

**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. (EUIIN) (Refer note below)

**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
- DTP - Cancellation
- Nomination Details
- Change of Tax Status

ISC Stamp & Signature

**NON-FINANCIAL  
TRANSACTIONS**

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 \_\_\_\_\_

Tel. (Off.) STD Code \_\_\_\_\_ Also attach  Self-attested PAN  Other identity proof for PEKRAN folios

Tel. (Resi.) STD Code \_\_\_\_\_

**PAN AND KYC UPDATION**

Sole/ First Applicant/ Guardian \_\_\_\_\_

Second Applicant/ Guardian \_\_\_\_\_

Third Applicant/ Guardian \_\_\_\_\_

**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**

(All Joint Holders should sign, even in case of "Any one or Survivor")

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 DIVIDEND TRANSFER PLAN (DTP)**  
(Please allow 7 days for DTP Cancellation)

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

DSP - \_\_\_\_\_

New Dividend Sub option  Dividend Payout  Dividend 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
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(To be signed as per Mode of Holding)

**INSTRUCTIONS**

■ **CONTACT DETAILS:** Applicants should provide contact information such as email id, mobile telephone number/s and correspondence address. However, the fund reserves the right to update communication postal address from KYC records of on SEBI designated KYC Registration Authority (KRA).

Investors should ensure that, the email id, mobile number provided in the application form should be their own or any of the immediate family member and 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 have to approach the KRA.

■ **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](http://www.dspim.com) / [www.cvindia.com](http://www.cvindia.com) / [www.amfindia.com](http://www.amfindia.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:** 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. Nomination facility is also not available for investments held on behalf of minor. If the units are held jointly, all joint holders will have to sign the Nomination Form, even if the mode of holding is "Either or Survivor". A minor can be nominated and in that event, the name and address of the guardian of the 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 office or a religious or charitable trust. 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 in respect of the units stands rescinded upon the transfer of units. The cancellation of the nomination can be made only by those individuals who hold units on their own behalf singly or jointly and who made the original nomination. 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. Investors who desire to make their nomination in favour of more than one and upto three individuals may do so by writing to the AMC/Registrar, specifying clearly the percentage to be allocated between the nominees. If no percentages are mentioned, nomination will be done equally for all the nominees. The rights in the units will vest in the nominee only upon the death of all unitholders. A new nomination request will imply simultaneous cancellation of existing nomination and request for fresh nomination. Applicants who do not wish to nominate, must at the designate space confirm their intention on not to nominate, failing which the form may be rejected at the discretion of the AMC/Fund.

Folio Number/s  /  /  /  /  /

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

**NOMINATION DETAILS**  
(All Joint Holders should sign, even in case of "Any one or Survivor")

I/We wish to nominate  I/We DO NOT wish to nominate  
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.

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

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

**CHANGE OF TAX STATUS** Select any one

	Existing Status	New Status	Bank Account Type - New
1	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> NRI - NRO	<input type="checkbox"/> NRO
2	<input type="checkbox"/> NRI - NRO	<input type="checkbox"/> Resident	<input type="checkbox"/> Savings
3	<input type="checkbox"/> NRI - NRE	<input type="checkbox"/> NRI - NRO <input type="checkbox"/> Resident	<input type="checkbox"/> NRO <input type="checkbox"/> 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 <input type="checkbox"/> Indian <input type="checkbox"/> U.S. <input type="checkbox"/> 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*
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

**DECLARATION & SIGNATURES**

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<input type="text"/>	<input type="text"/>	<input type="text"/>
Sole / First Holder	Second Holder	Third Holder
(To be signed as per Mode of Holding. However for nomination, all Joint Holders should sign.)		