

# Application Form (Except for HDFC Gold Exchange Traded Fund and HDFC Children's Gift Fund)

Investors must read the Key Information Memorandum, the instructions and Product Labeling on cover page before completing this Form. The Application Form should be completed in English and in **BLOCK LETTERS** only.

## KEY PARTNER / AGENT INFORMATION (Investors applying under Direct Plan must mention "Direct" in ARN column.) (Refer Instruction 1)

**FOR OFFICE USE ONLY  
(TIME STAMP)**

| ARN  | ARN Name | Sub Agent's ARN | Bank Branch Code | Internal Code for Sub-Agent/ Employee | Employee Unique Identification Number (EUIN) |
|------|----------|-----------------|------------------|---------------------------------------|--|
| ARN- |          |                 |                  |                                       |  |

### EUIN Declaration (only where EUIN box is left blank) (Refer Instruction 1)

I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this transaction is executed without any interaction or advice by the employee/relationship manager/sales person of the above distributor/sub broker or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor/sub broker.

|  |                               |                              |
|--|-------------------------------|------------------------------|
| Sign Here<br>First/ Sole Applicant/ Guardian | Sign Here<br>Second Applicant | Sign Here<br>Third Applicant |
|--|-------------------------------|------------------------------|

## TRANSACTION CHARGES FOR APPLICATIONS THROUGH DISTRIBUTORS ONLY (Refer Instruction 2)

In case the purchase/ subscription amount is Rs. 10,000 or more and your Distributor has opted in to receive Transaction Charges, the same are deductible as applicable from the purchase/ subscription amount and payable to the Distributor. Units will be issued against the balance amount invested. Upfront commission shall be paid directly by the investor to the ARN Holder (AMFI registered Distributor) based on the investors' assessment of various factors including the service rendered by the ARN Holder.

## 1. EXISTING UNIT HOLDER INFORMATION (IF YOU HAVE EXISTING FOLIO, PLEASE FILL IN SECTIONS viz. 1, 4, 6, 10 AND 13 ONLY. Refer instruction 3).

Folio No. \_\_\_\_\_ / \_\_\_\_\_ The details in our records under the folio number mentioned alongside will apply for this application.

## 2. MODE OF HOLDING [Please tick (✓)] Single Joint Anyone or Survivor

## 3. UNIT HOLDER INFORMATION (Refer instruction 4)

DATE OF BIRTH@

DD MM YYYY

Proof of date of birth@  Please (✓)

Attached

NAME OF FIRST / SOLE APPLICANT (In case of Minor, there shall be no joint holders)

Mr. Ms. M/s.

Nationality

PAN#/ PEKRN#

KYC# [Please tick (✓)]  Proof Attached (Mandatory)

NAME OF GUARDIAN (in case of First / Sole Applicant is a Minor) / NAME OF CONTACT PERSON – DESIGNATION (in case of non-individual Investors)

Mr. Ms.

Nationality

Designation

Contact No.

PAN#/ PEKRN#

KYC# [Please tick (✓)] (Mandatory)  Proof Attached

Relationship with Minor@ Please (✓)  Father  Mother  Court appointed Legal Guardian

Proof of relationship with minor@ Please (✓)  Attached @ Mandatory

MAILING ADDRESS OF FIRST / SOLE APPLICANT (Mandatory) (Refer Instruction 4a)

CITY

STATE

PIN CODE

CONTACT DETAILS OF FIRST / SOLE APPLICANT

Country Code

STD Code

Telephone : Off.

Res.

Fax

eAlerts Mobile

eDocs Email ^

I/ We would like to register for my/our HDFCFM Personal Identification Number (HPIN) to transact online as per the terms & conditions displayed on website:www.hdfcfund.com (Email id mandatory).

On providing email id Investors (individual with mode of holding as single and for HUFs) shall receive HPIN to transact online as per terms & conditions displayed on website.

^ On providing email-id investors shall receive scheme wise annual report or an abridged summary thereof/ account statements/ statutory and other documents by email. (Refer Instruction 10 & 12)

## 4. FIRST/ SOLE APPLICANT OTHER DETAILS (Mandatory) (Refer instruction 4)

4a. Status of First/ Sole Applicant [Please tick (✓)]  Individual  Non - Individual [Please attach Ultimate Beneficial Ownership (UBO) Declaration Form and FATCA/ Foreign Tax Laws Information Form] (Refer Instruction 4 & 19)

Resident Individual  NRI-Repatriation  NRI-Non Repatriation  Partnership  Trust  HUF  AOP  PIO  Company  FIs  Minor through guardian  BOI  OCI  Body Corporate  LLP  Society / Club  Foreign National Resident in India  QFI  FPI  Sole Proprietorship  Non Profit Organisation  Others (please specify)

4b. Occupation Details [Please tick (✓)]  Service  Private Sector  Public Sector  Government Service  Student  Professional  Housewife  Business

Retired  Agriculture  Proprietorship  Others (please specify)

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

OR

c. Net-worth (Mandatory for Non-Individuals) Rs. \_\_\_\_\_ as on DD MM YYYY (Not older than 1 year)

4d. Politically Exposed Person (PEP) Status (Also applicable for authorised signatories/ Promoters/ Karta/ Trustee/ Whole time Directors)  I am PEP  I am Related to PEP  Not Applicable

4e. Non-Individual Investors involved/ providing any of the mentioned services  Foreign Exchange / Money Changer Services  Gaming / Gambling / Lottery / Casino Services  Money Lending / Pawning  None of the above

## 5. JOINT APPLICANT DETAILS, If any (Refer instruction 4) (In case of Minor, there shall be no joint holders)

### 1. NAME OF SECOND APPLICANT

Mr. Ms. M/s.

Nationality

PAN#/ PEKRN#

KYC# [Please tick (✓)]  Proof Attached (Mandatory)

a. Occupation Details [Please tick (✓)]  Service  Private Sector  Public Sector  Government Service  Student  Professional  Housewife  Business

Retired  Agriculture  Proprietorship  Others (please specify)

b. Gross Annual Income (Rs.)  Below 1 Lac  1 - 5 Lacs  5 - 10 Lacs  10 - 25 Lacs  >25 Lacs - 1 Crore  >1 Crore OR Net worth Rs. \_\_\_\_\_

c. Politically Exposed Person (PEP) Status (Also applicable for authorised signatories/ Promoters/ Karta/ Trustee/ Whole time Directors)  I am PEP  I am Related to PEP  Not Applicable

# Please attach Proof. Refer instruction No 16 for PAN/PEKRN and No 18 for KYC.

## ACKNOWLEDGEMENT SLIP (To be filled in by the Investor) [For any queries please contact our nearest Investor Service Centre or call us at our Customer Service Number 1800 3010 6767 / 1800 419 7676 (Toll Free)]

HDFC MUTUAL FUND

Date :

Head Office : HUL House, 2nd Floor, H.T. Parekh Marg,  
165-166, Backbay Reclamation, Churchgate, Mumbai - 400 020.

ISC Stamp & Signature

Received from Mr. / Ms. / M/s. \_\_\_\_\_  
an application for Purchase of Units of the Scheme(s) alongwith Cheque / DD / Payment Instrument as detailed overleaf.

... continued overleaf

**5. JOINT APPLICANT DETAILS, If any (contd...) (Refer instruction 4) (In case of Minor, there shall be no joint holders)**

**2. NAME OF THIRD APPLICANT**

Mr. Ms. M/s. \_\_\_\_\_  
 Nationality \_\_\_\_\_ PAN#/ PEKRN# \_\_\_\_\_ KYC# [Please tick (✓)]  Proof Attached (Mandatory)

**a. Occupation Details [Please tick (✓)]**  Service  Private Sector  Public Sector  Government Service  Student  Professional  Housewife  Business  
 Retired  Agriculture  Proprietorship  Others \_\_\_\_\_ (please specify)

**b. Gross Annual Income (Rs.)**  Below 1 Lac  1 - 5 Lacs  5 - 10 Lacs  10 - 25 Lacs  >25 Lacs - 1 Crore  >1 Crore OR Net worth Rs. \_\_\_\_\_

**c. Politically Exposed Person (PEP) Status** (Also applicable for authorised signatories/ Promoters/ Karta/ Trustee/ Whole time Directors)  I am PEP  I am Related to PEP  Not Applicable

**6. FATCA INFORMATION/ FOREIGN TAX LAWS (for Individual including Sole Proprietor) (Self Certification) (Refer instruction 4)**

The below information is required for all applicant(s)/ guardian

Address Type:  Residential or Business  Residential  Business  Registered Office (for address mentioned in form/existing address appearing in Folio)

Is the applicant(s)/ guardian's Country of Birth / Citizenship / Nationality / Tax Residency other than India?  Yes  No

If Yes, please provide the following information [mandatory]

Please indicate all countries in which you are resident for tax purposes and the associated Tax Reference Numbers below.

| Category                   | First Applicant (including Minor) | Second Applicant/ Guardian | Third Applicant |
|----------------------------|-----------------------------------|----------------------------|-----------------|
| Place/ City of Birth       |                                   |                            |                 |
| Country of Birth           |                                   |                            |                 |
| Country of Tax Residency 1 |                                   |                            |                 |
| Tax Payer Ref. ID No. 1    |                                   |                            |                 |
| Country of Tax Residency 2 |                                   |                            |                 |
| Tax Payer Ref. ID No. 2    |                                   |                            |                 |
| Country of Tax Residency 3 |                                   |                            |                 |
| Tax Payer Ref. ID No. 3    |                                   |                            |                 |

**7. POWER OF ATTORNEY (PoA) HOLDER DETAILS**

Name of PoA Mr. Ms. M/s. \_\_\_\_\_  
 PAN#/ PEKRN# \_\_\_\_\_ KYC# [Please tick (✓)] (Mandatory)  Proof Attached

# Please attach Proof. Refer instruction No 16 for PAN/PEKRN and No 18 for KYC.

**8. BANK ACCOUNT DETAILS OF THE FIRST / SOLE APPLICANT (For redemption/ dividend if any) (refer instruction 5) (Mandatory to attach proof, in case the pay-out bank account is different from the bank account mentioned under Section 10 below.)**

For unit holders opting to hold units in demat form, please ensure that the bank account linked with the demat account is mentioned here.

Bank Name \_\_\_\_\_  
 Branch Name \_\_\_\_\_ Bank City \_\_\_\_\_  
 Account Number \_\_\_\_\_  
 MICR Code \_\_\_\_\_ (The 9 digit code appears on your cheque next to the cheque number)  
 Account Type (Please ✓)  Savings  Current  NRO  NRE  FCNR  Others (please specify) \_\_\_\_\_  
 IFSC Code\*\*\* \_\_\_\_\_  
\*\*\* Refer Instruction 5C (Mandatory for Credit via NEFT / RTGS) (11 Character code appearing on your cheque leaf. If you do not find this on your cheque leaf, please check for the same with your bank)

**9. MODE OF PAYMENT OF REDEMPTION / DIVIDEND PROCEEDS VIA NEFT / ECS / DIRECT CREDIT (refer instruction 11)**

Unitholders will receive redemption/ dividend proceeds directly into their bank account (as furnished in Section 8) via Direct credit/ NEFT/ECS facility  
 I/We want to receive the redemption / dividend proceeds (if any) by way of a demand draft instead of direct credit / credit through NEFT system / credit through ECS into my / our bank account

**10. INVESTMENTS & PAYMENT DETAILS [Please (✓)] (refer instruction 6 & 7 for Scheme details and instruction 8 & 9 for Payment Details) The name of the first/ sole applicant must be pre-printed on the cheque.**

|  |   |  |                    |                       |                        |   |
|--|---|--|--------------------|-----------------------|------------------------|---|
| <input type="checkbox"/> <b>Regular Plan</b> (Purchase/ Subscription routed through Distributor)<br>Mention valid ARN in Key Partner/ Agent Information                                      | <input type="checkbox"/> <b>Direct Plan</b> (Purchase/ Subscription made directly with the Fund)<br>Mention <b>DIRECT</b> in Key Partner/ Agent Information |  |                    |                       |                        |   |
| For Default Plan (viz. Direct / Regular Plan) refer instruction 7.   |   |  |                    |                       |                        |   |
| <b>Scheme/Plan/Sub Option</b> _____  |   |  |                    |                       |                        |   |
| Payment Type [Please (✓)] <input type="checkbox"/> <b>Non-Third Party Payment</b> <input type="checkbox"/> <b>Third Party Payment</b> (Please attach 'Third Party Payment Declaration Form') |   |  |                    |                       |                        |   |
| Cheque/ DD/ Payment Instrument/ UTR No.  | Cheque/ DD/ Payment Instrument/ UTR Date  | Amount of Cheque / DD / Payment Instrument / RTGS/ NEFT in figures (Rs.) | DD Charges, if any | Net Cheque/ DD Amount | Drawn on Bank / Branch | Pay-In Bank Account No. (For Cheque Only) |
|  |   |  |                    |                       |                        |   |

| Particulars  |   |                                    |                         |
|--|---|------------------------------------|-------------------------|
| Scheme Name / Plan / Option / Sub-option / Payout Option | Cheque / DD / Payment Instrument / UTR No. / Date | Drawn on (Name of Bank and Branch) | Amount in figures (Rs.) |
|  |   |                                    |                         |

Please Note: All Purchases are subject to realisation of cheques / demand drafts / Payment Instrument.

**11. UNIT HOLDING OPTION**     **DEMAT MODE\***     **PHYSICAL MODE (Default)**    ( refer instruction 13)

\*Demat Account details are mandatory if the investor wishes to hold the units in Demat Mode

|             |               |                               |   |   |                         |       |
|-------------|---------------|-------------------------------|---|---|-------------------------|-------|
| <b>NSDL</b> | DP Name _____ | DP ID                         | I | N | Beneficiary Account No. | _____ |
| <b>CDSL</b> | DP Name _____ | Beneficiary Account No. _____ |   |   |                         |       |

\*Investor opting to hold units in demat form, may provide a copy of the DP statement enable us to match the demat details as stated in the application form.

**12. NOMINATION (refer instruction 15) (Mandatory for new folios of Individuals where mode of holding is single) (For Units in Non-Demat Form)**

[Please (✓) and sign]     I/We do not wish to Nominate

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

\_\_\_\_\_  
Second Applicant

\_\_\_\_\_  
Third Applicant

OR

I/We wish to nominate as under:

| Name and Address of Nominee(s) | Date of Birth                                    | Name and Address of Guardian | Signature of Nominee (Optional)/<br>Guardian of Nominee (Mandatory) | Proportion (%) in which<br>the units will be shared by<br>each Nominee<br>(should aggregate to 100%) |
|--------------------------------|--|------------------------------|---|--|
|                                | (to be furnished in case the Nominee is a minor) |                              |   |  |
| Nominee 1                      |  |                              |   |  |
| Nominee 2                      |  |                              |   |  |
| Nominee 3                      |  |                              |   |  |

**13. DECLARATION & SIGNATURE/S (refer instruction 14)**

I/We am/are not prohibited from accessing capital markets under any order/ruling/judgment etc., of any regulation, including SEBI. I/We confirm that my application is in compliance with applicable Indian and foreign laws. I/We hereby confirm and declare as under:-

- I / We have read, understood and hereby agree to comply with the terms and conditions of the scheme related documents and apply for allotment of Units of the Scheme(s) of HDFC Mutual Fund ('Fund') indicated above.
- I/We am/are eligible Investor(s) as per the scheme related documents and am/are authorised to make this investment as per the Constitutive documents/ authorization(s). The amount invested in the Scheme(s) is through legitimate sources only and is not for the purpose of contravention and/or evasion of any act, rules, regulations, notifications or directions issued by any regulatory authority in India.
- The information given in / with this application form is true and correct and further agree to furnish such other further/additional information as may be required by the HDFC Asset Management Company Limited (AMC)/ Fund and undertake to inform the AMC / Fund/Registrars and Transfer Agent (RTA) in writing about any change in the information furnished from time to time.
- That in the event, the above information and/or any part of it is/are found to be false/ untrue/ misleading, I/We will be liable for the consequences arising therefrom.
- I/We hereby authorize you to disclose, share, remit in any form/manner/mode the above information and/or any part of it including the changes/updates that may be provided by me/us to the Mutual Fund, its Sponsor/s, Trustees, Asset Management Company, its employees, agents and third party service providers, SEBI registered intermediaries for single updation/ submission, any Indian or foreign statutory, regulatory, judicial, quasi- judicial authorities/agencies including but not limited to Financial Intelligence Unit-India (FIU-IND) etc without any intimation/advice to me/us.
- I/We will indemnify the Fund, AMC, Trustee, RTA and other intermediaries in case of any dispute regarding the eligibility, validity and authorization of my/our transactions.
- The ARN holder (AMFI registered Distributor) has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him/them for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us.
- I/WE HEREBY CONFIRM THAT I/WE HAVE NOT BEEN OFFERED/ COMMUNICATED ANY INDICATIVE PORTFOLIO AND/ OR ANY INDICATIVE YIELD BY THE FUND/AMC/ITS DISTRIBUTOR FOR THIS INVESTMENT.**

**For Foreign Nationals Resident in India only:**

I/We will redeem my/our entire investment/s before I/We change my/our Indian residency status. I/We shall be fully liable for all consequences (including taxation) arising out of the failure to redeem on account of change in residential status.

**For NRIs/ PIO/OCIs only:**

I/We confirm that my application is in compliance with applicable Indian and foreign laws.

Please (✓)     Yes     No    If Yes, (✓)     Repatriation basis     Non-repatriation basis

**SIGN HERE** ↻

(Please write Application Form No. / Folio No. on the reverse of the Cheque / Demand Draft / Payment Instrument.)

**SIGNATURE(S)**

|                                   |  |
|-----------------------------------|--|
| First / Sole Applicant / Guardian |  |
| Second Applicant                  |  |
| Third Applicant                   |  |

## CHECKLIST

☞ Please ensure that your Application Form is complete in all respect and signed by all applicants:

- Name, Address and Contact Details are mentioned in full.
- Status of First/Sole Applicant is correctly indicated.
- Bank Account Details are entered completely and correctly.
- Permanent Account Number (PAN) of all Applicants is mentioned irrespective of the amount of purchase and proof attached (if not already validated) OR PAN Exempt KYC Reference Number (PEKRN) in case of PAN exempt investment.
- Please attach proof of KYC Compliance status if not already validated.
- Appropriate Plan / Option is selected.
- If units are applied by more than one applicant, Mode of Operation of account is indicated.

☞ Your investment Cheque / DD is drawn in favour of **'the Specific Scheme A/c PAN' or 'the Specific Scheme A/c Investor Name'** dated, signed and crossed 'A/c Payee only'. Application Number / Folio No. is mentioned on the reverse of the Cheque/DD.

☞ Documents as listed below are submitted along with the Application Form (as applicable to your specific case).

| Documents   | Companies / Trusts / Societies/ Partnership Firms / LLP / FIs* | FPI | NRI/ OCI/ PIO | Minor | Investments through Constituted Attorney |
|---|--|-----|---------------|-------|--|
| 1. Board/ Committee Resolution/ Authority Letter  | ✓  |     |               |       |  |
| 2. List of Authorised Signatories with Specimen Signature(s) @  | ✓  | ✓   |               |       | ✓  |
| 3. Notarised Power of Attorney  |  |     |               |       | ✓  |
| 4. Account Debit Certificate in case payment is made by DD from NRE / FCNR A/c. where applicable                                |  |     | ✓             |       |  |
| 5. PAN Proof  | ✓  | ✓   | ✓             | ✓#    | ✓  |
| 6. KYC Acknowledgement Letter / Print out of KYC Compliance Status downloaded from CDSL Ventures Ltd. website (www.cvindia.com) | ✓  | ✓   | ✓             | ✓#    | ✓  |
| 7. Proof of Date of Birth   |  |     |               | ✓     |  |
| 8. Proof of Relationship with Guardian  |  |     |               | ✓     |  |
| 9. PIO / OCI Card (as applicable)   |  |     | ✓             |       |  |
| 10. Certificate of registration granted by Designated Depository Participant on behalf of SEBI                                  |  | ✓   |               |       |  |

@ Should be original or true copy certified by the Director / Trustee / Company Secretary / Authorised Signatory / Notary Public, as applicable.

\* For FIs, copy of SEBI registration certificate should be provided. # If PAN/PEKRN/KYC proof of Minor is not available, PAN/PEKRN/KYC proof of Guardian should be provided.