

# TRANSACTION FORM FOR EXISTING INVESTORS



## HSBC Mutual Fund

Please use a separate Form for each Transaction

Distributor/Broker Code	Sub-Broker Code	Date
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No.W

Only empanelled Distributors/Brokers will be permitted to distribute Units of HSBC Mutual Fund.

Folio No.  /  Sole / First Unitholder's Name  Mr Ms M/s

### 1 PAN DETAILS (Mandatory if amount of purchase is Rs. 50,000 or more) irrespective of mode of holding.

PAN*	<input type="text"/>		<input type="text"/>		<input type="text"/>	
	Sole / First Applicant		Second Applicant		Third Applicant	
Enclosed	PAN proof <input type="checkbox"/>	Form 60 <input type="checkbox"/>	Form 61 <input type="checkbox"/>	PAN proof <input type="checkbox"/>	Form 60 <input type="checkbox"/>	Form 61 <input type="checkbox"/>

\* Irrespective of the mode of holding, in addition, proof of PAN (copy of PAN Card / PAN letter / Copy of IT Assessment Order / Copy of IT Notice or such other Correspondence from the Income-tax Department) is required to evidence the PAN quoted above for all holders where the amount of Investment is INR 50,000 or more. Please also refer to instruction 8. In case PAN is not available, please provide Form 60 / Form 61, duly filled up, with necessary proof as specified therein.

### 2 ADDITIONAL PURCHASE (See instructions 2 - 6)

I/We would like to purchase additional Units as per the following details :

Scheme Name	<b>H S B C</b>	Sub-option	<input type="checkbox"/> Growth* <input type="checkbox"/> Dividend Reinvestment <input type="checkbox"/> Dividend Payout
Plan	<input type="text"/>	Dividend Frequency	<input type="checkbox"/> Daily** <input type="checkbox"/> Weekly** <input type="checkbox"/> Monthly** <input type="checkbox"/> Quarterly
Option	<input type="checkbox"/> Regular <input type="checkbox"/> Institutional <input type="checkbox"/> Institutional Plus	** Applicable for Institutional and Institutional Plus Options of HSBC Cash Fund and HSBC Floating Rate Fund - Short Term Plan only. Please note that dividend payout is available only in the Monthly Sub-Option.	

Cheque / DD No.  Date  A/c. No.   
 Bank  Branch

Cheque / DD Amount (Rs.)  DD Charges (Rs.)  Total Amount (Rs.)   
 A/c. Type (Please  Current  Savings  NRO  NRE

Please Note : The Dividend Option (Reinvestment or Payout) chosen will be applied to all existing units held in that Scheme in the destination folio.

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 is  Spouse  Child  Parent  Relative  Sibling  Friend  Others. **Transaction Form without this information is liable to be rejected.**

### 3 REDEMPTION (See instruction 7)

Please redeem my/our Units as per the following details :

Scheme Name	<b>H S B C</b>	Sub-option	<input type="checkbox"/> Growth <input type="checkbox"/> Dividend Reinvestment <input type="checkbox"/> Dividend Payout
Plan	<input type="text"/>	Dividend Frequency	<input type="checkbox"/> Daily** <input type="checkbox"/> Weekly** <input type="checkbox"/> Monthly** <input type="checkbox"/> Quarterly
Option	<input type="checkbox"/> Regular <input type="checkbox"/> Institutional <input type="checkbox"/> Institutional Plus	** Applicable for HSBC Cash Fund and HSBC Floating Rate Fund - Short Term Plan only.	

Amount (Rs. in figures)  **OR**  No. of Units   All Units  
 (Rs. in words)

### 4 SWITCH (See instructions 3 & 6)

I/We would like to switch Units as per the following details :

Switch From	Scheme Name	<b>H S B C</b>	Switch To	Scheme Name	<b>H S B C</b>
	Plan	<input type="text"/>		Plan	<input type="text"/>
	Option	<input type="checkbox"/> Regular <input type="checkbox"/> Institutional <input type="checkbox"/> Institutional Plus		Option	<input type="checkbox"/> Regular <input type="checkbox"/> Institutional <input type="checkbox"/> Institutional Plus
	Sub-option	<input type="checkbox"/> Growth* <input type="checkbox"/> Dividend Reinvestment <input type="checkbox"/> Dividend Payout		Sub-option	<input type="checkbox"/> Growth* <input type="checkbox"/> Dividend Reinvestment <input type="checkbox"/> Dividend Payout
	Dividend Frequency	<input type="checkbox"/> Daily <sup>‡</sup> <input type="checkbox"/> Weekly <sup>‡</sup> <input type="checkbox"/> Monthly <sup>‡</sup> <input type="checkbox"/> Quarterly		Dividend Frequency	<input type="checkbox"/> Daily <sup>‡</sup> <input type="checkbox"/> Weekly <sup>‡</sup> <input type="checkbox"/> Monthly <sup>‡</sup> <input type="checkbox"/> Quarterly

Amount (Rs. in figures)  **OR**  No. of Units   All Units  
<sup>‡</sup> Applicable for Institutional and Institutional Plus Options of HSBC Cash Fund and HSBC Floating Rate Fund - Short Term Plan only. Please note that dividend payout is available only in the Monthly Sub-Option.

Please Note : The Dividend Option (Reinvestment or Payout) chosen will be applied to all existing units held in that Scheme in the destination folio.

### 5 CHANGE OF ADDRESS / E-MAIL COMMUNICATION

New Address for correspondence : Address is (Please  Home  Office)

State  Country  City  Pin Code

Phone O  Extn.  Fax   
 R  Mobile

I/We wish to receive updates via SMS on my mobile [Please

### E-MAIL COMMUNICATION

e-mail

I/We wish to receive the following documents via e-mail in lieu of physical document(s) [Please ]  Account Statement  All other Statutory Communications  Marketing Updates

### ACKNOWLEDGEMENT SLIP (To be filled by the investor)

No.W

Folio No.  /  Name

Received from the above mentioned investor the following :

**Additional Purchase** Scheme  Total Amount (Rs.)   
 Cheque No(s)  Drawn on   
 **Redemption** or  **Switch** Amount (Rs.)  **OR** Units   
 **STP**  **SEP**  **Change of Bank Mandate**  **Change of Address**  **Nomination/Cancellation of Nomination**

Signature, Stamp & Date

PLEASE TURN OVER

**6 CHANGE OF BANK MANDATE**

Name of the Bank	<input type="text"/>	A/c. No.	<input type="text"/>
Branch	<input type="text"/>	A/c. Type (Please <input checked="" type="checkbox"/> Current <input type="checkbox"/> Savings <input type="checkbox"/> NRO <input type="checkbox"/> NRE	
Address	<input type="text"/>	City	<input type="text"/>

**7 SYSTEMATIC ENCASHMENT PLAN (SEP) (For investors in scheme(s) where applicable)**  Registration  Cancellation

Scheme Name	<input type="text"/>	Withdrawal Options	<input type="checkbox"/> Fixed Amount <input type="checkbox"/> Capital Appreciation	Withdrawal Amount	Rs. <input type="text"/>	Frequency	<input type="checkbox"/> Monthly <input checked="" type="checkbox"/> Quarterly
Plan	<input type="text"/>	Option	<input type="checkbox"/> Regular <input type="checkbox"/> Institutional <input type="checkbox"/> Institutional Plus	Redemption amount will equal appreciation		Period of enrolment ( MM / YY)	From <input type="text"/> To <input type="text"/>
Sub-option	<input type="checkbox"/> Growth <input type="checkbox"/> Dividend Reinvestment <input type="checkbox"/> Dividend Payout	(Minimum withdrawal amount is Rs. 1000 and in multiples of Re.1/- thereafter)					

**8 SYSTEMATIC TRANSFER PLAN (STP) (For investors in scheme(s) where applicable)**  Registration  Cancellation

Transfer from**	Scheme Name <input type="text"/>	Transfer to	Scheme Name <input type="text"/>	Amount per instalment Rs.	<input type="text"/>
Plan	<input type="text"/>	Plan	<input type="text"/>	Instalment commencing ( MM / YY)	<input type="text"/>
Option	<input type="checkbox"/> Regular <input type="checkbox"/> Institutional <input type="checkbox"/> Institutional Plus	Option	<input type="checkbox"/> Regular <input type="checkbox"/> Institutional <input type="checkbox"/> Institutional Plus	From	<input type="text"/>
Sub-option	<input type="checkbox"/> Growth <input type="checkbox"/> Dividend <input type="checkbox"/> Dividend Payout <input type="checkbox"/> Reinvestment	Sub-option	<input type="checkbox"/> Growth <input type="checkbox"/> Dividend <input type="checkbox"/> Dividend Payout <input type="checkbox"/> Reinvestment	To	<input type="text"/>
Dividend Frequency	<input type="checkbox"/> Daily* <input type="checkbox"/> Weekly* <input type="checkbox"/> Monthly* <input type="checkbox"/> Quarterly	Dividend Frequency	<input type="checkbox"/> Daily* <input type="checkbox"/> Weekly* <input type="checkbox"/> Monthly* <input type="checkbox"/> Quarterly	(Minimum transfer amount Rs.1000/- and in multiples of Re.1/- thereafter)	

\*\* Please note that in case the Scheme mentioned here is HSBC Cash Fund or HSBC Floating Rate Fund - Short Term Plan, STP will take place on the 1st, 10th and 20th of each month.  
 \* Applicable for Institutional and Institutional Plus Options of HSBC Cash Fund and HSBC Floating Rate Fund - Short Term Plan only. Please note that dividend payout is available only in the Monthly Sub-Option.

**9 NOMINATION / CANCELLATION OF NOMINATION (To be filled in by Individual(s) applying singly or jointly)**

I/We  and  \* do hereby nominate the person more particularly described hereunder / and / cancel the nomination made by me / us on the  day of  in respect of units held by me / us under Folio No.  (\* strike out which is not applicable)

<b>Name and Address of Nominee</b>	<b>To be furnished in case Nominee is a Minor (delete if not applicable)</b>
Name <input type="text"/>	Name of Guardian <input type="text"/>
Address <input type="text"/>	Address of Guardian <input type="text"/>
Date of Birth (in case Nominee is a minor) <input type="text"/>	PAN <input type="text"/>
PAN <input type="text"/>	Signature of Guardian <input type="text"/>

**10 DECLARATION AND SIGNATURES**

The Trustees, HSBC Mutual Fund  
 Having read and understood the contents of the Offer Document(s) and Addenda of the Scheme(s) issued till date, I/We hereby apply 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 of the Investment Manager. \*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. 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 Date:

SIGNATURE(S)	Sole/First Unitholder
	Second Unitholder
	Third Unitholder

**Applications from investors resident in USA and Canada shall be rejected.**

**CHECKLIST (Please ensure the following)**

<input type="checkbox"/> Transaction Form is complete in all respects and signed by all Unitholders	<input type="checkbox"/> Cheque is drawn in favour of the appropriate Scheme, dated and signed
<input type="checkbox"/> Bank Account details are filled	<input type="checkbox"/> Appropriate Plan / Options / Sub-Options are ticked
<input type="checkbox"/> Permanent Account Number (PAN) is mentioned for all Unitholders	<input type="checkbox"/> Separate Transaction Forms along with cheques are filled for each Plan / Option
<input type="checkbox"/> Photocopy of PAN	

**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. In case of new investors/fresh purchases, please read the Offer Document(s), Addenda & KIM and fill in the Application Form. 3. Please refer to the Offer Document(s) for cut-off timings, available product features, add-ons and dividend frequency for each Scheme/Plan. 4. Additional purchases - Please refer to the Common Offer Document and Addenda of respective scheme(s) for details of minimum additional purchase amounts. 5. Cheque/DD must be drawn in favour of the Specific Fund/Scheme/Plan name, crossed "Account payee only" and payable locally. 6. Please refer to the Offer Document(s) for Default options for Switches & for Purchases. 7. Redemptions - Please refer to the Common Offer Document and Addenda of respective scheme(s) for details of minimum repurchase amounts. 8. PAN of Sole applicant / First applicant / Second applicant / Third applicant must be mentioned in the document pertaining to the transaction if there is a payment of an amount of fifty thousand rupees or more to a Mutual Fund for purchase of its units, irrespective of the mode of holding. In case such transaction is being entered to by a minor who does not have a PAN, he shall quote the PAN of his father or mother or guardian, as the case may be. Where the amount is Rs. 50,000 or more, the investor is compulsorily required to provide a copy of the PAN Card / PAN Letter / Copy of assessment order or refund order or such other correspondence from the Income-tax department mentioning the PAN. Dividend reinvestment, if any, of Rs. 50,000 or more, qualifies as purchase of units. In case of non-receipt of PAN details or Form No. 60/61, as applicable, from the investors / Unit holders (in case the application/ units are held in joint names, each of the investors/ unitholders), the dividend will be compulsorily paid out to the Unit holders and not reinvested. In case the person does not have a PAN while entering such a transaction, he shall make a declaration in Form No. 60 / 61 (as may be applicable). Form 60 and Form 61 are available with the Application Form. Necessary supporting documents required with the Forms are to be submitted by the investor.

**INSTRUCTIONS FOR NOMINATION :** 1. 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. If the units are held jointly, all joint holders will sign the nomination form. 2. A minor can be nominated and in that event, the name, address and PAN No. of the Guardian of the minor nominee (in case the minor does not have PAN) shall be provided by the Unitholder. 3. 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. 4. Nomination in respect of the Units stands rescinded upon the transmission of Units. 5. Transmission of Units in favour of a Nominee shall be valid discharge by the AMC / Mutual Fund / Trustees against the legal heir. 6. 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. 7. 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.