

# SWITCH - CUM - SMART SWAP

## (Simple Model of Automatic Redemption for a Term - Systematic Withdrawal Advantage Plan)

### Enrolment Form

TIMESTAMP (FOR OFFICE USE ONLY)

Name of Sole / First Unit Holder : \_\_\_\_\_ Scheme / Plan / Option\* : \_\_\_\_\_  
(Switch-out scheme for switch request)

Folio Number : \_\_\_\_\_

\*Investors applying under Direct Plan must mention "Direct" against the Scheme name. Default Plan / Option in terms of KIM will apply if the choice of Plan / Option is not indicated.

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

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

Note : 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. Important: Please strike off any unused portion of this sheet.

**SWITCH REQUEST (Please tick any one only)** ☐ All Free Units ☐ No. of units : \_\_\_\_\_ ☐ Amount (in Rs.) : \_\_\_\_\_

#### SCHEME DETAILS (for Switch-In as well as SMART SWAP Registration)

<b>SCHEME NAME</b> (Please ✓ choice of Scheme)	<input type="checkbox"/> HDFC Hybrid Equity Fund	<input type="checkbox"/> HDFC Balanced Advantage Fund	<input type="checkbox"/> HDFC Equity Savings Fund
	<input type="checkbox"/> HDFC Hybrid Debt Fund	<input type="checkbox"/> HDFC Multi - Asset Fund	<input type="checkbox"/> HDFC Asset Allocator Fund of Funds
<b>PLAN</b> (Please ✓ choice of Plan)	<input type="checkbox"/> Regular Plan	<input type="checkbox"/> Direct Plan	<b>OPTION</b> <input type="checkbox"/> Growth Option

#### WITHDRAWAL DETAILS

<b>Specified Amount</b>	Rs. (in figures)	(Minimum Rs. 25,000/-)
	Rs. (in words)	(Minimum Rs. 25,000/-)

#### Percentage Withdrawal of Specified Amount

☐ 6% p.a. ☐ 7% p.a.\$ ☐ 8% p.a.@ ☐ 9% p.a.

(\$ Default Percentage Withdrawal for HDFC Equity Savings Fund, HDFC Hybrid Debt Fund & HDFC Multi - Asset Fund)

(@ Default Percentage Withdrawal for HDFC Hybrid Equity Fund & HDFC Balanced Advantage Fund, HDFC Asset Allocator Fund of Funds)

#### Frequency

☐ MONTHLY@ ☐ QUARTERLY

(@ Default Frequency)

#### ENROLMENT DETAILS

##### Commencement Date:

☐ Next Month@ (from the date of request)

☐

M	M	Y	Y	Y	Y
---	---	---	---	---	---

(Please specify the month to start)

(@ Default)

##### Last Withdrawal Date#:

☐

M	M	Y	Y	Y	Y
---	---	---	---	---	---

(Please specify the month to end)

☐ Till Further Notice

# Recommended minimum 5 years from the commencement date (31st December 2099 will be considered as default end date, if investor opts for 'Till Further notice')

##### Withdrawal Date:

☐ 1st ☐ 5th ☐ 10th ☐ 15th

☐ 20th ☐ 25th@ (@ Default Date)

☐

D	D
---	---

(Please specify the Withdrawal Date)

Redemption proceeds through SMART SWAP will be credited to the default bank account registered in the Folio.

#### DECLARATION & SIGNATURES ^

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 to the Trustees for allotment of Units of the Scheme of HDFC Mutual Fund ('Fund') indicated above, especially with respect to the load structure and for enrolment of SMART SWAP facility.
- The amount invested in the Scheme 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.
- I/We hereby confirm that, the details provided in/with this form are true and correct and undertake to inform the AMC/Fund/Registrars and Transfer Agent ('RTA') in writing about any change in the said details and to furnish additional details as may be required and further undertake that I/We shall be liable, in the event the details and/or any part thereof is found to be false/untrue/misleading.
- I/We hereby authorize you to disclose, share, remit in any form/manner/mode the above details and/or any part of it including the changes /updates that may be provided by me/us to the Fund, its Sponsor/s, Trustees, AMC, its employees, agents and/or 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.

**Applicable to 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.

**Applicable to NRIs/ PIO/OCIs only:**

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.

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

#### Declaration for Switch transaction where EUIIN box is left blank

I/We hereby confirm that the EUIIN 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.

First / Sole Unit holder / Guardian

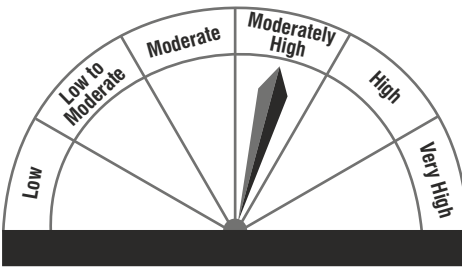
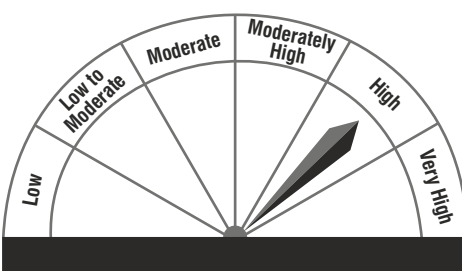
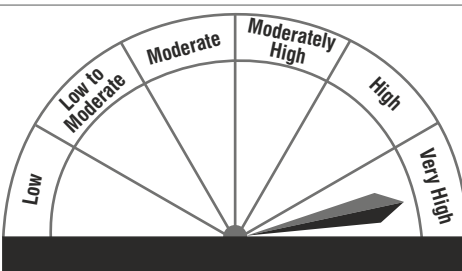
Second Unit holder

Third Unit holder

^ Please note: Signature(s) should be as it appears in the Folio/ on the Application Form and in the same order.  
In case the mode of holding is joint, all Unit holders are required to sign.

## TERMS AND CONDITIONS FOR SMART SWAP FACILITY

1. **Eligible Schemes:** HDFC Hybrid Equity Fund, HDFC Balanced Advantage Fund, HDFC Equity Savings Fund, HDFC Hybrid Debt Fund, HDFC Multi - Asset Fund and HDFC Asset Allocator Fund of Funds. The AMC reserves the right to change the Eligible Schemes from time to time.
2. **Selection of option:** Investor has to select either REGISTRATION or CANCELLATION by ticking the appropriate box. In case no option or both the options are selected the application will be considered for REGISTRATION by default. To register SMART SWAP in more than one Scheme, please use separate forms.
3. **Specified Amount:** "Specified Amount" is the amount specified by the investor on which the "Percentage of Withdrawal per annum" will be applied. The Specified Amount shall not be less than Rs. 25,000/-, else the form is liable to be rejected.
4. **Percentage of Withdrawal per annum:** SMART SWAP amount per annum will be fixed at 6%, 7%, 8% or 9% of the Specified Amount as indicated by the investor. In case percentage of withdrawal per annum is not selected/not legible/not clear, 8% p.a will be default percentage of withdrawal per annum for HDFC Hybrid Equity Fund & HDFC Balanced Advantage Fund; and 7% p.a will be default percentage of withdrawal per annum for HDFC Equity Savings Fund, HDFC Hybrid Debt Fund, HDFC Multi - Asset Fund & HDFC Asset Allocator Fund of Funds.
5. **Frequency of Withdrawal:** Under this facility investors can opt to withdraw their investments systematically on a Monthly/Quarterly basis. In case frequency of withdrawal is not selected/not legible/not clear, monthly frequency will be default frequency of withdrawal. Withdrawals will be made/ effected on the specified withdrawal date of the applicable calendar Quarter/month and would be treated as redemptions.
6. **Withdrawal Date:** Investors can choose from any date of the month as SMART SWAP Withdrawal Date. In case the chosen date falls on a non-Business Day, SMART SWAP will be processed on the immediate next Business Day. In case Withdrawal Date is not selected/not legible/not clear, 25th of the month will be the default Withdrawal Date.
7. **Commencement Date:** Investor can opt for this facility from the following month (from the date of request) onwards or from any other specified date as opted by the investor, provided that the Investor submits SMART SWAP registration request at least 30 days prior to the date of 1st instalment for both monthly and quarterly frequencies. In case Commencement Date is not selected/not legible/not clear, SMART SWAP will start from next month from the date of request (default).
8. **Last Withdrawal Date:** Investors can opt to specify the month to end SMART SWAP facility or select "Till Further Notice". In case the investor opts for "Till Further Notice", 31st December 2099 shall be considered as the Last Withdrawal Date.
9. **Load structure:** In respect of amount withdrawn under SMART SWAP, the Exit Load, if any, applicable to the Scheme/Plan as on the date of allotment of units in case of lumpsum investments and date of registration in case of units allotted under all Systematic Investment facilities i.e. all types of SIPs / STPs, shall be levied.
10. **Units in Non-Demat form:** This facility is available only for non-demat units and conversion of physical units to demat mode will automatically cancel any existing / future SMART SWAP registration request(s).
11. **Cancellation of facility:** Unitholders can discontinue the facility by giving ten (10) working days written notice to any of the Fund's Investor Service Centres (ISCs). Once registered, the facility cannot be modified. Investor may cancel an existing registration and register afresh under New / Separate Form.
12. **Cessation of facility:** The SMART SWAP facility will terminate automatically if no balance is available in the respective scheme on the date of instalment trigger or if the enrolment period expires; whichever is earlier.
13. **If you decide to opt for this facility, you should be aware of the possibility that the withdrawals may take place from the principal amount invested.** Please consult your financial advisor, if any, prior to enrolling for this facility.
14. All other terms and conditions of the Normal SWAP facility shall apply mutatis mutandis to the SMART SWAP facility.
15. The AMC/Trustee reserves the right to change / modify the terms and conditions of SMART SWAP facility or withdraw the facility from time to time.
16. Unitholders are advised to read the Scheme Information Document / Key Information Memorandum of the concerned scheme(s) and Statement of Additional Information carefully and will be bound by the terms and conditions of this facility and of the concerned scheme(s).

NAME OF SCHEME	THIS PRODUCT IS SUITABLE FOR INVESTORS WHO ARE SEEKING*	RISKOMETER#
<b>HDFC Equity Savings Fund</b> An open ended scheme investing in equity, arbitrage and debt	<ul style="list-style-type: none"> <li>Capital appreciation while generating income over medium to long term</li> <li>Provide capital appreciation and income distribution to the investors by using equity and equity related instruments, arbitrage opportunities, and investments in debt and money market instruments</li> </ul>	 <p>Investors understand that their principal will be at moderately high risk</p>
<b>HDFC Hybrid Debt Fund</b> An open-ended hybrid scheme investing predominantly in debt instruments	<ul style="list-style-type: none"> <li>to generate long-term income /capital appreciation</li> <li>investments primarily in debt securities, money market instruments and moderate exposure to equities</li> </ul>	 <p>Investors understand that their principal will be at high risk</p>
<b>HDFC Multi-Asset Fund</b> An open ended scheme investing in Equity and Equity related instruments, Debt & Money Market Instruments and Gold related instruments	<ul style="list-style-type: none"> <li>To generate long-term capital appreciation/income</li> <li>Investments in a diversified portfolio of equity &amp; equity related instruments, debt &amp; money market instruments and Gold related instruments</li> </ul>	
<b>HDFC Asset Allocator Fund of Funds</b> An open ended Fund of Funds scheme investing in equity oriented, debt oriented and gold ETFs schemes	<ul style="list-style-type: none"> <li>Capital appreciation over long term</li> <li>Investment predominantly in equity oriented, debt oriented and Gold ETF schemes.</li> </ul>	
<b>HDFC Balanced Advantage Fund</b> An open ended Balanced Advantage Fund	<ul style="list-style-type: none"> <li>to generate long-term capital appreciation / income</li> <li>investments in a mix of equity and debt instruments</li> </ul>	 <p>Investors understand that their principal will be at very high risk</p>
<b>HDFC Hybrid Equity Fund</b> An open ended hybrid scheme investing predominantly in equity and equity related instruments.	<ul style="list-style-type: none"> <li>to generate long-term capital appreciation / income</li> <li>investments predominantly in equity &amp; equity related instruments. The Scheme will also invest in debt and money market instruments</li> </ul>	

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

# For latest riskometer, investors may refer to the Monthly Portfolios disclosed on the website of the Fund viz. [www.hdfcfund.com](http://www.hdfcfund.com)

**MUTUAL FUND INVESTMENTS ARE SUBJECT TO MARKET RISKS, READ ALL SCHEME RELATED DOCUMENTS CAREFULLY.**