

SYSTEMATIC INVESTMENT PLAN (SIP) FORM

UCB | INCOME+ FUND

Systematic Investment Plan - UCB Income Plus Fund
Asset Manager: UCB Asset Management Limited
Application Form To Purchase Units-Individual
(Please read Terms and Conditions on reverse carefully)

To,
The Managing Director & CEO
UCB Asset Management Limited
Registered address: Bulus Center, Plot-CWS-(A)-1,
Road No-34, Gulshan Avenue, Dhaka-1212

FOR OFFICE USE ONLY
RegistrationNo.:.....
SaleNo.:.....

(Please fill up the Form in BLOCK LETTERS)

MonthlyInstallmentAmountinBDT:..... Tenure(3yearsandAbove)..... years

Auto renewal option ☐ Yes ☐ No; if no, matured amount will be ☐ Remain as investment ☐ Transferred to bank account. Cheque amount ☐ Cheque

Date/P.O./D.Dno..... Bank:..... Branch.....

PRINCIPAL APPLICANT ☐ Mr. ☐ Mrs. ☐ Ms.

Name.....

Father's/Husband'sName..... Mother'sName.....

Occupation:..... Address:.....

Nationality:..... NationalID/PassportNo.(ifany):..... DateofBirth:DD/MM/YYYY

Email:..... Tel:..... E-TIN:.....

Bank:..... Branch:..... A/CNo.....

BO A/C No. ..... Dividend Option: ☐ Cash ☐ CIP

JOINT APPLICANT (IF ANY) ☐ Mr. ☐ Mrs. ☐ Ms.

Name.....

Father's/Husband'sName..... Mother'sName.....

Occupation: ..... Mode of Operation ☐ Single ☐ Joint

Address:.....

Nationality:..... NationalID/PassportNo.(ifany):..... DateofBirth:DD/MM/YYYY

Email:..... Tel:..... E-TIN:.....

NOMINEE (IF ANY) ☐ Mr. ☐ Mrs. ☐ Ms.

Name.....

Father's/Husband'sName..... Mother'sName.....

Occupation:..... RelationshipwithA/Cholder:.....

Address:.....

Nationality:..... NationalID/PassportNo.(ifany):..... DateofBirth:DD/MM/YYYY

Email: ..... Tel: .....

Bank:..... Branch:..... A/CNo.....

BO A/C No. .....

Applicant's Signature

Principal Applicant | Joint Applicant (if any) | Nominee's Signature

SIGNATURE(S) AND PHOTOGRAPH

PRINCIPAL APPLICANT	JOINT APPLICANT	NOMINEE'S PHOTOGRAPH ATTESTED BY PRINCIPAL APPLICANT

TERMS & CONDITIONS

1. The Units of UCB Income Plus Fund, hereinafter referred to as the Fund, may be bought through UCB Asset Management Limited and authorized selling agents appointed by UCB Asset Management from time to time. Surrender of Units is allowed only through UCB Asset Management Limited.
2. Application may be made by an individual (both resident and non-resident), a corporation or company (both local and foreign), a trust or a society (registered in or outside of Bangladesh) and not by a firm, minor or unsound mind.
3. Joint application is acceptable by two persons. Registration and Unit allocation will be in favor of the principal applicant while dividend and others benefits, if any, will be addressed to the bank account of principal applicant mentioned in the application form. In case of the death of any of the joint holders, only the survivor shall be recognized as having any title of the Units. On death of both the joint holders, the Units will bestow upon the nominee.
4. Minimum purchase amount for an individual investor is BDT 5,000.00 or any multiple of BDT 1,000.00 if anyone wants to invest more than BDT 5,000 and for institutional investor is BDT 50,000 or any multiple of BDT 10,000.
5. After maturity the investor may- a) continue the installment amount for another tenure b) keep the matured amount as Non-SIP investment c) transfer the matured amount to the designated bank account of the investor.
6. For auto renewal option, the investor has to submit another " Auto debit Instruction Form" having validity for another specific period.
7. There will no minimum lot size of units under SIP. Any remaining fraction amount will be converted when it sums up to one unit.
8. In case of return of a DDI (Direct Debit Instruction) by the investor's bank, the investor has to either a) submit a cheque of the same amount within 5 (five) working days after getting notification from UCB Asset Management or UCB Asset Management may send the DDI again with the consent of the investor.
9. After clearance/encashment of DDI (Direct Debit Instruction), the units will be allocated in favor of the principal applicant with a denomination of the number of units proportionate to the prevailing purchase price of the week. The units will be delivered to the unit holder's BO A/C in demat form.
10. Partial surrender is allowed subject to minimum surrender 500 units for individuals and 5000 units for institutions. Upon partial surrender, the Unit holder will be issued with a new Confirmation of Unit Allocation representing the balance of Unit Holding.
11. The Units may be transferred by way of inheritance/ gift / and / or by specific operation of the law. In case of transfer, the fund will charge a nominal fee as decided by the asset manager from time to time except in the case of transfer by way of inheritance.
12. Dividend may be delivered in cash or by way of Units under Cumulative Investment Plan (CIP) as the application mentioned in the application form.
13. All payments in connection with or arising out of transactions in the Units hereby applied for shall be in BDT.
14. Installment amount will be debited on the 7th, 17th or 27th day of each month. The investors will choose a date as per their convenience. If the day is a weekend/ holiday, installment amount will be debited on the next working day.
15. The units of the Fund will only be credited after clearance/encashment of DDI. The declared NAV per unit on that particular day will be the reference NAV per unit for calculation.

FOR OFFICE USE ONLY

Date: DD / MM / YYYY

RegistrationNo. ..... SaleNo. .....

No.ofUnits. ..... CertificateNo. .....

Issuing Office Sign, seal & Stamp

I/we confirm that I/we have received the Confirmation of Unit Allocation mentioned above and also that I/we agree to abide by the terms cited above as may be altered, replaced and modified from time to time by UCB Asset Management Limited.

Applicant's Signature

Principal Applicant	Joint Applicant (If any)

Systematic Investment Plan- UCB Income Plus Fund
Asset Manager: UCB Asset Management Limited
Auto Debit Authorization for SIP installment collection

AccountName.....

DDIamount:..... DDIstartdate:..... DDIenddated:.....

Bank:..... Branch:..... A/Cno:.....

RoutingNo:..... ContactNo:.....

To be filled by UCB Asset Management office only

Registrationno:..... Date:DD/MM/YYYY

Collection Bank Details

Bank:..... Branch:..... A/Cno:.....

RoutingNo:..... ContactNo:.....

I/ We, maintaining an account with the above mentioned bank, hereby would like to inform you that i/we have authorized UCB Income Plus Fund to debit my/our account through BEFTN by an amount not exceeding mentioned above. The BEFTN debt instruction will be initiated by the designated Bank at the instruction of UCB Income Plus Fund managed by UCB Asset Management Limited. The account shall be debited on monthly basis and the instruction shall be valid from the debit start date to debit end date as mentioned above. This is for your kind information and support in this regard.

I have read and understood the "terms and conditions of payment through BEFTN Auto-debit" payment process which may be altered, modified and replaced from time to time by UCB Asset Management Limited as per regulatory requirements.

TO BE FILLED BY BANK

Bank Name:										
Branch Name:	Routing Number:									
We confirm that the information of the Account Holder(s) mentioned above and the bank account number provided above is correct and is maintained with our bank.										

Authorized Bank Official's Signature with Seal

Signatures as per bank account

Principal Applicant | Joint Applicant | Date of application

Asset Manager's Address:
UCB Asset Management Limited
Registered address: Bulus Center, Plot-CWS-(A)-1, Level-17, Road No-34, Gulshan Avenue, Dhaka-1212.
Contact: +880 1730745415, email: support@ucbaml.com, website: www.ucbaml.com

ACKNOWLEDGEMENT

Certified that this selling agent has submitted following documents Cheque/ P.O./ D.D. No/ Auto debit authorization Form.....

Bank..... Branch..... foranamountofTk.....

(in words .....) Only from Mr./Mrs. /Ms .....

.... to open Systematic Investment Plan in UCB Income Plus Fund.

Selling Agent's ID and Signature

Authorized Signature(Name&Designation)

TERMS AND CONDITIONS FOR PAYMENT THROUGH BEFTN AUTO-DEBIT

Transactions under this authorization will be subject to the BEFTN operating rules of Bangladesh Bank. All the BEFTN guidelines from Bangladesh Bank will be imposed on executing the above instruction, as applicable from time to time. UCB Asset Management Limited contains all the rights to change/modify/ amend the terms and conditions. The guidelines of Bangladesh Bank regarding BEFTN shall govern the following terms and conditions:

1. BEFTN Debit facility for installment payment can be availed after the SIP is accepted and is in force. Payments other than Installment or arrears of installment (due to the previous months) should be paid via/cheque/bank draft/pay order/online transfer;

2. This authorization form must reach to UCB Asset Management Limited at least 15 (fifteen) working days before the date on which it is to be activated. If the payments instruction date falls on a weekend day or a public holiday, the same may be effective on the next working day.

3. This instruction shall stay fully in force and result till otherwise suggested in writing by the account holder and such endorsement should be communicated to and received by a minimum 5 (five) working days before next installment payment is due. Any such amendment/cancellation will not release the investor from liability to the bank arising on account of the bank having executed the instruction before receipt of such amendments/ cancellation.

4. Investor should ensure that sufficient fund are available in the bank at the time of debit and this authorization is not dishonored. Sometimes it is possible that due to some technical or other reason, installment is not debited on the debit date and is delayed for few days. Please ensure availability of the balance for at least 5 (five) working days after debit date to avoid dishonors. UCB Income Plus Fund will not be responsible for any dishonors raised by the bank and any dispute regarding same should be taken up with the bank only.

5. In case this Authorization is dishonored by the bank, installment for the due date(s), of the dishonored BEFTN debit for the previous month has to be paid in Cheque/ Pay order/ Demand Draft/ Online fund transfer by the investor. Any issue regarding dishonor of this authorization is to be taken up with the bank only. However, UCB Asset Management may instruct the bank for BEFTN debit of the same installment/s with the consent of the investor.

6. Any queries, questions, comments etc. with regards to UCB Income Plus Fund and payment amount will have to raise to UCB Asset Management Limited and payments to the bank with regard to the settlement of amounts paid in this regard are committed and not deferrable for any reason whatsoever. The transaction appearing on the account statement will be the proof of payment.

7. Under this instruction, the investor can not dispute regarding the payment to UCB Income Plus Fund debited from his/her bank account. If any excess or less than the correct amount is debited, the investor will have to contact to UCB Asset Management Limited for clarification. Any type of refund from UCB Income Plus Fund on account of this instruction will be settled by UCB Income Plus Fund to its investor.

8. No SIP installment receipt will be issued by UCB Income Plus Fund for BEFTN debit Payments. An annual statement or certificate of SIP payments, as applicable, may be obtained from UCB Asset Management Limited upon written request of the investor.

Know Your Customer (KYC)
(For UCB Asset Management Limited Use Only)

Accountno:.....

Accountname:.....

Identity Verification:

☐NID☐Passport☐Drivinglicense☐Other.....

Address verification .....

☐ Personal Visit ☐ Bank Statement ☐ Utility Bill ☐ E-Tin certificate ☐ Checking NID database

☐ Other .....

Occupation identification:

☐ Private Service ☐ Govt. Service ☐ Business ☐ NRB ☐ Student

Is the business type from the following category? **Then mark it high**

☐ Jewelry /Gold

☐ Money Changer

☐ Real estate agents

☐ Art/ antique dealer

☐ Import/ export agents

☐ Share/ stock broker

☐ Arms business

☐ Casino/ night club/ residential hotel owner

☐ Manpower export business

☐ Offshore operation

Sourceoffund:.....

☐ Salary & Bonus ☐ Business Income ☐ Family Member's Income

☐ Rental Income ☐ Remittance ☐ Sale of property (attach supporting documents)

Politically exposed persons: ☐ Yes ☐ No

Ifyes,approvalfromseniormanagement.....(signature).....

Risk Grading: ☐ High ☐ Low

Comment:.....

.....

Relationship Manager:

Signature:

Name:

Designation:

ID no:

Date:

Verifier:

Signature:

Name:

Designation:

ID no:

Date:

CHECKLIST

1. Applicant's attached 01(one) passport sized photograph.
2. Nominee's attached 01(one) passport sized photograph.
3. Photocopy of National ID card of the applicant.
4. Photocopy of National ID card of the Nominee.
5. Photocopy of BO acknowledgement receipt.
6. Photocopy of E-TIN Certificate of applicant.
7. Photocopy of National ID card of the Nominee
8. Photocopy of a cheque leaf of applicant's bank account/ Bank statement.

UCB Asset Management
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A wholly-owned subsidiary of United Commercial Bank