

Transaction Form for Existing Investors



This Form is for use by existing Unitholders of all funds of HSBC Mutual Fund only
Please use a separate Form for each Transaction

Table with columns: Broker Name & ARN code / RIA code, Sub-broker ARN code, Sub code, EUIN

No. CT

^ By mentioning RIA code, I / we authorise you to share with the SEBI Registered Investment Adviser (RIA) the details of my / our transactions in the schemes(s) of HSBC Mutual Fund.

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.

Table with columns: Sole/1st applicant / Authorised Signatory, 2nd applicant / Authorised Signatory, 3rd applicant / Authorised Signatory

1 UNITHOLDER INFORMATION (Refer above note on 'Transaction Charges'. For details refer page 94 of the Common Scheme Information Document)

Sole / First Unitholder's Name ^ Mr./ Ms./ M/s

Folio No. Date of Birth ~ Date (D D M M Y Y Y Y) Are you a resident of USA/Canada? (✓) Yes No # (** Default)

Table with columns: Sole / First Unitholder, Guardian / POA, Second Unitholder, Third Unitholder. Rows include KYC Identification No. (KIN), Aadhaar Number, PAN details, and proof of application of enrollment of Aadhaar.

* W.e.f. January 1, 2011, all the applicants need to be KYC Compliant irrespective of the amount invested (including switch). W.e.f January 1, 2012, applicants who are not KYC compliant are required to complete the uniform KYC process. ** As per the amendments to the Prevention of Money Laundering (Maintenance of Records) Rules, 2005 dated 1st June 2017, Resident Individual investors including Joint Holders, Guardian and Power of Attorney Holders are required to submit their Aadhaar number or proof of Aadhaar application issued by the Unique Identification Authority of India and Permanent Account Number (PAN) to us.

2 ADDITIONAL PURCHASE (Please check your choice of Scheme / Plan / Option / Sub-option) (See instruction 1-4)

Table with columns: Scheme 1, Scheme 2, Scheme 3. Rows include Sub-Option (Growth/Dividend), Dividend Frequency (Daily/Weekly/Monthly/Quarterly/Fortnightly), Investment Amount, DD Charges, Total Amount, Mode of Payment (Cheque/DD/RTGS/NEFT), and Branch details.

Documents attached to avoid Third Party Payment Rejection where applicable: Third Party Declarations, Bank Certificate for Pre-funded Instruments
MANDATORY DECLARATION: The details of the bank account provided above pertain to my/our own bank account in my/our name Yes No.

3 REDEMPTION (Please check your choice of Scheme / Plan / Option / Sub-option) (See instruction 1, 2, 3 & 5)

Table for Redemption with columns: Scheme, Plan, Option, Sub-Option, Dividend Frequency, Amount (₹ in figures) OR No. of Units / All Units.

4 BANK DETAILS FOR THE ABOVE REDEMPTION

FOR INVESTORS WHO HAVE REGISTERED FOR MULTIPLE BANK ACCOUNTS FACILITY
The redemption should be processed into the following registered bank account as per the payout mechanism indicated by me/us:
Bank A/C No, Bank Name, MICR Code, IFSC Code.

FOR INVESTORS WHO HAVE NOT REGISTERED FOR MULTIPLE BANK ACCOUNTS FACILITY : Please use the Multiple Bank Account Registration / Deletion Form.
Important Note : If unitholder(s) provides a new and unregistered bank mandate with a specific redemption request (with or without necessary documents) such bank account will not be considered for payment of redemption proceeds.

5 CHANGE OF ADDRESS / E-MAIL / CONTACT DETAILS (Address should be same as in KRA records)

For investors who are not KYC complaint : (For Proof of Identity & Proof of Address : Self attested with originals produced to AMC ISC for verification (or) Self-attested along with attestation by KYD compliant distributor or a competent authority as outlined in Uniform KYC guidelines)
New Address for correspondence: Address is (Please check): Home Office

Table for New Address with columns: State, City, Country, Pin Code

Proof of address to be provided by Applicant: Please submit ANY ONE of the following valid documents and tick (✓) against the document attached.
Passport, Ration Card, Registered Lease / Sale Agreement of Residence, Driving License, Voter Identity Card, Latest Bank Statement/Passbook, Latest Telephone Bill, Latest Electricity Bill, Latest Gas Bill, Others.

Proof of Identity (Please enclosed a duly attested copy of your PAN Card.) Proof of Identity submitted for PAN exempt cases (✓) (For other acceptance proof of identity, please refer point 12)
PAN, UDI (Aadhar Card), Passport, Voter Identity Card, Driving License, Others.

Contact Details: Phone, Mobile, Extn., Fax, E-mail, R
Please refer to point 10 & 11 under General Instructions.

FOR INVESTORS WHO HAVE COMPLIED KYC Please submit Change of address request in the prescribed format alongwith supporting documents as outlined under uniform KYC guidelines

ACKNOWLEDGEMENT SLIP (To be filled by the investor) This Acknowledgement Slip is for your reference only. Information provided on the form is considered final.

Table for Acknowledgement Slip with columns: Folio No., Name, Received from, Total Amount (Rs.), Drawn on, OR Units.

Additional Purchase Scheme, Cheque No(s), Redemption or Switch Amount (Rs.), STP, SWP, Change of Address, Nomination.
Please Note : All purchase are subject to realisation of instruments. All transaction processing is subject to final verification.
No. CT
ISC Stamp, Signature & Date

6 SYSTEMATIC WITHDRAWAL PLAN (SWP) Registration Cancellation
Scheme Plan
Option Regular Institutional Institutional Plus Dividend Frequency Daily Weekly Monthly Quarterly Fortnightly Half Yearly
Frequency (✓) Monthly (Default) Quarterly (10th) Sub-Option Growth (default) Dividend Reinvestment Dividend Payout
Withdrawal Options Fixed Amount Capital Appreciation (1st Business Day of the month) Withdrawal Amount (Minimum Rs. 1000 and in multiples of Re. 1/- thereafter)
SWP Date 1st 2nd 3rd 4th 5th 6th 7th 8th 9th 10th (Default) 11th 12th 13th 14th 15th 16th 17th 18th 19th 20th 21st 22nd 23rd 24th 25th 26th 27th 28th 29th 30th 31st All dates Rs. Redemption amount will equal appreciation.
Period of enrolment M M Y Y Y Y To M M Y Y Y Y
To be submitted 10 days prior to the SWP date in case of Registration & 14 days incase of Cancellation.

7 SWITCH (Please your choice of Scheme / Plan / Option / Sub-option) KYC MANDATORY w.e.f. January 1, 2011. Please enclose KYC acknowledgement.
Switch From: Scheme Name Plan Option Regular Institutional Institutional Plus Sub-option Growth (default) Dividend Reinvestment Dividend Payout Dividend Frequency Daily Weekly Fortnightly Monthly Quarterly Half Yearly
Switch To: Scheme Name Plan Sub-option Growth (default) Dividend Reinvestment Dividend Payout Dividend Frequency Daily Weekly Fortnightly Monthly Quarterly Half Yearly
Amount (Rs. in figures) OR No. of Units All Units

8 SYSTEMATIC TRANSFER PLAN (STP) Registration Cancellation
Transfer From: Scheme Name Plan Option Regular Institutional Institutional Plus Sub-option Growth (default) Dividend Reinvestment Dividend Payout Dividend Frequency Daily Weekly Fortnightly Monthly Quarterly Half Yearly STP Frequency (✓) Monthly (Default) Quarterly (10th) Installment commencing from M M Y Y Y Y To M M Y Y Y Y
Transfer To: Scheme Name Plan Sub-option Growth (default) Dividend Reinvestment Dividend Payout Dividend Frequency Daily Weekly Fortnightly Monthly Quarterly Half Yearly Transfer Options Fixed Amount Capital Appreciation (1st Business Day of the month) STP Date 1st 2nd 3rd 4th 5th 6th 7th 8th 9th 10th (Default) 11th 12th 13th 14th 15th 16th 17th 18th 19th 20th 21st 22nd 23rd 24th 25th 26th 27th 28th 29th 30th 31st All dates Transfer Amount Amount per instalment Rs. (Minimum transfer amount Rs. 1000/- except HTSF. For HTSF Rs. 500/-)
Please read the Key Information Memorandum for details of the applicable Plan, Sub option and Dividend Frequency of the respective schemes.
If no debit date is mentioned default date would be considered as 10th of every month / quarter.

9 DEMAT ACCOUNT DETAILS
Please provide details of your Depository Participant if you wish to hold units in Demat Form.
NSDL CDSL
DP Name DP ID Beneficiary Account No.

10 I DO NOT WISH TO NOMINATE (Mandatory for new Folios of Individuals where mode of holding is single and who do not wish to nominate)
I/We hereby confirm that I/We do not wish to exercise the right of nomination in respect of units subscribed/purchased by me/us.
Signature(s) Sole/First Applicant Second Applicant Third Applicant
OR
I WISH TO NOMINATE (Mandatory for new Folios of Individuals where mode of holding is single) (ref. Instructions for Nomination)
I/We (Unit holder 1), (Unit holder 2) and (Unit holder 3) do hereby nominate the person(s) more particularly described hereunder/and*/cancel the nomination made by me/us on the day of in respect of the Units under Folio No. (*strike out which is not applicable)
Name & Address of Nominee(s) Date of Birth Name & Address of Guardian Signature of Nominee / Guardian of Nominee (Optional) Proportion (%) in which the units will be shared by each Nominee†
† the aggregate total should be 100%.

11 DECLARATION AND SIGNATURES (In case of joint holding, signatures of all unit holders are mandatory)
CONSENT FOR UPDATION AND VALIDATION OF AADHAAR
I/We hereby provide my / our consent in accordance with Aadhaar Act, 2016 and regulations made thereunder, for collecting, storing and usage (ii) validating / authenticating and (ii) updating my / our Aadhaar number(s) in accordance with the Aadhaar Act, 2016 (and regulations made thereunder) and PMLA.
I/We hereby provide my / our consent for sharing / disclosing of my Aadhaar number(s) including demographic information with the asset management companies of SEBI registered mutual fund and their Registrar and Transfer Agent (RTA) for the purpose of updating the same in my / our folios.
OTHER DECLARATIONS
The Trustees, HSBC Mutual Fund
Having read and understood the contents of the Scheme Information Document, SAI and Addenda of the Scheme(s) issued till date, I/We hereby apply under Direct / AMFI Certified empanelled distributors to the Trustees of HSBC Mutual Fund for units of the Scheme / Plan / Option as indicated above and agree to abide by the terms, conditions, rules and regulations of the Scheme. I/We have understood the details of the Scheme and I/We have not received nor been induced by any rebate or gifts, directly or indirectly, in making this investment. I/We hereby authorise HSBC Mutual Fund, its Investment Manager and its Agents to disclose details of my / our investment to my/our bank(s) / HSBC Mutual Fund's Bank(s) and / or Distributor / Broker / Investment Advisor and to verify my / our bank details provided by me / us. I/We hereby declare that the particulars given above are correct and express my / our willingness to make payments referred above through participation in ECS / Direct Debit Facility. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information, I/We would not hold HSBC Asset Management (India) Pvt. Ltd. (Investment Manager to HSBC Mutual Fund), their appointed service providers or representa-tives responsible. I/We will also inform HSBC Asset Management (India) Pvt. Ltd. about any changes in my / our bank account. I/We have read and agreed to the terms and conditions for ECS / Direct Debit. *1 / We confirm that I am / are a Non-Resident of Indian Nationality / Origin and that the funds are remitted from abroad through approved banking channels or from my / our NRE / NRO / FCNR Account. I/We confirm that the details provided by me / us are true and correct. I/We hereby declare that the amount being invested by me/us in the Scheme(s) of HSBC Mutual Fund is derived through legitimate sources and is not held or designed for the purpose of contravention of any Act, Rules, Regulations or any statute or legislation or any other applicable laws or any Notifications, Directions issued by any governmental or statutory authority from time to time. *Applicable to NRI
I/We confirm that 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.
We confirm that we have not issued any bearer shares or share warrants. We also confirm that we will inform the AMC if bearer shares or share warrants are issued subsequently.
I/We confirm that I am/We are not United States person(s) under the laws of United States or resident(s) of Canada. Incase of change to this status, I/We shall notify the AMC, in which event the AMC reserves the right to redeem my / our investments in the Scheme(s).
Signature(S) Sole / First Unitholder / Guardian / PoA Second Unitholder / PoA Third Unitholder / PoA
Date Default options will be applied in cases where the information provided is either ambiguous or has any discrepancy.

INSTRUCTIONS
GENERAL INSTRUCTIONS : 1. This Form is for use by existing unitholders of all funds of HSBC Mutual Fund only. Please use a separate Form for each transaction. 2. If any alteration is made, then a countersign is mandatory. 3. Investors should refer to the Combined Scheme Information Document, Statement of Additional Information, Addenda and KIM of the respective Scheme(s) carefully before filling the Application Form. 4. Please refer to the Combined Scheme Information Document, Statement of Additional Information for cut-off timings, available product features, add-ons and dividend frequency, minimum additional purchase amounts etc. The amount in words and figures on the cheque should not be in local languages. 5. In case of multiple holders, the dividend (if applicable) and redemption amount will be paid to the first holder. 6. Additional Purchases - Cheque/DD must be drawn in the name of the Scheme or its abbreviation as applicable and crossed "Account payee only". Outstation cheques will not be accepted. 7. Bank charges for demand drafts will be borne by the AMC and will be limited to the bank charges as for amount up to Rs. 10,000/-, DD Charges are at actuals, subject to a maximum of Rs. 50/- and for amount above Rs.10,000/- at Rs. 3.50/- per Rs. 1000/-. Minimum Rs. 50/- and Maximum Rs. 12,500/-. The AMC will not entertain any request for refund of demand draft charges. Outstation cheques / outstation demands draft will not be accepted. 8. Redemption amounts should not be less than minimum repurchase amounts. 9. Guidance for other proofs : Identity card / document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.
INSTRUCTIONS FOR NOMINATION: Applicants applying for Units singly / jointly can also make the nomination at the time of initial investment. Investors are advised to consider availing nomination facility in their own interest. (a) The nomination can be made only by individuals applying for / holding units on their own behalf singly or jointly. Non-individuals including society, trust, body corporate, partnership firm, Karta of Hindu Undivided Family, holder of Power of Attorney cannot nominate. (b) Where a folio has joint holders, all joint holders should sign the request for nomination/cancellation of nomination, even if the mode of holding is not "joint". Nomination form cannot be signed by Power of attorney (PoA) holders. (c) There can be no nomination in a folio held in the name of minor. (d) The investors / Unitholders are requested to note that a maximum of three nominees can be registered for a Folio. In case of multiple nominees, the 'Share / Ratio' of nomination has to be clearly specified in the nomination form / request letter. If the 'Share / Ratio' of nomination is not explicitly stated, then the nomination shall be treated at 'Equal Share/Ratio'. (e) A minor can be nominated and in that event, the name and address of the Guardian of the minor nominee shall be provided by the Unitholder. (f) The Nominee shall not be a trust, (other than a religious or charitable trust) society, body corporate, partnership firm, Karta of Hindu Undivided Family or a Power of Attorney holder. A non-resident Indian can be a Nominee subject to the exchange controls in force, from time to time. Nomination can also be made in favour of the Central Government, State Government, Local Authority, any person designated by virtue of his office or a religious or charitable trust. (g) Nomination in respect of the Units stands rescinded upon the transmission of Units. (h) Transmission of Units in favour of a Nominee shall be valid discharge by the AMC / Mutual Fund / Trustees against the legal heir. (i) The cancellation of nomination can be made only by those individuals who hold Units on their own behalf singly or jointly and who made the original nomination. (j) On cancellation of the nomination, the nomination shall stand rescinded and the AMC / Mutual Fund / Trustees shall not be under any obligation to transmit the Units in favour of the Nominee. (k) The rights in the units will rest in the Nominee(s) only upon death of all Unitholders. (l) Every new nomination for a folio/account will overwrite the existing nomination. (m) Nomination shall be mandatory for new folios/accounts opened by individual especially with sole holding and no new folios/accounts for individuals in single holding should be opened without nomination. (n) In case of investors opting to hold the Units in demat form, the nomination details provided by the investor to the depository participant will be applicable.