

NFO Application Form

(To be Filled in BLOCK LETTERS only)

HSBC Financial Services Fund

This product is suitable for investors who are seeking*:

➤ To create long term capital grown
➤ Investment predominantly in equity and equity related securities of companies engaged in financial services businesses

Scheme Risk-o-meter

Benchmark Riskometer (as applicable) As per AMFI Tier I Benchmark i.e. Benchmark Index: BSE Financial Services Index TRI



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| Address for Correspondence [‡] [P.O. Box Address is NOT sufficient] | |
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| Date of Birth §‡ (Mandatory*) | Gender |
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| C. Others (please ✓): ☐ Politically Exposed Person (PEP) ☐ Re | * * / / ** |
| | le if Sole / First Applicant is a Minor and Third Applicant cannot be a Minor) |
| Are you a resident of USA/Canada? (✓) Yes ☐ No ^{‡‡} ☐ (^{‡‡} Default if | not ticked.) |
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| Description | Investor related queries | Distributor related queries | Online related queries | Investor (Dialing from abroad) |
|------------------|--------------------------------------|-------------------------------------|---------------------------------|--------------------------------------|
| Toll Free Number | 1800-4190-200/1800-200-2434 | 1800-419-9800 | 1800-4190-200/1800-200-2434 | +91 44 39923900 |
| Email ID | investor.line@mutualfunds.hsbc.co.in | partner.line@mutualfunds.hsbc.co.in | onlinemf@mutualfunds.hsbc.co.in | investor.line@mutualfunds.hsbc.co.in |

| Core Banking A/c No. | | A/c. Type (*) Current Savings | s NRO* NRE* * For NRI In |
|---|--|---|---|
| Bank Name | | Branch | |
| City | | | Pin Code |
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| MICR code | | GS/NEFT/IFSC code | |
| * | cheque leaf with your name and IFSC code pre | * | different or Fund transfer is submitted |
| | URCE OF FUNDS DETAILS (Please w | rite Plan / Option / Sub-option below) | |
| Scheme Name | HSBC Financial Services Fund | | |
| Plan/Option | Plan | Option/Sub-Option | |
| Investment Amount (₹) | | DD Charges, if any | (₹) |
| Total Amount in words | | Amount in words | |
| Payment Mode | Cheque DD RTGS | NEFT One Time Mandate (C | OTM) |
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| RTGS/ NEFT Details | Instrument Date D D / M M / Y | (| |
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| The scheme name mentioned name mentioned on the appl | d 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 |
| If no, my relationship with t | AATION: The details of the bank account provide the bank account holder (attach the Third Party deals) SFER PLAN (STP)\$ (Please write Schell) | claration Form) (Please ✓) ☐ Employee | Custodian AMC Corpo |
| Transfer From : Scheme | , | Transfer To: Scheme HSBC | Scheme Name |
| Plan/Option/Sub-option * | | Plan/Option/Sub-option * | |
| STP Frequency: | Daily Weekly For Monthly (Default Quarterly (10th) | tnightly STP Day: Mond | . = |
| Transfer Options: | Fixed Amount Capital Appreciation (Business Day of the months | (1st Transfer Amount: Amount per in | |
| Installment commencing: | From MMYYYYY To M | | nceled (Default) |
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| | Mandatory for all investors including Unit I | | * |
| | RTIFICATION FOR INDIVIDUAL INVESTO Sole/First Applicant Guardian | Second Applicant | Third Applicant/POA hold |
| FATCA/CKS SELF CE | | - veoa ppiieuit | Place |
| Place and Country of Birth | ** | Place | |
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| Place and Country of Birth Address Type [for KYC address] | Place Country Residential Business Registered Office | _ | |
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| 1 | | | | DP ID I N | | | |
| Beneficiary Account No. | | | | | | | |
| NOMINATION DETAILS | (Mandatory for new | folios of Individual | Unitholders only - w | hether holding Unit | ts Singly or Jointl | y with other | r holde |
| A) I/We wish to Nomin in the event of my/our death and be holding refer point 5 of Nominatio | by cancelling the nominal | tion(s) made by me/us | | | | | |
| Nomination can be made upto | | 1st Nominee | Details of 2r | | Details of | of 3rd Nomin | nee |
| three nominees in the account. | | | Mandator | y Details | | | |
| Name of the Nominee (Mr./Ms.) | | | | | | | |
| Date of Birth of Nominee\$ | | | | | | | |
| Name of the Guardian ^{\$} | | | | | | | |
| Share of each Nominee (%) | | | | | | | |
| | Equally [If not equally,] | please specify percentag | e] Any odd lot after divisio | on shall be transferred t | o the first nominee m | entioned in the | Form. |
| Nominee,s Relationship with Applicant (If any) Guardian's Relationship with Nominee ^{\$} | ı | | | | | | |
| Applicable in case the Nomine | e is a Minor | | <u>'</u> | | | | |
| 11 III case the Holling | | | Non-mandat | ory Details | | | |
| D C CD 1 : 1: | Birth Certificate | Passport | | Passport | Birth Certifica | te | Pass |
| Proof of Relationship | School Leaving C | | School Leaving Co | | School Leavin | | Oth |
| Mobile/Telephone No. of Nominee(s)/Guardian in case of Minor | | | | | | | |
| Email ID of Nominee(s)/ | | | | | | | |
| Guardian in case of Minor | | | | | | | |
| PAN of the Nominee | | | | | | | |
| | | | | | | | |
| Address of | G': | | G'. | | G: | | |
| Nominee(s)/Guardian in | City | | CityState | | CityState | | |
| case of Minor | Country | | Country | | Country | | |
| | PIN | | PIN | | PIN | | |
| | 1111 | | 1114 | | 1114 | | |
| Nominee/Guardian in case of Minor Identification details Please any one and provide details of same] | Photograph & Sign Aadhaar Saving Proof of Identity | nature PAN g Bank Account No. Demat Account ID | | nature PAN Bank Account No. Demat Account ID | Photograph & Aadhaar Sa Proof of Identi | ving Bank A | ccount |
| Signature of Nominee/ Guardian in case of Minor | | | | | | | |
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| nominee(s) in respect of the mutua nominee(s) and am/are further aw issued by the Court or such other of heir(s), based on the value of the u | rare that in case of my de- competent authority, as n units held in the mutual fu | may be required by the und folio/s. | | | | | |
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| nominee(s) in respect of the mutua nominee(s) and am/are further aw sound by the Court or such other (eir(s), based on the value of the u Note: Where Nominee details and Note: Where Note: No | rare that in case of my decompetent authority, as nuits held in the mutual further with the model of the competent authority, as nuits held in the mutual further with the model of the court of the cou | may be required by the und folio/s. are mentioned, Nomina joint holding, signs respect to FATCA/CRS nt(s) to which this form r authorize the Fund to up Fund to share the given in red in writing about any of and and/or by the domestic tion Document, Key Infors s of the relevant Scheme a Mutual Fund, the AMC a Mutual Fund, the AMC a nd to verify my/our bank reasons of incomplete or an my/our bank account. I/ r NRE/NRO/FCNR Acce rect. I/We hereby declare any Act, Rules, Regulation and my/our tax position in the Scheme and I/We hav commissions (in the form ended to me/us. under the laws of Unite vestments in the Scheme | is true and correct to the be elates. In case any of the al date its records from the Fuformation provided by me changes/modification/update tax authorities. I authorize the true of true | dered as "Default". Foliclers are mandatory set of my knowledge and bove specified information to the Fund with other Station to the Fund with other Station to the above inform the Fund/AMC/RTA to the fund of Additional Informations, conditions, rules and it of Additional Informations, conditions, rules and it of our details including in or to disclose to such other would not hold the Funder Non-Residents of Indianated by me/us in the Schews or Notifications issue ould seek tax advice on unued by any rebate or git other mode), payable to lace and a linease of change of the service of | belief. I certify that I on is found to be false in provided by me and SEBI Registered Internation in future and also close or suspend my tion and Addenda of the regulations of the Schewestment details to my reservice providers as did, the AMC, its service in Nationality/Origin a seme(s) is through legited by any governmentathe specific tax implies the different country or indirect thim for the different country. | am the Account or or untrue or n received by the nediaries to factor of the search of | nut Nom Int Holde Int Hol |
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| nominee(s) in respect of the mutua nominee(s) and am/are further aw sound by the Court or such other of neir(s), based on the value of the uniter (s), and consider (s) and c | rare that in case of my decompetent authority, as nuits held in the mutual further in the held in the mutual further in the held in the mutual further in the held in the motivation of the held in th | may be required by the und folio/s. are mentioned, Nomina joint holding, signa respect to FATCA/CRS nt(s) to which this form r authorize the Fund to up Fund to share the given in ad and/or by the domestic tion Document, Key Infors s of the relevant Scheme a Mutual Fund, the AMC a Mutual Fund, the AMC a nd to verify my/our bank reasons of incomplete or n my/our bank account. I/ r NRE/NRO/FONR Accr rect. I/We hereby declare and My our tax position in the Scheme and I/We hav commissions (in the form ended to me/us. under the laws of Unite vestments in the Scheme re warrants. We also cor | is true and correct to the be elates. In case any of the al date its records from the Fuformation provided by me changes/modification/update tax authorities. I authorize the true of true | dered as "Default". Foliclers are mandatory lets of my knowledge and sove specified information to the Fund with other Station to the above inform the Fund/AMC/RTA to the fund of Additional Informations, conditions, rules and informations, conditions, rules and informations, conditions, rules and informations, conditions, rules and informations and informations and informations and informations are set of the fundamental informations and informations are set of the fundamental information and information | belief. I certify that I on is found to be false in provided by me and SEBI Registered Internation in future and also close or suspend my tion and Addenda of the regulations of the Schewestment details to my reservice providers as did, the AMC, its service in Nationality/Origin a seme(s) is through legited by any governmentathe specific tax implies the different country or indirect thim for the different country. | am the Account or or untrue or n received by the nediaries to factor of the search of | nut Nom Int Holde Int Hol |



Annexure - A

Declaration Form of Ultimate Beneficial Ownership [UBO]/Controlling Persons

[MANDATORY for Non-Individual Investors]

| Investor Name as per PAN | | Name as per PAN CARD | |
|---|---|---|---|
| Folio No./Application No. | | | |
| PAN* | | * If PAN is not available, specify Folio | No.(s) |
| CATEGORY | | , | |
| | ompany on a recognized stock exchange in l | India/Subsidiary of a or Controlled by a Lis | ted Company [If this category is select |
| Name of the Stock Exchange wh | here it is listed# | | |
| Security ISIN# | | | |
| | pplicable if the investor is subsidiary/associa | ate): | |
| # Mandatory in case of Listed of | company or subsidiary of the Listed Compa | iny | |
| | nership Firm/LLP Unincorporated associated by a Will. Others [please specify] | • — | itable Trust Private Trust |
| UBO/CONTROLLING PE | RSON(S) DETAILS | | |
| Yes No If 'YES' - We hereby declare th Details of such individual(s) are If 'NO' - declare that no individual | at the following individual person holds directly indirectly holds control or Managing Official (SMO) are provided below. | ectly/indirectly controlling ownership in ou | r entity above the prescribed threshold |
| who holds the position of Selhol | UBO-1/Senior Managing Official (SMO) | | UBO-3 |
| Name of the UBO/SMO# | (SN20) | 2202 | 000-0 |
| UBO/SMO PAN# [For Foreign National, TIN to be provided] | | | |
| % of beneficial interest# >10% controlling interest | >10% controlling interest >15% controlling interest >25% controlling interest NA. (for SMO) | >10% controlling interest >15% controlling interest >25% controlling interest NA. (for SMO) | >10% controlling interest >1 controlling interest >25% control interest NA. (for SMO) |
| UBO/SMO Country of Tax Residency# | | | |
| UBO/SMO Taxpayer Identification Number/ Equivalent ID Number# | | | |
| UBO/SMO Identity Type | | | |
| UBO/SMO Place & Country | Place of Birth | Place of Birth | Place of Birth |
| of Birth# | Country of Birth | Country of Birth | Country of Birth |
| UBO/SMO Nationality | | | |
| UBO/SMO Date of Birth # | D D M M Y Y Y | | |
| UBO/SMO PEP# | Yes – PEP Yes – Related to PEP N – Not a PEP. | Yes – PEP Yes – Related to PEP N – Not a PEP. | Yes – PEP Yes – Related to F N – Not a PEP. |
| UBO/SMO Address [include | Address | Address | Address |
| City, Pincode, State, Country] | City: | City: | City: |
| | State | State | State |
| | Pincode | Pincode | Pincode |
| LIDO/CMO A 11 T | Country | Country | Country |
| UBO/SMO Address Type | Registered Office | Registered Office | Residence Business Regist |
| UBO/SMO Email | | | |
| UBO/SMO Mobile | | | |
| UBO/SMO Gender | Male Female Others | Male Female Others | Male Female Others |
| UBO/SMO Father's Name | | | |
| UBO/SMO Occupation | Public Service Private Service Business Others | Public Service Private Service Business Others | Public Service Private Service Business Others |
| * | | | |
| SMO Designation# | | | |
| * | Yes / No. | Yes / No. | Yes / No. |

Note: If the given columns are not sufficient, required information in the given format can be enclosed as additional sheet(s) duly signed by Authorized Signatory.

DECLARATION

I/We acknowledge and confirm that the information provided above is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false, untrue, misleading, or misrepresenting, I/We am/are aware that I/We may be liable for it including any penalty levied by the statutory/legal/regulatory authority. I/We hereby confirm the above beneficial interest after perusing all applicable shareholding pattern and MF/RTA/other registered intermediaries can make reliance on the same. I/We hereby authorize you [RTA/Fund/AMC/Other participating entities] to disclose, share, rely, remit in any form, mode or manner, all/any of the information provided by me, including all changes, updates to such information as and when provided by me to any of the Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees/RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities/agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax/revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me/us of the same. Further, I/We authorize to share the given information to other SEBI Registered Intermediaries/or any regulated intermediaries registered with SEBI/RBI/IRDA/PFRDA to facilitate single submission/update & for other relevant purposes. I/We also undertake to keep you informed in writing about any changes/modification to the above information in future within 30 days of such changes and undertake to provide any other additional information as may be required at your/Fund's end or by domestic or overseas regulators/tax authorities.

INSTRUCTIONS ON CONTROLLING PERSONS/ULTIMATE BENEFICIAL OWNER

As per PMLA guidelines and relevant SEBI circulars issued from time to time, non-individuals and trusts are required to provide details of controlling persons [CP]/ultimate beneficiary owner [UBO] and submit appropriate proof of identity of such CPs/UBOs. The beneficial owner has been defined in the circular as the natural person or persons, who ultimately own, control or influence a client and/or persons on whose behalf a transaction is being conducted and includes a person who exercises ultimate effective control over a legal person or arrangement.

A. For Investors other than individuals or trusts:

- (i) The identity of the natural person, who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest. Controlling ownership interest means ownership of/entitlement to:
 - more than 10% of shares or capital or profits of the juridical person, where the juridical person is a company.
 - more than 15% of the capital or profits of the juridical person, where the juridical person is a partnership.
 - more than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.
- (ii) In cases where there exists doubt under clause (i) above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity of the natural person exercising control over the juridical person through other means like through voting rights, agreement, arrangements or in any other manner.
- (iii) Where no natural person is identified under clauses (i) or (ii) above, the identity of the

relevant natural person who holds the position of senior managing official.

B. For Investors which is a trust:

The identity of the settler of the trust, the trustee, the protector, the beneficiaries with 10% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

C. Exemption in case of listed companies/foreign investors

The client or the owner of the controlling interest is a company listed on a stock exchange or is a majority-owned subsidiary of such a company, there is no need for identification and verification of the identity of any shareholder or beneficial owner of such companies and hence exempted from UBO declaration provided other requisite information is provided. Intermediaries dealing with foreign investors viz., Foreign Institutional Investors, Sub Accounts and Qualified Foreign Investors, may be guided by the clarifications issued vide SEBI circular CIR/MIRSD/11/2012 dated September 5, 2012 and other circulars issued from time to time, for the purpose of identification of beneficial ownership of the client.

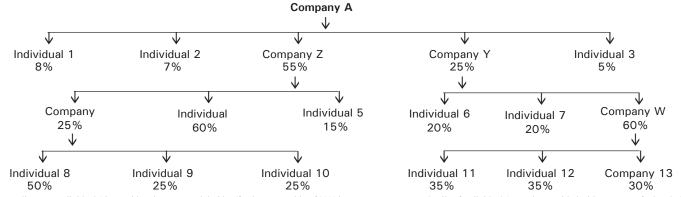
D. KYC requirements

Beneficial Owner(s)/Senior Managing Official (SMO) is/are required to comply with the prescribed KYC process as stipulated by SEBI from time to time with any one of the KRA & submit the same to AMC. KYC acknowledgement proof is to be submitted for all the UBO(s)/SMO(s).

In case of Foreign Nationals, who are not KYC complied, they need to attach the ID proof in English along with the Nationality proof, Address proof again in English. If the documentary proof is in Foreign Language, it should be translated in English and should be attested by Indian Embassy of that country.

SAMPLE ILLUSTRATIONS FOR ASCERTAINING BENEFICIAL OWNERSHIP:

Illustration No. 1 - Company A

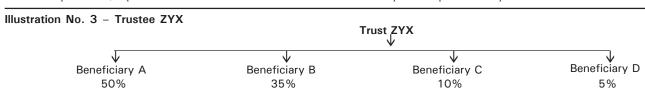


For Applicant A, Individual 4 is considered as UBO as it holds effective ownership of 33% in Company A. Hence details of Individual 4 must be provided with KYC proof, Shareholding pattern of Company A, Z & Y to be provided along with details of persons of Company Y who are senior managing officials and those exercising control.

Illustration No. 2 - Partnership Firm ABC



For Partnership Firm ABC, all partners are considered as UBO as each of them holds >=10% of capital. KYC proof for these partners needs to be submitted including shareholding.



For Trust ZYX, Beneficiaries A, B and D are considered as UBO as they are entitled to get benefitted for >10% of funds used. KYC proof for these beneficiaries needs to be submitted. Additionally, if they have nominated any person or group of persons as Settlor of Trust/Protector of Trust, relevant information to be provided along with the proof indicated.



Declaration Form of Non-Profit Organization (NPO)

(MANDATORY FOR TRUSTS/SOCIETY)

| INVESTOR'S DETAILS | |
|---|---|
| Investor Name as per PAN | Name as per PAN CARD |
| PAN | Mobile No. + 9 1 |
| for religious or charitable purpos trust or a society under the Societ section 8 of the Companies Act, 2 | |
| Enclosed relevant documentary p | roof evidencing the above definition. |
| We further confirm that we have regis | tered with DARPAN Portal of NITI Aayog as NPO and registration details are as follows: |
| Registration Number of DARPAN po | rtal |
| MF/AMC/RTA will be required to re | d confirm with the above information. In absence of receipt of the Darpan portal registration details, gister your entity on the said portal and/or report to the relevant authorities as applicable. ve stated entity/organization is NOT falling under Non-profit organization as defined above or in PMLA |
| of the above specified information is for it for any fines or consequences as intimation to me/us or collect such fine participating entities] to disclose, sha changes, updates to such information a their employees/RTAs ('the Authorize the Financial Intelligence Unit-India (investigation agencies without any oblice Registered Intermediaries or any other to keep you informed in writing about a | ne information provided above is true and correct to the best of my/our knowledge and belief. In case any bound to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/We may be liable required under the respective statutory requirements and authorize you to deduct such fines/charges under s/charges in any other manner as might be applicable. I/We hereby authorize you [RTA/Fund/AMC/Other re, rely, remit in any form, mode or manner, all/any of the information provided by me, including all s and when provided by me to any of the Mutual Fund, its Sponsor, Asset Management Company, trustees, d Parties') or any Indian or foreign governmental or statutory or judicial authorities/agencies including to FIU-IND), the tax/revenue authorities in India or outside India wherever it is legally required and other gation of advising me/us of the same. Further, I/We authorize to share the given information to other SEBI statutory authorities to facilitate single submission / update & for regulatory purposes. I/We also undertake my changes / modification to the above information in future within 30 days of such changes and undertake ation as may be required at your / Fund's end or by domestic or overseas regulators/ tax authorities. |

SIGNATURE WITH RELEVANT SEAL:

| × | × | × |
|----------------------|----------------------|----------------------|
| Authorized Signatory | Authorized Signatory | Authorized Signatory |
| Date/ | Place: | |

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Annexure - B

FATCA and CRS Self Certification for Non-Individuals

[Mandatory for Non-Individual Investors including HUF] Please turn over for Definitions/

| APPLICANT DETAILS | | | | | | | | |
|--|--|---|--|--|---|--|--|---|
| A 1: 4 NI DANT | | | | | | | | |
| Applicant Name as per PAN | 4 1: c: XI | Name as per | PAN CARD | | E II N | | | |
| PAN P. I. | Application No | | | 0.00 | Folio Nos | | | |
| | Residential | | Registered | | \ | | | |
| | ORPORATION and | | INCY DETA | ILS (IVI | • | | | |
| Place of Incorporation: | Country of Inco | rporation: | | | Date of Incor | poration: | | |
| s Entity a tax resident of any country other than India? [If yes, please provide country/ies in which the entity is a res | | d the associated Tax | . ID number bel | ow) | | | | |
| Country of Tax Residency | | uivalent number^ | (ID Hullioel bei | ow) | Identificat | tion Type (TI | N or Other, pleas | se specify) |
| 1 | Thi or eq | urvaient number | | | Identificat | Holl Type (11 | iv or other, pieas | se specify) |
| 2 | | | | | | | | |
| 3 | | | | | | | | |
| 4 | | | | | | | | |
| ^ In case Tax Identification Number is not available, kindly | nrovide its functional eq | uivalent In case TI | N or its function | al equivale | nt is not available | nlease provid | de Company Ident | tification number |
| or Global Entity Identification Number or GIIN, etc. | provide its functional equ | iivaiciit. iii casc 111 | iv of its function | ai cquivaici | it is not available | , picase provid | ic Company Ident | inication number |
| In case the Entity's Country of Incorporation/Tax residence | | | rson | | | | | |
| (as per definition E5), please mention the exemption code is | · · · · · · · · · · · · · · · · · · · | | U.O. /B# 1 | | | | | |
| (Please const | FAICA an ult your professional tax | nd CRS DETA | | | CRS classificati | on) | | |
| PART A (to be filled by Financial Instit | · · | | a guidance on | THE CITE | CIES CIESSIFICALI | 011) | | |
| We are a, (Please ✓ as appropriate) : | GIIN | | | T | | | | |
| Financial Institution (Refer definition A) | Note: If you do not ha | ave a GIIN (Global | Intermediary Id | entification | number) but you | are sponsore | d by another entity | v. please provide |
| or | your sponsor's GIIN a | | | | | 1 | | |
| ☐ Direct reporting NFE (Refer definition B) | Name of sponsorin | g entity: | | | | | | |
| GIIN - Not Available (Please ✓ as appropriate): | Applied for | | | | | | | |
| If the entity is a financial institution, | | apply for - pleas | | its sub-ca | tegory | (refer defin | ition C) | |
| <u> </u> | Not obtained – | Non-participatin | g FI | | | | | |
| PART B (please fill any one as appropri | riate, to be filled by | / NFEs other t | han Direct I | Reporting | NFEs) | | | |
| Is the Entity a publicly traded company? No | Yes [(If yes, pleas | e specify any one | stock exchange | e on which | the stock is reg | ularly traded) |) | |
| (that is, a company whose shares are regularly traded on an established securities market) (Refer definition D1) | Name of stock exch | ange | | | | | | |
| Is the Entity a related entity of a publicly | Yes (If yes, pleas | e specify name of | the listed com | pany and o | ne stock exchan | ge on which | the stock is regu | larly traded) |
| traded company? No | Name of listed com | pany | | | | | | |
| (a company whose shares are regularly traded on an established securities market) (Refer definition D2) | Nature of relation: | Subsidiary of | the Listed Cor | npany O | R Controll | led by a Liste | d Company | |
| , | Name of stock exch | ange | | | | | | |
| Is the Entity an Active NFE? No | Yes Also pro | ovide UBO Form | | | | | | |
| (Refer definition D3) | Nature of Business | | | | | | | |
| | Please specify the s | ub-category of A | ctive NFE | (Mei | ntion code - refe | r D3) | | |
| | | ovide UBO Form | | | | | | |
| Is the Entity a Passive NFE? No | Yes Also pro | | | | | | | |
| Is the Entity a Passive NFE? No (Refer definition E2) | Yes Also pro Nature of Business | | | | | | | |
| • | Nature of Business | | | lditional sl | neets if necessar | y) | | |
| (Refer definition E2) If Passive NFE, please provide the below additional de Sr. Name of UBO Taxpayer Identi | Nature of Business etails for each of the Cor fica- Place of Birth | ntrolling person. (I | Please attach ac | n N | neets if necessar | Father's | Date of Birth | |
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DEFINITIONS/INSTRUCTIONS/GUIDANCE

- A. Financial Institution (FI)- The term FI means any financial institution that is a :
 - 1 **Depository institution:** Accepts deposits in the ordinary course of banking or similar business.
 - 2 Custodial institution: An entity that as a substantial portion of its business, holds financial assets for the account of others and where the entity's gross income attributable to holding financial assets and related financial services equals or exceeds 20 percent of the entity's gross income during the shorter of- (a) The three-year period ending on December 31 of the year preceding the year in which the determination is made; (b) The period during which the entity has been in existence before the determination is made)
 - 3 Investment entity: Conducts a business or operates for or on behalf of a customer for any of the following activities: (a) Trading in money market instruments, foreign exchange, foreign currency, etc. (b) Individual or collective portfolio management. (c) Investing, administering or managing funds, money or financial asset on behalf of other persons. [OR] The gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets, if the entity is managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity described herein. An entity is treated as primarily conducting as a business one or more of the 3 activities described above, or an entity's gross income is primarily attributable to investing, reinvesting, or trading in financial assets of the entity's gross income attributable to the relevant activities equals or exceeds 50 percent of the entity's gross income during the shorter of: (i) The three-year period ending on 31 March of the year preceding the year in which the determination is made; or (ii) The period during which the entity has been in existence.
 - 4 Specified Insurance company: Entity issuing insurance products i.e. life insurance or cash value products.
 - 5 Holding company or treasury company: Is an entity that is a holding company or treasury centre that is a part of an expanded affiliate group that includes a depository, custodial institution, specified insurance company or investment entity.
- B. Direct Reporting NFE: means a Non-financial Entity (NFE) that elects to report information about its direct or indirect substantial U.S. owners to the IRS.
- C. GIIN not required: Categories with codes

| Code | Sub-Category |
|------|---|
| 01 | Governmental Entity, International Organization or Central Bank |
| 02 | Treaty Qualified Retirement Fund; a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; or a Pension Fund of a Governmental Entity, International Organization or Central Bank |
| 03 | Non-public fund of the armed forces, an employees' state insurance fund, a gratuity fund or a provident fund |
| 04 | Entity is an Indian FI solely because it is an investment entity |
| 05 | Qualified credit card issuer |
| 06 | Investment Advisors and Investment Managers |
| 07 | Exempt collective investment vehicle |
| 08 | Trustee of an Indian Trust |
| 09 | I with a local client base |
| 10 | Non-registering local banks |
| 11 | FI with only Low-Value Accounts |
| 12 | Sponsored investment entity and controlled foreign corporation |
| 13 | Sponsored, Closely Held Investment Vehicle |
| 14 | Owner Documented FI |

- D. Non-Financial Entity (NFE): Entity that is not a financial institution (including a territory NFE). Types of NFEs excluded from FATCA reporting are as below:
 - Publicly traded corporation (listed company): A company is publicly traded if its stock are regularly traded on one or more established securities markets.
 - Related entity of a listed company: The NFE is a related entity of an entity of which is regularly traded on an established securities market;
 - 3. Active NFE: (is any one of the following):

| Code | Sub-Category |
|------|--|
| 01 | Less than 50 percent of the NFE's gross income for the preceding financial year or other appropriate reporting period is passive income and less than 50 percent of the assets held by the NFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income; |
| 02 | The NFE is a Governmental Entity, an International Organization, a Central Bank, or an entity wholly owned by one or more of the foregoing; |
| 03 | Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an entity shall not qualify for NFE status if the entity functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes; |
| 04 | The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFE; |
| 05 | The NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution; |
| 06 | The NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution; |
| 07 | Any NFE is a 'non for profit organization which meets all of the following requirements: It is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or |

| Code | Sub-Category |
|------|---|
| | educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organization, business league, chamber of commerce, labor organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare; |
| | It is exempt from income tax in India; |
| | It has no shareholders or members who have a proprietary or beneficial interest in its income or assets; |

The applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of the NFE's jurisdiction of residence or any political subdivision thereof.

| Code | Sub-Category |
|------|---|
| A | An organization exempt from tax under section 501(a) or any individual retiremen plan as defined in section 7701(a)(37 |
| В | The United States or any of its agencies or instrumentalities |
| С | A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities |
| D | A corporation the stock of which is regularly traded on one or more established securities markets, as described in Reg. section 1.1472-1(c)(1)(i) |
| Е | A corporation that is a member of the same expanded affiliated group as corporation described in Reg. section 1.1472-1(e)(1)(i) |
| F | A dealer in securities, commodities, or derivative financial instruments (includin notional principal contracts, futures, forwards, and options) that is registered a such under the laws of the United States or any state |
| G | A real estate investment trust |
| Н | A regulated investment company as defined in section 851 or an entity registered all times during the tax year under the Investment Company Act of 1940 |
| I | A common trust fund as defined in section 584(a |
| J | A bank as defined in section 58 |
| K | A broker |
| L | A trust exempt from tax under section 664 or described in section 4947(a)(1) |
| M | A tax exempt trust under a section 403(b) plan or section 457(g) plan |

E. Other definitions

- 1 Related entity: An entity is a related entity of another entity if either entity controls the other entity or the two entities are under common control. For this purpose, control includes direct or indirect ownership of more than 50% of the vote or value in an entity.
- 2 Passive NFE: The term passive NFE means any NFE that is not (i) an Active NFE (including publicly traded entities or their related entities), or (ii) a withholding foreign partnership or withholding foreign trust pursuant to relevant U.S. Treasury Regulations.(Note: Foreign persons having controlling interest in a passive NFE are liable to be reported for tax information compliance purposes)
- 8 Passive income: The term passive income means the portion of gross income that consists of:
 (a) Dividends, including substitute dividend amounts; (b) Interest; (c) Income equivalent to interest, including substitute interest and amounts received from or with respect to a pool of insurance contracts if the amounts received depend in whole or part upon the performance of the pool; (d) Rents and royalties, other than rents and royalties derived in the active conduct of a trade or business conducted, at least in part, by employees of the NFE; (e) Annuities; (f) The excess of gains over losses from the sale or exchange of property that gives rise to passive income described in this section.; (g) The excess of gains over losses from transactions (including futures, forwards, and similar transactions) in any commodities, but not including: (i) Any commodity hedging transaction, determined by treating the entity as a controlled foreign corporation; or (ii) Active business gains or losses from the sale of commodities, but only if substantially all the foreign entity's commodities are property (h) The excess of foreign currency gains over foreign currency losses; (i) Net income from notional principal contracts; (j) Amounts received under cash value insurance contracts; (k) Amounts earned by an insurance company in connection with its reserves for insurance and annuity contracts
- 4 Controlling persons: Controlling persons are natural persons who exercise control over an entity. In the case of a trust, such term means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust. In the case of a legal arrangement other than trust, such term means persons in equivalent or similar positions. The term "Controlling Persons" shall be interpreted in a manner consistent with the Financial Action Task Force recommendations.
- 5 Specified US Persons Any US Person other than i). A publicly traded corporation; ii). A corporation that is a member of the same expanded affiliate group; iii). A tax exempt organization; iv). an individual retirement plan; v). the United States or an agency or instrumentality of the United States; vi). Any state [including District of Columbia and United States possession] or State Authorities; vii). A bank, viii). A real estate investment trust; ix). A regulated investment company; x). an entity registered with the SEC under the Investment Company Act of 1940; xi). A common trust fund; xii). A tax exempt trust; xiii). A registered dealer; xiv). A registered broker
- 6 Expanded affiliated group: Expanded affiliated group is defined to mean one or more chains of members connected through ownership (50% or more, by vote or value, as the case may be) by a common parent entity if the common parent entity directly owns stock or other equity interests meeting the requirements in at least one of the other members.
- Owner documented FI: An FI meeting the following requirements: (i) The FI is an FI solely because it is an investment entity; (ii) The FI is not owned by or related to any FI that is a depository institution, custodial institution, or specified insurance company; (iii) The FI does not maintain a financial account for any nonparticipating FI; (iv) The FI provides the designated withholding agent with all of the documentation and agrees to notify the withholding agent if there is a change in circumstances; and (v) The designated withholding agent agrees to report to the IRS (or, in the case of a reporting Model 1 FI, to the relevant foreign government or agency thereof) all of the information described in or (as appropriate) with respect to any specified U.S. persons and (2). Notwithstanding the previous sentence, the designated withholding agent is not required to report information with respect to an indirect owner of the FI that holds its interest through a participating FI, a deemed-compliant FI (other than an owner-documented FI), an entity that is a U.S. person, an exempt beneficial owner, or an excepted NFE.



Transaction Form for Existing Investors

This Form is for use by existing Unitholders of HSBC Mutual Fund only. To be Filled in BLOCK LETTERS only

| this form is for use by existing Unithor | ders of fisher Mutua | ii runu omy. 10 de rineu in block let i eks om |
|---|-------------------------|--|
| This product is suitable for investors who are seeking*: | Scheme Risk-o- meter | Benchmark Riskometer (as applicable) |
| ➤ To create long term capital growth ➤ Investment predominantly in equity and equity related securities of companies engaged in financial services businesses | | As per AMFI Tier I Benchmark i.e. Benchmark Index BSE Financial Services Index TRI The risk of the benchmark is |

HSBC Financial Services Fund

(An open-ended equity scheme investing in financial services sector)

New Fund Offer Period: February 6, 2025 to February 20, 2025

* Investors should consult their financial advisers if in doubt about whether the product is suitable for them

| Broker Name & AF | RN code/RIA code | Sub-broker ARN code | Sub code | Branch Code | EUIN |
|---|--|--|--|---|--|
| | | | | | |
| d. I/We hereby confirm | that the EUIN box has been i | e authorise you to share with the SEBI F intentionally left blank by me/us as the ding the advice of in-appropriateness, | is transaction is executed withou | nt any interaction or advice by the en | nployee/relationship manager/s |
| Sole/1st 1st Unitho | older/Authorised Signatory | y 2nd Unitholder | /Authorised Signatory | 3rd Unitholder/ | Authorised Signatory |
| INVESTOR DE | TAILS (DETAILS OF S | SOLE/FIRST UNIT HOLDER) | | | |
| Unit Holder Name | First Name | Middle Name | Last Name | Folio No. | |
| Date of Birth | $\begin{array}{ c c c c c c c c c c c c c c c c c c c$ | Y Y | PAN (Mandatory) | | |
| Mobile No. | | | KYC Identification No. (KI | N) | |
| Mobile belongs to | Self Spouse C | Guardian (in case of Minor) Depo | endant Children 🔲 Dependan | t Parents Dependant Siblings | POA Custodian P |
| Legal Entity Identific | er (LEI) Number | | | | |
| ADDITIONAL F | PURCHASE DETAIL | S | | | (Refer instruction |
| Scheme Name | HSBC Financial Servi | ices Fund Plan | Option/Sub-Option | Payment Mode: Cheque | |
| Gross Amount (₹) | Amount in Figu | DD Charges, if an | v (₹) | Cheque/DD/UMRN/RTGS | Electronic Transfer /NEFT |
| () | Bank A/c. No. | | | No.: | |
| A/c. Type | Current Savings | NRO NRE FC | NR Others | Instrument Date | M M Y Y Y Y |
| Drawn on: Bank & Branch | | | | City | |
| | T DETAILS (Please prov | vide details of your DP if you wi | sh to hold units in Demat F | | |
| Depository Participan | | v | | □ NSDL □ CDSL | |
| Beneficiary Account N | | | | DP ID I N | |
| SWITCH OUT | | | | | (Refer instruction |
| Switch From Scheme | HSBC | Scheme Name | Switch-in To Scheme | HSBC Financial Services | Fund |
| | Plan / Option / Su | | | Plan / Option / Sub-Optio | |
| | | | | | |
| Amount (₹ in figur | · | Units or in Amount and not in both) | OR No. of Units | annlied in ease of no informat | OR All Units |
| | | S (In case of joint holding, signat | | | ion, amorganty of discrepan |
| date. I/We hereby appabove mentioned docubank(s)/HSBC Mutua deemed necessary for or not effected at all for the AMC, about any cl Nationality/Origin and I/We confirm that the cor designed for the pur I/We acknowledge that | ply to the Trustees of HSBC uments of HSBC Mutual Fun al Fund's Bank(s) and/or Dist conduct of business. I/We ex or reasons of incomplete or in hanges in my/our bank accoud d that the funds are remitted details provided by me/us are rpose of contravention of any at the AMC has not considere have understood the details of have understood the details of the AMC has not considered have understood the details of the AMC has not considered have understood the details of the AMC has not considered have understood the details of the AMC has not considered have understood the details of the AMC has not considered have understood the details of the AMC has not considered have understood the details of the AMC has not considered have understood the details of the AMC has not considered have understood the details of the the AMC has not considered have understood the details of the the AMC has not considered have understood the details of the the AMC has not considered have understood the details of the the AMC has not considered have understood the details of the the AMC has not considered have understood the details of the the AMC has not considered have understood the details of the the AMC has not considered have understood the details of the the AMC has not considered have the the the the the the the the the th | cheme Information Document, Key In Mutual Fund for units of the releval du. I/We hereby authorise HSBC Mut tributor / Broker / Investment Advisor apress my/our willingness to make pancorrect information, I/We would no unt. I/We have read and agreed to the from abroad through approved banking true and correct. I/We hereby declare / Act, Rules, Regulations or any other d my/our tax position in particular are of the Scheme and I/We have not recuss all the commissions (in the form of being recommended to me/us. | nt Scheme and agree to abide bual Fund, the AMC and its Age and to verify my/our bank detaryments referred above through thold the Fund, the AMC, its sterms and conditions for ECS/ng channels or from my/our NI to that the amount being invested applicable laws or Notification id that I/we should seek tax advived nor been induced by any | by the terms, conditions, rules and ents to disclose my/our details includis provided by me/us, or to disclose participation in ECS/Direct Debit Fervice providers or representatives Direct Debit. I/We confirm that I a RE/NRO/FCNR Account (Applica I by me/us in the Scheme(s) is through is issued by any governmental or statice on the specific tax implications rebate or gifts, directly or indirectly | regulations of the Scheme and uding investment details to my/e to such other service provider 'acility. If the transaction is dela responsible. I/We will also infm/we are Non-Residents of Incible to NRI). the legitimate sources and is not high the properties of the details of |
| confirm that the ARN Mutual Funds from an | mongst which the Scheme is less than the Scheme is les | ick or Blue ink only) | | | |
| confirm that the ARN Mutual Funds from an | Signature should be in Bla | ack or Blue ink only) | v | ~ | 1 8 |
| confirm that the ARN Mutual Funds from an | Signature should be in Bla | · | X | X | |
| confirm that the ARN Mutual Funds from an SIGNATURE(S) (| Signature should be in Bla | irst Unitholder/Guardian/PoA | X Second Unithold | | Third Unitholder/PoA |
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| confirm that the ARN Mutual Funds from an SIGNATURE(S) (IDate Date HSBC Mutual Funds from an Article Park Park Park Park Park Park Park Park | Signature should be in Bla Sole/Fi | irst Unitholder/Guardian/PoA | Second Unithold | ler/PoA T | Fhird Unitholder/PoA |
| confirm that the ARN Mutual Funds from an SIGNATURE(S) (IDate Date HSBC Mutual Funds from an IDATE DATE DATE DATE DATE DATE DATE DATE | Signature should be in Bla Sole/Fi und nount (Rs.) | irst Unitholder/Guardian/PoA | Second Unithold | ler/PoA T | Fhird Unitholder/PoA |

INSTRUCTIONS

1. General Information

(i) The Application Form should be completed in ENGLISH in BLOCK LETTERS only. Please Tick (✓) in the appropriate box (□), where boxes have been provided. (ii) Please do not overwrite. No changes / corrections should be carried out on the cheques. For any change in the payee's details, amount in figures or amount in words, etc, fresh cheque would be required. Cheque with alterations / corrections will not be honoured effective 1st July, 2010. (iii) Investors should refer to the Scheme Information Document, Statement of Additional Information, Addenda and KIM of the respective Scheme(s) carefully before filling the Application Form.

2. Applicant's Information

(i) It is mandatory to provide the folio number. (ii) The Folio number/PAN and Name of the Applicant should be written by the Applicants on the reverse of the cheques and bank drafts accompanying the Application Form. (iii) W.e.f. January 1, 2008, PAN number is Mandatory for all investors (including Joint Holders, POA holder, Guardian in case of Minor and NRIs). W.e.f. January 1, 2011, all the applicants need to be KYC Compliant irrespective of the amount invested (including switch). W.e.f January 1, 2012, applicants who are not KYC compliant are required to complete the uniform KYC process. W.e.f. February 1, 2017, New individual investors who have never done KYC under KRA (KYC Registration Agency) regime and whose KYC is not registered or verified in the KRA system will be required to fill the new CKYC form while investing with the Fund. (iv) Transactions subject to rejection if minor has turned major and relevant documents for change in status not submitted. Refer SID/SAI for instructions related to folios held in the name of Minor. (v) Existing unit holders are requested to review the Bank Account registered in the folio and ensure that the registered Bank Mandate is in favour of minor or joint with registered guardian in folio. If the registered Bank Account is not in favour of minor or not joint with registered guardian, unit holders will be required to submit the change of bank mandate, where minor is also a bank account holder (either single or joint with registered guardian), before initiation of any redemption transaction in the folio, else the transaction is liable to get rejected.

3. Investment and Payment Details

(i) The application amounts can be tendered by cheque / demand drafts payable locally at any of the ISCs and designated collection centres. Application Forms accompanied with outstation cheques / stockinvests / postal orders / money orders / cash will not be accepted. (ii) Cheques / demand draft for Additional Purchases must be drawn in the name of the Scheme e.g. "HSBC Financial Services Fund" and crossed "Account Payee only". A separate cheque must accompany each Application. Please note that amount in words and figures on the cheque should not be in local languages. (iii) Bank charges for outstation demand drafts will be borne by the AMC and units will be allotted inclusive of the DD charges incurred. The above will be limited to the bank charges as per table below.

| Amount | DD Charges |
|--------------------|--|
| Upto Rs. 10,000/- | At actuals, subject to a maximum of Rs. 65/- |
| Above Rs. 10,000/- | At Rs. 3.50/- per Rs. 1,000/ Minimum Rs. 65/- and Maximum Rs. 12,500/- |

However, such Demand Draft charges would be borne by the AMC only when the investor is not residing in any of the locations where the AMC or CAMS have official points of acceptance and the Demand draft has not been issued at the AMC/CAMS point of acceptance. Such demand drafts should be payable at the AMC/CAMS location where the investment application is submitted. The AMC will not entertain any request for refund of demand draft charges. (iv) If no indication is given for the investment the default Option will be as follows:

| default Option will be as follows: | |
|---|---|
| Indication not made/incorrectly made | Default |
| Scheme Name | As indicated on the Application Form / Transaction Slip |
| Direct plan ticked (irrespective whether broker code written on the application or not) | Units will be allotted under "Direct Plan" |
| Distributor code is Incorrect or left blank or "Direct" | Units will be allotted under "Direct Plan" |
| Growth/IDCW Option / Sub-options | Growth Option / Sub-option |
| Payout / Reinvestment of IDCW | Reinvestment of IDCW |
| Mode of holding (in cases where there are more than one applicant) | Joint |
| Status of First Applicant (Individual, HUF, Company etc.) | Others# |
| Demat Account Details* | Units will be held in physical mode |

* For Investors, who wish to opt for Demat mode, the applicants under the Scheme (including a transferee) will be required to have a beneficiary account with a DP of NSDL/CDSL and will be required to indicate in the application the DP's name, DP ID Number and its beneficiary account number with DP. In the absence of the information (including incomplete information/incorrect) in respect of DP ID/BO ID, the application will be processed with statement option as 'physical' only. # Tax rates (including the tax on dividend distribution) wherever applied on 'others' by HSBC Mutual Fund shall be the same as applicable to a Resident Indian Company

(v) In cases of wrong/invalid/incomplete ARN codes mentioned on the application form, the application shall be processed under Regular Plan. The AMC shall contact and obtain the correct ARN code within 30 calendar days of the receipt of the application form from the investor/distributor. In case, the correct code is not received within 30 calendar days,

the AMC shall reprocess the transaction under Direct Plan from the date of application without any exit load.

With regard to Broker Code, default Plan as per the following table will apply to investors

| Plan mentioned by the investor | Default Plan to be captured |
|--------------------------------|---|
| Not mentioned | Direct Plan |
| Direct | Direct Plan |
| Regular | Direct Plan |
| Direct | Direct Plan |
| Not Mentioned | Direct Plan |
| Regular | Direct Plan |
| Regular | Regular Plan |
| Not Mentioned | Regular Plan |
| | the investor Not mentioned Direct Regular Direct Not Mentioned Regular Regular |

PAYMENT MECHANISM

All cheques and bank drafts must be drawn in the name of the Scheme and crossed "Account Payee only". A separate cheque or bank draft must accompany each Application.

Subscription through RTGS/NEFT: Subscription through RTGS/NEFT can be done ONLY into the account maintained with HSBC Bank Ltd as per the details provided below:

| Bank | HSBC Bank Ltd |
|--------------------------|---------------------------------|
| Branch | 52/60, M. G. Road, Fort, Mumbai |
| Account Type | Current Account |
| RTGS IFSC Code | HSBC0400002 |
| NEFT IFSC Code | HSBC0400002 |
| Beneficiary Account Name | HSBC Financial Services Fund |
| Account Number | 002-170215-903 |

Payment for investment by means of Cheque, Demand Draft or any other mode shall be accepted from the bank account of the minor or from a joint account of the minor with the guardian only, else the transaction is liable to get rejected.

4. Instructions for Switch Out

(i) Investors can switch-out amount/units, subject to meeting the minimum amount criterion of the switch-in schemes. (ii) Switch Out from an existing scheme to the NFO scheme during the NFO period on business days during business hours will be processed at the NAV applicable on the date of acceptance of switch request. (iii) Separate Switch-out request is required for Regular Plan and Direct Plan. Switch-out request is required to clearly contain the name of the Plan/option failing which the below mentioned business rule will apply:

a. If the folio has both the Plans/option and Both plans have unit balance under same option then switch-out will be processed in Regular Plan. b. If the folio has both the Plans/option and One plan has NIL balance and other has unit balance under same option, switch-out will be processed from Plan/option which has unit balance c. If the Folio has only one Plan/option then switch-out will be processed from that Plan/option d. Folio has both the Plans and Both plans have unit balance under different options then the switch request will be rejected

5. Transaction Charges

In accordance with as para 10.5. of SEBI Master Circular on Mutual Funds dated June 27, 2024 allows the Fund will deduct Transaction Charges from the investment amount received from the investors investing through a valid ARN Holder i.e. AMFI registered Distributor (provided the Distributor has opted to receive the Transaction Charges for a specific product type). Transaction Charge of Rs.150 (for a first time investor across mutual funds) or Rs. 100 (for investor other than first time mutual fund investor) per purchase/subscription of Rs. 10,000 and above are deductible from the purchase/subscription amount and payable to the Distributor. The balance amount shall be invested.

6. Mode of Holding

Demat/Non-Demat Mode: Investor can hold units in demat/non-demat mode. In case investor did not provide demat account details or details of DP ID/BO ID, provided by the investor, is incorrect or demat account is not activated or not in active status, the units would be allotted in non demat mode.

The investor can dematerialize his/her holdings in non demat mode. Similarly, investor can rematerialize holdings in demat mode. All expenses in connection with conversion from demat to remat mode or remat to demat mode will have to be incurred by the investors. Allotment letters would be sent to investors who are allotted units in demat mode and Statement of Accounts would be sent to investors who are allotted units in non demat mode.

7. Declaration and Signatures

a) Signature should be in black or blue ink only. b) Signatures should be in English or in any Indian language. Thumb impressions and Signatures in languages not specified in the Eight Schedule of the Constitution of India should be attested by a Magistrate or a Notary Public or a Special Executive Magistrate 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 SID, SAI and furnishing necessary information to the satisfaction of the Mutual Fund / AMC.

CALL US AT

Please visit our website www.assetmanagement.hsbc.co.in for an updated list of Official Points of Acceptance of HSBC Mutual Fund. Please visit www.camsonline.com for an updated list of Official Points of Acceptance of our Registrar/Transfer Agent: Computer Age Management System.

TOLL FREE NUMBERS

| Description | Investor related queries | Distributor related queries | Online related queries | Investor (Dialing from abroad) |
|------------------|--------------------------------------|-------------------------------------|---------------------------------|--------------------------------------|
| Toll Free Number | 1800-4190-200/1800-200-2434 | 1800-419-9800 | 1800-4190-200/1800-200-2434 | +91 44 39923900 |
| Email ID | investor.line@mutualfunds.hsbc.co.in | partner.line@mutualfunds.hsbc.co.in | onlinemf@mutualfunds.hsbc.co.in | investor.line@mutualfunds.hsbc.co.in |



Applications Supported by Blocked Amount (ASBA) Application Form

(to be used by investors adopting the ASBA route)

| Signature of the Bank Account Holder(s) 1. Sole/First Applicant/Guardian/POA 2. Second applicant/POA 3. Third Applicant/POA payment must be made through NI FCNR Accounts) | Broker Name & ARN code/RIA code^ | MATION (Only empand Sub-broker ARN code | Sub Code | EUIN | SCSB | SCSB IFSC Code | Syndicate Member Code | SI. No. | Application No.: |
|--|---|--|--|--|--|---|---|--|--|
| RANSACTION CHARGES (Please refer point 6 on page 19 regarding transaction charges applicability) continue that I am a liest time levester across Minutal Funds. Cell On all the declared as insuranced natural for the CPU by all by Elevation of the CPU by all by all by Elevation of the CPU by all by Elevation of the CPU by all by Elevation of the CPU | BC Mutual Fund. We hereby confirm that the I rson of the above distributor. le/Ist Applicant/ | EUIN box has been inten | ationally left blank anding the advice | by me/us as this of in-appropriater pplicant/ | transaction | is executed witho | out any interaction or nployee/relationship | advice by the nanager/sale licant/ | e employee/relationship manager/s s person of the distributor/sub bro |
| I confirm that I am a First time Investor across Mutual Funds C10 will be deducted a transaction charges for per purches of \$1,000 & above) RVESTOR'S DETAILS (Names should be in the same sequence as appearing in your Demat Account. In case of discrepancies, the Application is liable to get reject RVE (Hacutification Number (KIN) Mode Mode | ithorised Signatory | | Author | rised Signatory | | | Authorise | d Signatory | ' |
| ### WESTOR'S DETAILS Names southed be in the same sequence as appearing in your Demat Account. In case of discrepancies, the Application is liable to get reject Name as per PAN (Mandatory)*** Name as per PAN (Mandatory)**** Mr Mr Mr Mr Mr Mr Mr | | , , | | 9 regarding tra | | 0 | • / | etor in Mutue | al Funda |
| Name as per PAN (Mandatory)*** KYC Identification Number (KIN) From the teached (**) PAN (Mandatory) From the teached (**) PAN (Mandatory) From the teached (**) PAN (Pandatory) From the teached (**) | | | | 000 & above) | | | | | |
| Regular Payout of Endown P | INVESTOR'S DETA | ILS (Names should b | e in the same seq | quence as appear | ing in your | Demat Accoun | t. In case of discrep | ancies, the A | application is liable to get rejecte |
| Scheme Name: HSBC Financial Services Fund Plan (*): Regular Direct Option (*): Growth (default) IDCW Sub-option: (in words) (in word | KYC Identification Nu Proof to be enclosed (*) Guardian's (If Sole/Fi Name as per PAN KYC Identification Number (KIN) | mber (KIN) PAN card Copy irst Applicant is a Minor Mr Ms M/s | r) OR Contact I | PA | N (Mandatory | dividual Investor | PAN (Mandatory) [| | to be enclosed (🗸) 🗌 PAN card Co |
| Scheme Name: HSBC Financial Services Fund | | | .3 110 | Delault II II | or ticked. | | | | |
| SCSB ACCOUNT DETAILS (please refer websites of NSE, BSE and SEBI for list of SCSBs) (MANDATOI Bank Name Branch Address Bank A/c No. Bank A/c Rall A/c Bank A/c Rall A/c No. Bank A/c Rall A/c Bank A/c Rall A/c Rall A/c Rall A/c Rall A/c Rall A/c Rall A | Scheme Name : H Option (✓) : | SBC Financial Growth (default) | ☐ IDCW Su | | | Re | | | |
| Bank A/c No. Ba | | | | | | | | | |
| Branch Address Bank A/c No. Bank City Bank A/c No. Bank City Bank A/c No. Bank City Bank | | DETAILS (please refe | er websites of NS | E, BSE and SEB | I for list of | SCSBs) | | | (MANDATOR |
| DEMAT ACCOUNT DETAILS NSDL CDSL DP Name DP ID I N Beneficiary Account No. UNDERTAKING BY ASBA INVESTOR/ACCOUNT HOLDER 1) I/We hereby undertake that I/We am/are an ASBA investor(s) as per the applicable provisions of the SEBI (Issue of Capital and Disclosure Requirements) Regulations, 2009. 2 was authorize (a) the Self Certified Syndicate Bank (SCSB) in all acts as are necessary to make an application for purchase of units in the NFO blocking the amount to the extent mentioned above in the "SCSB details" or unblocking of funds in bank account maintained with the SCSB specified in the ASBA Form, transfer of funds, etc. (b) Registrar to HSBC Mutual Fund to issue instructions to the SCSB to make Registrar fundsistion of the basis of allotment entiting me'us to receive Units on such transfer of funds, etc. (b) Registrar to HSBC Mutual Fund to issue instructions to the SCSB to one on the funds in the bank account missing specified in the ASBA Form; to mission to the basis of allotment and to transfer the requisite money to the Issuer's account designed for this purp of the specified of this purp of the specified of the properties of the SCBB specified of the properties of the specified of the SCBB Form is most or inclinated by the tensor, and SCBB to make relevant revisions as may be required to be done during the object of the purp of the specified and the AMC, RaTa and SCBB shall not be in classes, if any, 3) I/We hereby authorise the SCSB to make relevant revisions as may be required to be done during the object of price revision. Having read and understood the contents of the SDB and SAI, I/We hereby apply under Direct /AMIT Certified engage lead the AMC, RaTa and SCBB shall not be increased to the specified and the ASBA form is one of the Scheme. I/We here understood the details of the Scheme and I/We have not recent one been induced by any rebate or gifts, directly or indirectly, in making this investment. I/We hereby apply under Direct /AMIT Certified engage lead the AMC, RaTa and SCBB shall not be in | Branch Address Bank A/c No. | | | | | | | NDO: | * NDC* * F. NDI I |
| DP Name DP ID Beneficiary Account No. UNDERTAKING BY ASBA INVESTOR/ACCOUNT HOLDER 1) I We hereby undertake that I/We am/are an ASBA investor(s) as per the applicable provisions of the SEBI (Issue of Capital and Disclosure Requirements) Regulations, 2009. 20 all acts as are necessary to make an application for purchase of units in the NFO blocking the amount to the extent mentioned above in the "SCSB details" or unblocking of funds in bank account institution for purchase of units in the NFO blocking the amount to the extent mentioned above in the "SCSB details" or unblocking of funds in bank account institution for purchase of units in the NFO blocking the amount of the textent mentioned above in the "SCSB details" or unblocking of funds in the funds and understood the ASBA Form, unserted of funds to the Issuer's account designated for this purpose on receipt of instruction from the Registrar finalisation of the basis of allotment and to transfer the requisite money to the Issuer's account designed finalisation of the basis of allotment and to transfer the requisite money to the Issuer's account designed finalisation of the basis of allotment and to transfer the requisite money to the Issuer's account designed finalisation of the basis of allotment and to transfer the requisite money to the Issuer's account designed finality and the Issuer's account designed for this purpose on receipt of instruction from the Registrar (Index of the Index of Ind | | DETAILO | | | A/ | c. 1ype (v) ∟ | Current Saving | gs NRO | _ |
| DP ID Beneficiary Account No. UNDERTAKING BY ASBA INVESTOR/ACCOUNT HOLDER 1) I/We hereby undertake that I/We am/are an ASBA investor(s) as per the applicable provisions of the SEBI (Issue of Capital and Disclosure Requirements) Regulations, 2009, 2009. 2 accordance with ASBA process provided in the SEBI (Issue of Capital and Disclosure Requirements) Regulations, 2009, 1/We authorize (a) the Self Certified Syndicate Bank (SCSB) to all acts as are necessary to make an application for purchase of units in the NFO blocking the amount to the extent mentioned above in the "SCSB details" or unblocking of funds in the account maintained with the SCSB specified in the ASBA Form, transfer of funds to the Issuer's account designated for this purpose on receipt of instruction from the Registrar finalisation of the basis of allotment entitling me/us to receive Units on such transfer of funds, etc. (b) Registrar to HSBC Mutual Fund to issue instructions to the SCSB to remove the bound on the funds in the bank account specified in the ASBA Form is insufficient for blocking the amount cquivalent to the application money, the SCSB hall reject the application of the basis of allotment and cultivalent to the application money, the SCSB hall reject the application of the proper of the surface of the ASBA Form is insufficient for blocking the amount equivalent to the application money, the SCSB hall reject the application of the surface of the ASBA Form is insufficient for blocking the amount equivalent to the application money, the SCSB hall reject the application of the surface of the ASBA Form is insufficient for blocking the amount equivalent to the application money, the SCSB hall reject the application of the surface of the surf | DEMAT ACCOUNT | DETAILS | N | ISDL | | | | CD | ` |
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| Pin Code SCSB Stamp, Signature, Date Tel. Bank A/c No. Time of Form submission | Date: Scheme Name Received from Mr. | /Ms | | · · | | Option | | | PCNR Accounts) |

(in words)

Background:

In its continuing endeavour to make the existing New Fund Offer process more efficient, SEBI introduced a supplementary process of applying in New Fund Offer, viz: the "Applications Supported by Blocked Amount (ASBA)" process. Accordingly, Securities and Exchange Board of India (Issue of Capital and Disclosure Requirements) Regulations, 2009, as amended have been amended for ASBA process. The salient features of circular no. SEBI/CFD/DIL/ASBA/1/2009/30/12 dated December 30, 2009 available on SEBI website for "Additional mode of payment through Applications Supported by Blocked Amount (hereinafter referred to as "ASBA") are mentioned below for understanding the ASBA process:

- Meaning of ASBA: ASBA is an application for subscribing to a New Fund Offer (NFO), containing an authorisation to block the application money in a bank account.
- 2. Self Certified Syndicate Bank (SCSB): SCSB is a banker to an issue registered with the SEBI which offers the facility of applying through the ASBA process. The list of SCSBs will be displayed by SEBI on its website at www.sebi.gov.in from time to time. ASBAs can be accepted only by SCSBs, whose names appear in the list of SCSBs displayed on SEBI's website. Investors maintaining their accounts in any of these Banks may approach one of the designated branches of these SCSBs for availing this facility. Further it may be noted that from time to time new banks register themselves as SCSBs who become eligible to provide these services and also the existing SCSBs designate additional branches that also provide this facility. An updated list of all the registered SCSBs, their controlling branches, contact details and details of their contact persons, a list of their designated branches which are providing such services is available on the website of SEBI at the address http://www.sebi.gov.in. Further these details are also available on the websites of the Stock Exchanges at http://www.bseindia.com and http://www.nseindia.com. Alternatively, investors may also contact the AMC, R&TA for information about the SCSBs or the ASBA process. These SCSBs are deemed to have entered into an arrangement with the Issuer and shall be required to offer the ASBA facility to all its account holders for all issues to which ASBA process is applicable. An SCSB shall identify its Designated Branches (DBs) at which an ASBA Applicant shall submit ASBA and shall also identify the Controlling Branch (CB), which shall act as a coordinating branch for the Registrar to the Issue, Stock Exchanges and Merchant Bankers. The SCSB, its DBs and CB shall continue to act as such, for all issues to which ASBA process is applicable. The SCSB may identify new DBs for the purpose of ASBA process and intimate details of the same to SEBI, after which SEBI will add the DB to the list of SCSBs maintained by it. The SCSB shall communicate the following details to Stock Exchanges for making it available on their respective websites. These details shall also be made available by the SCSB on its website: (i) Name and address of the SCSB (ii) Addresses of DBs and CB and other details such as telephone number, fax number and email ids. (iii) Name and contact details of a nodal officer at a senior level from
- **3. Eligibility of Investors:** An Investor shall be eligible to apply through ASBA process, if he/she:
 - is a "Resident Retail Individual Investor, Non Institutional Investor, QIBs, Eligible NRIs applying on non-repatriation basis, Eligible NRIs applying on repatriation basis i.e. any investor,
 - (ii) is applying through blocking of funds in a bank account with the SCSB; Such investors are hereinafter referred as "ASBA Investors".
- 4. ASBA Facility in Brief: Investor shall submit his/her Application through an ASBA Application Form, either in physical or electronic mode, to the SCSB with whom the bank account of the ASBA Investor or bank account utilised by the ASBA Investor ("ASBA Account") is maintained. The SCSB shall block an amount equal to the NFO application Amount in the bank account specified in the ASBA Application Form, physical or electronic, on the basis of an authorisation to this effect given by the account holder at the time of submitting the Application. The Application Amount shall remain blocked in the aforesaid ASBA Account until the Allotment in the New Fund Offer and consequent transfer of the Application Amount against the allocated Units to the Issuer's account designated for this purpose, or until withdrawal/failure of the Offer or until withdrawal/rejection of the ASBA Application, as the case may be. The ASBA data shall thereafter be uploaded by the SCSB in the electronic IPO system of the Stock Exchanges. Once the Allotment is finalised, the R&TA shall send an appropriate request to the Controlling Branch of the SCSB for unblocking the relevant bank accounts and for

transferring the amount allocable to the successful ASBA Applicants to the AMC account designated for this purpose. In case of withdrawal/Rejection of the Offer, the R&TA shall notify the SCSBs to unblock the blocked amount of the ASBA Applicants within one day from the day of receipt of such notification.

5. Obligations of the AMC: AMC shall ensure that adequate arrangements are made by the R&TA to obtain information about all ASBAs and to treat these applications similar to non-ASBA applications while allotment of Units, as per the procedure specified in the Securities and Exchange Board of India (Issue of Capital and Disclosure Requirements) Regulations, 2009.

Investors are requested to check with their respective banks about the availability of the ASBA facility.

6. Other Information for ASBA Investors:

- On the closure date of the NFO, the ASBA form should be submitted to the SCSBs before the 3.00 p.m. or such other time as may be decided by respective SCSBs.
- 2. The Applicant intending to invest in the Scheme through ASBA Process will be required to have a beneficiary account with a Depository Participant (DP) of NSDL/ CDSL and will be required to mention in the application form DP ID No. and Beneficiary Account No. with the DP at the time of purchasing Units during the NFO.
- 3. Signatures as available with depository will be taken for all purpose after the allotment of units incase of demat holding.
- All static details in our records would be taken from the demat account (DP ID) provided by you.
- 5. Bank account details provided in the ASBA Application form will be used for refunding reject applications where DP ID is not matching
- 6. Bank Mandate for redemptions/dividend will be as per your DP ID incase of demat holding.
- SCSB shall give ASBA investors an acknowledgement for the receipt of ASBAs.
- 8. SCSB shall not upload any ASBA in the electronic system of the Stock Exchange(s) unless (i) it has received the ASBA in a physical or electronic form; and (ii) it has blocked the application money in the bank account specified in the ASBA or has systems to ensure that Electronic ASBAs are accepted in the system only after blocking of application money in the relevant bank account opened with it.
- SCSB shall ensure that complaints of ASBA investors arising out of errors or delay in capturing of data, blocking or unblocking of bank accounts, etc. are satisfactorily redressed.
- 10.SCSB shall be liable for all its omissions and commissions in discharging responsibilities in the ASBA process.
- 11. R&TA shall act as a nodal agency for redressing complaints of ASBA and non-ASBA investors, including providing guidance to ASBA investors regarding approaching the SCSB concerned.
- 12. ASBA facility is currently available only to those investors who wish to hold the units in dematerialized form.

Grounds for rejection of ASBA applications

ASBA application forms can be rejected by the AMC/Registrar/ SCSBs, on the following technical grounds:

- Applications by persons not competent to contract under the Indian Contract Act, 1872, including but not limited to minors, insane persons etc.
- Mode of ASBA i.e. either Physical ASBA or Electronic ASBA, not selected or ticked.
- 3. ASBA Application Form without the stamp of the SCSB.
- 4. Application by any person outside India if not in compliance with applicable Foreign and Indian laws.
- 5. Bank account details not given/incorrect details given.
- 6. Duly certified Power of Attorney, if applicable, not submitted along with the ASBA Application Form.
- 7. No corresponding records available with the Depositories matching the parameters namely (a) Names of the ASBA applicants (including the order of names of joint holders) (b) DP ID (c) Beneficiary account number or any other relevant details pertaining to the Depository Account.
- 8. Insufficient funds in the investor's account.
- Application accepted by SCSB and not uploaded on/with the Exchange/ Registrar.



Third Party Payment Declaration Form

Please refer to the Third Party Payment Rules and Instructions carefully before completing this Form.

| | | | Date of Receipt | For Office Use Only Folio No. | Branch Trans. No. |
|--|--|--|--|--|--|
| | | _ | | 1 0110 1401 | Dianon Hand. No. |
| BENEFICIAL IN | VESTOR INFOR | RMATION (R | efer instruction no. 2a) | | |
| Folio No. (For Exist Name of Beneficial | ing Unit Holders) | | | m e L a | |
| | INFORMATION | | | | |
| | ty (person making | the payment) | | | |
| F i r s t | N a m e | | M i d d I e N a | m e L a | s t N a m e |
| NationalityPAN/PEKRN**KIN* | First Unit F | | | | Third Unit Holder |
| Date of Birth* 1st U | Unit Holder | M M Y Y | Y Y 2nd Unit Holder D D | M M Y Y Y Y 3rd Unit Ho | lder D D M M Y Y Y Y |
| ^ 14 digit KYC Ident | Please enclose copies ification Number (KI | N) and Date of B | Birth is mandatory for Individual(s) | . **PEKRN required for Micro inv who has registered under Central | |
| F i r s t | N a m e | ion (in case of | Mon-Individual Third Party) | m e L a | s t Name |
| Designation | o.o. Box Address i | may not he sut | fficient) | | |
| ivialility address (| J.O. BOX Address i | may not be sur | molenty | | |
| City/Town | | | State | | Pin Code |
| Contact Details | | | | | |
| Tel. (O) (ISD/S | TD) | | Tel. (1 | R) (ISD/STD) | |
| Mobile + 9 | 1 | | Fax | | |
| Email ID | | | | | |
| Relationship of TI Status of the Beneficial Investor | FPI | Beneficial Inv | estor (Refer Instruction No. 3) Employee(s) | [Please tick (✓) as applicable] ☐ Empanelled Distributor | Agent Dealer |
| Relationship of | Custodian | | Employer | AMC | Distributor Corporate |
| Third Party with the Beneficial Investor | SEBI Registration N | | 1 2 | Aire | Corporate |
| | D D M M Y | | | | |
| Declaration by Third Party | I/We declare that made on behalf of the source of this p funds provided to us | FPI/Client and payment is from | made on behalf of employee(s), as per the list enclosed herewith, under Systematic Investment Plan or lump sum/one time subscription through Payroll | made on behalf of empanelled distributors on account of commission/incentive etc in the form of Mutual Fund units | |
| THIRD PARTY | PAYMENT DET | | | num value should not exce | ed Rs. 50,000 |
| Mode of Payment | (Please tick (✓) | - | Enclosure(s)* | | tad an the short of |
| Cheque | | | | | ted on the cheque then a copy of the hird party maintains a bank account. |
| Pay Order Demand Draft Banker's Cheque | · | Letter from (if available | Bank Manager with details of accept or | | umber and PAN as per bank records |
| | | A copy of the Procured again | he passbook/bank statement evider nst cash (For investments below ₹ | | |
| | | account numbe | r and PAN as per bank record (if | available) | |
| ☐ RTGS ☐ NEFT | Fund Transfer | Copy of the Ins | struction to the Bank stating the B | ank Account Number which has b | een debited. |
| | d, the AMC reserves t | Procured agai A banker's cert account numbe Copy of the Ins | nst cash (For investments below ₹ ificate for issuance of a Demand E r and PAN as per bank record (if a struction to the Bank stating the B | f 50,000/- only): Draft / Pay Order against cash statir available) | ng the name of the Third P |

| Cheque/DD/PO/RTGS Date | Amount [#] | in figures (₹) | in words | | |
|--|--|---|---|---|---------------------------|
| Name of the Bank Branch | Cheque/DD/PO/UTR No. | | Cheque/DD/PO/RTGS Date | D D M M Y Y Y Y | |
| Branch Bank A/c. Type: | Pay-in Bank A/c No. | | | | |
| Bank A/c. Type: Savings Current NRI-NRO NRI-NRE FCNR Others (please specify) # including Demand Draft charges, if any. DECLARATION & SIGNATURE (Refer instruction no. 5) Third Party Declaration: I/We confirm having read and understood the Third Party Payment rules, as given below and hereby agree to be bound by the same. I/We declare that the information declared herein is true and correct, which HSBC Mutual Fund is entitled to verify directly or indirectly. I/We agree to furnish such further information as HSBC Mutual Fund may require from me/us. I/We agree that, if any such declarations made by me/us are found to be incorrect or incomplete, HSBC Mutual Fund is not bound to pay any interest or compensation of whatsoever nature on the said payment received from me/us and shall have absolute discretion to reject/not process the Application Form received from the Beneficial Investor(s) and refund the subscription monies. I/We hereby declare that the amount invested in the Scheme is through legitimate sources only and does not involve and is not designed for the purpose of contravention and/or evasion of any Act, Rules, Regulations, Notifications or Directions issued by any regulatory authority in India. I/We will assume personal liability for any claim, loss and/or damage of whatsoever nature that HSBC Mutual Fund may suffer as a result of accepting the aforesaid payment from me/us towards processing of the transaction in favour of the Beneficial Investor(s) as detailed in the Application Form. Applicable to NRIs only: I/We confirm that I am/We are Non-Resident of Indian Nationality/Origin and I/We hereby confirm that the funds for subscription have been remitted from abroad through normal banking channels or from funds in my/our Non-Resident External/Ordinary Account/FCNR Account. Please (*/) Yes No If yes, (*/) Repatriation basis Non-repatriation basis Date Signature of the Third Party) X Beneficial investor(s) declaration & signature/s: I/We certify that the information declared herein by the Thi | Name of the Bank | | | | |
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| Third Party Declaration: I/We confirm having read and understood the Third Party Payment rules, as given below and hereby agree to be bound by the same. I/We declare that the information declared herein is true and correct, which HSBC Mutual Fund is entitled to verify directly or indirectly. I/We agree to furnish such further information as HSBC Mutual Fund may require from me/us. I/We agree that, if any such declarations made by me/us are found to be incorrect or incomplete, HSBC Mutual Fund is not bound to pay any interest or compensation of whatsoever nature on the said payment received from me/us and shall have absolute discretion to reject/not process the Application Form received from the Beneficial Investor(s) and refund the subscription monies. I/We hereby declare that the amount invested in the Scheme is through legitimate sources only and does not involve and is not designed for the purpose of contravention and/or evasion of any Act, Rules, Regulations, Notifications or Directions issued by any regulatory authority in India. I/We will assume personal liability for any claim, loss and/or damage of whatsoever nature that HSBC Mutual Fund may suffer as a result of accepting the aforesaid payment from me/us towards processing of the transaction in favour of the Beneficial Investor(s) as detailed in the Application Form. Applicable to NRIs only: I/We confirm that I am/We are Non-Resident of Indian Nationality/Origin and I/We hereby confirm that the funds for subscription have been remitted from abroad through normal banking channels or from funds in my/our Non-Resident External/Ordinary Account/FCNR Account. Please (*) | # including Demand Draft | charges, if any. | | | |
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| the aforesaid Third Party and the declaration made by the Third Party will apply solely to my/our transaction as the Beneficial Investor(s) detailed in the Application Form. HSBC Mutual Fund will not be liable for any damages or losses or any claims of whatsoever nature arising out of any delay or failure to process this transaction due to occurrences beyond the control of HSBC Mutual Fund. | the aforesaid Third Party at Form. HSBC Mutual Fund | nd the declaration made by the Third Party wwill not be liable for any damages or losses of | vill apply solely to my/our trans | saction as the Beneficial Investor(s) det | ailed in the Application |
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| *Sole/First Applicant Second Applicant Third Applicant | | • | * * | Third Appli | cant |
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THIRD PARTY PAYMENT RULES

- In accordance with AMFI best practice guidelines Circular No. 16/2010-11, pertaining to "risk mitigation process against Third Party instruments and other payment modes for mutual fund subscriptions", mutual funds/asset management companies shall ensure that Third-Party payments are not used for mutual fund subscriptions.
- 2a. The following words and expressions shall have the meaning specified herein:
 - (a) "Beneficial Investor" is the first named applicant/investor in whose name the application for subscription of Units is applied for with the Mutual Fund.
 - (b) "Third Party" means any person making payment towards subscription of Units in the name of the Beneficial Investor.
 - (c) "Third Party payment" is referred to as a payment made through instruments issued from a bank account other than that of the first named applicant/ investor mentioned in the application form.

In case of payments from joint bank account, the first holder of the mutual fund folio has to be one of the joint holders of the bank account from which the payment is made.

Illustrations

Illustration 1: An Application submitted in joint names of A, B & C along with cheque issued from a bank account in names of B, C & Y. This will be considered as Third Party payment.

Illustration 2: An Application submitted in joint names of A, B & C along with cheque issued from a bank account in names of C, A & B. This will not be considered as Third Party payment.

Illustration 3: An Application submitted in joint names of A, B & C along with cheque issued from a bank account in name of A. This will not be considered as Third Party payment.

2b. HSBC Mutual Fund will not accept subscriptions with Third Party payments

except in the following exceptional cases, which is subject to submission of requisite documentation/ declarations:

- Payment by Employer on behalf of employee(s) under Systematic Investment Plan (SIP) or lump sum/one-time subscription, through Payroll deductions or deductions out of expense reimbursements.
- (ii) Custodian on behalf of an Foreign Institutional Investor (FII) or a Client
- (iii) Payment by an AMC to its empanelled distributor on account of commission/ incentive etc. in the form of Mutual Fund units through SIP or lump sum/one time subscription.
- (iv) Payment by a Corporate to its Agent/Dealer/Distributor on account of commission or incentive payable for sale of its goods/services in the form of Mutual Fund units through SIP or lump sum/one time subscription.
- 2c. Applications submitted through the above mentioned 'exceptional cases' are required to comply with the following, without which applications for subscriptions for units will be rejected / not processed / refunded.
 - KYC Acknowledgement letter (as issued by CDSL Ventures Limited) of the Beneficial Investor and the person making the payment i.e. Third Party
 - (ii) Declaration Form containing the details of the bank account from which the payment is made and the relationship with the investor(s). The declaration has to be given by the person making the payment i.e., third party. The said form shall be available at Investor Service Centres of the Fund or can be downloaded from our website www.assetmanagement. hsbc.co.in.
- 2d. Investor(s) are requested to note that any application for subscription of Units of the Scheme(s) of HSBC Mutual Fund accompanied with Third Party payment other than the above mentioned exceptional cases as described in Rule (2b) above is liable for rejection without any recourse to Third Party or the applicant investor(s).



Systematic Investment Plan (SIP)/Micro SIP Form

Please refer to the general instructions for assistance and complete all sections in English. For legibility, please use BLOCK LETTERS in black or dark ink.

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| | Branch | | | City | | | | | |
| | A/c. Type | Current Savings | NRO* NRE* | Others | | | | | |
| | UMRN for OTM | | | | | | | | |
| | Reason for your SIP (| (Children's Education | Children's Marriage | ouse Car | Retirement | Others | | | |
| | Scheme Name | | Plan | | Option/S | Sub option | | | |
| | IDCW Frequency | | | SIP Date 1st 5 | 2nd 3rd Cefault^) 11th | 4th 5th 6th | h 7th 8th | | |
| | SIP period [If end date is not mention | From M M Y Y ed then the SIP will be considered based | To M M Y Y on end date provided in NACH Mandate | 17th 18th 2 26th 27th | 19th 20th 28th 29th | 21st 22nd 23 30th 31st | ord 24th 25th | | |
| | SIP Frequency | Weekly <u>∩</u> Monthly <u>∩</u> | Quarterly (10th) | SIP Day Monday | Tuesday 🗌 | Wednesday <u>∩</u> | Thursday Friday | | |
| | SIP Amount (figures) | ₹ | (words) | | | | | | |
| | SIP Top Up (Opti | ional) – Available only for investment | s effected through Auto Debit. | | | | | | |
| | Top Up Amount | ₹ Amount in multiples of ₹ 500 c | Top Up Frequ | ency Half | Yearly A | nnual (Default) ^ | | | |
| | Top Up to continue till S | SIP amount reaches^^ | OR Top Up to | continue till # D D | M M Y Y | YY | | | |
| | | number | | | | | | | |
| | Mandate will be consid | ered. Please ensure the amount ment | ioned in the NACH form is a total of | per SIP installment requ | uested above. ^^ S | IP Top Up will cease | once the mentioned | ı | |
| | | t is the date from which SIP Top-Up ion irrespective of any scheme categ | | ary 1, 2021, units will b | be allotted only upo | on receipt of subscrip | tion amount by the | | |
| 4 | DECLARATION | AND SIGNATURE(S) (to | be signed by all Unit Holder | s if Mode of Holdi | ing is 'Joint') | | | | |
| | OTHER DECLARA | TIONS (Signature(s) should be a | as it appearing on the Application | Form and in the same | e order | | | | |
| | I/We have read and understood the respective Scheme Information Document, Statement of Additional Information and Key Information Memorandum of HSBC Mutual Full /We hereby declare that I/We do not have any existing Micro SIPs which together with the current application will result in aggregate investments exceeding Rs. 50,000 in a y I/We have neither received nor been induced by any rebate or gifts directly or indirectly in making this Systematic Investment. The ARN holder has disclosed to me/us all commissions (in trail commission or any other), payable to him for the different competing schemes of Mutual Funds from amongst which the Scheme is being recommende me/us. I/We hereby declare that the particulars given here are correct and express my/our willingness to make payments referred above through participation in Electronic D arrangement/NACH (National Automated Clearing House). If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information, I/We would hold the user institution or any of their appointed service providers or representatives responsible. I/We will also inform HSBC Mutual Fund about any changes in my/our b account. I/We have read and agreed to the terms and conditions mentioned overleaf. | | | | | | | | |
| | information as and who | y/our consent to disclose, share, ren en provided by me/ us to the group of thorities, without any prior intimation | companies of HSBC Mutual Fund f | or any valid business pu | 1 | , , | · · 1 | | |
| | × | | X | | × | | | 1 | |
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| | Sole/First A | oplicant/Guardian/PoA | Second Applica | nt/ PoA | , | Third Applicant/l | PoA | | |

Mutual Fund investments are subject to market risks, read all scheme related documents carefully.

CALL US AT

Please visit our website www.assetmanagement.hsbc.co.in for an updated list of Official Points of Acceptance of HSBC Mutual Fund. Please visit www.camsonline.com for an updated list of Official Points of Acceptance of our Registrar/Transfer Agent: Computer Age Management System.

TOLL FREE NUMBERS

| Description | Investor related queries | Distributor related queries | Online related queries | Investor (Dialing from abroad) |
|------------------|--------------------------------------|-------------------------------------|---------------------------------|--------------------------------------|
| Toll Free Number | 1800-4190-200/1800-200-2434 | 1800-419-9800 | 1800-4190-200/1800-200-2434 | +91 44 39923900 |
| Email ID | investor.line@mutualfunds.hsbc.co.in | partner.line@mutualfunds.hsbc.co.in | onlinemf@mutualfunds.hsbc.co.in | investor.line@mutualfunds.hsbc.co.in |

SYSTEMATIC INVESTMENT PLAN (SIP)/MICRO SIP - GENERAL INSTRUCTIONS

Please read the below instructions carefully before filling the form. Please fill up the form in English in BLOCK LETTERS with black or dark ink. All information sought in the form is mandatory except where it is specifically indicated as optional. All instructions & notes are subject to SEBI and AMFI guidelines as amended from time to time. Please note in case of any error while filling the form all applicants must sign against the corrections.

1. ONE TIME DEBIT MANDATE FORM (OTM):

- a. Investors who have already submitted One Time Debit Mandate Form (OTM) or already registered for OTM facility should not submit OTM form again as OTM registration is a one-time process only for each bank account. However, if such investors wish to add a new bank account towards OTM facility, may fill the form with the new bank details.
- Investors, who have not registered for OTM facility, may fill the OTM form and submit duly signed with their name mentioned.
- Alongwith OTM, investors need to provide an original cancelled cheque (or a copy) with name and account number pre-printed of the bank account to be registered failing which registration may not be accepted. Investor's cheque/bank account details are subject to third party validation.
- d. Investors are deemed to have read and understood the terms and conditions of SIP registration, Scheme Information Document, Statement of Additional Information, Key Information Memorandum, Instructions and addendum issued from time to time of the respective Scheme(s) of HSBC Mutual Fund.
- e. Date and validity of the mandate should be mentioned in DD/MM/YYYY format.
- Sponsor Bank Code and Utility Code of the Service Provider will be mentioned by HSBC Mutual Fund.
- g. For the convenience of investors, the frequency of the mandate mentioned "As and when presented".
- From date and To date is mandatory. However, the maximum duration for enrollment is 40 years.

Mandatory Information to be provided by investors in One Time Debit Mandate Form (OTM):

| Date of Mandate | Bank A/c Type |
|-----------------------------|--|
| Bank Account Number | Bank Name |
| IFSC and/or MICR Code | Maximum Amount (Rupees in figures and words) |
| • Folio No/Appln No. | Mandatory From Date |
| Mandate To Date | Signature(s) as per Bank records |
| Name(s) as per Bank records | |

2. Applicant Information:

Please furnish the Folio Number, Name and PAN of Sole/First Applicant Section 2 of the Form. Your investment would be processed in the specified folio.

Investors/Unit holders should provide the Folio & Name of the Sole/Primary Holder. In case the name as provided in this application does not correspond with the name appearing in the existing Folio, the application form may be rejected.

Your personal information and bank account details would apply to this investment as well. Please provide the Mobile Number and E-Mail Address of the Sole/First Applicant in the form in case of Individuals and Key Contact in case of Non-Individuals. This would help us seamlessly communicate with you on your investments.

KYC is mandatory. Please enclose copies of KYC acknowledgement letters for all applicants. **PEKRN required for Micro investments upto Rs. 50,000 in a year. * 14 digit KYC Identification Number (KIN) and Date of Birth is mandatory for Individual(s) who has registered under Central KYC Records Registry (CKYCR).

Permanent Account Number (PAN): Furnishing of PAN is mandatory for all applicants except where specific dispensation is provided under law.

Upon signing and submitting the Application Form and tendering payment it will be deemed that the investors have accepted, agreed to and shall comply with the terms and conditions detailed in the respective Scheme Documents.

3. SIP & Investment Details:

- a. The cheques should be drawn in the name of the Scheme and crossed "Account Payee only" and must be payable at the locations where the applications are submitted at the Investor Service Centres.
- b. New Investors who wish to enroll for SIP investment are required to fill (i) OTM Mandate Form (ii) SIP Registration Form and (iii) the Scheme Application form (included in the Key Information Memorandum).

New Investors can apply for SIP into respective Scheme/Plans/Option without any existing investment/folio. Please mention the name of the Scheme where you plan to make your investment and your preferred option. If you do not indicate your preferred option, your application would be processed based on the terms & conditions set out in the Scheme Information Document. If you are not investing through a Distributor, please suffix "Direct Plan" after the scheme name.

- c. Where a One Time Mandate is already registered in a folio for a bank account, the Unit Holder(s) is not required to fill the OTM debit mandate again. However, please mention the UMRM, debit bank name & account number.
- Where the OTM mandate is getting submitted for the first time, please fill the OTM debit mandate form for NACH/ECS/Auto debit mandatorily.
- e. Enclose cancelled cheque leaf of the bank where OTM is getting registered if the initial purchase cheque is not from the same bank account.
- f. Investors can choose any preferred day/date of the month as SIP debit day/date. In case the chosen day/date falls on a non-business day or on a date which is not available in a particular month, the SIP will be processed on the immediate next business day.
- g. Investors can discontinue a SIP at any time by sending a written request to any Official Point of Acceptance or to the registrar CAMS. Please note that effect from December 1, 2024 it would take T+2 Business days for the SIP to discontinue from the date of receipt of the duly filled request. Any installment due during this period might get debited from the bank account if it falls within T+2 Business days. The AMC reserves the right to introduce/discontinue SIP/variants of SIP from time to time.

Further in case of 3 consecutive SIP payment instructions provided by the investor are dishonored for insufficiency of funds, the AMC reserves the right to discontinue the SIP.

Micro SIP:

h. As per AMFI notification and guidelines issued on July 4, 2009, SIPs or Lumpsum purchases by eligible investors in a rolling 12 month period not exceeding Rs. 50,000 shall be exempt from the requirement of PAN. From January 1, 2012, KYC is mandatory for all holders of Micro investments.

- · The exemption of PAN requirement is only available to individuals.
- Eligible investors may invest through SIP or lumpsum purchase without providing PAN subject to the threshold amount as mentioned above.
- Eligible investors should attach a copy of KYC acknowledgment letter quoting PAN exempt KYC Reference No. (PEKRN) along with the application form.

Third Party Payments:

- . Third Party Payments for investments are not accepted except in the below cases
 - Payment by employer on behalf of employees under SIP or lump sum subscription through Pay Roll deductions or deductions out of expense reimbursements.
 - Custodian on behalf of an FPI or Client made by Custodian.
 - Payment by an AMC to its empanelled distributor on account of commission/incentive etc. in the form of Mutual Fund units through SIP or lump sum/one time subscription.
 - Payment by a Corporate to its Agent/Dealer/Distributor on account of commission or incentive payable for sale of its goods/services in the form of Mutual Fund units through SIP or lump sum/one time subscription.

In the above cases, necessary declaration/banker's certificate needs to be provided confirming the source of funds for the investment. Please refer the SAI for more details.

SIP Top-Up Facility:

- Investors can opt for SIP Top Up facility wherein the amount of SIP can be increased at fixed intervals.
 - Top Up facility will be available for valid new registration(s) under SIP or renewal of SIP & for the existing SIPs;
 - Top Up facility will be available only for investments under SIP effected through auto – debit;
 - iii) Amount of Top Up shall be in multiples of ₹500;
 - iv) Top Up can be done on a half yearly/annual basis;
 - Top Up Facility will not be available for investments under SIP where the auto debit period has not been indicated by the investor at the time of investments.
 - vi) Unit holders have the option of indicating the threshold in terms of amount or the date up to which the Top Up will continue. On reaching the threshold, Top Up with respect to the SIP concerned shall cease and SIP instalments will continue at the amount which was invested last for such period as may be specified in the SIP application form.

Default Option is Annual

- Your investment cheque should be crossed "Account Payee only" and drawn favoring the scheme name where the investment is in a specific scheme
- Please ensure that the investment cheque issued by you complies with CTS 2010 requirement stipulated by the Reserve Bank of India. The words "CTS 2010" should appear on the face of the cheque.
- m. Payments made by Cash/Money Order/Postal Order, Non-MICR cheque, outstation cheques are not accepted.
- For detailed terms and conditions on SIP, SIP Top-up, OTM facility, please visit our website <u>www.assetmanagement.hsbc.co.in</u> and also refer to scheme related documents.
- o. Note: Effective February 1, 2021, units will be allotted only upon receipt of subscription amount by the Fund House for utilisation irrespective of any scheme category/investment amount. Net Asset Value (NAV) will be applied based on realization of funds for all purchases including systematic transactions registered prior or post February 1, 2021.
- p. Applications incomplete in any respect are liable to be rejected. AMC/RTA shall have absolute discretion to reject any such Application Forms.
- q. Investors are advised to retain the acknowledgment slip till they receive a confirmation of processing of their SIP Mandate from the HSBC Mutual Fund Investor Service Centre (ISC)/CAMS.
- r. Minimum application amount and number of instalments:

| | Minimu | n Installm | ent Amount | Minim | ım numbe | r of Installments | |
|----------------|-------------------------------------|---|---|----------------------------------|---|---|--------------|
| Fre- quency | Equity and Hybrid Schemes# | Debt and Fund of Funds (FoF) Schemes# | HSBC ELSS Tax Saver Fund and HSBC Tax Saver Equity Fund* | Equity and Hybrid Schemes# | Debt and Fund of Funds (FoF) Schemes# | HSBC ELSS Tax Saver Fund and HSBC Tax Saver Equity Fund* | SIP Dates |
| Weekly | Rs. 500/- | Rs. 500/- | Rs. 500/- | | | Minimum 6 installments subject to aggregate of Rs. 3,000 | |
| Monthly | Rs. 500/- | Rs. 1,000/- | Rs. 500/- | | | Minimum 6 installments subject to aggregate of Rs. 3,000 | |
| Quarterly | Rs. 1,500/- | Rs. 1,500/- | Rs. 500/- | | | Minimum 6 installments subject to aggregate of Rs. 3,000 | |

in multiples of Re. 1/- *in multiples of Rs. 500/-

However, as per ELSS guidelines, a mutual fund can have only one open ended ELSS scheme. In view of the said restriction, subscription into HSBC Tax saver Equity Fund has been closed from business hours on November 25, 2022. Hence, no SIP, STP or switch into HSBC Tax saver Equity Fund is allowed from the close of business hours on November 25, 2022. However, the unitholders will be allowed to hold their existing investments, except that no further investments / subscription would be accepted. Unitholders will be permitted to redeem / switch out their units post the mandatory lock-in period. The above amendment in minimum SIP amount, number of installments and aggregate amount for SIP shall be applicable only for prospective investors from the Effective Date.

Incase investor has missed to tick the date for Monthly and Quarterly frequency then the default date with be considered as 10th. Similarly, in case of Weekly SIP frequency the Default day will be considered as Wednesday. In case the chosen date falls on a Non-Business Day or on a date which is not available in a particular month, the SIP will be processed on the immediate next available Business Day. If the choice of date selected is more than one date then the SIP installment will be processed only for Business Days when NAV is available. No SIP installment shall be processed for Saturday, Sunday or any other non-business day.

4. Declarations & Signatures:

Unit holders need to sign here in accordance to the Mode of Holding provided to us and as per the mode of holding in the bank account in the same sequence and manner in the relevant boxes provided in the form.

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Multiple Bank Accounts Registration/Deletion Form

(Please read the Instructions overleaf and attached necessary documents for registration of Bank Accounts. Strike off the Sections not used by you to avoid unauthorised use.)

| | Unit Holders) le/First Unit | Holder | | | | | | | | | | | | | Holder: | |), (P/ | (NA | | | | | | |
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| Deletion of a default bank in Part D of this Form. | account will not be effective in the Folio | unless the investor mentions a | nother valid regi | istered Bank Account as a default accoun |
| My identity details | for IPV (copy enclosed & original show | vn for verification)* | | |
| Description | First Holder / Guardian | Joint Holder | l | Joint Holder2 |
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- This facility allows a unit holder to register multiple bank account details for all investments held in the specified folio (existing or new). Individuals/HUF can register upto 5 different bank accounts for a folio by using this form. Non individuals can register upto 10 different bank accounts for a folio. For registering more than 5 accounts, please use extra copies of this form.
- Supporting Documents as mentioned in Part C will help in verification of the account details and register them accurately. The application will be processed only for such accounts for which valid documents are provided. Accounts not matching with such documents will not be registered.
- 3. If the bank account number on the cheque leaf is handwritten or investor name is not printed on the face of the cheque, then any one of the following document should be submitted as a supporting:
 - Cancelled original cheque leaf with first Unit Holder name and bank account number printed on the face of the cheque OR
 - Copy of Bank Passbook having the name, address and account number of the account holder.
 - Bank Statement (issued within 3 months for new bank, in case of old bank account the date of statement will not be applicable)

Important: The above documents should be either in original or copy to be submitted alone with original produced for verification.

- 4. Bank account registration/deletion request will be accepted and processed only if all the details are correctly filled and the necessary documents are submitted. The request is liable to be rejected if any information is missing or incorrectly filled or if there is deficiency in the documents submitted.
- The first/sole unit holder in the folio should be one of the holders of the bank account being registered. Unitholder(s) cannot provide the bank account(s) of any other person or where the First/Sole Unitholder is not an account holder in the bank account provided.
- 6. The investors can change the default bank account only by submitting this form.

- In case multiple bank accounts are opted for registration as default Bank Account, the mutual fund retains the right to register any one of them as the default bank account.
- A written confirmation of registration of the additional bank account details will be dispatched to you within 10 calendar days of receipt of such request. Unitholder(s) must preserve this written confirmation as the account statement will only reflect the default bank mandate.
- If any of the registered bank accounts are closed/altered, please intimate the AMC in writing of such change with an instruction to delete/alter it from our records.
- 9. The Bank Account chosen as the primary/default bank account will be used for all Redemption payouts/Dividend payouts. At anytime, investor can instruct the AMC to change the default bank account by choosing one of the additional accounts already registered with the AMC.
- 10. If request for redemption is received prior to/together with a change of bank account or before verification and validation of the new bank account, the redemption request would be processed to the currently registered default (old) bank account.
- 11. If in a folio, purchase investments are vide SB or NRO bank account, the bank account types for redemption can be SB or NRO only. If the purchase investments are made vide NRE account(s), the bank account types for redemption can be SB/NRO/NRE.
- 12. The registered bank accounts will also be used to identify the pay-in proceeds. Hence, unit holder(s) are advised to register their bank accounts in advance using this facility and ensure that payments for ongoing purchase transactions are from any of the registered bank accounts only, to avoid fraudulent transactions and potential rejections due to mismatch of pay-in bank details with the accounts registered in the folio.
- 13. HSBC Mutual Fund, the AMC and its registrar shall not be held liable for any loss arising to the Unitholder(s) on account of inadequate or incomplete documentation resulting in delay or rejection of the request.

CALL US AT

Please visit our website www.assetmanagement.hsbc.co.in for an updated list of Official Points of Acceptance of HSBC Mutual Fund. Please visit www.camsonline.com for an updated list of Official Points of Acceptance of our Registrar/Transfer Agent: Computer Age Management System.

TOLL FREE NUMBERS

| Description | Investor related queries | Distributor related queries | Online related queries | Investor (Dialing from abroad) |
|------------------|--------------------------------------|-------------------------------------|---------------------------------|--------------------------------------|
| Toll Free Number | 1800-4190-200/1800-200-2434 | 1800-419-9800 | 1800-4190-200/1800-200-2434 | +91 44 39923900 |
| Email ID | investor.line@mutualfunds.hsbc.co.in | partner.line@mutualfunds.hsbc.co.in | onlinemf@mutualfunds.hsbc.co.in | investor.line@mutualfunds.hsbc.co.in |