DSP MUTUAL FUND

Website : www.dspim.com
E-mail : service@dspim.com
Contact Centre:
1800-208-4499 / 1800-200-4499

ACKNOWLEDGEMENT SLIP

Acknowledgement is subject to verification. Request may not be processed in case of incomplete / ambiguous / improper / incorrect details in Transaction Form.

Investor Name

Folio Number/s

- ☐ Contact Details
- ☐ PAN and KYC Updation
- ☐ Change in Mode of Holding
- ☐ Consolidation of Folios
- ☐ PoA Registration
- ☐ IDCW - Cancellation
- ☐ Nomination Details
- ☐ Change of Tax Status

ISC Stamp & Signature

NON-FINANCIAL TRANSACTIONS

DSP MUTUAL FUND

COMMON TRANSACTION FORM

(For Existing Investors only)

NON-FINANCIAL

Please fill only in the space provided. Any additional details/notings/instructions or those provided at a non designated area of the form may not be executed. Kindly strike off the unused Sections of the Form to avoid misuse.

Distributor/RIA Name and ARN/Code	Sub Broker Code	Sub Broker/Branch/ RM Internal Code	Employee Unique ID. No. (EUIN) (Refer note below)

Existing Folio Number/s

/ / /
/ / /

Name of Sole / First Unitholder (Leave space between first / middle / last name) ☐ Mr. ☐ Ms. ☐ M/s. ☐ Others_____

CONTACT DETAILS (Refer Instructions overleaf)

E-Mail (IN CAPITAL)

Mobile

Mobile Number belong to family due to investor being,

☐ Self ☐ Spouse ☐ Dependent Child ☐ Dependent Parent ☐ Dependent Sibling
☐ Guardian In case of Minor ☐ Custodian ☐ POA

Email ID belong to family due to investor being,

☐ Self ☐ Spouse ☐ Dependent Child ☐ Dependent Parent ☐ Dependent Sibling
☐ Guardian In case of Minor ☐ Custodian ☐ POA

Tel. (Off.) STD Code

Tel. (Resi.) STD Code

Also attach
- ☐ Self-attested PAN
- ☐ Other identity proof for PEKRAN folios

PAN AND KYC UPDATION

Sole/ First Applicant/ Guardian

Second Applicant/ Guardian

Third Applicant/ Guardian

Please attach self-attested copy of PAN card

KYC LETTER

☐ Attached

☐ Attached

☐ Attached

CHANGE IN MODE OF HOLDING
(All Joint Holders should sign, even in case of "Any one or Survivor")

New Mode of Holding (please tick✓) ☐ Anyone or Survivor ☐ Joint Holding

CONSOLIDATION OF FOLIOS

Folios to be consolidated (Mention all source folios i.e. the folios to be consolidated, here)

1.	4.
2.	5.
3.	6.

Target Folio No. for consolidation: /

PoA (Power of Attorney) REGISTRATION DETAILS (Refer Instructions overleaf)

Name of the PoA holder

PAN of the PoA holder

Attached ☐ KYC Letter (Mandatory)
☐ Notarized copy of PoA

CANCELLATION FORM FOR INCOME DISTRIBUTION CUM WITHDRAWAL PLAN (IDCW) (Please allow 7 days for IDCW Cancellation)

Source Scheme / Plan / Option (From where IDCW is transferred)

DSP -

New IDCW Sub option ☐ IDCW Payout ☐ IDCW Reinvestment (default)

DECLARATION & SIGNATURES

Having read and understood the contents of the Scheme Information Document and Statement of Additional Information, Key Information Memorandum and Instructions. I / We, hereby apply to the Trustee of DSP Mutual Fund for Units of the relevant Scheme and agree to abide by the terms and conditions, rules and regulations of the Scheme. I / We hereby nominate the above nominee to receive all the amounts to my/our credits in the event of my/our death and have read the instructions for nomination. Signature of the nominee acknowledging receipts of my/our credit will constitute full discharge of liabilities of DSP Mutual Fund. I / We declare that the amount invested in the Scheme is through legitimate sources only and is not designed for the purpose of contravention or evasion of any Act, Regulation, Rule, Notification, Directions or any other applicable laws enacted by the Government of India or any Statutory Authority.

Sole / First Holder	Second Holder	Third Holder

(To be signed as per Mode of Holding)

V1 01/JAN/2024

DSP MUTUAL FUND

COMMON TRANSACTION FORM

(For Existing Investors only)

NON-FINANCIAL

Folio Number/s / / / / / /

Name of Sole / First Unitholder (Leave space between first / middle / last name) ☐ Mr. ☐ Ms. ☐ M/s. ☐ Others_____

NOMINATION (PREFERABLE) OR OPT OUT (AVOIDABLE) Nominee Details or Opt-Out Declaration (by way of tick) is mandatory to process the application.

Nomination OPT-IN *Mandatory

1	**Nominee Name* & Nominee PAN** **Relationship with Applicant*:** **If Nominee is a Minor:** Guardian Name* & Guardian PAN: Date of Birth of Minor*: Guardian Relation*:	**Allocation***	**Nominee Signature**
2	**Nominee Name* & Nominee PAN** **Relationship with Applicant*:** **If Nominee is a Minor:** Guardian Name* & Guardian PAN: Date of Birth of Minor*: Guardian Relation*:	**Allocation***	**Nominee Signature**
3	**Nominee Name* & Nominee PAN** **Relationship with Applicant*:** **If Nominee is a Minor:** Guardian Name* & Guardian PAN: Date of Birth of Minor*: Guardian Relation*: **If Nominee is a Minor:** Guardian Name & PAN:* Date of Birth of Minor:	**Allocation**	**Nominee Signature**
	Total	100%	

*In case of each Minor as Nominee, please mention Guardian's relationship with Minor as Mother/Father/ Legal Guardian. Kindly attach proof like Birth Certificate/School Leaving Certificate/Passport/Others.

☐ **OPT-OUT declaration:** I / We hereby confirm that I / We do not wish to appoint any nominee(s) for my mutual fund units held in my / our mutual fund folio and understand the issues involved in non appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents issued by Court or other such competent authority, based on the value of assets held in the mutual fund folio.

CHANGE OF TAX STATUS

Select any one ☑

	Existing Status	New Status	Bank Account Type - New
1	☐ Resident Individual	☐ NRI - NRO	☐ NRO
2	☐ NRI - NRO	☐ Resident	☐ Savings
3	☐ NRI - NRE	☐ NRI - NRO ☐ Resident	☐ NRO ☐ Savings

NEW BANK DETAILS:

New Bank Account No	
Bank Name	
IFSC	
Branch City	

☐ Original Cancelled Cheque of new bank account (with name & account number pre-printed). If photocopy is provided, please produce originals for verification.

Note:- Status cannot be changed to NRE if investment is done through a SB/NRO account.

FATCA DETAILS: (Mandatory)

Place & Country of Birth	PLACE	COUNTRY

Nationality ☐ Indian ☐ U.S. ☐ Other

#Please indicate all Countries, other than India, in which you are a resident for tax purpose, associated Taxpayer Identification Number and it's Identification type eg. TIN etc.

*If TIN is not available or mentioned, please mention reason as: 'A' if the country does not issue TINs to its residents; 'B' & mention why you are unable to obtain a TIN; 'C' if the authorities of the country of tax residence entered above do not require the TIN to be disclosed.

Country#	Tax Identification Number	Identification Type/Reason*

DECLARATION & SIGNATURES

Having read and understood the contents of the Scheme Information Document and Statement of Additional Information, Key Information Memorandum and Instructions. I / We, hereby apply to the Trustee of DSP Mutual Fund for Units of the relevant Scheme and agree to abide by the terms and conditions, rules and regulations of the Scheme. I / We hereby nominate the above nominee to receive all the amounts to my/ our credits in the event of my/our death and have read the instructions for nomination. Signature of the nominee acknowledging receipts of my/our credit will constitute full discharge of liabilities of DSP Mutual Fund. I / We declare that the amount invested in the Scheme is through legitimate sources only and is not designed for the purpose of contravention or evasion of any Act, Regulation, Rule, Notification, Directions or any other applicable laws enacted by the Government of India or any Statutory Authority.

Sole / First Holder	Second Holder	Third Holder

(To be signed as per Mode of Holding. However for nomination, all Joint Holders should sign.)

INSTRUCTIONS

■ **CONTACT DETAILS AND CORRESPONDENCE ADDRESS:** a. Applicants should provide contact information such as email id, mobile number/s and correspondence address. However, the fund reserves the right to update communication postal address from KYC records registered with the SEBI designated KYC Registration Authority (KRA). Investors should also ensure that, the email id, mobile number provided in the application form is their own. Investors will clearly mention if the email id belongs to any of the immediate family member. The contact details should be same as the ones provided in the KRA. Where the email id, mobile number are not provided or where provided but the same is found to be invalid, or seems to be not pertaining to the investor or any of the immediate family member or is of a distributor or any other agency, then AMC/RTA reserves the right to remove the email id, mobile number without any notice and the email id, mobile number as per KRA records may be updated in the folio. Investors wanting to change their email id, mobile number & address must approach the KRA.

b. It is mandatory for NRI investors to provide their overseas address in the application form as well as in the KYC records. NRI investors should mandatorily provide the overseas address in Section 2 of the application form. Application without overseas address is liable to be rejected even after allotment and subscription amount refunded in 5 days' time from the date of rejection.

■ **KYC COMPLIANCE:** Investors shall note that KYC is mandatory and they need to comply with the 'Know Your Client' requirements, by submitting requisite documents to CDSL Ventures Limited. For more information on KYC, please log on to www.dspim.com/www.cvlindia.com/www.amfiindia.com before investing. Applications are liable to be rejected without any intimation to the applicants, if KYC compliance, as required is not complied with by all the unit holders.

■ **CHANGE IN MODE OF HOLDING:** Joint Applicants who wish to change their mode of holding from "Anyone or Survivor" to "Joint Holding" or vice versa should use this section and hereby agree that after the updation of new mode of holding/operation, any request based on previous holding/operation will not be honoured by the fund. **Further, all unit holders need to sign the request irrespective of the Mode of holding.**

■ **CONSOLIDATION OF FOLIOS:** Consolidation of various folios can take place only if a. Names of unit holders, b. Order of unit holders and c. Tax status is identical in all the mentioned folios. By requesting for consolidation of folios, the unit holder/s agree that the mode of holding, bank mandate, address and nomination details in the Target Folio will be applicable and will prevail after consolidation even if they were different details in source folios.

■ **POA REGISTRATION:** Only a general Power of Attorney agreement without any restrictions and perennial validity is accepted. The PoA must be executed on stamp paper and registered in India and a duly notarized copy should be enclosed. The PoA must have signatures of the investor as well the PoA holder. If the signature of PoA holder is not available, the fund may call for additional documents or declarations on a case to case basis. PoA will be registered within 10 working days of receipt of all valid documents.

■ **NOMINATION DETAILS:** a. The unit holder/s may nominate upto three nominees, in whom the units held by unit holder/s shall vest in the event of death of all unitholder/s. b. Nomination can be made only by individuals applying for / holding Units on their own behalf singly or jointly. Non-individuals (including societies, trusts, bodies corporate, partnership firms, etc.), Kartas of Hindu Undivided Families (HUF) and holders of Power of Attorney cannot nominate. Nomination facility is also not available for investments held on behalf of minor. c. A minor can be nominated, and in that event, the name and address of the guardian minor nominee shall be provided by the Unit Holder. Nomination can also be in favour of the Central Government, State Government, a local authority; any person designated by virtue of his/her office, or a religious or charitable trust. d. The nominee shall not be a trust (other than a religious or charitable trust), society, body corporate, partnership firm, Karta of HUF, or a Power of Attorney holder. An NRI can be a nominee, subject to the exchange controls in force from time to time. Where the nomination is in favour of a religious or charitable trust, the investor should attach a certificate confirming that the nominee is a religious or charitable trust. e. Nomination with the Fund can be made only by investors who opt for allotment in non demat form. In case of Units held in demat form, the nomination details as recorded for the depository account will be applicable investors who hold units in demat form may approach their DP for availing the nomination facility. f. Nomination in respect of the units stands rescinded upon the transfer of units. g. Transfer of Units in favour of a nominee(s) shall be valid discharge by the AMC against the legal heir. h. On cancellation of the nomination, the nomination shall stand rescinded, and the AMC shall not be under any obligation to transfer the Units in favour of the nominee(s). i. Nomination can be made in favour of more than one, and upto three individuals. Investors who desire to make nomination in respect of multiple nominees should clearly specify the percentages to be allocated between the nominees. If no percentages are mentioned, nomination will be done equally for all the nominees. j. Nomination will be maintained at the folio or account level and will be applicable for all investments in the folio or account. k. Where a folio has joint holders, all joint holders should sign the request for nomination, even if the mode of holding is not 'joint'. l. A new nomination request will imply simultaneous cancellation of existing nomination and request for fresh nomination. m. Applicants who do not wish to nominate, must at the designate space confirming their intention on not to nominate, failing which the form may be rejected at the discretion of the AMC/Fund.