TRANSFEROR DISTRIBUTOR - Application form for Transfer of AuM

(On the letter head of the distributor)

To,   Date: _____/_____/_____

DSP Mutual Fund

c/o Computer Age Management Services Pvt. Ltd.

	MFD Name	ARN Code	Tax Status#
Transferor ~ **(From my/our):**			
Transferee (To):			
Reason for AuM Transfer #: ☞ *Tick one* ☞ *Provide documentary evidence*	☐ Merger ☐ Acquisition ☐ Consolidation of business ☐ Transfer of business ☐ Dissolution of business / Voluntary cessation ☐ Demerger/ Sub-distributor moving out of Principal ARN holder	☐ Change in partnership firm or LLP ☐ Private limited company converting to Public limited company ☐ Public limited company converting to Private limited company ☐ Transfer of AUM (demise case) to the ARN of Nominee ☐ Other (specify) _____ _____	

~ Mention all offline/online broker codes for which transfer is applicable, # Mandatory

I/ We request you to transfer the Distributor AuM of the unit holders of schemes of DSP Mutual Fund ('DSPMF') under the abovementioned Transferor ARN code and agree to comply with the below mentioned formalities-

✓ Full transfer of assets will be carried out for the above-mentioned reasons except in case of Sub-distributor moving out of Principal ARN holder.

✓ After the transfer, the Transferor Distributor shall cease to operate / function and his ARN code shall be surrendered to AMFI for cancellation within 15 days of AuM transfer. A copy of this cancellation letter to AMFI will be submitted with DSPAM/DSPMF.

✓ Transferor need not surrender his ARN at AMFI if he is becoming a sub-distributor of the Transferee ARN. However, after transferring the assets, the Transferor Distributor shall not do any business independently under his/her ARN.

I / We certify that emails (to email ID registered with DSPMF) or physical letters have been sent to all the unit holders informing about the proposed transfer of AuM and change in Distributor code and that we have the POD details for physical dispatches.

I / We further confirm that the Transferor Distributor and / or Transferee Distributor shall communicate investor objection, if any, received directly by them to DSP Mutual Fund on immediate basis and that the transfer of assets is not being done to circumvent any regulatory and/or AMFI guidelines/ requirements.

☐ **For existing SIP/STPs routed through MFU/ Exchange/ Online platforms, I/We have informed these service providers regarding the AuM transfer.**

I/We have enclosed the following Annexures:

☐ Documentary evidence for aforesaid reason for transfer.

☐ Specimen copy of the intimation email/letter sent to the email ID/address (registered with DSPMF/DSPAM) of the unit holders.

☐ List of Unit holders & folio numbers with registered email ID/address & list emailed to **dsp_taum@camsonline.com**

I / We further confirm that I / We have complied and shall comply with all the applicable guidelines/ circulars issued by AMFI from time to time with regard to change of Distributor code.

MFD Signature(s) _____

(With Company Seal)

To,   Date: _____/_____/_____

DSP Mutual fund
c/o Computer Age Management Services Pvt. Ltd.

Sub.: Request for transfer of AuM from Transferor Distributor

	MFD Name	ARN Code	Tax Status#
Transferor ~ (From):			
Transferee (To My/Our):			

~ Mention all offline/online broker codes for which transfer is applicable, # Mandatory

This is with reference to request for transfer of Distributor AuM of the unit holders of schemes of DSP Mutual Fund ('DSPMF').

I / We confirm the following:

1. that the Transferor Distributor and / or Transferee Distributor shall communicate investor objection, if any, received directly by them to DSP Asset Managers Pvt. Ltd. (DSPAM) / DSP Mutual Fund on immediate basis,

2. that the transfer of assets is not being done to circumvent any regulatory and/or AMFI guidelines / requirements and

3. that I/ We are complying and shall comply with all the applicable guidelines/ circulars issued by AMFI from time to time regarding Transfer of AuM.

4. that Transferor Distributor has informed the MFU/ Exchange/ Online platforms about the AuM transfer w.r.t the SIP/STP transactions routed through them.

I / We further agree to provide such other information and details as may be required by DSPMF/DSPAM and shall comply with terms and conditions specified by DSPMF/DSPAM.

MFD Signature(s) _____
(With Company Seal)