

Scheme

DSP

Cheque no.

Amount

Please read Product labeling details available on cover page and instructions before filling this Form

MOTOAL FUND	,		Application No.:
Distributor / RIA / PMRN Name and ARN / Code	Sub Broker ARN & Name Sub Broker/Branch/RM Interna	al Code EUIN (Refer note below)	For Office use only
•	y left blank by me/us as this is an "execution-on the AMFI registered Distributors based on the investor	·	n or advice by the distributor personnel concerned
factors including the service rendered by the distrib	outor.		
I am a First Time Investor in Mutual FurFIRST APPLICANT'S DETAILS	nd Industry. \square I am an Existing Investor i	n mutual Fund Industry.	The Approant Solghaeare mandaeony
Name of First Applicant (Should mat	ch with PAN)		Date of Birth (1st Appl / Minor) (attach proof)
			D D / M M / Y Y Y
Name of Guardian (if minor)/POA/Co	ontact Person		Date of Birth (Guardian)
Existing Folio	PAN (1st Appl / Guardian)		Guardian is: ☐ Father ☐ Mother ☐ Court Appointed
CKYC - KIN	PAN of POA	☐ KYC attached	
CONTACT DETAILS AND CORRESPO	NUDENCE ADDRESS (As not IVV records	s) NDI Investore should montion	their Oversee address (Defer instructions)
Email ID	UNDENCE ADDRESS (As per KYC records	s) NRI Investors should mention	their Overseas address (Refer instructions)
(in capital)	T-1 (5TD 5 - 4-)		Address Type (Mandatory) a. Residential & Business
Mobile +91	Tel (STD Code)		□ b. Residential
Address			☐ c. Business☐ d. Registered Office
_andmark			
City	Pin Code	State	
B. KYC DETAILS (Mandatory)	(Mandatory)	State	
<u> </u>	se tick✔) ○ Indian Resident Individual ○ Min	oor (Resident) O Minor (Renatriable)	Minor (Non Repatriable)
Are you a Non-Profit Organization [N	Defence Establishment ○ NPS Trust ○ Others NPO] or Company u/s 25 (Companies Act 195 ✓) ○ Private Sector Service ○ Public Sec ○ Student ○ Forex Dealer ○ Others	56) or u/s 8 of Companies, Act, 201 ctor Service O Government Service	3: ☐ Yes ☐ No e ○ Business ○ Professional
3c. Gross Annual Income (Please tic	k ✔) ○ Below 1 Lac ○1-5 Lacs ○5- -Individuals) ₹		5 Lacs-1 crore ○>1 crore M
	O Not Applicable O I am Politically Expose		
4. JOINT APPLICANTS (IF ANY) DETAI			
P Mode of Holding (Please tick ✓)	☐ Joint (Default) ☐ Anyone	e or Survivor	Date of Birth
2nd Applicant (Should match with PAN) PAN	CKYC - KIN		D D / M M / Y Y Y Y
a. Occupation Details (Please tick	✓) ○ Private Sector Service ○ Public Sector	Service O Government Service O	Business O Professional
	rife OStudent OForex Dealer OOther		
	:k ✔) ○ Below 1 Lac ○ 1-5 Lacs ○ 5-10 blicable ○ Politically Exposed Person (PEP)		
3rd Applicant		Date of	Birth
Should match with PAN) PAN	CKYC - KIN		
a. Occupation Details (Please tick	/) O Private Sector Service O Public Sector	Service O Government Service O	Business O Professional
b. Gross Annual Income (Please tic	rife ○Student ○ Forex Dealer ○ Other :k ✔) ○Below 1 Lac ○ 1-5 Lacs ○ 5-10	Lacs ○ 10-25 Lacs ○ >25 Lacs-1	crore ○>1 crore
	olicable O Politically Exposed Person (PEP)		
ACKNOWLEDGEMENT SLIP (To be filled	d in by the investor)		DSP MUTUAL FUND
	application for purchase of Units as mentionedin the ap	oplication form.	
From	,		Application No.

5. FATCA and CF	RS DETAIL	S																
Sole	First Appl	icant/Gu	ardian				☐ 3rd Applicant ☐ POA											
Place & Country	of Birth	PLAC	E COUN	ITRY	Place 8	t Country	of Birth	PLAC	E	COU	NTRY	Place	& Count	ry of Bii	rth	PLACE	:	COUNTRY
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3					3							3						
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Debit Mandate Checklist:

☐ DEBIT MANADATE FORM

☐SIP FORM

- Distributor code & details, if any,
 Bank Account Number, Bank Name, IFSC or MICR Code
 Amount in words AND in Figures, as you would in a cheque (your maximum limit)

 • Your NAME and SIGNATURE as in your bank account

SIP Registration Checklist:

- Distributor code & details, if any,
 Name, Folio No. / Application No.
- Scheme/s details
 Date, Other details

•	Date, Other	L
•	Signature/s	

Distributor / RIA / PMRN Name and ARN / Code Sub Broker ARN & Name											Sub Broker/Branch/ RM Internal Code			EUIN (Refer note below)					For Office use only							
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Website: www.dspim.com | E-mail: service@dspim.com | Contact Centre: 1800-208-4499 / 1800-200-4499

Terms and Conditions and Instructions

For detailed terms and conditions on SIP, including for OTM facility,

please visit our website www.dspim.com and also refer to scheme related documents.

- Investors who have already submitted an OTM form 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, such investors if wish to add a new bank account towards OTM facility may fill the form.
- Other investors, who have not registered for OTM facility, may fill the OTM form and submit duly signed with their name mentioned.
- Mobile Number and Email Id: Unit holder(s) should mandatorily provide their mobile number and email id on the mandate form. Where the mobile number and email id mentioned on the mandate form differs from the ones as already existing in the folio, the details provided on the mandate will be updated in the folio. All future communication whatsoever would be, thereafter, sent to the updated mobile number and email id.
- Unit holder(s) need to provide along with the mandate form an original cancelled cheque (or a copy) with name and account number pre-printed of the bank account to be registered or bank account verification letter for registration of the mandate failing which registration may not be accepted. The Unit holder(s) cheque/bank account details are subject to third party verification.
- With the introduction of One Time mandate (OTM) facility, the mandate registration and SIP registration through OTM facility has been delinked. There are two separate forms, 1) for one-time mandate registration and 2) for SIP Registration.
- Where a onetime mandate is already registered in a folio for a bank account, the Unit Holder(s) will have to fill only the SIP Registration Form and there is no need of a separate cheque to be given along with the SIP Registration Form.
- The total of all installments in a day should be less than or equal to the amount as mentioned in One Time Mandate already registered or submitted, if not registered.
- Where the mandate form and the SIP registration form are submitted together, debits for the SIP may happen only on successful registration of the mandate by the Unit holder(s) bank. The Fund / AMC would present the SIP transactions without waiting for the confirmation of the successful registration from the Unit holder(s)' bank.
- In case the onetime mandate is successfully registered, new SIP registration will take upto five days. The first debit may happen any time thereafter, based on the dates opted by the Unit holder(s).
- While the Fund and RTA reserve the right to enhance the SIP period to ensure minimum installments as per respective scheme offer documents, even if the investor has submitted the form late or requested for a period less than minimum installments, they may reject the applications for less than minimum installments.
- If start date for SIP period is not specified, SIP will be registered to start anytime from a period after five days from the date
 of receipt of application based on the SIP date available / mentioned, subject to mandate being registered. If end date is
 not specified or is opted as 'Perpetual', SIP will be registered till December 2099 or end date of mandate, whichever is
 earlier.
- If any time during the SIP period, the onetime mandate is to be modified to reduce the validity period which is more than SIP end period registered through OTM, investor should first cancel the SIP and thereafter modify the OTM end period.
- In case of Micro SIP application without PAN, the investor/s hereby declare that they do not have any existing Micro SIPs with DSP Mutual Fund which together with the current application will result in aggregate investments exceeding Rs. 50,000 in a year.
- In case the selected 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/date.
- For SIPs through OTM, the maximum per installment amount after Top-Up shall not exceed Rs. 5 lakhs or the maximum amount mentioned in OTM form, whichever is less.
- The Top-up details cannot be modified once enrolled. In order to make any changes, the investor needs to cancel the existing SIP and enroll for a fresh SIP with Top-up option.
- DSP Mutual Fund or the AMC, its registrars and other service providers are not responsible if the registration and subsequent transaction are delayed or not effected or the investor's bank account is debited in advance or after the specific SIP date due to local holidays or any other reason.
- Investors are deemed to have read and understood the terms and conditions of OTM Facility, SIP registration through OTM facility, the Scheme Information Document, Statement of Additional Information, Key Information Memorandum, Instructions and Addenda issued from time to time of the respective Scheme(s) of DSP Mutual Fund.

Page 1 of 2

FATCA, CRS AND ADDITIONAL KYC

Authorized Signatories [with Company/Trust/Firm/Body Corporate seal]

Details and Declaration form Mandatory for Non-Individual Investors, including HUF MUTUAL FUND
Please refer Page 2 for Definitions / Instructions / Guidance

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- 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	FI 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;

- 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 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
А	An organization exempt from tax under section 501(a) or any individual retirement 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)
E	A corporation that is a member of the same expanded affiliated group as a corporation described in Reg. section 1.1472-1(c)(1)(i)
F	A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as 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 at 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 581
K	A broker
L	A trust exempt from tax under section 664 or described in section 4947(a)(1)
М	A tax exempt trust under a section 403(b) plan or section 457(g) plan
14	Owner Documented FI

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)
- 3 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.
- 7 Owner documented FI: FI An meeting the following (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.



(Mandatory for Non-Individual Applicants/Investors, including HUF)

Ultimate Beneficial Ownership (UBO) Declaration form

This declaration is NOT needed for Companies that are Listed on any recognized stock exchange in India or is a Subsidiary of such Listed Company or is Controlled by such Listed Company A: APPLICANT/INVESTOR DETAILS:

		[nlease specify]		ation in the given	Occupation		□ Service	☐ Business	☐ Others	□ Service	☐ Business	☐ Others	□ Service	☐ Business	□ Others	☐ Service	☐ Business	□ Others	□ Service	☐ Business	□ Others	
				ient, required informa	Nationality																	
Application No.:		a Will Others		given rows are not suffici	Father's Name	Mandatory, if PAN not provided																
4		st created by	or created by	erson. If the	Gender [Male, Female, others]	, if PAN no																
		3: CATEGORY [tick applicable category]: Unlisted Company Partnership Firm 11 P Uninconcrated association / body of individuals Public Charitable Trust Private Trust Trust created by a Will Others	not adequate, please attach multiple declaration forms)	Please list below each controlling person, confirming ALL countries of tax residency / permanent address / citizenship and ALL Tax Identification Numbers for EACH controlling person. If the given rows are not sufficient, required information in the given format can be enclosed as additional sheet(s) duly signed by Authorized Signatories.	Address & Contact details [include City, Pincode, State, Country	Mandatory																
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ii		B: CATEGORY [tick applicable category]:	C: DETAILS OF ULTIMATE BENEFICIAL OWNERS (if the given space below is	se list below each cor at can be enclosed as a	Name of UBO [Mandatory]																	
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1 / We have understood the information requirements of the application form, including FATCA and CRS requirements, terms and conditions (read along with instructions and scheme related documents) and hereby accept the same and further confirm that the information provided by me/us on this form are true, correct, and complete. I /We acknowledge and confirm that the information provided above is/are true and correct to the best of my/our knowledge and belief and provided after necessary consultation with tax professionals.

Authorized Signatories [with Company/Trust/Firm/Body Corporate seal] Date: Page 1 of 2