

Letter of Instruction

(One Letter of Instruction can be used for transacting in schemes of a single Mutual Fund House only)

Distributor code: HSBCQN

Date: _____

The Manager,

The Hongkong and Shanghai Banking Corporation Limited, India (HSBC India) _____ (Branch)

I/We _____ (Name) PAN [] [] [] [] [] [] [] [] [] [] wish to transact in Mutual Funds (MFs) with

singling instructions **Singly** **Jointly as per authorised signatory list shared with the Bank**

Account Number (with HSBC India authorised to debit/credit for MF transactions and fees): []

- **I/We confirm that No blank or partially completed documents should be signed and handed over to any employee of HSBC India and I/we shall be solely liable and responsible for misuse of any such blank or partially completed documents and shall not hold HSBC India liable and/or responsible in any manner whatsoever in relation to the same**
- I/We have been informed by the HSBC India staff that a telephonic confirmation on a recorded line may be carried out based on your internal policies before processing my/our MF transaction instruction and I am aware that the instruction will not be processed by HSBC India unless such a telephonic confirmation has been successfully completed
- I/We have been explained the key features and internal risk rating of the products and I'm aware more details of this are available in the HSBC Product Risk Rating document (HPRR) available on the website <http://www.hsbc.co.in/1/2/personal/investments>
- I/We do hereby declare that the amount being invested by me/us in the scheme(s) is derived through legitimate sources and is not held or designed for the purpose of contravention of any acts, rules, regulations, statute, legislation, notifications, any other applicable laws, directions issued by any governmental and/or statutory authority from time to time
- **Wealth Management (WM) services tariff plan:** I/We have read and understood the terms and conditions applicable for the tariff plans for Wealth Management Services available on HSBC India's website and I/we agree to the same. I/We understand that the tariff plans are subject to change and I/we agree to pay the charges as applicable from time to time.
- I/We have read and understood the terms and conditions for Wealth Management Services of the Bank which are available on <http://www.hsbc.co.in/1/2/personal/investments> and agree to abide by the same
- I/We confirm that for all fax/e-mail instructions sent by the customer to HSBC India, pursuant to executing the QNIS/fax/e-mail indemnity by the customer, the instructions received by HSBC India by way of facsimile messages shall be deemed to be the original letter of instructions and all actions based on the faxed message taken by HSBC India would be binding upon the customer

Important information: If investment option is not provided or indicated incorrectly in the below table/tables, 'Growth' option will be the default investment option.

Purchase/Additional Purchase/Redemption

Transaction type	Fund name	Investment option	Folio No. (if existing folio)	₹/Units
<input type="radio"/> Invest in <input type="radio"/> Additional Purchase <input type="radio"/> Redeem		<input type="radio"/> Growth <input type="radio"/> Dividend Payout <input type="radio"/> Dividend Reinvestment		<input type="radio"/> ₹ _____ <input type="radio"/> Units _____ <input type="radio"/> All
<input type="radio"/> Invest in <input type="radio"/> Additional Purchase <input type="radio"/> Redeem		<input type="radio"/> Growth <input type="radio"/> Dividend Payout <input type="radio"/> Dividend Reinvestment		<input type="radio"/> ₹ _____ <input type="radio"/> Units _____ <input type="radio"/> All
<input type="radio"/> Invest in <input type="radio"/> Additional Purchase <input type="radio"/> Redeem		<input type="radio"/> Growth <input type="radio"/> Dividend Payout <input type="radio"/> Dividend Reinvestment		<input type="radio"/> ₹ _____ <input type="radio"/> Units _____ <input type="radio"/> All

Systematic Investment Plan (SIP)/Systematic Withdrawal Plan (SWP)

Transaction type	Fund name	Investment option	Folio No. (if existing folio)	₹/Units	Start date (DD-MM-YYYY)	End date (DD-MM-YYYY)	No. of weeks/months
<input type="radio"/> SIP <input type="radio"/> SWP		<input type="radio"/> Growth <input type="radio"/> Dividend Payout <input type="radio"/> Dividend Reinvestment		<input type="radio"/> ₹ _____ <input type="radio"/> Units _____ <input type="radio"/> All			
<input type="radio"/> SIP <input type="radio"/> SWP		<input type="radio"/> Growth <input type="radio"/> Dividend Payout <input type="radio"/> Dividend Reinvestment		<input type="radio"/> ₹ _____ <input type="radio"/> Units _____ <input type="radio"/> All			



Switch/Systematic Transfer Plan (STP)

Transaction type	Fund name	Investment option	Folio No. (if existing folio)	₹/Units	Start date (DD-MM-YYYY)	End date (DD-MM-YYYY)	No. of weeks/months
Switch out from		<input type="radio"/> Growth <input type="radio"/> Dividend Payout <input type="radio"/> Dividend Reinvestment		<input type="radio"/> ₹ _____ <input type="radio"/> Units _____ <input type="radio"/> All			
and into		<input type="radio"/> Growth <input type="radio"/> Dividend Payout <input type="radio"/> Dividend Reinvestment					
Switch out from		<input type="radio"/> Growth <input type="radio"/> Dividend Payout <input type="radio"/> Dividend Reinvestment		<input type="radio"/> ₹ _____ <input type="radio"/> Units _____ <input type="radio"/> All			
and into		<input type="radio"/> Growth <input type="radio"/> Dividend Payout <input type="radio"/> Dividend Reinvestment					

I/We confirm that I/we have read and understood and reviewed the contents of the Scheme Information Document (SID), Statement of Additional Information (SAI), Offer document, Key Information Memorandum (KIM) and addendums as issued from time to time prior to investing in the MF schemes, the generic Key Features Document (KFD), product risk rating, important customer information and risk factors of the schemes and agree to abide by and be bound by the terms, conditions, rules and regulations thereof.

The Bank/employee has disclosed to me/us the Schedule of Commissions (in the form of trail commission or any other mode), payable to HSBC India, for the different competing schemes of various MFs from amongst which the scheme is being suggested, prior to investing. The same is hosted on HSBC India’s website.

I/We, am/are aware that HSBC India does not distribute wealth management investment products to US person. For the purpose, a US person means and includes but not limited to person/entities listed below:

- (a) Individual is a US citizen (including all person born in the US) or US national or US green card holder or has a US address (correspondence, residence or business address).
- (b) Individual has been in the US on at least 31 days during the current calendar year and 183 days during the 3 year period that includes the current year and the 2 preceding years.
- (c) Entities (including trust) which have been created or organised under the US federal or state law or incorporated in the US.
- (d) Entities regardless of place of creation or organization that has been formed and/or owned by one or more US person (defined above), who directly or indirectly, holds ownership, or where a US person is general partner, managing member, managing director, settlor/founder/trustee or beneficiary of trust, executor or administrator of an estate, or other position with authority for directing the entity’s activities.
- (e) Entities regardless of place of creation or organisation that is engaged in an active trade or business in the US or is any agency or branch of entity located in the US.
- (f) For HUF, any coparcener, karta or any other individual/entity with authority for directing or controlling the HUF’s activities is a US person (defined above).
- (g) For societies, any member, share bearer, office bearer/committee member, chairman, secretary or any other individual/entity with authority for directing or controlling the society’s activities is a US person (defined above).

I/We understand the above and hereby confirm/declare that I/we are not a US person.

1st Applicant Name _____ PAN Signature of 1st Applicant _____ (SV)

2nd Applicant Name _____ PAN Signature of 2nd Applicant _____ (SV)

Important Notes on Cut-off timings for MF transaction instructions

Equity/Debt funds: For all valid instructions placed on or before 14:00 Hrs. IST of a Business Day (as defined in the MF Scheme Information Document - SID), same day NAV shall be applicable. For all valid instructions received post 14:00 Hrs. IST of a Business Day, NAV of next Business Day shall be applicable. In the event of a late receipt of letter of instruction or delay in processing your transaction instruction, you will receive a call back to confirm the applicable NAV date for your transaction instruction.

Liquid Funds: For all valid instructions placed on or before 12:00 Hrs. IST of a Business Day, closing NAV of previous Business Day shall be applicable. For all valid instructions received post 12:00 Hrs. IST of a Business Day, closing NAV of the same business day shall be applicable. In the event of a late receipt of letter of instruction or delay in processing your transaction instruction, you will receive a call back to confirm the applicable NAV date for your transaction instruction.