

# NFO TRANSACTION FORM

## PGIM India Large And Mid Cap Fund

Large and Mid Cap Fund - An open ended equity scheme investing in both large cap and mid cap stocks.

Please read instructions carefully. Please strike off any sections that not relevant or not applicable.



**PGIM**  
India Mutual Fund

### 1. DISTRIBUTOR INFORMATION

ARN code	RIA code	ARN / RIA Name	Sub broker ARN code	Sub broker code **	EUIN*
ARN -	RIA -		ARN -		

\*Employee Unique Identification Number \*\*As allotted by ARN holder. 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. Declaration for "execution-only" transaction (only where EUIN box is left blank). I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this transaction is executed without any interaction or advice by the employee/relationship manager/sales person of the above distributor/sub broker or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor/sub broker. By mentioning RIA code, I/We authorize you to share my/our transactions data feed/portfolio holdings/ NAV details under Direct Plan of scheme(s) managed by you with the Investment Adviser.

### 2. UNIT HOLDER DETAILS (MANDATORY) (Mandatory to submit FATCA & CRS declaration form if not submitted earlier or in case of change in status.) (Refer Section 2 under instructions)

Existing Folio No.

NAME OF UNITHOLDER

### 3. PURCHASE REQUEST

(Refer Section 3 under instructions)

Scheme Name **PGIM India Large And Mid Cap Fund** \*Option (Please ✓ any one) ☐ Growth ☐ IDCW

IDCW Facility (Please ✓ any one) ☐ Payout of IDCW ☐ Reinvestment of IDCW IDCW Frequency

Mode of Payment ☐ Cheque ☐ Demand Draft ☐ Electronic Fund Transfer Account Type (Please ✓) ☐ Savings ☐ Current ☐ NRE ☐ NRO ☐ Others Please specify

Amount ₹  (in words)

DD Charges ₹  Cheque / DD No.  UTR

Drawn on Bank/Branch  Dated

Please note that in case of a third party payment, it is mandatory to fill the Third Party Declaration Form.

\*For Default option, please refer SID.

### 4. SWITCH REQUEST

(Refer Section 4 under instructions)

From Scheme  Option (Please ✓ any one) ☐ Growth ☐ IDCW

IDCW Facility (Please ✓ any one) ☐ Payout of IDCW ☐ Reinvestment of IDCW IDCW Frequency

To Scheme **PGIM India Large And Mid Cap Fund** Option (Please ✓ any one) ☐ Growth ☐ IDCW

IDCW Facility (Please ✓ any one) ☐ Payout of IDCW ☐ Reinvestment of IDCW IDCW Frequency

Amount ₹  (in words)

OR

No. of Units  OR ☐ All units (Please ✓)

\*For Default option, please refer SID.

### 5. DECLARATION AND SIGNATURE(S) (To be signed by ALL UNIT HOLDERS if mode of holding is 'Joint')

(Refer Section 5 under instructions)

I/We have read and understood the contents of the respective Scheme Information Document. Statement of Additional Information and Key Information Memorandum of PGIM India Mutual Fund. I/We have neither received nor been induced by any rebate or gifts, directly or indirectly in making this transaction. The ARN holder has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him/her for the different competing schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us.

For investors investing in Direct Plan : I/We hereby agree that the AMC has not recommended or advised me/us regarding the suitability or appropriateness of the product / scheme / plan.

☐ Please ✓ if the EUIN space is left blank : I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this is an "execution only" transaction without any interaction or advice by the employee/relationship manager/sales person of the above distributor or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor and the distributor has not charged any advisory fees on this transaction.

#### SIGNATURE(S)

<input type="text"/>	<input type="text"/>	<input type="text"/>
1st Unitholder/Guardian/Authorised Signatory/POA	2nd Unitholder/Authorised Signatory/POA	3rd Unitholder/Authorised Signatory/POA

DATE

### ACKNOWLEDGMENT SLIP (To be filled in by the investor)

Folio No.:

Name

An Application for scheme **PGIM India Large And Mid Cap Fund**

Along with Cheque / DD No. / UTR No.  Dated

Drawn on (Bank)  Amount ₹

☐ Switch ☐ Purchase

Signature, Stamp & Date

## INSTRUCTIONS FOR COMPLETING THE NFO TRANSACTION FORM

### General Instructions

1. This Transaction Form would help in making purchases, switches from existing investments. New applicants who wish to invest in PGIM India Mutual Fund should fill a separate prescribed Common Application Form.
2. Please read the Scheme information Document and KIM of the respective schemes carefully before investing.
3. Please strike off any sections that are not relevant / applicable. Please counter-sign in accordance with your mode of holding against any corrections that you make in the Transaction Form.
4. Please note that section 2 has to be filled mandatorily.
5. Permanent Account Number (PAN): It is mandatory for all investors (including guardians, joint holders, NRIs and power of attorney holders) to provide their Income Tax Permanent Account Number (PAN) and also submit a photo copy of the PAN card at the time of purchase of Units except for investors who are exempted from PAN requirement. Please refer to KYC Form for exemption of PAN requirement. The attestation of the copy of PAN card may be done by a Notary Public or a Gazetted Officer or a Manager of a Bank or a financial adviser under his seal and should carry the name and designation of the person attesting it. In the absence of this, your application will be rejected.
6. Please refer the 'Guidance Notes' below. This should help in filling the necessary details correctly and completely.
7. Completed Transaction Forms should be submitted to your nearest Investor Service Center of PGIM India Mutual Fund or Karvy Fintech Private Limited
8. If the investor has more than one transaction to provide, he should use separate form for each transaction.

### INSTRUCTIONS FOR FILLING THE TRANSACTION FORM

#### Section 1 – DISTRIBUTOR INFORMATION

- In case, the investor is directly applying, then they should clearly mention "DIRECT" in the ARN column.
- Any edition or cancellation of the Distributor Information should be countersigned by the investor else the same is liable to be rejected.
- Distributors are advised to ensure that they fill in the RIA code, in case they are a Registered Investment Advisor.
- Quoting of EUIN is mandatory in case of advisory transactions.
- Distributors are advised to ensure that the sub broker affixes his/her ARN code in the column "Sub broker ARN code" separately provided, in addition to the current practice of affixing the internal code issued by the main ARN holder in the "Sub broker code (as allotted by ARN holder)" column and the EUIN of the Sales Person (if any) in the "EUIN" column.
- Investors are requested to note that EUIN is largely applicable to sales persons of non individual ARN holders only (whether acting in the capacity of the main distributor or sub broker). Further, EUIN will not be applicable for overseas distributors who comply with the requirements as per AMFI circular CIR/ ARN-14/12-13 dated July 13, 2012.

#### Section 2 – UNIT HOLDERS DETAILS

- This section is mandatory.
- Please furnish the name of the Sole / First Unit Holder and the existing Folio Number.
- Please fulfill requirement specified in General Instruction 5 for all Unit holders.
- To comply with the requirements of Foreign Account Tax Compliance Act (FATCA) & CRS (Common Reporting Standard), it is mandatory for all investors (including Guardian & POA) to provide the FATCA & CRS declaration W.e.f. November 1, 2015 (if not already submitted). The FATCA & CRS declaration forms can be downloaded from our website at - <http://www.pgimindiaf.com/downloads/KIMforms>.

#### Section – 3 PURCHASE REQUEST

- Investors subscribing under Direct Plan of the Schemes should indicate the Scheme/Plan name in the transaction form as "Scheme Name – Direct Plan". Investors should also indicate "Direct" in the ARN column of the transaction form. However, in case Distributor code is mentioned in the transaction form, but "Direct Plan" is indicated against the Scheme name, the Distributor code will be ignored and the transaction will be processed under Direct Plan.

Please note, where application is received for Regular Plan without Distributor code or "Direct" mentioned in the ARN Column, the application will be processed under Direct Plan.

- For purchase, cheque or demand draft should be payable locally at the city where the purchase application is deposited, and should be drawn on any bank that is a member of the local Clearing House. All cheques/ drafts accompanying the purchase request should be crossed "Account Payee Only", and drawn in favour of the Scheme in which the investment is being made.

##### Note:

- Third Party payment will not be accepted. In case of exceptions (as per AMFI Circular) to third party payment, please fill the 'Third Party Declaration Form'. In case of payment made by Bank draft, please attached Banker certificate as well.
- as per RBI guidelines, cheques with alterations in Payee name and the Amount will not be honored. Hence alterations in the cheques should be avoided.
- Non-Resident Indians (NRI) and Person of Indian Origin (PIOs) are requested to attach a Foreign Inward Remittance Certificate (FIRC) or an Account Debit Certificate from the bankers along with the purchase request form to enable the AMC to ascertain the repatriation status of the amount invested.
- Please mention the Folio Number and the Name of the First Unit holder behind the cheque / draft before they are handed over to any courier / messenger / distributor / ISC.

#### Section 4- SWITCH REQUEST

- Please specify the Source and Target - Scheme / Option for the switch transaction.
- Where Units under a Scheme are held under both Regular and Direct Plans and the switch request pertains to the Direct Plan, the same must clearly be mentioned on the request, failing which the request would be processed from the Regular Plan. However, where Units under the requested Option are held only under one Plan, the request would be processed under such Plan.
- Please specify the amount / number of units to be switched. If all units are to be switched, then please tick against the box provided.
- If the balance in the Scheme - Option after taking into account the switch is below the minimum switch size (either in amount or in units whichever is less), the entire balance would be switched to the target scheme.
- If the switch request specifies both amount and units for switch, the switch out transaction would be processed on the basis of number of units.
- Switch request will be time stamped.

#### Section 5 – DECLARATION AND SIGNATURES

- All signatures should be in English or any Indian language. Thumb impressions should be from the left hand for males and the right hand for females and in all cases be attested by a Magistrate, Notary Public or Special Executive Magistrate.
- Applications by minors should be signed by their guardians. In the case of a Hindu Undivided Family (HUF), the Karta should sign on behalf of the HUF.
- Applications by non individual investors must be signed by the authorised officials. A list of authorized officials, duly certified and attested, should also be attached to the transaction form.
- In case of application through constituted attorney, please ensure that the POA document is signed by the beneficial investor (POA donor) and the Constituted Attorney. The signature in the transaction Form, in such cases should clearly indicate that the signature is by the Constituted Attorney.
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PGIM India Asset Management Private Limited

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