

1. DISTRIBUTOR DETAILS FOR FOLIO OPENING

ARN Code ARN

Name of Distributor PAN KYC

Existing Folio Number (with Distributor as Sole/First holder) OR Create NEW Folio

Address, Bank details, Tax status and Nomination details will be updated based on existing empanelment records. Should you wish to have different details in the folio, please submit a change of Bank/Nomination request after folio opening.

2. BROKERAGE INVESTMENT DETAILS

Scheme: DSP Ultra Short Fund* _____ PLAN _____ OPTION _____

OR DSP _____ SCHEME _____ PLAN _____ OPTION _____

Amount: 100%* 75% 50% 25% 20% 10% 5% *Default

Distributor / RIA / PMRN Name and ARN / Code	Sub Broker ARN & Name	Sub Broker/Branch/RM Internal Code	EUIN (Refer note below)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

If EUIN is left blank/not mentioned; I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this is an "execution-only" transaction without any interaction or advice by the employee/relationship manager/sales person of the above distributor or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor and the distributor has not charged any advisory fees on this transaction.

3. CONTACT DETAILS FOR FOLIO AND EMPANELMENT DATA

Email ID (in capital)

Mobile +91 Tel (STD Code)

4. KYC DETAILS (Mandatory)

4a. Status of Sole/1st Applicant (Please tick ✓) Indian Resident Individual PIO Sole Proprietorship HUF - Indian Partnership Firm Limited Partnership (LLP) Public Ltd. Co. Private Ltd. Co. Body Corporate Others _____ (Please specify)

Are you a Non-Profit Organization [NPO] or Company u/s 25 (Companies Act 1956) or u/s 8 of Companies, Act, 2013: Yes No

4b. Occupation Details (Please tick ✓) Private Sector Service Government Service Business Professional Agriculturist Retired Housewife Student Forex Dealer Others _____ (Please specify)

4c. Gross Annual Income (Please tick ✓) Below 1 Lac 1-5 Lacs 5-10 Lacs 10-25 Lacs >25 Lacs-1 crore >1 crore

Net-worth in (Mandatory for Non-Individuals) ₹ _____ as on / / / / (Not older than 1 year)

4d. For Individuals (Please tick ✓) Not Applicable I am Politically Exposed Person I am Related to Politically Exposed Person

5. FATCA and CRS DETAILS For Individuals (Mandatory) Non Individual investors including HUF should mandatorily fill separate FATCA/CRS details form

Sole/First Applicant/Guardian			Country #	Tax Identification Number	Identification Type/Reason*
Place & Country of Birth	PLACE	COUNTRY	1		
Nationality <input type="checkbox"/> Indian <input type="checkbox"/> U.S. <input type="checkbox"/> Other _____			2		
			3		

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.

6. NOMINATION DETAILS

I/We do hereby nominate the person/s more particularly described hereunder / and cancel the nomination made by me/us earlier in respect of Units held by Me/us.

	Nominee Name	Relationship with applicant	Guardian Name (In case of Minor)	Allocation %	Nominee/Guardian Signature
Nominee 1					
Nominee 2					
Nominee 3					
Address				Total = 100%	

7. DECLARATION & SIGNATURES

Having read and understood the terms and conditions of the facility, the contents of the Scheme Information Document and Statement of Additional Information, Key Information Memorandum, Instructions and addenda issued by DSP Mutual Fund from time to time, I / We, hereby apply to the Trustee of DSP Mutual Fund for Units of the relevant Scheme/Plan/Option and agree to abide by the terms and conditions, rules and regulations. I / We have understood the information requirements of the application form, including FATCA and CRS requirements, terms and conditions (read along with instructions and scheme related documents) and hereby accept the same and further confirm that the information provided by me/us on this form is true, correct, and complete. I/We have understood that the brokerage will be invested in the Scheme within few days of the brokerage being paid out.

Signature

- Quick Checklist ARN Code, Name & Folio no is mentioned FATCA/CRS details provided Non Individual investors should attach Email ID / Mobile number are mentioned Full scheme name, plan, option is mentioned UBO Declaration Form KYC information provided Invest option is mentioned correctly BR/ASL

TERMS AND CONDITIONS

1. Brokerage Investment Plan is a facility wherein a Distributor (ARN Holder) may opt to transfer a fixed percentage of commission payable to them to any of the eligible Scheme(s) of DSP Mutual Fund. The Distributor authorizes DSP Asset Managers Pvt. Ltd (AMC) to transfer the amount of commission based on the agreed percentage of the commission payable (post deduction of applicable taxes, claw back, etc) in the folio designated for the purpose.
2. The Distributor has to be the first/sole holder in the existing or new folio for availing of this facility. The name of the distributor as the first/sole holder in the folio has to be exactly the same as the name of the distributor empanelled with DSP Asset Managers Pvt. Ltd.
3. The transfer amount cannot be less than the minimum subscription amount specified under the scheme. If the total commission amount is less than the minimum subscription under the scheme, then such amount will not be transferred and will be paid to the Distributor.
4. If the Plan and/or Option is not clearly mentioned or is ambiguous, the brokerage will be invested in the Direct Plan and/or Growth Option of the respective scheme.
5. The amount will be transferred only when the commission is actually payable to the distributor and is not kept on hold for any reason whatsoever. For the purpose of determining the amount to be transferred, the amount payable to the distributor as brokerage payout will be considered. This commission amount may be pertaining to the current month or brokerage kept on hold for earlier periods and later released.
6. The commission amount will be transferred and invested into the scheme opted by the distributor within three business days from the date of payment of normal brokerage payout to the distributor. Accordingly the applicable NAV may vary depending on the amount transferred including due to realization based NAV for amount of Rs 2 lacs and above.
7. The commission amount transferred to the Regular Plans under any of the schemes will be treated as Own investment by virtue of the distributor and the first holder being the same person. Accordingly no brokerage commission will be paid on such investments.
8. Investments made in the distributor folio in any of the schemes will be treated at par with any other normal purchases and all applicable rules will apply as is applicable to any normal investors making investment under these schemes.
9. Distributor hereby declares that he is not US Person(s).
10. In the event of any delay caused in transferring the amount of commission, the AMC along with their directors, employees and representatives shall not be liable for any errors, damages or losses arising out of or in connection with the said transaction. The AMC along with their directors, employees and representatives shall not be liable for any errors, damages or losses arising out of or in connection with the transactions undertaken by distributors through this facility.
11. Distributor agrees to apply for the units of the Scheme and agrees to abide by the terms, conditions, rules and regulations of the Scheme and other statutory requirements of SEBI, AMFI, Prevention of Money Laundering Act, 2002 and such other regulations as may be applicable from time to time. Distributor confirms to have understood the investment objectives, investment pattern, and risk factors applicable to Plans/Options under the Scheme. Distributor has not received nor been induced by any rebate or gifts, directly or indirectly, in making this investment.
12. AMC reserves the right to deduct any commission receivable from the distributor on account of recovery, clawback, etc from the investments made in the distributor folio under this facility in case the AMC is not able to recover the amount from the distributor.
13. Distributor will have to give a written request to start or discontinue this facility of transferring their commission at least (seven) business days before the month end. In case of insufficient notice, any commission if payable may be paid out or transferred to the distributor folio as the case may be.
14. Distributor agrees to have read and understood the Scheme Information Document/Key Information Memorandum & Statement of Additional Information(s) of the Scheme and agrees to abide by the terms, conditions, rules and regulations of the Scheme.
15. DSP Mutual Fund / DSP Asset Managers Pvt. Ltd reserves the right to change, modify the terms and conditions or withdraw this facility at a later date.