Ltd.: Unit: UTIMF, Karvy Selenium Tower B, Plot Nos. 31 & 32, Financial District, Nanakramguda, Serilingampally Mandal, Hyderabad - 500 032. Board No: 040-6716 2222, Fax No.: 040- 6716 1888, Email: uti@karvy.com</p> <p>All investors could refer their grievances giving full particulars of investment at the following address: Ms. Nanda Malai Associate Vice President – Department of Operations UTI Asset Management Company Ltd., UTI Tower, Gn Block, Bandra-Kurla Complex, Bandra (East), Mumbai – 400 051. Tel: 022-6678 6666, Fax: 022-26523031 Investors may post their grievances at our website: www.utimf.com or e-mail us at service@uti.co.in</p>
Unitholders Information	Accounts statement and abridged annual financial results shall be provided to investors by post/any other mode. Half yearly scheme portfolio disclosure will be mailed to unitholders shall be published in the newspapers as permitted under SEBI (Mutual Funds) Regulations, 1996.



Haq, ek behtar zindagi ka.

APPLICATION FORM

UTI - NIFTY NEXT 50 EXCHANGE TRADED FUND (UTI-NIFTY NEXT 50 ETF)

Offer of Units of ₹ 10/-each for cash issued at a premium Approximately Equal to the Difference between Face Value and allotment Price during the New Fund Offer Period and at NAV based prices during Continuous Offer. (OCBs ARE NOT ALLOWED TO INVEST IN UNITS OF ANY OF THE SCHEMES OF UTI MF)

Sr.No. 2017/

TIME STAMP

Registrar Sr. No.

(Please read instructions carefully before filling the form and use BLOCK LETTERS only) [Fields Marked with (*) must be Mandatorily filled in]

DISTRIBUTOR INFORMATION (only empanelled Distributors/Brokers will be permitted to distribute Units) (refer instruction 'h')						BDA / CA Code
ARN/RIA No.^	Name of Financial Advisor	Sub ARN Code	Sub Code/ Bank Branch Code	M O Code	EUI No.®	UTI RM No.

^ By mentioning RIA code, I/we authorised you to share with the Investment Advisor the details of my/our transactions.

Upfront commission shall be paid directly by the investor to the AMFI / NISM certified UTI MF registered Distributors based on the investors' assessment of various factors including the service rendered by the distributor.

@ I/We confirm that the EUIN box is intentionally left blank by me/us as this is an "execution-only" transaction without any interaction or advice by the distributor personnel concerned or notwithstanding the advice of in-appropriateness, if any, provided by such distributor personnel and the distributor has not charged any advisory fees for this transaction. (Please tick and sign below when EUIN box is left blank) (refer instruction 'w').

Signature of 1st Applicant / Guardian

Signature of 2nd Applicant

Signature of 3rd Applicant

TRANSACTION CHARGES TO BE PAID TO THE DISTRIBUTOR (Please tick any one of the below) (Refer Instruction 'i')	
<input type="checkbox"/> I AM A FIRST TIME INVESTOR IN MUTUAL FUNDS ₹ 150 will be deducted as transaction charges per Subscription of ₹ 10,000 and above	OR <input type="checkbox"/> I AM AN EXISTING INVESTOR IN MUTUAL FUNDS ₹ 100 will be deducted as transaction charges per Subscription of ₹ 10,000 and above
Existing Unitholder information: If you have an existing folio no. with PAN & KYC validation, please mention your Folio Number here:	

APPLICANT'S PERSONAL DETAILS <input type="checkbox"/> Mr. <input type="checkbox"/> Ms. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. * Denotes Mandatory Fields	
Name of First Applicant (as appearing in ID proof given for KYC)	
Date of Birth	
First Applicant's Address (Do not repeat the name) Name & Address of resident relative in India (for NRIs) (P.O. Box No. is not sufficient)	
Village/Flat/Bldg./Plot*	
Street/Road/Area/Post	
City/Town* State Pin*	
*PAN / PEKRN\$ OF 1ST APPLICANT/FATHER/MOTHER/GUARDIAN (whose particulars are furnished in the form) AADHAAR CARD NO.	
Enclosed <input type="checkbox"/> PAN/PEKRN Card/ID Proof Copy <input type="checkbox"/> Know Your Customer (KYC)* Acknowledgement Copy Please (✓)	

OVERSEAS ADDRESS (Overseas address is mandatory for NRI / FPI applicants in addition to mailing address in India)	
City*	
State	Country* Zip/Pin*

NAME IN FULL OF THE FATHER (OR) MOTHER / GUARDIAN (IN CASE OF MINOR)\$ / CONTACT PERSON FOR INSTITUTIONAL APPLICANTS <input type="checkbox"/> Mr. <input type="checkbox"/> Ms. <input type="checkbox"/> Mrs.	
Date of Birth	
\$\$\$ Proof of date of birth and proof of relationship with minor to be attached or else sign the declaration on the reverse (Refer instruction 'f').	

DETAILS OF OTHER APPLICANTS	
Name of 2nd Applicant <input type="checkbox"/> Mr. <input type="checkbox"/> Ms. <input type="checkbox"/> Mrs.	Date of Birth of 2nd Applicant
*PAN / PEKRN\$ of 2nd Applicant AADHAAR CARD NO.	
Enclosed <input type="checkbox"/> PAN/PEKRN Card/ID Proof Copy <input type="checkbox"/> Know Your Customer (KYC)* Acknowledgement Copy Please (✓)	
Name of 3rd Applicant <input type="checkbox"/> Mr. <input type="checkbox"/> Ms. <input type="checkbox"/> Mrs.	Date of Birth of 3rd Applicant
*PAN / PEKRN\$ of 3rd Applicant AADHAAR CARD NO.	
Enclosed <input type="checkbox"/> PAN/PEKRN Card/ID Proof Copy <input type="checkbox"/> Know Your Customer (KYC)* Acknowledgement Copy Please (✓)	

\$ Required for MICRO Investment upto ₹ 50,000/- in year (Refer instruction 'q').

PAYMENT DETAILS (Please ensure that the cheque complies to the CTS 2010 standards) (Refer Instruction 'y')	
#Cheque/DD/*NEFT/*RTGS Ref. No. / Unique Serial No. (For Cash)	<input type="checkbox"/> Cash Account type <input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> NRE <input type="checkbox"/> DD issued from abroad
Account No.	<input type="checkbox"/> One Time Mandate (OTM) if already registered (Applicable for existing investors)
Date	Amt. of investment (i)
Bank	DD Charges if any (ii)
Branch	Net amount paid (i-ii)
Amt. in words	#Please mention the application No. on the reverse of the cheque / DD, NEFT / RTGS advice. Cheque / DD must be drawn in favour of "UTI - Nifty Next 50 Exchange Traded Fund (UTI-Nifty Next 50 ETF)" & crossed "A/c Payee Only"
Investment amount shall be ₹ 2 lacs and above in case of payments through RTGS.	

BANK PARTICULARS OF 1ST APPLICANT (Mandatory as per SEBI Guidelines)

Bank Name		Branch
Address		MICR Code <input type="text"/> (this is a 9-digit number next to your cheque number)
City	Pin*	IFS Code <input type="text"/> (this is a 11-digit number)
Account type (please ✓) <input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> NRO <input type="checkbox"/> NRE		
Account No. <input type="text"/>		

INVESTMENT DETAILS (Please ✓)

Scheme Name:

UTI - NIFTY NEXT 50 EXCHANGE TRADED FUND (UTI-NIFTY NEXT 50 ETF)**DEMAT ACCOUNT DETAILS** - Please ensure that the sequence of names as mentioned in the application form matches with that of the account held with any one of the Depository Participant. Demat Account details are compulsory.

National Securities Depository Limited	Depository Name	<input type="text"/>	Central Depository Services (India) Limited	Depository Name	<input type="text"/>
	DP ID No.	<input type="text"/>		Target ID No.	<input type="text"/>
	Beneficiary Account No.	<input type="text"/>			

Enclosures : Client Master List (CML) Transaction cum Holding Statement Delivery Instruction Slip (DIS)**Details of Beneficial Ownership (Please tick applicable category). Ownership details to be provided if the Ownership percentage/interest in the trust of any Beneficiary is as per the threshold limit provided below. Details to be provided for each such beneficiary.**

(Refer instruction q)

Category	<input type="checkbox"/> Unlisted company	<input type="checkbox"/> Partnership Firm	<input type="checkbox"/> Unincorporated Association/Body of Individuals	<input type="checkbox"/> Trust	<input type="checkbox"/> Foreign Investor \$\$\$
Ownership per cent @@@	>25%	>15%	>15%	>=15%	

@@@ Ownership percentage of shares/capital/profits/property of juridical person/interest in the Trust as on the date of the application shall be furnished by the investor.

\$\$\$ In the case of Foreign investors, the beneficial ownership will be determined as per SEBI guidelines. For details refer to SAI/relevant Addendum.

In case of any change in the beneficial ownership, the investor will be responsible to intimate UTI AMC / its Registrar / KRA as may be applicable immediately about such change.

Details of Beneficial Ownership (Please attach a separate sheet with this format if the space provided is insufficient)

Sr. No.	Name	Address	Details of Identity such as PAN / Passport	% of ownership
1				
2				
3				

[Please attach self attested copy of PAN/Passport (proof of photo identity) along with application form]

FRIEND IN NEED DETAILS (refer instruction - k) In case UTI MF is unable to communicate with me/us at my / our registered address, I / we authorize UTI MF to correspond with the following person to ascertain my/our updated contact details.

Name	F	I	R	S	T	M	I	D	D	L	E	L	A	S	T
Address:															
Relationship with the applicant (optional)															
Email															
Mobile															

GENERAL INFORMATION - Please (✓) wherever applicable

STATUS:

<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Minor through guardian	<input type="checkbox"/> HUF	<input type="checkbox"/> Partnership	<input type="checkbox"/> Trust
<input type="checkbox"/> Sole Proprietorship	<input type="checkbox"/> Society/Club	<input type="checkbox"/> Body Corporate	<input type="checkbox"/> AOP	<input type="checkbox"/> BOI
<input type="checkbox"/> FPI	<input type="checkbox"/> NRI	<input type="checkbox"/> Foreign Nationals##	<input type="checkbox"/> Listed Company	<input type="checkbox"/> LLP
<input type="checkbox"/> Unlisted 'Not for Profit'^^ Company	<input type="checkbox"/> Other Unlisted Company	<input type="checkbox"/> PIO		
<input type="checkbox"/> Others (Please specify) _____				

OCBs are not allowed to invest in units of any of the schemes of UTI MF.

^^ 'Not for Profit' Company as defined under Companies Act (Act of 1956/2013).

OCCUPATION:

<input type="checkbox"/> Business	<input type="checkbox"/> Student	<input type="checkbox"/> Agriculture	<input type="checkbox"/> Self-employed	<input type="checkbox"/> Professional
<input type="checkbox"/> Housewife	<input type="checkbox"/> Retired	<input type="checkbox"/> Private Sector Service	<input type="checkbox"/> Public Sector Service	<input type="checkbox"/> Government Service
<input type="checkbox"/> Forex Dealer	<input type="checkbox"/> Others (Please specify) _____			

MODE OF HOLDING: Single Anyone or survivor Joint

MARITAL STATUS: Unmarried Married Wedding Anniversary

OTHER DETAILS (MANDATORY)

FOR INDIVIDUALS ONLY

1st Applicant: (A) **Gross Annual Income Details** Please tick (✓)

<input type="checkbox"/> Below 1 Lac	<input type="checkbox"/> 1-5 lacs	<input type="checkbox"/> 5-10 Lacs	<input type="checkbox"/> 10-25 Lacs	<input type="checkbox"/> >25 Lacs - 1 Crore	<input type="checkbox"/> >1 Crore
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[OR]

Net-worth in ₹ _____ (Net worth should not be older than 1 year) as on (date)

(B) Please tick if applicable: Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP)
(For definition of PEP, please refer instruction 'x').

(C) Any other information: _____

2nd Applicant: (A) **Gross Annual Income Details**

<input type="checkbox"/> Below 1 Lac	<input type="checkbox"/> 1-5 lacs	<input type="checkbox"/> 5-10 Lacs	<input type="checkbox"/> 10-25 Lacs	<input type="checkbox"/> >25 Lacs - 1 Crore	<input type="checkbox"/> >1 Crore
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[OR]

Net-worth in ₹ _____ (Net worth should not be older than 1 year) as on (date)

(B) Please tick if applicable: Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP)

(C) Any other information: _____

3rd Applicant: (A) **Gross Annual Income Details**

<input type="checkbox"/> Below 1 Lac	<input type="checkbox"/> 1-5 lacs	<input type="checkbox"/> 5-10 Lacs	<input type="checkbox"/> 10-25 Lacs	<input type="checkbox"/> >25 Lacs - 1 Crore	<input type="checkbox"/> >1 Crore
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[OR]

Net-worth in ₹ _____ (Net worth should not be older than 1 year) as on (date)

(B) Please tick if applicable: Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP)

(C) Any other information: _____

FOR NON-INDIVIDUALS ONLY

(A) **Gross Annual Income Details**

<input type="checkbox"/> Below 1 Lac	<input type="checkbox"/> 1-5 lacs	<input type="checkbox"/> 5-10 Lacs	<input type="checkbox"/> 10-25 Lacs	<input type="checkbox"/> >25 Lacs - 1 Crore	<input type="checkbox"/> >1 Crore
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[OR]

Net-worth in ₹ _____ (Net worth should not be older than 1 year) as on (date)

(B) Is the entity involved in / providing any of the following services

- Foreign Exchange / Money Changer Services	<input type="checkbox"/> YES <input type="checkbox"/> NO	- Gaming / Gambling/Lottery Services (e.g. casinos, betting syndicates)	<input type="checkbox"/> YES <input type="checkbox"/> NO
- Money Lending / Pawning	<input type="checkbox"/> YES <input type="checkbox"/> NO		

(C) Any other information: _____

ACKNOWLEDGEMENT
(To be filled in by the Applicant)



UTI - NIFTY NEXT 50 EXCHANGE TRADED FUND (UTI-NIFTY NEXT 50 ETF) Sr. No. 2017/

Received from Mr / Ms / M/s _____

along with Cheque^s/DD^s/NEFT/RTGS _____ dated _____

Ref. No./Unique Serial No. (For Cash) _____

Drawn on (Bank) _____

for ₹ (in figures) _____

Stamp of UTI AMC Office/
Authorised Collection Centre

^s Cheques and drafts are subject to realisation.

DETAILS UNDER FATCA (FOREIGN TAX COMPLIANCE ACT) AND CRS (COMMON REPORTING STANDARD)

(Refer instruction 'z').

Information to be provided by all Applicants in the same sequence of Names as given in this Application form

Are you a tax resident of any country other than India ?

If **No**, please tick here: First Applicant Second Applicant Third Applicant

Please fill in the Particulars in the prescribed Form for FATCA/CRS and attach it with this Application Form.

NOMINATION DETAILS (Please ✓) (please sign if you do not wish to nominate)

I/We hereby nominate the undermentioned Nominee to receive the amounts to my / our credit in the event of my / our death. I/We also understand that all payments and settlements made to such Nominee and signature of the Nominee acknowledging receipt thereof, shall be a valid discharge by the AMC / Mutual Fund / Trustee.

Name and Address of Nominee	To be furnished in case nominee is a minor
Name	Name of the guardian
Date of Birth <input type="text" value="d"/> <input type="text" value="d"/> <input type="text" value="m"/> <input type="text" value="m"/> <input type="text" value="y"/> <input type="text" value="y"/> <input type="text" value="y"/> <input type="text" value="y"/> (in case of nominee is a minor)	Address of guardian
Address with pin code	Signature of Nominee / guardian (for minor)

Investors who wish to nominate two or three persons may fill in the separate form prescribed for the same and attach it with this application form.

I/We do not wish to nominate

Signature of 1st Applicant / Guardian

Signature of 2nd Applicant

Signature of 3rd Applicant

Sign. here

DECLARATION AND SIGNATURE OF APPLICANT/S

• I/We have read and understood the contents of the Scheme Information Document, Statement of Additional Information and Key Information Memorandum, addenda issued till date and apply to the Trustee of UTI Mutual Fund as indicated above. I/We agree to abide by the terms and conditions, rules and regulations of the scheme as on the date of investment. I/We undertake to confirm that this investment has been duly authorised by appropriate authorities in terms of all relevant documents and procedural requirements. • I/We have not received nor been induced by any rebate or gifts, directly or indirectly in making investments. • 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. • I/We hereby authorize UTI MF/UTI AMC to share my data furnished in the Form to my distributor and other service providers of the UTI MF for the purpose of servicing, issue of account statement/consolidated statement of account etc and cross selling of products/schemes of the UTI MF. • I/We confirm that we are Non-Residents of Indian Nationality/Origin and that the funds are remitted from abroad through approved banking channels or from my / our NRE / NRO Account. I/We undertake to provide further details of source of funds and any such other relevant documents, if called for by UTI Mutual Fund (Applicable to NRI's). • I hereby solemnly declare that I am the father/mother/guardian of the minor child in whose name the application is made. The date of birth stated by me is true and correct. I do not have any documents in support of the date of birth and relationship with minor child. (Strike out if this declaration is not applicable).

OPTION FOR DESPATCH OF STATEMENT OF ACCOUNT (SoA)

Through email[∞] SoA in Physical Form At my Overseas address as mentioned above[∞]

To be dispatched to my resident relative's address in India as mentioned above[∞]

[∞] Please send the Account Statement, Abridged Annual Report, Transaction confirmation, communication of change of address, change of bank details etc. through email only at the below email ID.

[®] Applicable to NRIs

First Applicant Details	Mobile No. <input type="text"/>	Tel. (R) <input type="text" value="STD CODE"/> <input type="text"/>	Tel. (O) <input type="text" value="STD CODE"/> <input type="text"/>
	*E-mail <input type="text"/> Alternate E-mail <input type="text"/>		

Signature of 1st Applicant / Guardian

Name of 1st Authorised Signatory/POA^{^^}

Signature of 2nd Applicant

Name of 2nd Authorised Signatory/POA^{^^}

Signature of 3rd Applicant

Name of 3rd Authorised Signatory/POA^{^^}

Designation _____

Designation _____

Designation _____

^{^^} Power of Attorney (POA) Registration No. _____ (if already registered) (Refer instruction 'aa')

Notes :

1. If the application is incomplete and any other requirement is not fulfilled, the application is liable to be rejected.
2. In case the applicant does not receive the Statement of Account within 10 days from the date of acceptance of the application, he/she may please write to the Registrar quoting serial number, date of acknowledgement and the name of the accepting authority to the Registrar.
3. Please ensure that all PAN details / copy of KYC Acknowledgement provided by service provider are given, failing which your application will be rejected.
4. All communication relating to issue of Statement of Account, Change in name, Address or Bank particulars, Nomination, Redemption, Death Claims etc., may please be addressed to the Registrar :

M/s. Karvy Computershare Private Limited, UTIMF, Karvy Selenium Tower B, Plot Nos. 31 & 32, Financial District, Nanakramguda, Serilingampally Mandal, Hyderabad – 500 032, Board No: 040 - 6716 2222, Fax no : 040- 6716 1888, Email:uti@karvy.com

Sign. here

GENERAL INSTRUCTIONS FOR FILLING THE APPLICATION FORM PLEASE

APPLICATION FORM SHOULD BE FILLED IN CAPITAL LETTERS ONLY

[Fields marked with (*) must be mandatorily filled in]

[Before Filling up the Form, Please read the Cover Page Carefully to know the Risk Profile of the Scheme]

- (a) Please read the terms of the Key Information Memorandum, Scheme Information Document and Statement of Additional Information carefully before filling the Application Form. Investors are deemed to have accepted the terms subject to which this offer is being made and bind themselves to the terms upon signing the Application Form and tendering payment.
- (b) Before submission of application form at UTI Financial Centres and other authorised collection centres investors may please ensure that the form has been filled in completely and signed by all the applicants properly as incomplete application is liable to be rejected.
- (c) NRI applicants should preferably submit the application at NRI Branch, Mumbai, Dubai Representative Office or any Financial Centre of UTI AMC along with NR(E) / NR(O) cheque or a rupee draft payable at the place where the application is submitted.
- (d) **Please write the application serial number on the reverse of the cheque / draft.**
- (e) Please fill in the names of the applicant(s) / institution / parent or lawful guardian / minor / alternate applicant / nominee etc. at the appropriate places in the application form. PIN code no. must be given with address to avoid delay / loss in transit.
- (f) Attach any one of the documents as proof of date of birth and relationship with minor viz., birth certificate, School leaving certificate/mark sheet issued by Higher Secondary Board of respective states, ICSE, CBSE etc., Passport of the minor or any other suitable proof evidencing the date of birth and relationship with the minor.
- (g) It is mandatory for an applicant to furnish full and correct particulars of bank account such as nature and number of the account, name and address of the bank, name of the branch, MICR code of the branch (where applicable) etc. at the appropriate place in the application form. Application without such bank particulars is liable to be rejected. If the credit of dividend distribution is delayed or not effected at all for reason of incomplete or incorrect information furnished by the applicant, UTI AMC cannot be held responsible.
- (h) If you have invested through a distributor, kindly specify the Name and ARN Code, Sub ARN Code of the distributor, else for Direct Investment, please mention "Direct" in the Column "Name & Broker Code/ARN / Sub ARN Code". In case nothing is specified, then by default, the Broker Code will be treated as Direct and the application form will be treated as Direct Application.

(i) **Transaction Charges**

Pursuant to SEBI circular no. CIR/IMD/DF/13/2011 dated August 22, 2011, a transaction charge of ₹ 100/- for existing investors and ₹ 150/- in the case of first time investor in Mutual Funds, per subscription of ₹ 10,000/- and above, respectively, is to be paid to the distributors of UTI Mutual Fund products. However, there shall be no transaction charges on direct investment/s not made through the distributor/financial advisor etc.

There shall be no transaction charge on subscription below ₹ 10,000/-.

If the investor has not ticked in the Application form whether he/ she is an existing/new investor, then by default, the investor will be treated as an existing investor and transaction charges of ₹ 100/- will be deducted for investments of ₹ 10,000/- and above and paid to distributor/ financial advisor etc., whose information is provided by the investor in the Application form. However, where the investor has mentioned 'Direct Plan' against the scheme name, the Distributor code will be ignored and the Application will be processed under 'Direct Plan' in which case no transaction charges will be paid to the distributor.

The transaction charge, if any, shall be deducted by UTI AMC from the subscription amount and paid to the distributor and the balance shall be invested. Allocation of Units under the scheme will be Net of Transaction Charges. The Statement of Account (SOA) would also reflect the same.

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.

For details on opting in/out by distributors for charging transaction charges etc., refer to SAI/SID.

(j) **Direct Plan**

Direct Plan is for all category of eligible investors (whether existing or new Unitholders) who purchase/subscribe Units directly with the Fund and is not available for investors who route their investments through a Distributor.

The Direct Plan will be a separate plan under the Fund/Scheme and shall have a lower expense ratio excluding distribution expenses, commission etc and will have a separate NAV. No commission shall be paid from Direct Plan. Portfolio of the scheme under the Regular Plan and Direct Plan will be common.

For further details refer to SAI.

- (k) 'Friend In Need' details will be used by UTI MF only for ascertaining the present address of the unit holder (without disclosing investment details of the investor) if no response is received from the unit holder on sending communication in any form to his/ her registered address or e-mail ID, if available, atleast for two occasions. For further details, please refer to SAI.
- (l) SEBI has made it mandatory for all applicants, irrespective of amount of investment, to furnish Income Tax PAN. An application without PAN will be rejected. Investors are required to provide the photocopy (self attested by the investor) of the PAN card along with the application form. If the investment is in the name of minor the PAN of the minor or his father / mother / guardian whose particulars are provided in the application form is to be provided.

Investment & Payment Details

- (m) The cheque/draft accompanying an application should be made payable in favour of "UTI - Nifty Next 50 Exchange Traded Fund. (UTI-Nifty Next 50 ETF)".
- (n) Outstation cheques are not accepted. In case the payment is made by demand draft, the draft commission will have to be borne by the applicants. However for investment made from areas where there are no UTI Financial Centres or authorised collection centres (where local cheques are accepted), UTI AMC may, if it so decides, bear draft charges to the extent of ₹ 250/- per application or the actual as is prescribed by banks, whichever is lower or such amount as may be decided by UTI AMC from time to time. The investors have to attach proof of the DD charges paid to a bank (i.e. acknowledgement issued by the bank where DD is purchased). The reimbursement/adjustment of DD charges is solely at the discretion of UTI AMC and in case if it is found that such charges are unreasonably higher than normal market

rates, such charges may not be admissible. For further details, refer to SAI/SID of the scheme.

- (o) UTI AMC/MF shall not accept application for subscription of units accompanied with Third Party Payment except in certain exceptional cases as may be permitted. For details please refer to SID/SAI.

Payment Modes

- (p) **No money orders, outstation cheques, post-dated cheques and postal orders will be accepted.**

However, cash payment to the extent of ₹ 50,000/- per investor, per Mutual Fund, per financial year through designated branches of Axis Bank will be accepted subject to the following procedure:-

- i. Investors who desire to invest upto ₹ 50,000/- per financial year shall contact any of our UTI UFCs and obtain a Form for Deposit of Cash and fill-up the same.
- ii. Investors shall then approach the designated branch of Axis Bank along with the duly filled-in Form for Deposit of Cash and deposit the cash.
- iii. Axis Bank will provide an Acknowledgement slip containing the details of Date & Time of deposit, Unique serial number, Scheme Name, Name of the Investor and Cash amount deposited. The Investors shall attach the Acknowledgement slip with the duly filled-in application form and submit them at the UFCs for time stamping.
- iv. Applicability of NAV will be based on depositing of cash at the designated bank branch before the cut-off time and time-stamping of the valid application together with the acknowledgment slip at the UTI Financial Centre (UFC)/Official Point of Acceptance (OPA).

For further details please refer to SAI.

- (q) **Know Your Customer (KYC):**

Investors desiring to invest / transact in mutual fund schemes are required to comply with the KYC norms applicable from time to time.

A. For Individual Investors

I. Central KYC Norms for Individual Investors new to KYC system with effect from 1st February 2017

As per Government of India Gazette notification dated November 26, 2015, the Central Registry of Securitization and Asset Reconstruction and Security Interest of India (CERSAI) has been authorized to act and perform the functions of Central KYC Records Registry (CKYCR) including receiving, storing, safeguarding and retrieving the Know Your Client (KYC) records of an investor in digital form.

Applicable Norms with effect from 1st February 2017

1. An Individual Investor whose KYC is not registered or verified with any of the Agencies for KYC Registration (KRA), shall use the CKYC form to register their KYC.
 2. In case an Individual Investor uses old KRA KYC form, such investor should either fill the new CKYC form or provide additional / missing information in the Supplementary CKYC form.
 3. If such Investor has already completed CKYC and has a KYC Identification Number (KIN) from CKYCR, then he can invest in the Schemes of UTI Mutual Fund by quoting their KIN.
 4. In case PAN of an investor is not updated in CKYCR system, the investor shall be required to submit a self certified copy of PAN card at the time of investment
 5. The KYC requirements shall be governed by SEBI Circulars / notifications and AMFI Guidelines issued from time to time.
For further details refer to SAI/ Addendum No 26/2016-17 dated 6th February 2017 and SEBI Circulars No. CIR/MIRSD/66/2016 dated July 21, 2016 and CIR/MIRSD/120/2016 dated November 10, 2016.
- II. Existing investors who are KYC compliant before 1st January 2012 will have to complete the new KYC requirements and get the IPV done if they wish to deal with any other SEBI registered intermediary other than a Mutual Fund.

III. Aadhaar based e KYC process

1. Investors can also avail the Aadhaar based e-KYC service offered by UIDAI for KYC verification.
2. For this purpose, Investors/clients, on voluntary basis, can authorize the Intermediaries registered as KYC User Agency (KUA) with UIDAI to access the client identification and authentication details from UIDAI.
3. For entering into account based relationship, the Investor/client may provide the following information to the intermediary electronically including through any web enabled device for verification with UIDAI.
 - i. Name
 - ii. Aadhaar number
 - iii. Permanent Account Number (PAN)
4. The Intermediary shall perform verification of the client with UIDAI through biometric authentication (fingerprint or iris scanning). After due validation of Aadhaar number provided by the client, the intermediary (acting as KUA) shall receive the KYC information about the client from UIDAI through KSA.
5. Mutual Funds can also perform verification of the client with UIDAI through One Time password (OTP) received on client's mobile number or on e-mail address registered with UIDAI provided, the amount invested by the client does not exceed ₹ 50,000 per financial year per Mutual Fund and payment for the same is made through electronic transfer from the client's bank account registered with that Mutual Fund.

For further details on e KYC process, refer to SAI/SEBI circular dated 22nd January 2016

IV. PAN-Exemption for micro financial products

Only individual Investors (including NRIs, Minors & Sole proprietary firms) who do not have a PAN, and who wish to invest upto ₹ 50000/- in a financial year under any Scheme including investments, if any, under SIPs shall be exempted from the requirement of PAN on submission of duly filled in purchase application forms with payment along with KYC application form with other prescribed documents towards proof of identity as specified by SEBI. For all other categories of investors, this exemption is not applicable

B. For Non-Individual Investors

Investors have to fill up and sign the KYC application form available on the UTI Mutual Fund's website, www.utimf.com or the website of the

KYC Registration Agencies (KRAs) M/s CVL, www.cvlkra.com; M/s NDML, www.ndml.in; M/s DotEx, www.nseindia.com/supra_global/content/dotex/about_dotex.htm; M/s CAMS Investor Services Private Limited and M/s Karvy Data Management Services Ltd. Further details on filling up / submission of KYC Application form are available in SEBI Circular no. MIRSD/SE/Cir-21/2011 dated October 5, 2011.

C. For both Individual and Non-Individual Investors

1. Existing investors in mutual funds who have already complied with the KYC requirement are exempt from following the new KYC procedure effective January 01, 2012 but only for the purpose of making additional investment in the Scheme(s) / Plan(s) of any Mutual Fund registered with SEBI
2. For 'KYC-On-Hold' cases, investor need to submit missing information or update pending KYC related information so as to enable AMC to process purchase transaction (whether fresh or additional) and switches
3. In terms of AMFI guidelines, with effect from January 1, 2016,
 - (a) to make additional subscription (including switches), it shall be mandatory for all existing investors to provide additional KYC information such as Income details, Occupation, association with politically exposed person, net worth etc. where such information was not provided to KRAs earlier.
 - (b) However, SIP and STP already registered till December 31, 2015 in such existing folios are exempted from the above stipulations.

4. Non-Applicability of KYC guidelines

The new KYC guidelines shall not be applicable to the following categories / transactions:

- The investors falling under the category of Micro Pension (as per the arrangement between UTI AMC with the respective organization/s), who are exempt from the requirement of PAN.
- Investments received from Government bodies/authorities/Departments in favour of beneficiaries identified by them.
- Bonus/dividend reinvestment
- Existing Systematic Investment Plan (SIP) / Systematic Transfer Investment Plan (STRIP) / Dividend Transfer Plan (DTP) registrations (and similar facilities) including those received till 31st December 2015.
- Renewal Contribution received under UTI Unit Linked Insurance Plan (UTI-ULIP) of Investors registered under UTI ULIP upto 31st December 2015.

For further details on KYC requirements to be complied with by the Investors, please refer to SAI

(r) Aadhar Card

In addition to KYC compliance proof / self attested PAN Card copy, the investors are advised to provide Aadhar Card No., if any.

(s) Consolidated Account Statement (CAS)

The AMC will issue a Consolidated Account Statement (CAS) for each calendar month to the investor in whose folios transactions has taken place during that month and such statement will be issued on or before the 10th day of the succeeding month detailing all the transactions and holding at the end of month including transaction charges paid to the distributor, if any, across all schemes of all mutual funds.

Further, CAS as above, will also be issued every half yearly (September/March), on or before the 10th day of succeeding month detailing holding at the end of the sixth month, across all schemes of all mutual funds, to all such investors in whose folios no transactions has taken place during that period.

The word "transaction" for the purposes of CAS would include purchase, dividend payout, bonus transactions and merger, if any.

However, Folios under Micropension arrangement shall be exempted from the issuance of CAS.

Statement of Account for Demat Account holders:-

- (I) The unit holders who do not have Demat account shall continue to receive the Consolidated Account Statements (CAS) as per the existing practice.
- (II) For unit holders having Mutual Fund (MF) investments and Demat Account -
 - a. Such Investors shall receive a single Consolidated Account Statement (CAS) from the Depository.
 - b. Consolidation shall be done on the basis of Permanent Account Number (PAN). In case of multiple holding, it shall be PAN of the first holder and pattern of holding.
 - c. In case an investor has multiple accounts across two depositories, the depository with whom the Demat account has been opened earlier will be the default depository which will consolidate the details across depositories and MF investments and dispatch the CAS to the investor.
 - d. The CAS will be generated on monthly basis.
 - e. If there is any transaction in any of the Demat accounts of the investor or in any of his mutual fund folios, depositories shall send the CAS within ten days from the month end. In case, there is no transaction in any of the mutual fund folios and demat accounts, then CAS with holding details shall be sent to the investor on half yearly basis.
 - f. The dispatch of CAS by the depositories shall constitute compliance by UTI AMC/ UTI Mutual Fund with the requirements under Regulation 36(4) of SEBI (Mutual Funds) Regulations, 1996.

For further details on other Folios exempted from issuance of CAS, PAN related matters of CAS etc, please refer to SAI.

(t) MF Utility for Investors

UTI AMC Ltd has entered into an agreement with MF Utilities India Private Ltd (MFUI) for usage of MF Utility (MFU), a shared service initiative of various Asset Management Companies, which acts as a transaction aggregation portal for transacting in multiple Schemes of various Mutual Funds with a single form and a single payment instrument through a Common Account Number (CAN)

Accordingly, all financial and non-financial transactions pertaining to the Scheme are available through MFU either electronically on www.mfuonline.com as and when such a facility is made available by MFUI or physically through authorised Points Of Service ("POS") of MFUI with effect from the respective dates as published on MFUI website against the POS locations. However, all such transactions shall be subject

to the eligibility of investors, any terms and conditions and compliance with the submission of documents and procedural requirements as stipulated by UTI MF/UTI AMC from time to time in addition to the conditions specified by MFU, if any.

The online portal of MFUI i.e. www.mfuonline.com and the POS locations aforesaid shall act as Official Points of Acceptance (OPAs) in addition to the existing OPAs of the UTI AMC Ltd and any transaction submitted at such POS will be routed through MFUI or as may be decided by UTI AMC. Investors not registered with MFUI also can submit their transactions request by giving reference to their existing folio number. All valid applications received for any other scheme apart from eligible schemes as stated above may be accepted by UTI AMC at its own discretion

The uniform cut off time as prescribed by SEBI and as mentioned in the SID/KIM of the respective Schemes shall be applicable for applications received by MFUI. However, in case of investment of any amount in liquid funds and Rs 2 lacs and above for other Schemes, the applicability of NAV will be subject to the date and time of receipt of credit of amount to the specified bank account of AMC.

For further details regarding procedures for obtaining CAN and other particulars about MFU etc, please refer to Addendum No 50 dated 6th February 2015/SAI. Investors may also contact the nearest POS aforesaid for procedures to be complied with in this regard

- (u) **E-mail communication:** Unitholders who have opted to receive documents/communication by e-mail will be required to download and print the documents/communication after receiving the e-mail from UTI AMC. Should the unitholder experience any difficulty in accessing the electronically delivered documents/communication, the unitholder should advise the Registrars immediately to enable UTI AMC to send the same through alternate means. In case of non receipt of any such intimation of difficulty within 24 hours from receiving the e-mail, it will be regarded as receipt of email by the unitholder. It is deemed that the unitholder is aware of all the security risks including possible third party interception of the documents/communications and contents of the same becoming known to third parties. SMS and Email on the registered address of the investor shall be sent confirming the number of unit allotted within 5 business days from the date of transaction.
- (v) **Abridged Annual Report:**
The unitholders whose Email ID is registered with UTI Mutual Fund will receive Abridged Annual Report by email unless indicated by the investor otherwise to receive the physical copy. The scheme-wise Abridged Annual report will also be made available on the website of UTI Mutual Fund (www.utmf.com).
- (w) Note on EUIN: Investors should mention the EUIN of the person who has advised the investor. If left blank, please sign the declaration provided in the application form. EUIN will assist in tackling the problem of mis-selling even if the employee/relationship manager/sales person leave the employment of the ARN holder /Sub broker.

Applicability of EUIN:

Transactions to be included – Purchases and Switches.

- (x) Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.
- (y) Risk Mitigation process against Third Party Cheques

Third party payments are not accepted in any of the schemes of UTI Mutual Fund subject to certain exceptions.

“Third Party Payments” means the payment made through instruments issued from an account other than that of the beneficiary investor mentioned in the application form. However, in case of payments from a joint bank account, the first named applicant/investor has to be one of the joint holders of the bank account from which payment is made.

For further details on documents to be submitted under the process to identify third party payments, Exceptions for accepting such cheques etc, refer to SAI/relevant addenda.

Bank Mandate registration as part of the New Folio creation

In order to reduce frauds and operational risks relating to fraudulent encashment of redemption/dividend proceeds, Investors are required to submit any of the prescribed documents (along with original document for verification) in support of the bank mandate mentioned in the application form for subscription under a new folio, in case these details are not the same as the bank account from which the investment is made.

- (z) **Foreign Account Tax Compliance Act (FATCA) is a United States (US) Law aimed at prevention of tax evasion by us citizens and residents (“US Persons”) through use of offshore accounts.**

FATCA obligates foreign financial institutions (FFIs), including Indian financial institutions to provide the US Internal Revenue Service (IRS) with information and to report on the accounts held by specified US Persons. The term FFI is defined widely to cover a large number of non-US based financial service providers such as mutual funds, depository participants, brokers, custodians as well as banks. FATCA requires enhanced due diligence processes by the FFI so as to identify US reportable accounts.

- The identification of US person will be based on one or more of following “US indicia”-
- Identification of the Account Holder as a US citizen or resident;
- Unambiguous indication of a US place of birth;
- Current US mailing or residence address (including a US post office box);
- Current US telephone number;
- Standing instructions to transfer funds to an account maintained in USA;
- Current effective power of attorney or signing authority granted to a person with a US address or
- An “in-care of” or “hold mail” address that is the sole address that the Indian Financial Institution has on the file for the Account Holder

Common Reporting Standard - The New Global Standard for Automatic Exchange of Information

On similar lines as FATCA the Organization of Economic Development (OECD), along with the G20 countries, of which India is a member, has released a “Standard for Automatic Exchange of Financial Account Information in Tax Matters”, in order to combat the problem of offshore tax evasion and avoidance and stashing of unaccounted money abroad, requiring cooperation amongst tax authorities. The G20 and OECD countries have together developed a Common Reporting Standard (CRS) on Automatic Exchange of Information (AEOI).

Please refer to Instructions given in the FATCA/CRS Form before filling in the particulars and for further details relating to FATCA/CRS, refer to AMFI India's Circular No.135/BP/63/2015-16 dated 18th September 2015 and SEBI Circular No. CIR/MIRSD/3/2015 dated 10th September 2015.

(aa) Power of Attorney

If the investment is made by a Constituted Attorney on behalf of the investor, please furnish the following details and enclose a Notarised copy of the Power of Attorney (PoA) and register the same with the Registrars to the Scheme. If you have already registered your PoA, please provide the PoA Registration Number in the space provided below the signature box in the Application Form

1. PoA Holder's Name: Mr / Ms
2. PoA for First/Sole Applicant Second Applicant Third Applicant
3. PAN of PoA Holder (Attach Pan Card Copy)
4. Please Note that PoA Holder must comply with applicable KYC requirements
5. Date of Birth: (dd/mm/yyyy) & Email :

CHECK LIST

Please ensure that:

- **Application Form is filled in Capital letters only**
- Your name and address is given in full.
- Your preferred plan and option is selected.
- Your investment is not less than the minimum investment amount.
- Your application is complete and signed by all applicants.
- Cheques are drawn in favour of 'UTI - Nifty Next 50 Exchange Traded Fund (UTI-Nifty Next 50 ETF)' dated, signed and crossed 'A/c Payee only'.
- On the reverse of each cheque submitted, the Application Form number is written.
- PAN details of all holders are given failing which your application will be rejected.
- Copy of KYC acknowledgement for all holders provided by service provider is given, failing which your application will be rejected.
- Your bank account details are entered completely and correctly. This is mandatory. If this is not included, your application will be rejected.
- Only CTS-2010 complied cheques are submitted.



Haq, ek behtar zindagi ka.

CORPORATE OFFICE

UTI Tower, 'Gn' Block, Bandra-Kurla Complex, Bandra (E), Mumbai - 400 051. Tel.: 66786666

OFFICIAL POINTS OF ACCEPTANCE

Applications for subscription/redemptions of UTI-Nifty Next 50 ETF directly with the Fund can be submitted at such authorised official points of acceptance as may be designated by the AMC from time to time.