

# Systematic Investment Plan (SIP) Application Form

## HSBC Mutual Fund

Please read Instructions overleaf carefully.

<input type="checkbox"/> New Registration/Renewal <input type="checkbox"/> Change in Bank Account <input type="checkbox"/> Cancellation	<b>Distributor / Broker ARN</b> Ganesh S. Shanbhag / ARN - 0988	<b>Sub-Broker Code</b>	<b>Registrar Serial No.</b>
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Application No. :

Existing investors of HSBC Mutual Fund wanting to make an SIP investment will need to fill up ONLY the SIP Application Form quoting their folio number. However, new investors will be required to fill up the Application Form as well as the SIP Application Form. Upfront commission shall be paid directly by the investor to the AMFI registered Distributors based on the investor's assessment of various factors including the service rendered by the distributor. Any correction of Broker Code requires investor's authentication.

### 1 APPLICANTS' INFORMATION (MANDATORY) (See instructions 1 & 2 overleaf)

Folio No. (for existing Unitholder)  Common Application No. (for new investor)

Name of the First Applicant Mr Ms M/s

PAN (Mandatory)  Enclosed (✓)  PAN Card Copy  \*KYC Compliance Proof

Name of the Second Applicant Mr Ms M/s

PAN (Mandatory)  Enclosed (✓)  PAN Card Copy  \*KYC Compliance Proof

Name of the Third Applicant Mr Ms M/s

PAN (Mandatory)  Enclosed (✓)  PAN Card Copy  \*KYC Compliance Proof

\* W.e.f. January 1, 2011, all the applicants need to be KYC Compliant irrespective of the amount invested.

Receive Account Statement, Annual Reports and other information instantly by e-mail\*  I/We wish to receive updates via SMS  Mobile No.

e-mail

I / We wish to receive the above by email  I / We do not wish to receive the above by email

\* Note : Where the investor has not opted for any option or has opted for both options, the application will be processed as per the default option, i.e., receive the account statement, annual reports and other correspondence by e-mail and receive SMS updates on Mobile.

### 2 SIP INVESTMENT DETAILS (Please ✓ your choice of Scheme / Plan / Option / Sub-Option)

Scheme (✓)  HEF  HIOF  HEMF  HPTF  HDF  HTSF  HMEF  HUOF  HSCF  HBF Any other Scheme<sup>5</sup>  Plan<sup>5</sup>

Dividend Frequency<sup>5</sup>  Growth (default)  Dividend Reinvestment\*\*  Dividend Payout<sup>5</sup> To be filled up \*\* Not applicable in case of HTSF

The scheme name mentioned on the application form and the cheque has to be the same. In case of any discrepancy between the two, units will be allotted as per the scheme name mentioned on the cheque only.

Amount (Rs. Figures)  SIP Date  3rd  10th  17th  26th  30th ##  All Dates

Frequency  Monthly  Quarterly (10th) Period of enrolment From  To  ## Last Business day of the month for February.  March 2025 (Default)^

Payment Mechanism (✓ any one)  SIP Auto Debit Facility (Please complete the ECS Debit Bank Account details below)  Cheques (Please provide the details below)

First SIP instalment Cheque details : Cheque No.  Dated  Second & subsequent instalments Cheque details : Cheque Nos. From  To  Total No. of Cheques

Drawn on Bank  Branch  City

A/C No.  A/C Type (✓)  Current  Savings  NRO (for NRI investors)  NRE (for NRI investors)  Others (please specify)

^ Incase of Minor unitholder, SIP will be registered only till minor unitholder attaining 18 years of age. Minimum 12 instalments under Monthly SIP and 4 Quarters for Quarterly SIP.

### ECS DEBIT BANK ACCOUNT DETAILS (MANDATORY) (Cheque should be drawn on bank details provided below or refer to Instruction 3 Ae)

I / We hereby authorise HSBC Asset Management (India) Pvt. Ltd., Investment Manager to HSBC Mutual Fund acting through their authorised service providers to debit my / our following bank account by ECS (Debit Clearing) / Direct Debit Facility or any other facility for collection of SIP payments.

Name of the Account Holder as in Bank Records

Folio No.  Scheme Name

Name of the Bank

Branch Address

Core Banking A/C No.  Monthly Debit Amount

MICR Code  (9 digit number next to your Cheque No.) IFSC Code

A/c. Type (✓)  Current  Savings  NRO\*  NRE\* SIP Date (✓) Monthly:  3rd  10th  17th  26th  30th ##  All Dates  Quarterly (10th)

SIP Period Start Date  End Date  ## Last Business day of the month for February

\* For NRI investors. ^ Incase of Minor unitholder, SIP will be registered only till minor unitholder attaining 18 years of age.

There should be a minimum time gap of 25 Business days for the first instalment of SIP through ECS (Debit Clearing) or Direct Debit. Minimum 12 instalments under Monthly SIP and 4 Quarters for Quarterly SIP.

### MICRO SIP

Date of Birth  Supporting Document type\*  Reference No. (if available)

\*For the permissible list of applicable documents please see overleaf. Auto-Debit instructions will apply for subsequent instalments beginning with the nearest SIP Date at least 25 business days after the first SIP Date. Please note that the first SIP instalment cheque and Auto-Debit instruction should be for the same amount.

### 3 DECLARATION AND SIGNATURE(S) (As per mode of holding in the Folio)

The Trustees, HSBC Mutual Fund

Having read and understood the contents of the Combined 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 representatives 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. \*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

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 / We do not have any existing Micro SIP investments which together with the current application will result in aggregate investments exceeding Rs. 50,000/- in a year. (Applicable for Micro SIP investments only.)

Sole / First Applicant / Guardian / PoA	<input type="text"/>
Second Applicant / PoA	<input type="text"/>
Third Applicant / PoA	<input type="text"/>
Date	<input type="text"/>

### For Office use only (Not to be filled in by investor)

Recorded on  Recorded by  Credit Account Number

### 4 AUTHORISATION OF THE BANK ACCOUNT HOLDER [to be signed by the Account Holder(s)]

This is to inform I / we have registered for the RBI's Electronic Clearing Service (Debit Clearing) / Direct Debit Facility and that my / our payment towards my / our investment in HSBC Mutual Fund shall be made from my / our below mentioned bank account number with your bank. I / We authorise HSBC Asset Management (India) Pvt. Ltd. (Investment Manager to HSBC Mutual Fund), acting through their service providers and representative carrying this ECS mandate / Direct Debit Facility Form to get it verified & executed. Mandate verification charges, if any, maybe charged to my / our account.

Account Number

SIGNATURE(S) (As In Bank Records)

Sole/First Account Holder  Second Account Holder  Third Account Holder

### ACKNOWLEDGEMENT SLIP (To be filled in by the Unit Holder)

Note: This Acknowledgement Slip is for your reference only. Information provided on the form is considered final.

Received from Mr Ms M/s

Folio No.  'SIP' application for Units of Scheme  Option / Sub-option

Total Cheques  ECS (Debit Clearing) / SIP Auto Debit Facility Total Amount (Rs.)

Date  Please Note : All purchase are subject to realisation of instruments.

ISC Stamp, Signature & date

## INSTRUCTIONS FOR FILLING UP THE SIP APPLICATION FORM

### 1 GENERAL INFORMATION

- a) The Application Form should be completed in ENGLISH in BLOCK LETTERS only. Please Tick (✓) in the appropriate box (□), where boxes have been provided. Please refer to the Offer Document and the Key Information Memorandum carefully before filling the SIP Application Form. All applicants are deemed to have accepted the terms subject to which this offer is being made and bind themselves to the terms upon signing the Application Form and tendering the payment.
- b) Please refer the section on "Who can apply?" for a list of eligible investors in the Offer Document / Key Information Memorandum.
- c) **Existing investors of HSBC Mutual Fund wanting to make an SIP investment will need to fill up ONLY the SIP Application Form quoting their Folio Number. However, new investors will be required to fill up the Common Application Form as well as the SIP Application Form.**
- d) Please do not overwrite. For any correction / changes (if any) made on the application form, applicants are requested to authenticate the same by canceling and re-writing the correct details and counter-signed by the sole / all applicants.
- e) In case SIP investments are made through 'Third Party Payments' i.e. payment made through an instrument issued from a bank account other than that of the first named applicant / investor mentioned in the application form, Investors are required to additionally fill up & submit the 'Third Party Payment Declaration Form' (available at any of our ISCs or on our website <http://www.assetmanagement.hsbc.com/in>) along with the SIP Enrolment Form.

### 2 APPLICANT'S INFORMATION

- a) With effect from 1 January, 2008, for all applicable transactions, investors will need to mention their PAN number on Application Form / Transaction Form. The PAN requirements will be applicable to all joint applicants as well as the Guardian, in case of applications by a Minor. As per SEBI circular no. MRD/DoP/MF Cir - 08/2008 dated April 3, 2008 investors residing in the state of Sikkim are exempted from the mandatory requirement of PAN for their investments in Mutual Funds. However, this would be subject to verification of the veracity of the claim of the investors that they are residents of Sikkim, by collecting sufficient documentary evidence.  
Accordingly, submission of Form 49A and/ or declaration in Form 60/61 will not be accepted.
- b) KYC is mandatory under the Prevention of Money Laundering Act, 2002 for all applications for subscriptions of Rs. 50,000 and above. This will be applicable for investments from individual investors including joint holding / institutional customers / other non-institutional investors / investments through power of attorney holders / investments of minor through guardian.  
The KYC requirements can be completed by filling up the prescribed form and submitting the same along with the other requisite details / proof (attested true copies of supporting documents relating to proof of identity and address or verification with the original) to a designated Point of Service (PoS) of CDSL Ventures Limited (CVL). Any subsequent change to Address, Pin Code, Country, Nationality, Occupation, Income details, Date of Birth, Proof of Identity need to be communicated to CVL ONLY. For details of the process and list of PoS, please visit our website <http://www.hsbcinvestments.co.in> In case investor has completed the KYC Compliance process, without submitting a copy of PAN Card, he/she must forthwith provide a copy of PAN Card alongwith the copy of KYC compliance acknowledgement to CVL.  
In view of this, with effect from February 01, 2008 each investor (including joint unit holder) who wishes to invest an amount of Rs.50, 000/- or more need to submit a copy of the acknowledgement of KYC / printout of KYC status (status can be downloaded from CVL website ([www.cvlindia.com](http://www.cvlindia.com))) using the PAN number) along with the application form for investing in the schemes of Mutual Fund.

### 3 SIP INVESTMENT AND PAYMENT DETAILS

#### A) SIP Investment

- a) In case an investor wishes to invest on a monthly basis, the investor is required to provide:
  - at least 12 cheques of minimum Rs. 1,000 (Rs. One Thousand) or
  - one cheque for the first installment in addition to a mandate form to enable subsequent debits either through Electronic Clearing System (ECS) debit or such other facilities as may be provided by the AMC for a block of atleast 11 installments.
 In case an investor wishes to invest on a quarterly basis, the investor is required to provide:
  - at least 4 cheques of minimum Rs. 3,000 (Rs. Three Thousand) each, or
  - one cheque for the first installment in addition to a mandate form to enable subsequent debits either through Electronic Clearing System (ECS) debit or such other facilities as may be provided by the AMC for a block of atleast 3 balance installments.
- b) The cheque for the first SIP instalment can carry any date. The first instalment of the SIP will be processed subject to applicable NAV & load, if any, on the date of receipt of the application form (post dated cheque will not be accepted). The second instalment in case of monthly SIP will be processed on the available SIP date [currently 3rd, 10th, 17th, 26th or 30th (last day of the month for February) of every month] indicated by the investor, but immediately following the expiry of 25 Business Days from the date of processing the first SIP. If the choice of date for the second instalment is not indicated by the investor, the second instalment of SIP will be processed on the earliest SIP date [3rd, 10th, 17th, 26th or 30th (last day of the month

- c) Cheque should be drawn in the name of the respective Scheme(s) or its abbreviation as applicable and crossed "A/c. Payee only".
- d) You can choose multiple SIP dates in the Auto Debit Form in case you wish to make the SIP investment on multiple dates each month.
- e) In case the name of the unit holder is not pre-printed on the cheque or signature on the cheque does not match, then the first named applicant / investor should submit any one of the following documents i.e. an attested copy of the bank passbook or a statement of bank account or a letter from the bank on its letterhead certifying the details of the investor. For other mode of payment for SIP and further details, please refer to the section 'Third Party Payments' under the instructions in the Key Information Memorandum and section 'How to Apply' under Statement of Additional Information available on our website <http://www.assetmanagement.hsbc.com/in>.
- f) In case of rejection of SIP form for any reason whatsoever, the Mutual Fund will not entertain any request for refund of proceeds of first cheque which is already processed. Investors will have to redeem the units allotted through first cheque at applicable NAV.

#### B) Micro SIP

In accordance with SEBI letter no. MRD/DoP/PAN/PM/166999/2009 dated June 19, 2009 issued to Association of Mutual Funds in India (AMFI) and subsequent guidelines issued by AMFI vide its circular no. 35P/MEM-COR/4/09-10 dated July 14, 2009 in this regard, SIPs up to Rs. 50,000/- per year per investor i.e. aggregate of investments in a rolling 12 months period or in a financial year i.e. April to March (hereinafter referred to as "Micro SIP") shall be exempted from the requirement of PAN, with effect from August 1, 2009. This exemption shall be applicable only to investments by individuals (excluding PIOs), Minors and Sole proprietary firms including joint holders. HUFs and other categories of investors will not be eligible for this exemption. Micro SIP investors will require to be KYC compliant by submitting requisite documents to the AMC/ RTA. Micro SIP investors will not be subject to common KYC process through CVL as KYC will be handled by AMC/RTA directly. This exemption shall not be applicable to normal purchase transactions up to Rs. 50,000/- which will continue to be subject to the PAN requirement.

Along with the proof of address, any one of the following photo identification documents can be submitted along with Micro SIP applications as proof of identification in lieu of PAN:

- Voter Identity Card
- Driving License
- Government / Defense identification card
- Passport
- Photo Ration Card
- Photo Debit Card
- Employee ID cards issued by companies registered with Registrar of Companies
- Photo Identification issued by Bank Managers of Scheduled Commercial Banks / Gazetted Officer / Elected Representatives to the Legislative Assembly / Parliament
- ID card issued to employees of Scheduled Commercial / State / District Co-operative Banks
- Senior Citizen / Freedom Fighter ID card issued by Government
- Cards issued by Universities / deemed Universities or institutes under statutes like ICAI, ICWA, ICSI
- Permanent Retirement Account No (PRAN) card issued to New Pension System (NPS) subscribers by CRA (NSDL)
- Any other photo ID card issued by Central Government / State Governments / Municipal authorities / Government organizations like ESIC / EPFO.

Where photo identification documents contains the address of the investor, a separate proof of address is not required.

The photo identification document and the proof of address have to be current and valid and also to be either self attested or attested by the ARN holder (AMFI Registered Distributor) mentioning the ARN number.

While making subsequent Micro SIP applications with a mutual fund, investor can quote the existing folio number where a Micro SIP has been registered and therefore need not resubmit the supporting document. The Micro SIP application will be rejected by the AMC where it is found that the registration of the application will result in the aggregate of Micro SIP installments in a financial year exceeding Rs.50,000 or where there are deficiencies in the documents submitted by the investors in lieu of PAN as mentioned above. The rejected application will be sent back to the investor with a deficiency memo. In case the first Micro SIP instalment is processed (as the cheque may be banked), and the application is found to be defective, the Micro SIP registration will be ceased for future installments. No refunds shall be made by the AMC for the units already allotted and a communication to this effect will be sent to the investors. However, investors shall be allowed to redeem their investments at applicable NAV.

#### 4 DECLARATION AND SIGNATURES

- a) Signature should be in black or blue ink only.
- b) Signatures can be in English or in any Indian language. Thumb impressions must be attested by a Magistrate / Notary Public under his / her official seal. In case of HUF, the Karta will sign on behalf of the HUF.
- c) Applications on behalf of minors should be signed by their Guardian.  
HSBC Mutual Fund / AMC, reserves the right to reject any application inter alia in the absence of fulfilment of regulatory requirements, fulfilment of requirements of the Combined SID, SAI and furnishing necessary information to the satisfaction of the Mutual Fund / AMC.

## TERMS & CONDITIONS

### SIP payment through Electronic Clearing Service (Debit Clearing) of the Reserve Bank of India (RBI)

1. ECS facility is offered to the investors having bank accounts in **select cities mentioned below.**

• Agra • Ahmedabad • Allahabad • Amritsar • Anand • Asansol • Aurangabad • Bengaluru • Bardhaman • Baroda • Belgaum • Bhavnagar • Bhillwara • Bhopal • Bhubaneswar • Bijapur • Bikaner • Chandigarh • Chennai • Coimbatore • Cuddalore • Cuttack • Dargeeling • Davangere • Dehradun • Dhanbad • Durgapur • Ernakulam • Erode • Gadag • Gangtok • GOA • Gorakhpur • Gulbarga • Guwahati • Gwalior • Haldia • Hubli • Hyderabad • Indore • Jabalpur • Jaipur • Jalandhar • Jam Nagar • Jammu • Jamshedpur • Jodhpur • Kakinada • Kanpur • Kolhapur • Kolkata • Kota • Kozhikode • Lucknow • Ludhiana • Madurai • Mandya • Mangalore • Mumbai • Mysore • Nagpur • Nashik • Nellore • New Delhi • Patna • Pondicherry • Pune • Raichur • Raipur • Rajkot • Ranchi • Salem • Shimla • Shimoga • Siliguri • Solapur • Surat • Thirupur • Thiruvananthapuram • Thirissur • Tiruchirappalli • Tirupathi • Tumkur • Udaipur • Udipi • Varanasi • Vijayawada • Visakhapatnam

List of Banks / Branches for SIP Direct Debit Facility

Banks	Branches
Axis Bank Limited, HDFC Bank Ltd., ICICI Bank, IDBI Bank Limited, IndusInd Bank Limited, ING Vysya Bank Ltd. and Kotak Mahindra Bank Limited	All Branches
Bank of Baroda, Bank of India and Punjab National Bank	Select Branches

2. The cities in the list may be modified / updated / changed / removed at any time in future entirely at the discretion of HSBC Mutual Fund without assigning any reason or prior notice. If any city is removed, SIP instructions for investors in such cities via ECS (Debit) route will be discontinued without prior notice.

3. The bank account provided for ECS (Debit) should participate in local MICR clearing.
4. Investor will not hold HSBC Mutual Fund, its registrars and other service providers responsible if the transaction is delayed or not effected or the investor bank account is debited in advance or after the specific SIP date due to various clearing cycles of ECS / Direct Debt Facility.
5. HSBC Asset Management (India) Pvt. Ltd., registrars CAMS and other service providers shall not be responsible and liable for any damages / compensation for any loss, damage etc. incurred by the investor. The investor assumes the entire risk of using this facility and takes full responsibility.
6. You can choose to discontinue this facility by giving 25 Business Days written notice to our Registrar CAMS.
7. HSBC AMC and its service providers reserve the right to disclose the details of the Investors and their transactions using the SIP Auto Debit to third parties for the purposes of verification and execution of the Auto Debit Facility as also for the purpose of law enforcement, fraud prevention, audit and inspection requirement etc.
8. The Investor undertakes and agrees that the SIP Auto Debit Facility requested for via this Form is subject to acceptance of the terms and conditions mentioned in the Combined SID, SAI.
9. The SIP enrollment will be discontinued in cases where two consecutive SIP installments are not honored or the Bank Account [for ECS (Debit clearing)/ Direct Debit / Standing Instruction] is closed and request for change in bank account [for ECS (Debit clearing) / Direct Debit / Standing Instruction] is not submitted at least 30 days before the next SIP Auto Debit date.

### CALL US AT

**HSBC MUTUAL FUND INVESTOR SERVICE CENTRES:** Ahmedabad : Tel : 98983 77319 • Bengaluru : Tel : 080 4118 6519 • Chennai : Tel : 044 4200 8719 • Coimbatore : Tel : 98944 77319 • Hyderabad : Tel : 040 6667 4719 • Indore : Tel : 98934 77319 • Kochi : Tel : 98954 77319 • Kolkata : Tel : 033 2213 9919 • Lucknow : Tel : 99367 97319 • Mumbai : Tel : 022 6666 8819 • New Delhi : Tel : 011 4149 0719 • Pune : Tel : 020 2600 1119 • Vadodara : Tel : 98983 77319

**CAMS CENTRES:** Tel.: 1-800-200-2267

▶ Contact us at [hsbcmf@hsbc.co.in](mailto:hsbcmf@hsbc.co.in) ▶

▶ Visit us at [www.assetmanagement.hsbc.com/in](http://www.assetmanagement.hsbc.com/in) ▶