

# DSP BLACKROCK MUTUAL FUND

Website : www.dspblackrock.com  
E-mail : service@dspblackrock.com  
Contact Centre: 1-800-200-4499

## ACKNOWLEDGEMENT SLIP

Acknowledgement is subject to verification. Request may not be processed in case of incomplete / ambiguous / improper / incorrect details in Transaction Form.

Investor Name

Folio Number

Scheme

DSP BlackRock

Plan / Option / Sub Option

Additional Purchase or  SIP (PDC)

Total Amount (Rs.)

Total Cheques

Cheques No.(s)

From

To

Redemption or  Switch

Amount (Rs.)

OR Units

PAN and KYC Updation

PoA Registration

STP or  SWP or  DTP

ISC Stamp & Signature

**FINANCIAL  
TRANSACTIONS**

# DSP BLACKROCK MUTUAL FUND

## COMMON TRANSACTION FORM

(For Existing Investors only)

## FINANCIAL TRANSACTIONS

Please fill only in the space provided. Any additional details/notings/instructions or those provided at a non designated area of the form may not be executed. Kindly strike off the unused Sections of the Form to avoid misuse. Please use separate Transaction Form for each Transaction and for each Scheme / Plan and Kindly refer Instructions overleaf.

Upfront commission shall be paid directly by the investor to the AMFI registered Distributors based on the investors' assessment of various factors including the service rendered by the distributor.

Distributor Name and ARN	Sub Broker Code	Branch / RM Code
ARN-82793		

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

Existing Folio Number      Scheme Name / Plan\* / Option\* / Sub Option\*

DSP BlackRock

### ADDITIONAL PURCHASE (Cheque/DD to be drawn in favour of 'Name of the Scheme')

Payment Mode:  Cheque  DD  RTGS  NEFT  Funds transfer

Amount in Words (Refer instructions overleaf on Third Party payments)

Amount in Figures      Cheque / DD / RTGS / NEFT No.

Rs.

Payment from Bank A/c No.      Cheque / Payment Date

Pay In A/c No. (Mandatory)

Cheque / DD Drawn on / Payment from Bank & Branch

Documents Attached to avoid Third Party Payment Rejection, where applicable :

Bank Certificate, for DD  Third Party Declaration

### REDEMPTION (Write Scheme Name, Plan / Option / Sub Option on top)

Amount in Figures      Amount in Words

Rs.

OR (Please note that the Redemption can be done either in Units or in Amount and not in both)

Units in Figures      Units in Words

### Bank Account for This Redemption Proceeds (This should NOT be construed as "Change of Bank Mandate" request. Refer Instructions overleaf.)

I/We agree that the redemption proceeds should be sent entirely at our risk to the following bank account, if already registered with the fund or to the default bank account if no bank account is mentioned here.

Bank Name

Account No.

**Important Note:** Unregistered bank account will not be considered, even if mentioned here. To change bank account, investors should avail multiple bank account registration facility and use a specific designated form for this purpose. If unit holder(s) provide a new and unregistered bank mandate with the redemption request (with or without necessary supporting documents) such bank account will not be considered for payment of redemption proceeds and will not be registered.

\* Default Option may be applied in case of no information, ambiguity or discrepancy.

### SWITCH (Write switch-out Scheme Name, Plan / Option / Sub Option on top)

Amount in Figures      Amount in Words

Rs.

OR (Please note that the Switch can be done either in Units or in Amount and not in both)

Units in Figures      Units in Words

Switch-in To Scheme / Plan / Option\* / Sub Option\*

DSP BlackRock

### PAN AND KYC UPDATION

Sole / First Applicant / Guardian

Second Applicant / Guardian

Third Applicant / Guardian

### KYC LETTER

Attached

Attached

Attached

### PoA (Power of Attorney) REGISTRATION DETAILS (Refer Instructions overleaf)

Name of the PoA holder

PAN of the PoA holder

Attached  KYC Letter (Mandatory)

Notarized copy of PoA

### DECLARATION & SIGNATURES

Having read and understood the contents of the Scheme Information Document and Statement of Additional Information, Key Information Memorandum and Instructions overleaf and Addenda issued from time to time of the respective Scheme(s), I / We, hereby apply to the Trustee of DSP BlackRock Mutual Fund for Units of the relevant Scheme and agree to abide by the terms and conditions, rules and regulations of the Scheme. I / We have neither received nor been induced by any rebate or gifts, directly or indirectly in making this investment. I / We declare that the amount invested in the Scheme is through legitimate sources only and is not designed for the purpose of contravention or evasion of any Act, Regulation, Rule, Notification, Directions or any other applicable laws enacted by the Government of India or any Statutory Authority. The ARN holder has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us. **Applicable to NRIs only :** I/We confirm that I am/We are Non-Resident(s) 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(s).

Sole / First Holder

Second Holder

Third Holder

(To be signed as per Mode of Holding)

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

Folio Number \_\_\_\_\_ Scheme Name / Plan / Option\* / Sub Option\*  
DSP BlackRock

Distributor Name and ARN	Sub Broker Code	Branch / RM Code
ARN-82793		

Upfront commission shall be paid directly by the investor to the AMFI registered Distributors based on the investors' assessment of various factors including the service rendered by the distributor.

**SYSTEMATIC INVESTMENT PLAN (SIP) POST DATED CHEQUES (PDC)**  
 (Separate Cheque required for investment in different Scheme / Plan)  
 All Cheques should be of same date of the months / quarters.

Each SIP Amount (minimum Rs. 500) Rs. \_\_\_\_\_

SIP Date  1st  7th  14th  21st  28th

Investment Frequency  Monthly  Quarterly

SIP Period From DD / MM / YY To DD / MM / YY  
 (Minimum 12 installments, 6 in case of DSPBR TaxSaver Fund)

Cheque Nos. From \_\_\_\_\_ To \_\_\_\_\_

Drawn on Bank \_\_\_\_\_

Branch \_\_\_\_\_ City \_\_\_\_\_

**SYSTEMATIC TRANSFER PLAN (STP) (Please allow 7 days to register STP)**

**STP in To Scheme**  
 DSP BlackRock

**Plan / Option\* / Sub Option\***  
 \_\_\_\_\_

**Transfer Amount**  Fixed Sum of Rs. \_\_\_\_\_ (Minimum Rs.500/-)  
 Capital Appreciation, subject to Minimum of Rs.500/-

Transfer Date  1st\*  7th  14th  21st  28th  All five Dates

Frequency  Monthly\*  Quarterly \* Default Option

Transfer Period (Period to cover - minimum 6 STP transactions) From DD / MM / YY To DD / MM / YY

**Investments done in schemes through STP will be treated as investments through SIP and the load structure for SIP will be applicable.**

**SYSTEMATIC WITHDRAWAL PLAN (SWP) (Please allow 7 days to register SWP)**

**Withdrawal Amount**  Fixed Sum of Rs. \_\_\_\_\_ (Minimum Rs.500/-)  
 Capital Appreciation, subject to Minimum of Rs.500/-

Withdrawal Date  1st\*  7th  14th  21st  28th  All five Dates

Frequency  Monthly\*  Quarterly \* Default Option

Withdrawal Period (Period to cover - minimum 6 SWP transactions) From DD / MM / YY To DD / MM / YY

\* Default Option may be applied in case of no information, ambiguity or discrepancy.

**DIVIDEND TRANSFER PLAN (DTP) - ENROLMENT DETAILS**  
 (Please allow 7 days to register DTP) (Refer Terms and Conditions)

**(Please mention complete Scheme, Plan & Option)**

**Source Scheme** (From where Dividend is to be transferred)  
 DSP BlackRock

**To**

**Target Scheme** (To where Dividend is to be transferred)  
 DSP BlackRock

**DECLARATION & SIGNATURES**

Having read and understood the contents of the Scheme Information Document and Statement of Additional Information, Key Information Memorandum and Instructions overleaf and Addenda issued from time to time of the respective Scheme(s), I / We, hereby apply to the Trustee of DSP BlackRock Mutual Fund for Units of the relevant Scheme and agree to abide by the terms and conditions, rules and regulations of the Scheme. I / We have neither received nor been induced by any rebate or gifts, directly or indirectly in making this investment. I / We declare that the amount invested in the Scheme is through legitimate sources only and is not designed for the purpose of contravention or evasion of any Act, Regulation, Rule, Notification, Directions or any other applicable laws enacted by the Government of India or any Statutory Authority. The ARN holder has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us. **Applicable to NRIs only** : I/We confirm that I am/We are Non-Resident(s) of Indian Nationality / Origin and I/We hereby confirm that the funds by subscription have been remitted from abroad through normal banking channels or from funds in my / our Non-Resident External / Ordinary Account/FCNR Account(s).

Sole / First Holder	Second Holder	Third Holder

(To be signed as per Mode of Holding)

**INSTRUCTIONS**

This form should be used by existing investors only by mentioning their folio number, name and Scheme details. Please read the Scheme related documents, Addenda, KIM and Instructions therein and below mentioned instructions carefully before filling up the form. Investors should mandatorily use standard forms available at the ISCS/www.dspblackrock.com, for any financial/non-financial transactions. Any transaction received in any non-standard form, is liable to be rejected. Investors should provide details/instructions only in the designated space provided in the form.

- ADDITIONAL PURCHASE & PAYMENT DETAILS:** Investors should fill name of the scheme, plan, option and sub-option. In case the details are not proper and clear or in case of incomplete details, non-clarity or ambiguity, default options will be considered and applied. The cheque or demand draft should be drawn in favour of **Scheme Name**, as the case may be, and should be crossed **Account Payee Only**. Separate cheques and form should be given for each separate investment in a different scheme, plan or option.
- The first unit holder should be one of the bank account holders in the pay-in bank account. Purchase application requests should necessarily mention the pay-in bank account details i.e. account number and bank, branch name of the bank account used for issuing the payments to the fund. If this is not evidenced on the payment cheque/funds transfer/RTGS/NEFT request, or in case of demand drafts unit holder should attach necessary supporting documents as required by the fund, like bank certificate, bank passbook copy or statement to prove that the funds are from a bank account held by first unit holder only. If the documents are not submitted with the application, the fund reserves the right to reject the application or call for additional details. Investors are advised to visit [www.dspblackrock.com](http://www.dspblackrock.com) > Knowledge Centre for more details or approach any of the offices of the fund.
- In specific exceptional situations where Third Party payment is permitted like i. Payment by Parents / Grand-Parents / Related persons on behalf of a minor (other than registered guardian) in consideration of natural love and affection or as gift for value not exceeding Rs. 50,000 for each purchase, ii. Payment by an Employer on behalf of Employee under Systematic Investment Plans through Payroll deductions or iii. Custodian on behalf of an FI or a client, KYC of the investor and the KYC of the person making the payment is mandatory irrespective of amount. Additionally, a joint declaration is also required to be submitted. Investors are advised to visit [www.dspblackrock.com](http://www.dspblackrock.com) > Knowledge Centre for more details, including declaration format or approach any of the offices of the fund.
- KYC COMPLIANCE:** Investors shall note that KYC is mandatory and they need to comply with the 'Know Your Client' requirements, by submitting requisite documents to CDSE Ventures Limited. For more information on KYC, please log on to [www.dspblackrock.com/www.cvindia.com/www.amfiindia.com](http://www.dspblackrock.com/www.cvindia.com/www.amfiindia.com) before investing. Applications are liable to be rejected without any intimation to the applicants, if required KYC compliance is not complied by all the unit holders.
- REDEMPTION REQUEST:** Redemption may not be processed if folio number and full scheme name including plan and option is not mentioned. Please ensure that either of amount or units is mentioned in the redemption request. **The fund offers a facility to register multiple bank accounts and designate one of the bank account as "Default Bank Account".** Default Bank Account will be used for all dividends and redemptions payouts including FMP schemes maturity proceeds unless investor specifies one of the existing registered bank account in the redemption request for receiving redemption proceeds. A new non-registered bank account specified in the specific redemption request for receiving redemption proceeds will not be considered. **Consequent to introduction of "Multiple Bank Accounts Facility", the existing facility of redemption with change of bank mandate is discontinued by the fund. New bank accounts can only be registered using the designated "Bank Account Registration Form".**
- BANK ACCOUNT FOR REDEMPTION PROCEEDS:** Please note the following important points related to payment of redemption proceeds:
  - Proceeds of any redemption request will be sent only to a bank account that is already registered and validated in the folio at the time of redemption transaction processing.
  - Unit holder(s) may choose to mention any of the existing registered bank accounts with redemption request for receiving redemption proceeds. If no registered bank account is mentioned, default bank account will be used.
  - If unit holder(s) provide a new and unregistered bank mandate with a specific redemption request (with or without necessary supporting documents) such bank account will not be considered for payment of redemption proceeds.
- POA REGISTRATION:** Only a general Power of Attorney agreement without any restrictions and perennial validity is accepted. The PoA must be executed on stamp paper and registered in India and a duly notarized copy should be enclosed. The PoA must have signatures of the investor as well as the PoA holder. If the signature of PoA holder is not available, the fund may call for additional documents or declarations on a case to case basis. PoA will be registered within 10 working days of receipt of all valid documents.
- SYSTEMATIC INVESTMENT PLAN (SIP):** Minimum Investment Amount for each SIP instalment is Rs.500/- . SIP Facility is available only on specific dates of the month viz. 1st / 7th / 14th / 21st/28th. All Cheques should be of the same date of month / quarter and of the same amount . The Cheque should be drawn in favour of "Name of the Scheme and Plan" as applicable. A separate SIP Form must be filled for each Scheme / Plan. Please mention your folio number and name on reverse of the Cheque. Minimum installments required is 12 installments in all available Schemes, 6 installments in DSPBR Tax Saver Fund.
- SYSTEMATIC TRANSFER PLAN (STP) / SYSTEMATIC WITHDRAWAL PLAN (SWP):** Please allow upto 7 days for STP/ SWP to be registered and first STP/ SWP transaction to happen. Hence form should be submitted atleast 7 days before STP / SWP start date. STP/ SWP is available in all the schemes of the Fund. Please note the default options highlighted in the form which will be used in case of incorrect details in the form. For investors availing the transfer/ withdrawal of 'appreciation' option, where in any week, month or quarter, there is no appreciation or is less than Rs.500/-, switch/withdrawal as mentioned above, will not be carried out. You can choose to discontinue this facility by giving 30 days written notice to the Registrar.
- DIVIDEND TRANSFER PLAN (DTP):** Please allow upto 7 days for DTP to be registered. Hence form should be submitted atleast 7 days before the record date of any forthcoming proposed dividend. Please refer to [www.dspblackrock.com](http://www.dspblackrock.com) > Services > Dividend Transfer Plan for list of Source Scheme, Target Schemes and detailed terms and conditions.