

Transaction Form for Existing Investors



This Form is for use by existing Unitholders of all funds of HSBC Mutual Fund only

Please use this form in case of: Additional Purchase Switch Change of Contact Details Redemption
 Systematic Withdrawal Plan (SWP) Systematic Transfer Plan (STP) Share Demat Account Details

Broker Name & ARN code / RIA code [^]	Sub-broker ARN code	Sub code	EUIN
ARN-9992			

No. CT

[^] I / We hereby confirm that 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 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.

Sole/1st applicant / Authorised Signatory	2nd applicant / Authorised Signatory	3rd applicant / Authorised Signatory
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1 UNITHOLDER INFORMATION (Refer above note on 'Transaction Charges'. For details refer page 38 of the Common Scheme Information Document)

Sole / First Unitholder's Name <input type="checkbox"/> Mr./ <input type="checkbox"/> Ms./ <input type="checkbox"/> M/s			
Existing Folio No.		Date of Birth ^{~‡} <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	
Are you a resident of USA/Canada? (✓) Yes <input type="checkbox"/> No <input type="checkbox"/> # (# Default)			
Sole / First Unitholder		Guardian / POA	
Second Unitholder		Third Unitholder	
KYC Identification No. (KIN) ^{‡‡}			
PAN ^{**} (Mandatory)			
Proof enclosed (✓) <input type="checkbox"/> PAN Card Copy		<input type="checkbox"/> PAN Card Copy	

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

Scheme	HSBC	Scheme 1	HSBC	Scheme 2	HSBC	Scheme 3
Plan	<input type="checkbox"/> Other than Direct* <input type="checkbox"/> Direct *Continuing Plans only	<input type="checkbox"/> Other than Direct* <input type="checkbox"/> Direct *Continuing Plans only	<input type="checkbox"/> Other than Direct* <input type="checkbox"/> Direct *Continuing Plans only	<input type="checkbox"/> Other than Direct* <input type="checkbox"/> Direct *Continuing Plans only	<input type="checkbox"/> Other than Direct* <input type="checkbox"/> Direct *Continuing Plans only	<input type="checkbox"/> Other than Direct* <input type="checkbox"/> Direct *Continuing Plans only
Sub-Option	<input type="checkbox"/> Growth (default) <input type="checkbox"/> Dividend Reinvestment <input type="checkbox"/> Dividend Payout	<input type="checkbox"/> Growth (default) <input type="checkbox"/> Dividend Reinvestment <input type="checkbox"/> Dividend Payout	<input type="checkbox"/> Growth (default) <input type="checkbox"/> Dividend Reinvestment <input type="checkbox"/> Dividend Payout	<input type="checkbox"/> Growth (default) <input type="checkbox"/> Dividend Reinvestment <input type="checkbox"/> Dividend Payout	<input type="checkbox"/> Growth (default) <input type="checkbox"/> Dividend Reinvestment <input type="checkbox"/> Dividend Payout	<input type="checkbox"/> Growth (default) <input type="checkbox"/> Dividend Reinvestment <input type="checkbox"/> Dividend Payout
Dividend Frequency	<input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Half Yearly	<input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Half Yearly	<input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Half Yearly	<input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Half Yearly	<input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Half Yearly	<input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Half Yearly
Investment Amount (₹) (i)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
DD Charges (₹) (ii)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Total Amount (₹) (i+ii)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mode of Payment	<input type="checkbox"/> Cheque <input type="checkbox"/> DD <input type="checkbox"/> RTGS/NEFT	<input type="checkbox"/> Cheque <input type="checkbox"/> DD <input type="checkbox"/> RTGS/NEFT	<input type="checkbox"/> Cheque <input type="checkbox"/> DD <input type="checkbox"/> RTGS/NEFT	<input type="checkbox"/> Cheque <input type="checkbox"/> DD <input type="checkbox"/> RTGS/NEFT	<input type="checkbox"/> Cheque <input type="checkbox"/> DD <input type="checkbox"/> RTGS/NEFT	<input type="checkbox"/> Cheque <input type="checkbox"/> DD <input type="checkbox"/> RTGS/NEFT
RTGS/NEFT No.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Cheque/DD No.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Cheque Dated	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
A/c. No.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
A/c. Type (✓)	<input type="checkbox"/> Current <input type="checkbox"/> Savings <input type="checkbox"/> NRO* <input type="checkbox"/> NRE* <input type="checkbox"/> Others (* For NRI Investors)	<input type="checkbox"/> Current <input type="checkbox"/> Savings <input type="checkbox"/> NRO* <input type="checkbox"/> NRE* <input type="checkbox"/> Others (* For NRI Investors)	<input type="checkbox"/> Current <input type="checkbox"/> Savings <input type="checkbox"/> NRO* <input type="checkbox"/> NRE* <input type="checkbox"/> Others (* For NRI Investors)	<input type="checkbox"/> Current <input type="checkbox"/> Savings <input type="checkbox"/> NRO* <input type="checkbox"/> NRE* <input type="checkbox"/> Others (* For NRI Investors)	<input type="checkbox"/> Current <input type="checkbox"/> Savings <input type="checkbox"/> NRO* <input type="checkbox"/> NRE* <input type="checkbox"/> Others (* For NRI Investors)	<input type="checkbox"/> Current <input type="checkbox"/> Savings <input type="checkbox"/> NRO* <input type="checkbox"/> NRE* <input type="checkbox"/> Others (* For NRI Investors)
Drawn on Bank	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Branch	<input type="text"/>	City <input type="text"/>	<input type="text"/>	City <input type="text"/>	<input type="text"/>	City <input type="text"/>

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. If no, my relationship with the bank account holder (✓)
 Parent Grandparent Employee Custodian Others _____ (Please specify); and the Third Party declaration form is attached (Refer the section on Third Party Payments in the SAI).

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

Scheme	HSBC	Plan	<input type="checkbox"/> Regular <input type="checkbox"/> Institutional <input type="checkbox"/> Institutional Plus
Sub-Option	<input type="checkbox"/> Growth (default) <input type="checkbox"/> Dividend Reinvestment <input type="checkbox"/> Dividend Payout	Option	<input type="checkbox"/> Amount (₹ in figures) <input type="text"/>
Dividend Frequency	<input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Half Yearly	OR	<input type="checkbox"/> No. of Units <input type="text"/>
			<input type="checkbox"/> 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. A/c. Type (✓) Current Savings NRO NRE Others _____

Bank Name

MICR Code IFSC Code

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 ✓): Home Office

<input type="text"/>	City <input type="text"/>	Pin Code <input type="text"/>
State <input type="text"/>	Country <input type="text"/>	

Proof of address to be provided by Applicant: Please submit ANY ONE of the following valid documents & 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 (only Land Line) Latest Electricity Bill Latest Gas Bill Others (Please specify) _____ (Not more than 3 months old)

Proof of Identity (Please enclose a duly attested copy of your PAN Card.) **Proof of Identity submitted for PAN exempt cases (✓)** (Refer point 9 under Instructions.)
 PAN UDI (Aadhar Card) Passport Voter Identity Card Driving License Others (Please specify) _____

Contact Details: (Where email ID and Mobile number is not provided the same will be updated from KRA records)

Phone O <input type="text"/>	Extn. <input type="text"/>	Fax <input type="text"/>	R <input type="text"/>
Mobile <input type="text"/>	E-mail <input type="text"/>		

Yes No [†] I/We, wish to receive scheme wise annual report or an abridged summary thereof/account statements/statutory & other documents by email. If unticked, by default the above will be sent on email.

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.

Folio No.	<input type="text"/>	Name	<input type="text"/>
Scheme Name:	HSBC		
Received from the above mentioned investor the following:			
Total Amount (Rs.)/ Units:	<input type="text"/>		
Cheque No.(s)	<input type="text"/>	Drawn on	<input type="text"/>
<input type="checkbox"/> Redemption or <input type="checkbox"/> Switch Amount (Rs.)	<input type="text"/>		OR Units
<input type="checkbox"/> Additional Purchase Amount (Rs.)	<input type="text"/>		OR Units
<input type="checkbox"/> STP <input type="checkbox"/> SWP <input type="checkbox"/> Change of Address	<input type="text"/>		

No. CT

ISC Stamp, Signature & Date

Please Note: All purchase are subject to realisation of instruments. All transaction processing is subject to final verification.

6 SYSTEMATIC WITHDRAWAL PLAN (SWP) Registration Cancellation
Scheme HSBC Plan Other than Direct+ (*Continuing Plans only) Direct
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) Rs. Redemption amount will equal appreciation.
11th 12th 13th 14th 15th 16th 17th 18th 19th 20th 21st 22nd
23rd 24th 25th 26th 27th 28th 29th 30th 31st 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 fill in your choice of Scheme / Plan / Option / Sub-option) KYC MANDATORY w.e.f. January 1, 2011. Please enclose KYC acknowledgement.
Switch From: Scheme Name HSBC Switch To: Scheme Name HSBC
Plan Other than Direct+ (*Continuing Plans only) Direct
Option Regular Institutional Institutional Plus
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 HSBC Plan Other than Direct+ (*Continuing Plans only) Direct
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
To be submitted 10 days prior to the STP date incase of Registration & 14 days incase of Cancellation.
Transfer To: Scheme Name HSBC Plan Other than Direct+ (*Continuing Plans only) Direct
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
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 I N
Beneficiary Account No.

10 DECLARATION AND SIGNATURES (In case of joint holding, signatures of all unit holders are mandatory)
OTHER DECLARATIONS
The Trustees, HSBC Mutual Fund
Having read and understood the contents of the Scheme Information Document, Key Information Document, Statement of Additional Information and Addenda of the Scheme(s) issued till date, I / We hereby apply to the Trustees of HSBC Mutual Fund for units of the relevant Scheme and agree to abide by the terms, conditions, rules and regulations of the Scheme and the above mentioned documents of HSBC Mutual Fund. I / We hereby authorise HSBC Mutual Fund, the AMC and its Agents to disclose my / our details including investment details 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, or to disclose to such other service providers as deemed necessary for conduct of business. I / We 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 the Fund, the AMC, its service providers or representatives responsible. I / We will also inform the AMC, about any changes in my / our bank account. I / We have read and agreed to the terms and conditions for ECS / Direct Debit. I / We confirm that I am / 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 / FCNR Account (Applicable to NRI).
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) is through legitimate sources and is not held or designed for the purpose of contravention of any Act, Rules, Regulations or any other applicable laws or Notifications issued by any governmental or statutory authority from time to time. I / We acknowledge that the AMC has not considered my / our tax position in particular and that I / we should seek tax advice on the specific tax implications arising out of my / our participation in 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 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.
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). I / We confirm that primary email ID provided belongs to self or a family member.
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.
SIGNATURE(S) Signature should be in Black or Blue ink only.
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 : (1) If any alteration is made, then a countersign is mandatory. (2) Investors should refer to the Scheme Information Document, Statement of Additional Information, Addenda and KIM of the respective Scheme(s) carefully before filling the Application Form. (3) Please refer to the Scheme Information Document, Statement of Additional Information for cut-off timings, available product features, add-ons and dividend frequency, minimum additional purchase amounts etc. , bank charges for Demand draft. The amount in words and figures on the cheque should not be in local languages. (4) In case of multiple holders, the dividend (if applicable) and redemption amount will be paid to the first holder. (5) Additional Purchases - Cheque/DD must be drawn in the name of the Scheme as applicable and crossed "Account payee only". Outstation cheques will not be accepted. (6) The AMC will not entertain any request for refund of demand draft charges. Outstation cheques / outstation demands draft will not be accepted. (7) Redemption amounts should not be less than minimum repurchase amounts. (8) 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.

Section 1 ** W.e.f. January 1, 2008, PAN number is Mandatory for all investors (including Joint Holders, POA holder, Guardian in case of Minor and NRIs). ¶¶ 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. W.e.f February 1, 2017, New individual investors who have never done KYC under KRA (KYC Registration Agency) regime and whose KYC is not registered or verified in the KRA system will be required to fill the new CKYC form while investing with the Fund. ~ Transactions subject to rejection if minor has turned major and relevant documents for change in status not submitted. Refer SID/SAI for instructions related to folios held in the name of Minor. † Please note that information sought here will be obtained from KRA also. In case of any differences, the KRA input will apply.

Section 4 Important Note: The Bank account details mentioned above should be pre-registered as a valid bank mandate. If the account details are not filled above OR incorrect, the redemption will be processed into the "Default" bank account registered for the aforesaid folio. HSBC Mutual Fund or HSBC Asset Management (India) Pvt. Ltd. will not be liable for any loss arising to the unitholder(s) due to the credit of redemption proceeds into any of the bank accounts registered with us for the aforesaid folio.

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. The redemption proceed shall be paid to the existing bank account registered at the time of redemption payout. HSBC Mutual Fund or HSBC Asset Management (India) Pvt. Ltd. will not be liable for any loss arising to the unitholder(s) due to credit of redemption proceeds into any of the bank accounts registered with us in the aforesaid folio. Please refer to SID / SAI for process of change of bank details along with / before redemption.