





## KEY INFORMATION MEMORANDUM

### RedHex Hybrid Long-Short Fund

(An interval investment strategy investing in equity and debt securities, including limited short exposure in equity and debt through derivatives)

Scrip Code - will be available after listing of the units on NSE  
Investment Strategy Code - RHEX/I/H/HLSF/26/04/0001/HSBC

**Product Labeling:** To provide investors an easy understanding of the kind of product/investment strategy they are investing in and its suitability to them, the product labeling is as under:

This product is suitable for investors who are seeking*:	Investment strategy Risk band	Benchmark Risk band
<b>RedHex Hybrid Long-Short Fund:</b> <ul style="list-style-type: none"> <li>▶ Income and capital appreciation over medium to long term</li> <li>▶ Investment in fixed income as well as equity and equity related securities</li> </ul>	<p>LOWER RISK      RISK BAND      HIGHER RISK</p>  <p>RISK LEVEL 2</p>	<p>As per AMFI Tier I Benchmark Index: NIFTY 50 Hybrid Composite Debt 50:50 Index</p> <p>LOWER RISK      RISK BAND      HIGHER RISK</p>  <p>RISK LEVEL 3</p>

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

The above product labelling assigned during the New Fund Offer (NFO) is based on internal assessment of the characteristics of the investment strategy or model portfolio and the same may vary post NFO when the actual investments are made

**Offer for Units of Rs. 10/- (Rupees Ten Only) each for cash during the New Fund Offer and Continuous offer for Units at NAV based prices.**

**New Fund Offer Opens on: June 02, 2026**

**New Fund Offer Closes on: June 16, 2026**

**Investment strategy reopens on : June 25, 2026**

**Name of SIF: RedHex Specialized Investment Fund – By HSBC Mutual Fund**

Name of Specialized Investment Fund	Name of Mutual Fund	Name of Asset Management Company	Name of Trustee Company
RedHex Specialized Investment Fund 9-11 Floors, NESCO IT Park, Building No. 3, Western Express Highway, Goregaon (East), Mumbai – 400 063, India	HSBC Mutual Fund 9-11 Floors, NESCO IT Park, Building No. 3, Western Express Highway, Goregaon (East), Mumbai – 400 063, India	HSBC Asset Management (India) Private Limited CIN – U74140MH2001PTC134220 Regd. & Corp. Office: 9-11 Floors, NESCO IT Park, Building No. 3, Western Express Highway, Goregaon (East), Mumbai – 400 063, India	HSBC Trustees (India) Private Limited CIN – U66190MH2024PTC416973 Regd. Office: 52/60 Mahatma Gandhi Road, Fort, Mumbai – 400001, India
Website: HSBC Mutual Fund: <a href="http://www.assetmanagement.hsbc.co.in">www.assetmanagement.hsbc.co.in</a>		RedHex SIF: <a href="http://www.assetmanagement.hsbc.co.in/redhex-sif">www.assetmanagement.hsbc.co.in/redhex-sif</a>	

This Key Information Memorandum (KIM) sets forth the information, which a prospective investor ought to know before investing. For further details of the Investment Strategy /SIF, due diligence certificate by the AMC, Key Personnel, investors' rights & services, risk factors, penalties & pending litigations etc. investors should, before investment, refer to the Investment Strategy Information Document and Statement of Additional Information available free of cost at any of the Investor Service Centres or distributors or from the website [www.assetmanagement.hsbc.co.in/redhex-sif](http://www.assetmanagement.hsbc.co.in/redhex-sif)

The Investment Strategy particulars have been prepared in accordance with Securities and Exchange Board of India (Mutual Funds) Regulations 2026, as amended till date, and filed with Securities and Exchange Board of India (SEBI). The units being offered for public subscription have not been approved or disapproved by SEBI, nor has SEBI certified the accuracy or adequacy of this KIM.

This Key Information Memorandum is dated May 07, 2026.

**NSE Disclaimer:**

As required, a copy of this Draft Investment Strategy Information Document has been submitted to National Stock Exchange of India Limited (hereinafter referred to as NSE). NSE has given vide its letter NSE/LIST/6000 dated January 23, 2026, permission to the Mutual Fund to use the Exchange's name in this Draft Investment Strategy Information Document as one of the stock exchanges on which the Mutual Fund's units are proposed to be listed subject to, the Mutual Fund fulfilling various criteria for listing. The Exchange has scrutinized this Draft Investment Strategy Information Document for its limited internal purpose of deciding on the matter of granting the aforesaid permission to the Mutual Fund. It is to be distinctly understood that the aforesaid permission given by NSE should not in any way be deemed or construed that the Draft Investment Strategy Information Document has been cleared or approved by NSE; nor does it in any manner warrant, certify or endorse the correctness or completeness of any of the contents of this Draft Investment Strategy Information Document; nor does it warrant that the Mutual Fund's units will be listed or will continue to be listed on the Exchange; nor does it take any responsibility for the financial or other soundness of the Mutual Fund, its sponsors, its management or any scheme of the Mutual Fund.

Every person who desires to apply for or otherwise acquire any units of the Mutual Fund may do so pursuant to independent inquiry, investigation and analysis and shall not have any claim against the Exchange whatsoever by reason of any loss which may be suffered by such person consequent to or in connection with such subscription/acquisition whether by reason of anything stated or omitted to be stated herein or any other reason whatsoever.

**E-mail:** [sifinvestor.line@mutualfunds.hsbc.co.in](mailto:sifinvestor.line@mutualfunds.hsbc.co.in)

**Website:** [www.assetmanagement.hsbc.co.in/redhex-sif](http://www.assetmanagement.hsbc.co.in/redhex-sif)

<b>Investment Objective</b>	The investment objective of the Investment Strategy is to generate regular returns and capital appreciation by investing in fixed income securities and equity and equity related securities including limited short exposure in equity and debt through derivatives. There is no assurance that the investment objective of the Investment Strategy will be achieved.																							
<b>Asset Allocation Pattern of the Investment Strategy</b>	<p>Under normal circumstances, it is anticipated that the asset allocation of the Investment strategy will be as follows:</p> <table border="1" data-bbox="456 277 1497 622"> <thead> <tr> <th rowspan="2">Instruments</th> <th colspan="2">Indicative allocations (% of total assets)</th> </tr> <tr> <th>Minimum</th> <th>Maximum</th> </tr> </thead> <tbody> <tr> <td>Equities and Equity related securities, out of which</td> <td>25</td> <td>75</td> </tr> <tr> <td>    • Hedged (including index futures, stock futures, index options, &amp; stock options, etc. as part of hedged/arbitrage exposure, derivative strategies like Covered calls, protective Puts etc.)</td> <td>0</td> <td>75</td> </tr> <tr> <td>    • Unhedged (Short derivatives)</td> <td>0</td> <td>25</td> </tr> <tr> <td>    • Units of REITs</td> <td>0</td> <td>20</td> </tr> <tr> <td>Debt and Money Market Instruments (including cash and cash equivalents)</td> <td>25</td> <td>75</td> </tr> <tr> <td>Units issued by InvITs</td> <td>0</td> <td>20</td> </tr> </tbody> </table> <p>Pending deployment of funds, the investment strategy may invest them into deposits of scheduled commercial banks as permitted under the extant Regulations.</p> <p>The investment strategy may also take exposure to stock lending up to 20% of net assets of the investment strategy and not more than 5% of the net assets of the investment strategy shall be deployed in stock/securities lending to any single counter-party/intermediary. The Investment strategy may engage in short selling and securities lending.</p> <p>The investment strategy shall invest in repo/reverse repo transactions in corporate bonds up to 10% of its total assets, subject to applicable SEBI regulations.</p> <p>If the investment strategy decides to invest in securitised debt, it is the intention of the Investment Manager that such investments will not normally exceed 20% of the net assets of the Investment strategy.</p> <p>As per clause 21.26 of SEBI Master Circular dated March 20, 2026, the cumulative gross exposure through equity and equity related securities, debt, derivative positions (including equity and fixed income derivatives), InvITs, repo/reverse repo transactions and credit default swaps in corporate debt securities, and such other securities/assets as may be permitted by SEBI from time to time, subject to approval, if any, shall not exceed 100% of the net assets of the investment strategy. However, cash and cash equivalent with residual maturity of less than 91 days shall not be considered for the purpose of calculating gross exposure limit.</p> <p>The investment strategy may invest in Foreign Securities including ADR/GDR up to 30% of its total assets subject to the Eligible Investment Amount. Investment in Foreign Securities shall be subject to the investment restrictions specified by SEBI/RBI from time to time.</p> <p>Equity and/or debt derivative positions for other than hedging purposes shall not exceed 25% of net assets. The Investment strategy shall have derivative exposure as per the SEBI regulations issued from time to time.</p> <p>The Investment strategy may take positions in fixed income derivatives up to 100% of the total fixed income assets of the Investment strategy for the purpose of hedging and portfolio balancing purposes. Further, in line with para 13.15.2 of SEBI Master Circular on Mutual Funds dated March 20, 2026, the Investment strategy is permitted to imperfectly hedge their portfolio or a part of their portfolio by using Interest Rate Derivatives. These may include instruments such as interest rate swaps, interest rate futures, credit default swaps, forward rate agreements, etc.</p> <p>Offsetting of exposure at the portfolio level shall be allowed for: (a) cash and derivative positions on the same underlying security and (b) across derivative positions on the same underlying security</p> <p>The Investment strategy may participate in Credit Default Swap (CDS) transactions in line with the guidelines issued by SEBI/RBI from time to time. As per the extant regulatory guidelines, the exposure to a single counterparty in CDS transactions shall not exceed 10% of the net assets of the Investment strategy. The total exposure related to premium paid for all derivative positions, including CDS, shall not exceed 20% of the net assets of the Investment Strategy.</p> <p>All investments shall be subject to compliance with 'Restrictions on Investment in debt instruments having Structured Obligations/Credit Enhancements' as prescribed under para 13.1 of SEBI Master Circular on Mutual Funds dated March 20, 2026 and any other guidelines issued by SEBI from time to time. As per extant regulatory guidelines, the Investment strategy shall not invest more than 10% of its net assets in following instruments:</p> <ul style="list-style-type: none"> <li>• Unsupported rating of debt instruments (i.e. without factoring-in credit enhancements) is below investment grade and</li> <li>• Supported rating of debt instruments (i.e. after factoring-in credit enhancement) is above investment grade.</li> </ul> <p>The Investment strategy may participate in instruments with special features including Additional Tier 1 bonds and Additional Tier 2 bonds as prescribed under para 13.1 of SEBI Master Circular on Mutual Funds dated March 20, 2026 and any other guidelines issued by SEBI from time to time. As per the extant regulatory guidelines, the Investment strategy shall not invest –</p> <ol style="list-style-type: none"> <li>i. more than 10% of its NAV of the debt portfolio of the investment strategy in such instruments; and</li> <li>ii. more than 5% of its NAV of the debt portfolio of the investment strategy in such instruments issued by a single issuer.</li> </ol> <p>Investments will be made in line with the asset allocation of the Investment strategy and the applicable SEBI and/or AMFI guidelines as specified from time to time.</p>	Instruments	Indicative allocations (% of total assets)		Minimum	Maximum	Equities and Equity related securities, out of which	25	75	• Hedged (including index futures, stock futures, index options, & stock options, etc. as part of hedged/arbitrage exposure, derivative strategies like Covered calls, protective Puts etc.)	0	75	• Unhedged (Short derivatives)	0	25	• Units of REITs	0	20	Debt and Money Market Instruments (including cash and cash equivalents)	25	75	Units issued by InvITs	0	20
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The Fund Manager may review the above pattern of investments based on views on the equity and debt markets and asset liability management needs and the portfolio shall be reviewed and rebalanced on a regular basis. However, at all times the portfolio will adhere to the overall investment objective of the Investment strategy.

Investors may note that securities which provide higher returns typically display higher volatility. Accordingly, the investment portfolio of the Investment strategy would reflect moderate to high volatility in its equity and equity related investments and low to moderate volatility in its debt and money market investments.

The Investment Strategy may invest in another scheme managed by the same AMC or by the asset management company of any other mutual fund without charging any fees, provided that aggregate inter scheme investment made by all schemes/investment strategies under the same management or in schemes under the management of any other asset management company shall not exceed 5% of the net asset value of the Mutual Fund.

For all investment restrictions, refer Investment Strategy Information Document of the investment strategy.

**Indicative Table** (Actual instrument/percentages may vary subject to applicable SEBI circulars)

Sl. No	Type of Instrument	Percentage of exposure (% of net assets)	Circular references
1.	Securities Lending	Permissible Up to 20% of net assets Not more than 5% of the net assets of the Investment Strategy can generally be deployed in Stock Lending to any single intermediary.	Clause 13.6 of SEBI Master Circular on Mutual Funds dated March 20, 2026
2a.	Equity and/or Debt Derivatives for hedging and portfolio rebalancing purposes (including index futures, stock futures, index options, & stock options, etc. as part of hedged/arbitrage exposure, derivative strategies like Covered calls, protective Puts etc.)	Equity Derivatives – Up to 100% of equity allocation Debt Derivatives – Up to 100% of debt allocation	Clause 21.6 of SEBI Master Circular on Mutual Funds dated March 20, 2026
2b.	Short exposure through Equity and/or Debt Derivatives for non-hedging and for other than portfolio rebalancing purposes	Up to 25% of net assets	Clause 21.6 of SEBI Master Circular on Mutual Funds dated March 20, 2026
3.	Securitized Debt	Permissible Up to 20% of net assets	Clause 13.1.2 of SEBI Master Circular on Mutual Funds dated March 20, 2026
4.	Overseas Securities#	Permissible Up to 30% of net assets	Clause 13.11 of SEBI Master Circular on Mutual Funds dated March 20, 2026
5.	REITS	Permissible Up to 20%. Single issuer limit is 15% at mutual fund level having SIF Investment Strategies. Provided further that the 15% limit shall be inclusive of 10% limit for mutual fund schemes as specified at Item No. 5 under Paragraph 13.1. of SEBI Master Circular on Mutual Funds dated March 20, 2026	Clause 21.5 of SEBI Master Circular on Mutual Funds dated March 20, 2026
6.	InvITs	Permissible Up to 20% of net assets	Clause 21.5 of SEBI Master Circular on Mutual Funds dated March 20, 2026
7.	AT1 (Additional Tier 1) and AT2 (Additional Tier 2) Bonds	Permissible Up to 10% of the NAV of the debt portfolio	Clause 13.1.9 of SEBI Master Circular on Mutual Funds dated March 20, 2026
8.	Structured Obligations/Credit Enhancements	Unsupported rating of debt instruments (i.e. without factoring-in credit enhancements) is below investment grade and Supported rating of debt instruments (i.e. after factoring-in credit enhancement) is above investment grade: Up to 10% of debt assets  Unsupported rating of debt instruments (i.e. without factoring-in credit enhancements) is above investment grade: Up to 100% of debt assets	Clause 13.1.10 of SEBI Master Circular on Mutual Funds dated March 20, 2026
9.	Repo/reverse repo transactions in Corporate Debt Securities	Permissible up to 10% of net assets	Clause 13.8 of SEBI Master Circular on Mutual Funds dated March 20, 2026
10.	Deposits in Scheduled commercial bank	Permissible	Clause 13.7 of SEBI Master Circular on Mutual Funds dated March 20, 2026

Sl. No	Type of Instrument	Percentage of exposure (% of net assets)	Circular references
11.	Credit Default Swaps	Permissible up to 10% of net assets	Clause 13.17 of SEBI Master Circular on Mutual Funds dated March 20, 2026
12.	Commodity Derivatives	Not Permissible	Clause 13.16 of SEBI Master Circular on Mutual Funds dated March 20, 2026
13.	Tri party repo	Allocation may be made to TREPS from any amounts that are pending deployment or on account of any adverse market situation	Clause 13.1 of SEBI Master Circular on Mutual Funds dated March 20, 2026

# within the overall applicable limits. Investments in overseas securities and overseas ETFs is subject to compliance with industry-wide limits as stipulated by RBI/SEBI from time to time. The Investment Strategy may not be able to make investment in overseas securities and overseas ETFs in case of breach of such industry-wide overseas limits

**Timelines for deployment of funds mobilized during the New Fund Offer (NFO) as per asset allocation of the investment strategy:**

In accordance with Clause 7.24 of SEBI Master Circular on Mutual Funds dated March 20, 2026, the funds mobilized during the NFO shall be deployed as per the specified asset allocation of the Scheme within 30 business days from the date of allotment of units. In exceptional cases, if the AMC is not able to deploy the funds within the stipulated period, an explanation including details of the efforts made to deploy the funds shall be provided to the Investment Committee of the AMC, which may further extend the deployment timeline by 30 business days in accordance with the circular. In case the portfolio is not rebalanced within the aforementioned mandated plus extended timelines, the AMC shall comply with the prescribed restrictions, reporting and disclosure requirements as specified in the circular.

**Change in Investment Pattern:**

Subject to the Regulations, the asset allocation pattern indicated above for the investment strategy may change from time to time, keeping in view market conditions, market opportunities, applicable regulations and political and economic factors. It must be clearly understood that the percentages stated above are only indicative and not absolute and that they can vary substantially depending upon the perception of the Investment Manager, the intention being at all times to seek to protect the interests of the Unitholders and meet the objective of the investment strategy. Such changes in the investment pattern will be for short term and defensive considerations.

**Portfolio re-balancing in case of short-term defensive consideration**

Due to market conditions, the AMC may invest beyond the range set out in the asset allocation. Such deviations shall normally be for a short term and defensive considerations as per para 3.11 of SEBI Master Circular on Mutual Funds dated March 20, 2026 and the fund manager will rebalance the portfolio within 30 calendar days from the date of deviation.

**Portfolio re-balancing in case of passive breaches**

Further, as per para 3.11 of SEBI Master Circular on Mutual Funds dated March 20, 2026, as may be amended from time to time, in the event of deviation from mandated asset allocation due to passive breaches (occurrence of instances not arising out of omission and commission of the AMC), the fund manager shall rebalance the portfolio of the investment strategy within 30 Business Days. In case the portfolio of the investment strategy is not rebalanced within the period of 30 Business Days, justification in writing, including details of efforts taken to rebalance the portfolio shall be placed before the Investment Committee of the AMC. The Investment Committee, if it so desires, can extend the timeline for rebalancing up to sixty (60) Business Days from the date of completion of mandated rebalancing period. Further, in case the portfolio is not rebalanced within the aforementioned mandated plus extended timelines the AMC shall comply with the prescribed restrictions, the reporting and disclosure requirements as specified in para 3.11 of SEBI Master Circular on Mutual Funds dated March 20, 2026.

**Investment Approach**

**Investment Approach and Risk Control**

The investment objective of the Investment Strategy is to generate regular returns and capital appreciation by investing in fixed income securities and equity and equity related securities including limited short exposure in equity and debt through derivatives. There is no assurance that the investment objective of the Investment Strategy will be achieved.

The investment strategy of debt portion will be to potentially invest in high yielding debt securities which may carry relatively higher credit risk. The investment strategy for equity portion will primarily rely on arbitrage opportunities for generating returns and reducing volatility.

Additionally, the Investment Strategy may deploy structured derivative strategies including covered calls, protective puts and synthetic options like straddles, strangles, butterfly strategies and put-call parity trades to enhance yield. Pair trades may also be undertaken. The Investment Strategy may use derivative instruments like Interest Rate Swaps, Interest Rate Futures, Forward Rate Agreements, or other derivative instruments for the purpose of hedging, portfolio balancing and other purposes, as permitted under the Regulations. Hedging using Interest Rate Futures could be perfect or imperfect, subject to applicable regulations. Off-setting strategies may also be used, wherein multiple derivative strategies may be used for risk management and improving premiums. Usage of derivatives may expose the Investment Strategy to certain risks inherent to such derivatives. For detailed derivative strategies, please refer SAI. It may also invest in securitized debt.

Exposure to derivatives can be for hedging and/or non-hedging purposes, as permitted under applicable regulations from time to time. Such derivative exposure will be undertaken in accordance with the investment objective and the overall strategy of the Investment Strategy.

The Investment strategy may invest in unlisted and /or privately placed and/ or unrated debt securities subject to the limits prescribed in ISID.

As per the asset allocation pattern indicated above, for investment in debt securities and money market instruments, the investment strategy may invest a part of the portfolio in various debt securities issued by corporates and/or state and central government. Such government securities may include securities which are supported by the ability to borrow from the treasury or supported only by the sovereign guarantee or of the state government or supported by GOI/state government in some other way.

With the aim of controlling risks, rigorous in-depth credit evaluation of the instruments proposed to be invested in will be carried out by the Investment Team of the AMC. The credit evaluation includes a study of the operating environment of the company, the past track record as well as the future prospects of the issuer, the short as well as long-term financial health of the issuer. The AMC will also be guided by the ratings of rating agencies such as CRISIL, CARE and ICRA or any other rating agency as approved by the regulators.

In addition, the Investment Team of the AMC will study the macro-economic conditions, including the political, economic environment and factors affecting liquidity and interest rates. The AMC would use this analysis to attempt to predict the likely direction of interest rates and position the portfolio appropriately to take advantage of the same.

The Investment strategy may invest in other Scheme(s) managed by the AMC or in the schemes of any other mutual fund, provided it is in conformity with the investment objectives of the Investment strategy and in terms of the prevailing Regulations. As per the Regulations, no investment management fees will be charged for such investments.

Since investing requires disciplined risk management, the AMC would incorporate adequate safeguards for controlling risks in the portfolio construction process. Risk will also be reduced through adequate diversification of the portfolio. Diversification will be achieved by spreading the investments over a range of industries/sectors.

#### **Disclosure on derivatives products as part of investment strategy**

Indicative List of Derivative Strategies:

The investments made by the Investment Strategy shall be subject to limits and restrictions as may be prescribed by the Regulations or any other regulatory body. The Investment Strategy may deploy the following equity derivative strategies, in compliance with SEBI regulations and internal risk management policies.

<b>Strategy</b>	<b>Description</b>	<b>Risk Factors</b>	<b>Mitigation measures</b>
Plain Arbitrage (Hedged)	Cash-future arbitrage /reverse arbitrage	Basis risk: the prices of cash and future positions may be imperfectly corelated  Rollover cost: Expenses incurred to extend the futures position to a subsequent expiry date	Typically market-neutral positions with matched exposure; implemented when spreads are favorable.
Covered Calls	Calls written against equity	Upside gain capped when there is strong upside movement in the underlying  Limited protection against downside risk	Used when view is neutral to moderately bullish
Protective Puts	Hedges downside price movement for equity	Premium cost may reduce profit if the underlying rallies  Time decay may limit downside protection	Selective usage to hedge downside risks
Futures/ Options	Take directional positions for short to medium term	Rollover cost: Expenses incurred to extend the futures position to a subsequent expiry date  Loss of option premium paid, time decay in premium paid for options	Long positions: Risk is capped at premium paid for options. Adherence to adequate risk structures and exposure for futures.  Short positions: Will be implemented only within defined risk structures, with appropriate margin and exposure controls in place.
Straddle/ Strangle	Uses call and put options of the same underlying to take a view on market volatility and direction.	Long positions: Loss in sideways market  Short positions: Potential unlimited loss	Long positions: Risk is capped at premium paid for options.  Short positions: Will be implemented only within defined risk structures, with appropriate margin and exposure controls in place.
Pair trade	Long / short trade in correlated stocks of the same industry	Correlation breakdown  Asymmetric movement between both legs  Both legs may generate losses	Careful monitoring of net exposure within defined limits.
Butterfly	Buy one option each at lower and higher strike, and sell two options at middle strike	May generate losses if the price moves substantially in either direction	Used when view is neutral or range-bound.

This list is indicative and only provides a gist of derivative strategies that may be used introduced according to the prevailing market conditions.

	<p>Derivative products are leveraged instruments and can provide disproportionate gains as well as disproportionate losses to the investor. Execution of such strategies depends upon the ability of the fund manager to identify such opportunities. Identification and execution of the strategies to be pursued by the fund manager involve uncertainty and decision of fund manager may not always be profitable. No assurance can be given that the fund manager will be able to identify or execute such strategies. The risks associated with the use of derivatives are different from or possibly greater than, the risks associated with investing directly in securities and other traditional investments.</p>
<p><b>Risk Profile of the Investment strategy</b></p>	<p>SIF Units involve investment risks including the possible loss of principal. Please read the ISID carefully for details on risk factors before investment. Investment Strategy specific Risk Factors are summarized below.</p> <p><b>Investment Strategy specific risk factors</b></p> <p><b>Risk factors associated with investing in Equity or Equity related Securities:</b></p> <ul style="list-style-type: none"> <li>● Subject to the stated investment objective of the Investment strategy, the Investment strategy propose to invest in equity and equity related securities. Equity instruments by nature are volatile and prone to price fluctuations on a daily basis due to both macro and micro factors.</li> <li>● Trading volumes, settlement periods and transfer procedures may restrict the liquidity of these investments. Different segments of financial markets have different settlement periods and such periods may be extended significantly by unforeseen circumstances. The inability of the Investment strategy to make intended securities' purchases due to settlement problems could cause the Investment strategy to miss certain investment opportunities.</li> <li>● Investments in equity and equity related securities involve a degree of risks and investors should not invest in the Investment strategy unless they can afford to take the risk of losing their investment.</li> <li>● The liquidity and valuation of the Investment strategy's investments due to its holdings of unlisted securities may be affected if they have to be sold prior to the target date of disinvestment.</li> <li>● Securities which are not quoted on the stock exchanges are inherently illiquid in nature and carry a larger liquidity risk in comparison with securities that are listed on the exchanges or offer other exit options to the investors, including put options.</li> <li>● As the portfolio may invest in stocks of different countries, the portfolio shall be exposed to the political, economic and social risks with respect to each country. However, the investment manager shall ensure that his exposure to each country is limited so that the portfolio is not exposed to one country. Investments in various economies will also diversify and reduce this risk.</li> <li>● The fund will be exposed to settlement risk, as different countries have different settlement periods.</li> <li>● The Investment strategy may also use various derivative products from time to time, as would be available and permitted by SEBI, in an attempt to protect the value of the portfolio and enhance Unitholders' interest.</li> </ul> <p><b>Risk factors associated with investing in Fixed Income Securities</b></p> <ul style="list-style-type: none"> <li>● Subject to the stated investment objective, the Investment strategy proposes to invest in debt and related instruments and the risk factors pertinent to the same are:</li> <li>● The performance of Investment strategy may be affected by changes in Government policies, general levels of interest rates and risks associated with trading volumes, liquidity and settlement systems.</li> <li>● Investments in different types of securities are subject to different levels and kinds of risk. Accordingly, the Investment strategy's risk may increase or decrease depending upon its investment pattern.</li> <li>● E.g. investments in corporate bonds carry a higher level of risk than investments in Government securities. Further, even among corporate bonds, bonds which have a higher rating are comparatively less risky than bonds which have a lower rating.</li> <li>● <b>Price-Risk or Interest Rate Risk:</b> As with all debt securities, changes in interest rates may affect the NAV of the Investment strategy as the prices of securities increase as interest rates decline and decrease as interest rates rise. Prices of long-term securities generally fluctuate more in response to interest rate changes than do short term securities. Indian debt markets can be volatile leading to the possibility of price movements up or down in fixed income securities and thereby to possible movements in the NAV.</li> <li>● The change in value of a security, for a given change in yield, is higher for a security with higher duration and vice versa. Hence portfolios with higher duration will have higher volatility which leads to duration risk.</li> <li>● Government securities do carry price risk depending upon the general level of interest rates prevailing from time to time. The extent of fall or rise in the prices is a function of the coupon rate, days to maturity and the increase or decrease in the level of interest rates. The price of the Government securities (existing and new) is influenced only by movements in interest rates in financial systems.</li> <li>● In the case of floating rate instruments, an additional risk could be due to the change in the spreads of floating rate instruments. If the spreads on floating rate papers rise, then there could be a price loss on these instruments. Secondly in the case of fixed rate instruments that have been swapped for floating rates, any adverse movement in the fixed rate yields vis-à-vis swap rates could result in losses. However, floating rate debt instruments which have periodical interest rate reset, carry a lower interest rate risk as compared to fixed rate debt instruments. In a falling interest rate scenario, the returns on floating rate debt instruments may not be better than those on fixed rate debt instruments.</li> <li>● <b>Liquidity Risk:</b> This refers to the ease with which a security can be sold at or near to its valuation yield-to-maturity (YTM). The primary measure of liquidity risk is the spread between the bid price and the offer price quoted by a dealer. Liquidity risk is today characteristic of the Indian fixed income market. HSBC monitors liquidity risk on an ongoing basis from both assets and liability side.</li> <li>● This represents the possibility that the realised price from selling the security might be lesser than the valuation price as a result of illiquid market. If a large outflow from the Investment strategy is funded by selling some of the illiquid securities, the NAV could fall even if there is no change in interest rates.</li> </ul>

Illiquid securities are typically quoted at a higher yield than the liquid securities and have higher bid offer spreads. Investment in illiquid securities results in higher current yield for the portfolio. In addition, money market securities, while fairly liquid, lack a well-developed secondary market, which may restrict the selling ability of the Investment strategy and may lead to the Investment strategy incurring losses till the security is finally sold.

- The corporate debt market is relatively illiquid vis-a-vis the government securities market. Even though the government securities market is more liquid compared to that of other debt instruments, on occasions, there could be difficulties in transacting in the market due to extreme volatility or unusual constriction in market volumes or on occasions when an unusually large transaction has to be put through. In case of corporate bonds, the tradability of the instrument is determined by the outstanding issuance, ownership of the securities (whether widely held) and trading volumes. Since the Investment Strategy would invest in high yielding credits, which are exposed to higher concentration risk in terms of number of investors holding these instruments and would adversely impacts the liquidity of the instruments in secondary market. Further, since it is an interval Investment Strategy which permits redemptions once a week with a notice period of 10 working days, no daily liquidity is available for investors.
- **Spread risk:** Though the sovereign yield curve might remain constant, investments in corporate bonds are exposed to the risk of spread widening between corporate bonds and gilts. Typically, if this spread widens, the prices of the corporate bonds tend to fall and so could the NAV of the Investment strategies. Similar risk prevails for the investments in the floating rate bonds, where the benchmark might remain unchanged, but the spread over the benchmark might vary. In such an event, if the spread widens, the price and the NAV of the Investment strategies could fall.
- **Credit Risk:** Credit risk or default risk refers to the risk that an issuer of a fixed income security may default (i.e. will be unable to make timely principal and interest payments on the security). A sovereign security carries no default risk since Government raises money to meet its capital and revenue expenditure by issuing these debt or discounted securities. As the payment of interest and principal amount has a sovereign status implying no default, such securities are popularly known as "risk-free security" or "Zero Risk security". All other debt instruments rated AAA and below, are traded at a spread over the yield of Government securities, which is an indicator of the amount of credit risk the instrument carries. Normally, the value of a fixed income security will fluctuate depending upon the changes in the perceived level of credit risk as well as any actual event of default. The greater the credit risk, the greater the yield required for someone to be compensated for the increased risk and lower the credit rating of the instrument. The investment strategy of debt portion of this investment strategy will be to potentially invest in high yielding debt securities which may carry relatively higher credit risk. In case of a credit event with any of the issuers in the portfolio, the fund could witness higher than normal redemptions with investors being cautious about safety of the investments and since these papers may have minimal liquidity in the secondary market, may have to be sold at a higher yield impacting the returns. In case of liquidity needs in the Investment Strategy, these papers may take considerable time to liquidate since the buyers may need to perform the first-hand due diligence on the credit worthiness of such issuers. Further, since SIF regulations allow higher single issuer exposure, the Investment Strategy is exposed to higher concentration risk.
- **Reinvestment Risk:** This risk refers to the interest rate levels at which cash flows received from the securities in the Investment strategy are reinvested. The additional income from reinvestment is the "interest on interest" component. The risk is that the rate at which interim cash flows can be reinvested may be lower than that originally assumed. However, declining interest rates normally lead to increase in bond prices which may help cushion the impact of reinvestment risk to some extent.
- **Benchmark Risk:** The floating rate segment of the domestic debt market is not very developed. Currently, majority of the issuance of floating rate papers is linked to NSE MIBOR. As the floating rate segment develops further, more benchmark rates for floating papers may be available in future. The fewer number of benchmark rates could result in limited diversification of the benchmark risk.
- **Prepayment Risk:** The risk associated with the early unscheduled return of principal on a fixed-income security. The early unscheduled return of principal may result in reinvestment risk.
- **Settlement risk:** Different segments of Indian financial markets have different settlement periods and such periods may be extended significantly by unforeseen circumstances. Delays or other problems in settlement of transactions could result in temporary periods when the assets of the Investment strategy are uninvested and no return is earned thereon. The inability of the Investment strategy to make intended securities purchases, due to settlement problems, could cause the Investment strategy, to miss certain investment opportunities. Similarly, the inability to sell securities held in the Investment strategy's portfolio, due to the absence of a well-developed and liquid secondary market for debt securities, may result at times in potential losses to the Investment strategy in the event of a subsequent decline in the value of securities held in the portfolio of the Investment strategy.
- **Market risk:** Lower rated or unrated securities are more likely to react to developments affecting the market and the credit risk than the highly rated securities which react primarily to movements in the general level of interest rates. Lower rated or unrated securities also tend to be more sensitive to economic conditions than higher rated securities.
- In addition to the factors that affect the values of securities, the NAV of Units of the Investment strategy will fluctuate with the movement in the broader fixed income market, money market and derivatives market and may be influenced by factors influencing such markets in general including but not limited to economic conditions, changes in interest rates, price and volume volatility in the bond and stock markets, changes in taxation, currency exchange rates, foreign investments, political, economic or other developments and closure of the stock exchanges.

**Risk factor associated with legal, tax and regulatory risk**

The Investment strategy could be exposed to changes in legal, tax and regulatory regime which may adversely affect it and/or the investors. Such changes could also have retrospective effect and could lead to additional taxation imposed on the Investment strategy which was not contemplated either when investments were made, valued or disposed off.

### **Risks associated with investing in Foreign Securities**

- **Foreign Securities:** Subject to necessary approvals and within the investment objectives of the Investment strategy, the Investment strategy may invest in overseas markets which carry risks related to fluctuations in the foreign exchange rates, the nature of the securities market of the country, repatriation of capital due to exchange controls and political circumstances. It is the AMC's belief that investment in foreign securities offers new investment and portfolio diversification opportunities into multi-market and multi-currency products. However, such investments also entail additional risks. Such investment opportunities may be pursued by the AMC provided they are considered appropriate in terms of the overall investment objectives of the Investment strategy. Since the Investment strategy would invest only partially in foreign securities, there may not be readily available and widely accepted benchmarks to measure performance of the Investment strategy. To manage risks associated with foreign currency and interest rate exposure, the Fund may use derivatives for efficient portfolio management including hedging and in accordance with conditions as may be stipulated by SEBI/RBI from time to time.
- Offshore investments will be made subject to any/all approvals, conditions thereof as may be stipulated by SEBI/RBI and provided such investments do not result in expenses to the Fund in excess of the ceiling on expenses prescribed by and consistent with costs and expenses attendant to international investing. The SIF may, where necessary, appoint other intermediaries of repute as advisors, custodian/sub-custodians etc. for managing and administering such investments. The appointment of such intermediaries shall be in accordance with the applicable requirements of SEBI and within the permissible ceiling of expenses. The fees and expenses would illustratively include, besides the investment management fees, custody fees and costs, fees of appointed advisors and sub-managers, transaction costs and overseas regulatory costs. Investments in overseas securities and overseas ETFs is subject to compliance with industry-wide limits as stipulated by RBI/SEBI from time to time. The Investment Strategy may not be able to make investment in overseas securities and overseas ETFs in case of breach of such industry-wide overseas limits. In such a situation, the performance of the Investment strategy may be affected.
- To the extent that the assets of the Investment strategy will be invested in foreign securities denominated in foreign currencies, the Indian Rupee equivalent of the net assets, distributions and income may be adversely affected by changes in the value of certain foreign currencies relative to the Indian Rupee. The repatriation of capital to India may also be hampered by changes in regulations concerning exchange controls or political circumstances as well as the application to it of other restrictions on investment.

### **Risk Factors associated with investments in Money Market instruments**

- Investments in money market instruments would involve a moderate credit risk i.e. risk of an issuer's liability to meet the principal payments.
- Money market instruments may also be subject to price volatility due to factors such as changes in interest rates, general level of market liquidity and market perception of credit worthiness of the issuer of such instruments.
- The NAV of the Investment strategy's Units, to the extent that the corpus of the Investment strategy is invested in money market instruments, will be affected by the changes in the level of interest rates. When interest rates in the market rise, the value of a portfolio of money market instruments can be expected to decline.

### **Risks associated with investing in Derivatives**

- The Investment strategy may invest in derivative products in accordance with and to the extent permitted under the Regulations and by SEBI. Derivative products are specialized instruments that require investment techniques and risk analysis different from those associated with stocks and bonds. The use of a derivative requires an understanding not only of the underlying instrument but of the derivative itself. Trading in derivatives carries a high degree of risk although they are traded at a relatively small amount of margin which provides the possibility of great profit or loss in comparison with the principal investment amount. Thus, derivatives are highly leveraged instruments. Even a small price movement in the underlying security could have an impact on their value and consequently, on the NAV of the Units of the Investment strategy.
- The derivatives market in India is nascent and does not have the volumes that may be seen in other developed markets, which may result in volatility to the values.
- Investment in derivatives also requires the maintenance of adequate controls to monitor the transactions entered into, the ability to assess the risk that a derivative adds to the portfolio and the ability to forecast price or interest rate movements correctly. Even a small price movement in the underlying security could have an impact on their value and consequently, on the NAV of the Units of the Investment strategy.
- The Investment strategy may face execution risk, whereby the rates seen on the screen may not be the rate at which the ultimate execution of the derivative transaction takes place.
- The Investment strategy may find it difficult or impossible to execute derivative transactions in certain circumstances. For example, when there are insufficient bids or suspension of trading due to price limit or circuit breakers, the Investment strategy may face a liquidity issue.
- The options buyer's risk is limited to the premium paid, while the risk of an options writer is unlimited. However the gains of an options writer are limited to the premiums earned. Since in case of the Investment strategy all option positions will have underlying assets, all losses due to price – movement beyond the strike price will actually be an opportunity loss.
- The exchange may impose restrictions on exercise of options and may also restrict the exercise of options at certain times in specified circumstances and this could impact the value of the portfolio.
- Investments in index futures face the same risk as the investments in a portfolio of shares representing an index. The extent of loss is the same as in the underlying stocks.
- The Investment strategy bears a risk that it may not be able to correctly forecast future market trends or the value of assets, indices or other financial or economic factors in establishing derivative positions for the Investment strategy.

- The risk of loss in trading futures contracts can be substantial, because of the low margin deposits required, the extremely high degree of leverage involved in futures pricing and the potential high volatility of the futures markets.
- There is the possibility that a loss may be sustained by the portfolio as a result of the failure of another party (usually referred to as the “counterparty”) to comply with the terms of the derivatives contract.
- Other risks in using derivatives include the risk of mispricing or improper valuation of derivatives and the inability of derivatives to correlate perfectly with underlying assets, rates and indices.
- Derivative products are leveraged instruments and can provide disproportionate gains as well as disproportionate losses to the investor.
- Execution of investment strategies depends upon the ability of the fund manager(s) to identify such opportunities which may not be available at all times. Identification and execution of the strategies to be pursued by the fund manager(s) involve uncertainty and decision of fund manager(s) may not always be profitable. No assurance can be given that the fund manager(s) will be able to identify or execute such strategies.
- The risks associated with the use of derivatives are different from or possibly greater than, the risks associated with investing directly in securities and other traditional investments.
- Unhedged Short derivative positions carry unlimited risk and no downside protection. The investment strategies under the SIF may take unhedged short exposure through exchange traded derivative instruments of up to 25% of net assets.

The disclosures for risk factors and risk mitigation measures w.r.t. different derivative strategies are covered in ‘what are the investment strategies’ section.

#### **Risks associated with investing in securitized debt**

- **Securitized Debt:** Securitized debt papers carry credit risk of the Obligors and are dependent on the servicing of the PTC/Contributions etc. However these are offset suitably by appropriate pool selection as well as credit enhancements specified by Rating Agencies. In cases where the underlying facilities are linked to benchmark rates, the securitized debt papers may be adversely impacted by adverse movements in benchmark rates. However, this risk is mitigated to an extent by appropriate credit enhancement specified by rating agencies. Securitized debt papers also carry the risks of prepayment by the obligors. In case of prepayments of securities debt papers, it may result in reduced actual duration as compared to the expected duration of the paper at the time of purchase, which may adversely impact the portfolio yield. These papers also carry risk associated with the collection agent who is responsible for collection of receivables and depositing them. The Investment team evaluates the risks associated with such investments before making an investment decision.

The underlying assets in the case of investment in securitized debt could be mortgages or other assets like credit card receivables, automobile/vehicle/personal/commercial/corporate loans and any other receivables/loans/debt.

- The underlying assets in securitised debt may assume different forms and the general types of receivables include auto finance, credit cards, home loans or any such receipts. Credit risks relating to such receivables depend upon various factors, including macroeconomic factors of these industries and economies. Further, specific factors like the nature and adequacy of property mortgaged against these borrowings, the nature of loan agreement/mortgage deed in case of home loans, adequacy of documentation in case of auto finance and home loans, capacity of a borrower to meet his obligations on borrowings in case of credit cards and intentions of the borrower also influence the risks relating to asset borrowings underlying securitised debt. Additionally, the nature of the asset borrowings underlying the securitised debt also influences the underlying risk, for instance while residential mortgages tend to have lower default rates, repossession and recovery is easier in case of commercial vehicles. Credit rating agencies take into account a series of such factors and follow an elaborate system involving stipulation of margins, over-collateralisation and guarantees to provide a rating for securitised debt.
- In case of securitised debt, changes in market interest rates and pre-payments may not change the absolute amount of receivables for the investors but may have an impact on the reinvestment of the periodic cash flows that an investor receives on securitised papers.
- Credit card receivables are unsecured. Automobile/vehicle loan receivables are usually secured by the underlying automobile/vehicle and sometimes by a guarantor. Mortgages are secured by the underlying property. Personal loans are usually unsecured. Corporate loans could be unsecured or secured by a charge on fixed assets/receivables of the company or a letter of comfort from the parent company or a guarantee from a bank/financial institution. As a rule of thumb, underlying assets which are secured by a physical asset/guarantor are perceived to be less risky than those which are unsecured. By virtue of this, the risk and therefore the yield in descending order of magnitude would be credit card receivables, personal loans, vehicle/automobile loans, mortgages and corporate loans assuming the same rating.
- **Tenor risk:** While building the planned amortization schedule for a PTC, there can be a clause stating a minimum percentage of receivable by the issue to stick to the initial cash flows. If the receivables are less than the minimum stated receivables, then the tenor of the PTC can get elongated or vice versa.
- **Risk due to prepayment:** Asset securitization is a process whereby commercial or consumer credits are packaged and sold in the form of financial instruments. In the event of pre- payment of the underlying debt, investors may be exposed to changes in tenor and yield.
- **Liquidity Risk:** Presently, despite recent legal developments permitting the listing of securitised debt instruments, the secondary market for securitised debt in India is not very liquid. Even if a more liquid market develops in the future, secondary transactions in such instruments may be at a discount to initial issue price due to changes in the interest rate structure.

- **Limited Recourse, Delinquency and Credit Risk:** Certificates issued on investment in securitised debt represent a beneficial interest in the underlying receivables and there is no obligation on the issuer, seller or the originator in that regard. Defaults on the underlying loan/decline in project SPV's receivables can adversely affect the pay outs to the investors and thereby, adversely affect the NAV of the Investment strategy. While it is possible to repossess and sell the underlying asset, various factors can delay or prevent repossession and the price obtained on sale of such assets may be low. Delinquencies and credit losses may cause depletion of the amount available under the Credit Enhancement and thereby the Investor Payouts may get affected if the amount available in the Credit Enhancement facility is not enough to cover the shortfall. On persistent default of an Obligor to repay his obligation, the Servicer may repossess and sell the underlying Asset. However, many factors may affect, delay or prevent the repossession of such Asset or the length of time required to realize the sale proceeds on such sales. In addition, the price at which such Asset may be sold may be lower than the amount due from that Obligor.
- **Bankruptcy Risk:** If the originator of securitised debt instruments in which the Investment strategy invest is subject to bankruptcy proceedings and the court in such proceedings concludes that the sale of the assets from originator to the trust was not a 'true sale', then the Investment strategy could experience losses or delays in the payments due. Normally, care is taken in structuring the securitization transaction so as to minimize the risk of the sale to the trust not being construed as a 'true sale'.
- **Risk of Co-mingling:** Servicers in a securitization transaction normally deposit all payments received from the obligors into a collection account. However, there could be a time gap between collection by a servicer and depositing the same into the collection account. In this interim period, collections from the loan agreements by the servicer may not be segregated from other funds of the servicer. If the servicer fails to remit such funds due to investors, investors in the Investment strategy may be exposed to a potential loss.

#### **Risk associated with short selling and securities lending**

- **Short Selling Risk:** The risk associated with upward movement in market price of security sold short may result in loss. The losses on short position may be unlimited as there is no upper limit on rise in price of a security.
- **Securities Lending:** The risks in lending portfolio securities, as with other extensions of credit, consist of the failure of another party, in this case the approved intermediary, to comply with the terms of agreement entered into between the lender of securities i.e. the Investment strategy and the approved intermediary. Such failure to comply can result in the possible loss of rights in the collateral put up by the borrower of the securities, the inability of the approved intermediary to return the securities deposited by the lender and the possible loss of any corporate benefits accruing to the lender from the securities deposited with the approved intermediary. The SIF may not be able to sell such lent securities and this can lead to temporary illiquidity.

#### **Risks Factors associated with investments in REITs & InvITs**

- **Market Risk:** REITs and InvITs Investments are volatile and subject to price fluctuations on a daily basis owing to the market conditions and factors impacting the underlying assets. AMC/Fund Manager's will do the necessary due diligence but actual market movements may be at variance with the anticipated trends.
- **Liquidity Risk:** As the liquidity of the investments made by the Investment strategy(s) could, at times, be restricted by trading volumes, settlement periods, dissolution of the trust, potential delisting of units on the exchange etc., the time taken by the Mutual Fund for liquidating the investments in the investment strategy may be long in the event of immediate redemption requirement. Investment in such securities may lead to increase in the investment strategy portfolio risk. As these products are new to the market, they are likely to be exposed to liquidity risk.
- **Reinvestment Risk:** Investments in REITs & InvITs may carry reinvestment risk as there could be repatriation of funds by the Trusts in form of buyback of units or IDCW pay-outs, interest payments etc. Depending upon the market conditions, interest rates prevailing on the interest or maturity due dates may differ from the original coupon of the bond. As a result, the proceeds may get invested at a lower rate.
- **Credit Risk:** REITs & InvITs are likely to have volatile cash flows as the repayment dates would not necessarily be pre-scheduled.
- **Regulatory / Legal Risk:** REITs and InvITs being new asset classes, regulatory guidelines may be evolving in nature which may impact the investments in REITs and InvITs.

#### **Risk associated with investing in Fixed Income instruments with Structured Obligations / Credit Enhancements**

- Structured Obligations ("SO") are complex financial instruments issued by entities intending to improve their financing profile with the help of non-conventional financial instruments. Credit Enhancement ("CE") rating is assigned by Credit Rating agencies to a debt security based on an identifiable credit enhancement for the security which could be in the form of letter of comfort, guarantee, shortfall undertaking etc. from another entity than the issuer, related or not related to the issuer. CE could additionally include pledging of equity shares listed on a stock exchange with a suitable haircut. Apart from standard risks related to debt instruments, these instruments are further exposed to the below risks:
- **Liquidity Risk:** SO rated securities are often complex structures, with a variety of credit enhancements. Debt securities generally lack a well-developed secondary market in India, and due to the credit enhanced nature of CE securities as well as structured nature of SO securities, the liquidity in the market for these instruments is shallow compared to similar rated conventional debt instruments. Hence, lower liquidity of such instruments, could lead to inability of the investment strategy to exit such debt instruments when required and generate liquidity for the investment strategy or lead to higher impact cost when such instruments are sold impacting portfolio returns.

- **Credit Risk:** Securities which have a structure with a guarantee from the corporate/promoter, may see an adverse effect if there are any signs of stress at the promoter/group level, even though the standalone borrowing entity's debt servicing capability and repayments may not see any material impact, from a future cash flow perspective. CEs are exposed to credit risk pertaining not only to the issuer of the security but also to the entity providing the credit enhancement. The credit risk of debt instruments which are CE rated is based on the combined strength of the issuer as well as the structure. Hence, any weakness in either the issuer or the structure could have an adverse credit impact on the debt instrument. The weakness in structure could arise due to inability of the investors to enforce the structure due to issues such as legal risk, inability to sell the underlying collateral or enforce guarantee, etc. Therefore, apart from issuer level credit risk, such debt instruments are also susceptible to structure related credit risk.

#### **Risks associated with investments in Repo transactions in Corporate Bonds**

In repo transactions, also known as a repo or sale repurchase agreement, securities are sold with the seller agreeing to buy them back at later date. The repurchase price should be greater than the original sale price, the difference effectively representing interest. A repo is economically similar to a secured loan, with the buyer receiving corporate debt securities as collateral to protect against default. The Investment strategy may invest in repo of corporate debt securities which are subject to the following risks:

- Counterparty Risk:** This refers to the inability of the seller to meet the obligation to buy back securities at the contracted price on the contracted date. The Investment Manager will endeavour to manage counterparty risk by dealing only with counterparties, having strong credit profiles, approved by our credit risk analysis team. The exposure to each counterparty will be within the overall approved credit limits. Also, the counterparty risk is to an extent mitigated by taking collateral equivalent in value to the transaction after knocking off a minimum haircut on the intrinsic value of the collateral. In the event of default by the repo counterparty, the investment strategy shall have recourse to the corporate debt securities.
- Collateral Risk:** Collateral risk arises when the market value of the securities is inadequate to meet the repo obligations. This risk is mitigated by restricting participation in repo transactions with collateral bearing a minimum rating as prescribed by the regulators (currently AA or equivalent and above rated money market and corporate debt securities). Any rating downgrade will tantamount to either an early termination of the repo agreement or a call for fresh margin to meet the minimum haircut requirement. In addition, the Investment manager may apply a higher haircut on the underlying security than mentioned above to adjust for the illiquidity and interest rate risk on the underlying instrument. The adequacy of the collateral will be monitored on a daily basis by considering the daily market value & applying the prescribed haircut. In the event of shortfall in the collateral, the counterparty shall be asked to replenish the same. If the counterparty is not able to top-up either in form of cash/collateral, it shall tantamount to early termination of the repo agreement.
- Settlement Risk:** Corporate Bond Repo shall be settled between two counterparties in the OTC segment unlike in the case of Government securities repo transactions where CCIL stands as central counterparty on all transactions which neutralizes the settlement risk. However, the settlement risk pertaining to CDRs shall be mitigated through Delivery versus Payment (DvP) mechanism which is followed by all clearing members.

#### **Risk factors associated with investments in Perpetual Debt Instruments (PDI) including Additional Tier-1 and Tier-2 Bonds**

The investment strategy may invest in certain debt instruments with special features viz. subordination to equity (absorbs losses before equity capital) and/or convertible to equity upon trigger of a pre-specified event for loss absorption including Additional Tier I bonds and Tier 2 bonds issued under Basel III framework (known as perpetual debt instruments). PDIs are instruments issued by the borrower to strengthen their capital structure and as the name suggests these instruments do not have a specific maturity date but have an embedded call option instead and maybe less liquid than conventional debt instruments. These bonds are subordinate to all other debt and only senior to equity capital. The issuer may call or redeem the bonds on the call exercise date if they can refinance the issue at a cheaper rate, especially when interest rates are declining. The issuers of such instruments could be Banks, NBFCs and Corporates. PDIs issued by Banks and NBFCs fall under scope of Reserve Bank of India ("RBI")'s guidelines for Basel III capital regulations. These are also referred to as Additional Tier I (AT1 bonds). However, there are no regulatory guidelines for issuance of PDIs by Corporates. Since PDIs have special features other than usual non-convertible bonds, there are additional risks associated with such instruments which are listed below –

##### **Risk related to coupon servicing –**

**Banks** - As per the terms of the instruments, Banks may have discretion at all times to cancel distributions/payment of coupons. In the event of non-availability of adequate distributable reserves and surpluses or inadequacy in terms of capital requirements, RBI may not allow banks to make payment of coupons. These bonds may not be permitted to pay these coupons if the Bank's financial position improves subsequently (non-cumulative).

**NBFCs** - While NBFCs can defer/postpone payment of coupon in case paying the coupon leads to breach of capital ratios, they also have discretion at all times to cancel payment of coupon.

**Corporates** - Corporates usually have discretion to defer the payment of coupon. However, the coupon is usually cumulative and any deferred coupon shall accrue interest at the original coupon rate of the PDI.

##### **Risk of write down or conversion to equity –**

In the event of shortfall in maintenance of capital adequacy ratios and/or Point of Non-Viability Trigger (PONV – a point defined by RBI when a bank is deemed to have become non-viable unless appropriate measures are taken to revive its operations or infusion of public sector capital), PDIs issued by Banks could be written down or converted to common equity. This risk does not exist in case of PDIs issued by NBFCs and Corporates.

##### **Risk of call option not exercised by the issuer –**

**Banks and NBFCs** - The issuing Banks and NBFCs have an option to call back the instrument after minimum period as per the regulatory requirement from the date of issuance and specified period thereafter, subject to meeting the RBI guidelines. However, if the issuer does not exercise the call on first call date, the Investment strategy may have to hold the instruments for a period beyond the first call exercise date and hence may be exposed to valuation impacts.

	<p><b>Corporates</b> – Unlike Banks and NBFCs there is no minimum period for call date for Corporate issuers. However, if the corporate does not exercise the call option, the Investment strategy may have to hold the instruments for a period beyond the call exercise date and hence may be exposed to valuation impacts.</p> <p><b>Risk Mitigation</b> – The Investment strategy will not invest more than 10% of the NAV of the investment strategy in such instruments and will limit exposure to 5% of the NAV of the Investment strategy for such instruments issued by a single issuer.</p> <p><b>Risks associated with Segregated Portfolio</b></p> <p><b>Liquidity risk</b> - Segregated Portfolio is created to separate debt and money market instruments affected by a Credit Event from the Main Portfolio of the Investment strategy. The Fund will not permit redemption of the Segregated Portfolio units, but the units will be listed on a recognized stock exchange. The Fund is not assuring any liquidity of such units on the stock exchange.</p> <p>Further, trading price of units on the stock exchange may be significantly lower than the prevailing NAV. Investors can continue to transact (subscribe/redeem) from the Main Portfolio.</p> <p><b>Credit risk</b> – While the AMC will put in sincere efforts to recover the securities in the Segregated Portfolio and distribute the same to unit holders, because such securities are affected by credit event, it is likely that such securities may not realize any value leading to losses to investors.</p> <p><b>Risk Factors of covered call strategy</b></p> <p>Covered call strategy is known as selling a call option on the shares which an investor holds. Under this strategy the investor owns the shares and has taken on the potential obligation to deliver the shares to the option buyer and accept the predetermine price as the price at which he sells the shares. For his willingness to do this, the investor receives the premium on the option.</p> <p><b>Benefit of covered call strategy</b></p> <p><b>Income Generation:</b> Investment manager sees this strategy as income generation. when investment manager is under view that the price of a share will not move beyond certain price in certain time frame, his endeavour will be to generate income by selling call option on that stock.</p> <p><b>Downside Hedging:</b> Downside of the stock is protected to the extent of premium received under covered call strategy.</p> <p><b>Volatility risk:</b> Volatility risk arises when market more volatile than the Fund Manager’s estimation. The investment manager holds view of range bound market and the market volatility breaches these limits, thereby increasing risk to the portfolio. This risk is mitigated as we have covered with the stocks we hold.</p> <p><b>Opportunity loss:</b> Selling call option means investment manager are obligated to deliver the stock at predetermined price. In case when the stock price move above the predetermine price the upside opportunity is lost on the stock, because we have sold call option.</p> <p>Writing call options are highly specialized activities and entail higher than ordinary investment risks. In such investment strategy, the profits from call option writing is capped at the option premium, however the downside depends upon the increase in value of the underlying equity shares.</p> <p><b>Restriction in Writing of Covered Call Options by Investment strategies:</b></p> <p>In terms of SEBI Master circular dated March 20, 2026, Mutual funds have been permitted to write call options under a covered call strategy as prescribed below:</p> <p>Mutual Fund investment strategies (except Index Funds and ETFs) may write call options only under a covered call strategy for constituent stocks of NIFTY 50 and BSE SENSEX subject to the following:</p> <ul style="list-style-type: none"> <li>● The total notional value (taking into account strike price as well as premium value) of call options written by a investment strategy shall not exceed 15% of the total market value of equity shares held in that investment strategy.</li> <li>● The total number of shares underlying the call options written shall not exceed 30% of the unencumbered shares of a particular company held in the investment strategy. The unencumbered shares in a investment strategy shall mean shares that are not part of Securities Lending and Borrowing Mechanism (SLBM), margin or any other kind of encumbrances.</li> <li>● At all points of time the Mutual Fund investment strategy shall comply with the provisions at paragraph (a) and (b) above. In case of any passive breach of the requirement at paragraph (a), the respective investment strategy shall have 7 trading days to rebalance the portfolio. During the rebalancing period, no additional call options can be written in the said investment strategy.</li> <li>● In case a Mutual Fund investment strategy needs to sell securities on which a call option is written under a covered call strategy, it must ensure compliance with paragraphs (a) and (b) above while selling the securities.</li> <li>● In no case, a investment strategy shall write a call option without holding the underlying equity shares. A call option can be written only on shares which are not hedged using other derivative contracts.</li> <li>● The premium received i.e. the total gross exposure related to option premium paid and received must not exceed 20% of the net assets of the investment strategy.</li> <li>● The exposure on account of the call option written under the covered call strategy shall not be considered in cumulative gross exposure of the Investment strategy for computing 100% of the net assets of the investment strategy.</li> <li>● The call option written shall be marked to market daily and the respective gains or losses factored into the daily NAV of the respective investment strategy(s) until the position is closed or expired.</li> </ul>
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	<p><b>Risks associated with transaction in Units through Stock Exchange mechanism</b></p> <p>In respect of transactions in Units of the Investment strategy routed through the BSE StAR MF platform or any other recognised stock exchange platform as intimated by the AMC, allotment and redemption of Units on any Business Day will depend upon the order processing /settlement by BSE, or such other exchange and their respective clearing corporations on which the Fund has no control. Further, transactions conducted through the stock exchange mechanism shall be governed by the operating guidelines and directives issued by BSE or such other recognised exchange in this regard.</p> <p>For details on risk factors and risk mitigation measures, please refer ISID.</p>																				
<p><b>Plans / Options</b></p>	<p><b>Plans under the Investment strategy:</b></p> <p>(i) Direct Plan (ii) Regular Plan</p> <p><b>Options under each Plan(s):</b></p> <p>(i) Growth (ii) Income Distribution cum Capital Withdrawal (IDCW)</p> <p><b>Sub-options under IDCW:</b></p> <p>(i) Payout of IDCW (ii) Reinvestment of IDCW</p> <p><b>Frequency of IDCW:</b></p> <p>Annual or such other frequency as may be decided by the Board of Directors of Trustee Company</p> <p>The Growth Option shall be default Option under the Plans of the investment strategy and Reinvestment of IDCW shall be default Sub Option if IDCW is selected.</p> <p>The following table details the Plans/Options/Sub-options available in the investment strategy and its IDCW frequencies:</p> <table border="1" data-bbox="456 846 1497 1048"> <thead> <tr> <th>Plans</th> <th>Options</th> <th>Sub-Options</th> <th>Frequency of IDCW declaration</th> <th>Record Date</th> </tr> </thead> <tbody> <tr> <td rowspan="3">Regular and Direct</td> <td>Growth</td> <td>-</td> <td>-</td> <td>-</td> </tr> <tr> <td rowspan="2">Income Distribution cum Capital Withdrawal Option (IDCW)</td> <td>IDCW (Payout &amp; Reinvestment)</td> <td>From time to time</td> <td>As may be decided by the Trustees<sup>^</sup></td> </tr> <tr> <td>Annual IDCW (Payout &amp; Reinvestment)</td> <td>Annual</td> <td>As may be decided by the Trustees<sup>^</sup></td> </tr> </tbody> </table> <p><sup>^</sup> If such day is a holiday, then the record date shall be the immediately succeeding Business Day.</p> <p>If the actual amount of Payout of IDCW is less than Rs. 100/-, then such IDCW will be compulsorily and automatically re-invested by issuing additional units on the ex-IDCW date at applicable NAV.</p> <p>The amount of IDCW reinvested will be net of applicable taxes.</p> <p>For detailed disclosure on default plans and options, kindly refer SAI.</p>	Plans	Options	Sub-Options	Frequency of IDCW declaration	Record Date	Regular and Direct	Growth	-	-	-	Income Distribution cum Capital Withdrawal Option (IDCW)	IDCW (Payout & Reinvestment)	From time to time	As may be decided by the Trustees <sup>^</sup>	Annual IDCW (Payout & Reinvestment)	Annual	As may be decided by the Trustees <sup>^</sup>			
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<p><b>Applicable NAV (after the Investment Strategy opens for Redemption/repurchase and sale)</b></p>	<p>This is the time before which an investor's application (complete in all respects) should reach the official points of acceptance.</p> <p>The cut off timings for determining applicable NAVs for subscriptions/redemptions/switch-ins/switch-outs to be made at the Investor Service Centres/Designated Collection Centres (designated as 'Official Points of Acceptance' from time to time) are as per the following table:</p> <table border="1" data-bbox="456 1379 1497 1447"> <thead> <tr> <th>Subscription</th> <th>Redemption</th> <th>Switch In</th> <th>Switch Out</th> </tr> </thead> <tbody> <tr> <td>3.00 p.m.</td> <td>3.00 p.m.</td> <td>3.00 p.m.</td> <td>3.00 p.m.</td> </tr> </tbody> </table> <p>Where a request for redemption/switch out is received after the cut-off time as mentioned above, the request will be deemed to have been received on the next Redemption frequency Day, i.e., next Monday*.</p> <p>*Next business day in case Monday is a non-business day.</p> <p><b>i. Applicable NAV for Sale of Units</b></p> <table border="1" data-bbox="496 1588 1497 1731"> <thead> <tr> <th>Particulars</th> <th>Applicable NAV</th> </tr> </thead> <tbody> <tr> <td>where the application is received upto 3.00 p.m. on a day and funds are available for utilization before the cut-off time</td> <td>closing NAV of the day on which the application is received</td> </tr> <tr> <td>where the application is received after 3.00 p.m. on a day and funds are available for utilization on the same day</td> <td>closing NAV of the next business day</td> </tr> </tbody> </table> <p><b>ii. Applicable NAV for Repurchase of Units</b></p> <table border="1" data-bbox="496 1783 1497 1926"> <thead> <tr> <th>Particulars</th> <th>Applicable NAV</th> </tr> </thead> <tbody> <tr> <td>Where the application is received upto 3:00 p.m. on Monday*</td> <td>Closing NAV of 10<sup>th</sup> working day</td> </tr> <tr> <td>Where the application is received after 3.00 pm cut-off time on Monday*</td> <td>Closing NAV of 10<sup>th</sup> working day from next Monday*</td> </tr> </tbody> </table> <p>*Next business day in case Monday is a non-business day</p> <p>The SIF shall calculate NAV for each business day in respect of the Investment Strategy.</p> <p><b>Explanation:</b> 'Business Day' does not include a day on which the money markets are closed or otherwise not accessible.</p>	Subscription	Redemption	Switch In	Switch Out	3.00 p.m.	3.00 p.m.	3.00 p.m.	3.00 p.m.	Particulars	Applicable NAV	where the application is received upto 3.00 p.m. on a day and funds are available for utilization before the cut-off time	closing NAV of the day on which the application is received	where the application is received after 3.00 p.m. on a day and funds are available for utilization on the same day	closing NAV of the next business day	Particulars	Applicable NAV	Where the application is received upto 3:00 p.m. on Monday*	Closing NAV of 10 <sup>th</sup> working day	Where the application is received after 3.00 pm cut-off time on Monday*	Closing NAV of 10 <sup>th</sup> working day from next Monday*
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	<p>Valid applications for 'switch-out' shall be treated as applications for Redemption and valid applications for 'switch-in' shall be treated as applications for Purchase, and the provisions of the Cut-off time, purchase/redemption price, minimum amounts for Purchase/Redemption, Redemption Frequency and the Applicable NAV as applicable to Purchase and Redemption as mentioned in above paragraph, shall be applied respectively to the 'switch-in' and 'switch-out' applications.</p> <p><b>Note:</b> Repurchase/Redemptions including Switch-outs for Segregated Portfolio is not allowed. However, the unit of Segregated Portfolio will be listed on the recognized Stock Exchange.</p>																		
<b>Subscription frequency</b>	Daily (all business days)																		
<b>Redemption frequency</b>	<p>Redemption requests will be subject to Notice Period (defined below) and will be processed once a week (Every Monday*) as under:</p> <p>a. Redemption application received up to Monday* (before 3.00 pm cut-off time) will be processed at the NAV applicable at the end of the Notice Period.</p> <p>b. Redemption application received on or after Monday* (after 3.00 pm cut-off time on Monday*) will be processed on next Monday* at the NAV applicable at the end of the Notice Period.</p> <p>*Next business day in case Monday is a non-business day.</p>																		
<b>Minimum Investment Threshold</b>	<p>Aggregate investment by an investor across all investment strategies offered by RedHex SIF, at the Permanent Account Number ('PAN') level, should not be less than INR 10 lakh (Minimum Investment threshold). For accredited investors, the minimum investment threshold shall be INR 1 lakh.</p> <p>The Minimum Investment Threshold of INR 10 lakh (INR 1 lakh for accredited investors) shall apply exclusively to investments under RedHex SIF and shall not include investments made by the investor in HSBC Mutual Fund.</p> <p>Passive breaches (occurrence of instances not arising out of omission and commission by AMC), such as those caused by a decline in Net Asset Value (NAV), shall not be treated as a violation of the Minimum Investment Threshold. However, if the total investment value falls below the threshold due to a passive breach, the investor shall only be permitted to redeem the entire remaining investment amount from the SIF. For additional purchase investor will have to invest to meet the Minimum Investment Threshold of INR 10 lakh (INR 1 lakh for accredited investors).</p> <p>In case of any active breach of the Minimum Investment Threshold by an investor, including through transactions on stock exchanges or off-market transfers:</p> <p>i) all units of such investor held across investment strategies of the SIF shall be frozen for debit, and</p> <p>ii) a notice of 30 calendar days shall be given to such investor to rebalance the investments in order to comply with the Minimum Investment Threshold.</p> <p>Pursuant to the notice to the investor as mentioned above:</p> <ul style="list-style-type: none"> <li>in case investor rebalances his/her investments in SIF within the notice period of 30 calendar days, the units of SIF of such investor shall be unfrozen, and no further action shall be taken with regard to compliance with Minimum Investment Threshold.</li> <li>in case the investor fails to rebalance the investments within the aforesaid 30 calendar day period, the frozen units shall be automatically redeemed by the AMC, at the applicable Net Asset Value of the next immediate business day after the 30th calendar day of the notice period.</li> </ul>																		
<b>Minimum Application Amount/Number of Units</b>	<p><b>During the NFO:</b></p> <p><b>For lumpsum investments:</b></p> <p>Minimum of Rs. 10,00,000/- and in multiples of Re. 1/- thereafter.</p> <p>Minimum amount for accredited investor: Rs. 1,00,000/- and in multiples of Re. 1/- thereafter.</p> <p><b>On Continuous basis:</b></p> <p>For lumpsum investments: Minimum (including switch-in) of Rs. 10,00,000/- and in multiples of Re. 1/- thereafter.</p> <p>For SIP Investments, subject to initial Investment amount of Rs. 10,00,000/- (Rs. 1,00,000 for accredited investors)</p> <table border="1"> <thead> <tr> <th>Frequency</th> <th>Minimum Installment Amount<sup>#</sup></th> <th>Minimum number of Installments<sup>#</sup></th> <th>SIP Dates</th> </tr> </thead> <tbody> <tr> <td>Daily</td> <td>Rs. 1,000/-</td> <td rowspan="2">Minimum 12 instalments subject to aggregate of Rs. 12,000/-</td> <td>Monday to Friday*</td> </tr> <tr> <td>Weekly</td> <td>Rs. 1,000/-</td> <td>Any Day from Monday to Friday</td> </tr> <tr> <td>Monthly</td> <td>Rs. 1,000/-</td> <td rowspan="2">Minimum 4 instalments subject to aggregate of Rs. 12,000/-</td> <td>Any Dates</td> </tr> <tr> <td>Quarterly</td> <td>Rs. 3,000/-</td> <td>Any Dates</td> </tr> </tbody> </table> <p><sup>#</sup> in multiples of Re. 1/- thereafter.</p> <p>*Daily SIP will be processed from Monday to Friday. In case of a non-business day falling between Monday to Friday (both days inclusive) then the daily SIP installment for that day will not be processed on the next business day.</p> <p><b>Minimum Additional Purchase Amount</b></p> <p>Rs 1,000/- per application and in multiples of Re. 1/- thereafter</p> <p><b>Minimum Redemption / switch out amount</b></p> <p>Rs. 1,000/- and in multiples of Re. 1/- thereafter or 100 Units in multiples of 0.01 units thereafter.</p> <p>The AMC/Trustee reserves the right to change/modify the terms of minimum redemption/switch-out amount.</p> <p>The redemption will be subject to compliance with provisions required to meet "Minimum investment threshold"</p> <p><b>Note:</b> "Accredited Investor" shall have the same meaning as assigned to it in clause (ab) of sub-regulation (1) of regulation 2 of the SEBI (Alternative Investment Funds) Regulations, 2012.</p>	Frequency	Minimum Installment Amount <sup>#</sup>	Minimum number of Installments <sup>#</sup>	SIP Dates	Daily	Rs. 1,000/-	Minimum 12 instalments subject to aggregate of Rs. 12,000/-	Monday to Friday*	Weekly	Rs. 1,000/-	Any Day from Monday to Friday	Monthly	Rs. 1,000/-	Minimum 4 instalments subject to aggregate of Rs. 12,000/-	Any Dates	Quarterly	Rs. 3,000/-	Any Dates
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<b>Notice period</b>	<p>10 working days.</p> <p>The redeeming investor shall receive the value of units sold based on the fund's NAV at the end of the notice period.</p> <p>AMC/Trustees reserve the right to impose restriction on redemption/switch of units as per SEBI/AMFI regulations/circular from time to time.</p> <p>For further details, kindly refer to SAI.</p>
<b>Despatch of Repurchase (Redemption) Request</b>	<p>The redemption or repurchase proceeds shall be dispatched to the unitholders within three working days from the applicable NAV date for redemption.</p>
<b>Benchmark Index</b>	<p>As per AMFI Tier 1 Benchmark Index – NIFTY 50 Hybrid Composite Debt 50:50 Index</p> <p><b>Justification on use of Benchmark –</b></p> <p>The selected benchmark is the most appropriate option aligning with the investment approach of the investment strategy, among the permitted benchmarks.</p> <p>The Trustees reserve the right to change the benchmark in the future, if a benchmark better suited to the investment objective of the Investment Strategy is available.</p>
<b>IDCW Policy</b>	<p><b>IDCW Distribution Policy</b></p> <p>The Board of Directors of Trustee Company propose to follow the below IDCW distribution policy:</p> <p>Declaration of IDCW is subject to the availability of distributable surplus. Such IDCW if declared, will be paid under normal circumstances, only to those Unitholders who have opted for Income Distribution cum capital withdrawal option (IDCW) with specified sub- options. Further, no entry/exit load shall be charged for units allotted under Reinvestment of IDCW option.</p> <p>However, it must be distinctly understood that the actual declaration of IDCWs under the Investment strategy and the frequency thereof will, inter-alia, depend upon the distributable surplus of the Investment strategy, as computed in accordance with SEBI Regulations. The Board of Directors of Trustee Company reserve the right of IDCW declaration and to change the frequency, date of declaration and the decision of the Board of Directors of Trustee Company in this regard shall be final. There is no assurance or guarantee to Unit holders as to the rate of IDCW distribution nor that IDCW will be regularly paid.</p> <p>The IDCW that may be paid out of the net surplus of the Investment strategy will be paid only to those Unit holders whose names appear in the register of Unit holders on the notified record date. In case of Units held in dematerialized mode, the Depositories (NSDL/CDSL) will give the list of demat account holders and the number of units held by them in demat form on the Record Date to the Registrars and Transfer Agent of the Mutual Fund. The IDCW will be at such rate as may be decided by the AMC in consultation with the Board of Directors of Trustee Company.</p> <p>Investors may please note that amounts distributed under Income Distributable cum capital withdrawal options and sub-options, can be made out of investors capital (Equalization Reserve), which is a part of sale price that represents realized gains.</p> <p>Under the Growth Option, income earned on the Investment strategy's corpus will remain invested in the Investment strategy and will be reflected in the Net Asset Value (NAV). Unit holders who opt for this Option will not receive any IDCW in normal circumstances. Under the Income Distribution cum Capital Withdrawal Option (IDCW), it is proposed to distribute IDCWs at regular intervals, subject to availability of distributable profits, as computed in accordance with SEBI Regulations. Investors in the Investment strategy have the choice of opting for either payout or reinvestment of IDCW, as stated above. Subsequent to the declaration of IDCW, NAV of the Income Distribution cum Capital Withdrawal Option (IDCW) and Growth Option will be different.</p> <p><b>IDCW Distribution Procedure</b></p> <p>In accordance with Chapter 12 and para 12.5 of SEBI Master Circular on Mutual Funds dated March 20, 2026, the procedure for IDCW Distribution would be as under:</p> <ol style="list-style-type: none"> <li>i. Quantum of IDCW and the record date will be fixed by the Board of Directors of Trustee Company in their meeting. IDCW so decided shall be paid, subject to availability of distributable surplus.</li> <li>ii. Within one calendar day of decision by the Board of Directors of Trustee Company, the AMC shall display the decision including the record date on the website of AMC/SIF. The record date shall be two working days from the date of publication in at least one English newspaper or in a newspaper published in the language of the region where the Head Office of the mutual fund is situated, whichever is issued earlier.</li> <li>iii. Record date shall be the date which will be considered for the purpose of determining the eligibility of investors whose names appear on the register of Unit holders for receiving IDCWs. As para 12.5 of SEBI Master Circular on Mutual Funds dated March 20, 2026, the record date shall be 2 working days from the date of public notice.</li> <li>iv. The notice will, in font size 10, bold, categorically state that pursuant to payment of IDCW, the NAV of the Option would fall to the extent of payout and statutory levy (if applicable).</li> <li>v. The NAV will be adjusted to the extent of IDCW distribution and statutory levy, if any, at the close of business hours on record date.</li> <li>vi. Before the issue of such notice, no communication indicating the probable date of IDCW declaration in any manner whatsoever will be issued by Mutual Fund.</li> </ol> <p>The IDCW proceeds may be paid by way of IDCW warrants/direct credit /Electronic Funds Transfer (EFT) /any other manner through the investor's bank account specified in the Registrar's records. The AMC, at its discretion at a later date, may choose to alter or add other modes of payment. As per para 12.4 of SEBI Master Circular on Mutual Funds dated March 20, 2026, the AMC shall dispatch/credit payment of the IDCW proceeds within 7 working days from the record date.</p>

	<p>If the actual amount of Payout of IDCW is less than Rs. 100/-, then such IDCW will be compulsorily and automatically re-invested by issuing additional units on the ex-IDCW date at applicable NAV. The amount of IDCW reinvested will be net of applicable taxes.</p> <p>Further, AMC may use modes of dispatch such as speed post, courier etc. for payments to unitholders in addition to the registered post with acknowledgement due.</p> <p>Please refer to the Statement of Additional Information (SAI) and instructions under the Key Information Memorandum cum Application form of the investment strategy for further details.</p>																																	
<b>Name of the Fund Manager</b>	Shriram Ramanathan (Fixed Income, REITs and InvITs), Praveen Ayathan (Arbitrage), Venugopal Manghat (Equity) and Mayank Chaturvedi (Foreign Securities) are the fund managers of the Investment strategy.																																	
<b>Name of the Trustee Company</b>	HSBC Trustees (India) Private Limited																																	
<b>Performance of the Investment Strategy</b>	This is a new Investment Strategy and does not have any performance track record.																																	
<b>Expenses of the Investment Strategy</b>	<p><b>NFO</b></p> <p>These expenses are incurred for the purpose of various activities related to the NFO like sales and distribution fees, paid marketing and advertising, registrar expenses, printing and stationery, bank charges etc.</p> <p>The NFO expenses of RedHex Hybrid Long-Short Fund will be borne by the AMC and will not be charged to the investment strategy.</p>																																	
<b>Load Structure</b>	<p><b>Exit Load:</b></p> <p>i. If the Units are redeemed/switched out on or before 1 year from the date of allotment: 2.00%</p> <p>ii. If the Units are redeemed/switched out after 1 year from the date of allotment: Nil</p> <ul style="list-style-type: none"> <li>● Withdrawal under SWP will also attract an Exit Load like any Redemption.</li> <li>● No Exit load will be chargeable in case of switches made between different plans and options within the Investment strategy.</li> <li>● No Exit load will be chargeable in case of Units allotted on account of IDCW reinvestments, if any.</li> <li>● Exit load is not applicable for Segregated Portfolio.</li> </ul> <p>The exit load set forth above is subject to change at the discretion of the AMC and such changes shall be implemented prospectively.</p>																																	
<b>Recurring expenses</b>	<p>These are the fees and expenses for operating the investment strategy. The base expense ratio of the schemes shall be sum of the following expenses: (i) investment and advisory fees; (ii) recurring expenses provided in Regulation 66(5) of the MF Regulations, 2026; (iii) charges or commission or fees related to distribution of mutual fund schemes, excluding statutory levies.</p> <p>The AMC has estimated that up to 1.85% of the daily net assets of the investment strategy will be charged as expenses.</p> <p>The total recurring expenses of the Investment strategy shall be as per the limits prescribed under sub-regulation 66(7)(c), of the SEBI MF Regulations, 2026 and shall not exceed the limits prescribed there under as a percentage limit of daily net assets in the table below:</p> <p>As per Regulation 66(7)(c), the maximum base expense ratio that can be charged to the scheme shall be subject to a percentage limit of daily net assets as below:</p> <table border="1"> <thead> <tr> <th>First Rs. 500 Crores</th> <th>Next Rs. 250 crores</th> <th>Next Rs. 1,250 Crores</th> <th>Next Rs. 3,000 Crores</th> <th>Next Rs. 5,000 crores</th> <th>Next Rs. 40,000 crores</th> <th>Balance</th> </tr> </thead> <tbody> <tr> <td>1.85%</td> <td>1.65%</td> <td>1.40%</td> <td>1.25%</td> <td>1.15%</td> <td>TER reduction of 0.05% for every increase of Rs. 5,000 crores of daily net assets or part thereof</td> <td>0.70%</td> </tr> </tbody> </table> <p>The AMC has estimated the following maximum expenses of the Investment strategy. Please refer to the table below for indicative details.</p> <table border="1"> <thead> <tr> <th>Expense Head</th> <th>% p.a. of daily Net Assets* (Estimated p.a.)</th> </tr> </thead> <tbody> <tr> <td>Investment Management &amp; Advisory Fee</td> <td rowspan="13">Upto 1.85%</td> </tr> <tr> <td>Audit fees/fees and expenses of trustees</td> </tr> <tr> <td>Custodial Fees</td> </tr> <tr> <td>Registrar &amp; Transfer Agent Fees including cost of providing account statements/IDCW/redemption cheques/warrants</td> </tr> <tr> <td>Marketing &amp; Selling Expenses including fees, commission and charges towards distribution of mutual fund schemes</td> </tr> <tr> <td>Costs related to investor communications</td> </tr> <tr> <td>Costs of fund transfer from location to location</td> </tr> <tr> <td>Cost towards investor education, awareness and financial inclusion</td> </tr> <tr> <td>Brokerage &amp; transaction cost pertaining execution of trade@</td> </tr> <tr> <td>Cost of statutory advertisements</td> </tr> <tr> <td>Other Expenses (to be specified as per Reg 66 of SEBI MF Regulations)</td> </tr> <tr> <td><b>Maximum Base expenses ratio (BER) permissible under Regulation 66</b></td> </tr> <tr> <td>Statutory levies (including GST) on all expenses excluding brokerage and transaction cost</td> <td>On BER</td> </tr> <tr> <td>Statutory levies (including GST) on brokerage and transaction cost</td> <td>On actuals</td> </tr> </tbody> </table>	First Rs. 500 Crores	Next Rs. 250 crores	Next Rs. 1,250 Crores	Next Rs. 3,000 Crores	Next Rs. 5,000 crores	Next Rs. 40,000 crores	Balance	1.85%	1.65%	1.40%	1.25%	1.15%	TER reduction of 0.05% for every increase of Rs. 5,000 crores of daily net assets or part thereof	0.70%	Expense Head	% p.a. of daily Net Assets* (Estimated p.a.)	Investment Management & Advisory Fee	Upto 1.85%	Audit fees/fees and expenses of trustees	Custodial Fees	Registrar & Transfer Agent Fees including cost of providing account statements/IDCW/redemption cheques/warrants	Marketing & Selling Expenses including fees, commission and charges towards distribution of mutual fund schemes	Costs related to investor communications	Costs of fund transfer from location to location	Cost towards investor education, awareness and financial inclusion	Brokerage & transaction cost pertaining execution of trade@	Cost of statutory advertisements	Other Expenses (to be specified as per Reg 66 of SEBI MF Regulations)	<b>Maximum Base expenses ratio (BER) permissible under Regulation 66</b>	Statutory levies (including GST) on all expenses excluding brokerage and transaction cost	On BER	Statutory levies (including GST) on brokerage and transaction cost	On actuals
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Statutory levies (including GST) on all expenses excluding brokerage and transaction cost		On BER																																
Statutory levies (including GST) on brokerage and transaction cost	On actuals																																	

	<p>@ Expenses charged towards brokerage, over and above the specified limit shall be part of the base expense ratio limit as prescribed under regulation 66(7) of the SEBI (Mutual Funds) Regulations, 2026.</p> <p>The AMC may charge the following costs and expenses over and above base expense ratio limits as prescribed in the table above:</p> <ul style="list-style-type: none"> <li>● Expense incurred towards brokerage, for the purpose of execution of trade, shall be charged to the schemes as per regulation 66(9) of SEBI (Mutual Funds) Regulations, 2026, subject to a maximum of 0.06 per cent of trade value in case of cash market transactions and 0.02 per cent of trade value in case of derivatives transactions.</li> <li>● Transaction cost incurred for the purpose of execution of a trades, shall be charged to the schemes as per regulation 66(10) of SEBI (Mutual Funds) Regulations, 2026, which shall mean regulatory levies and any other expenses charged by the stock exchanges, clearing corporation, and clearing house, as applicable.</li> <li>● Statutory levies (including GST), which are as imposed by the state government and central government.</li> </ul> <p>Accordingly, the 'Total expense ratio', of the investment strategy shall be total of expense charged within the base limit specified under regulation 66(7), brokerage cost permitted under regulation 66(9), transaction cost incurred for the purpose of execution of trade as referred under regulation 66(10), and statutory levies (including GST).</p> <p>For the actual current expenses being charged, the investor should refer to the website of the SIF at <a href="http://www.assetmanagement.hsbc.co.in/redhex-sif">http://www.assetmanagement.hsbc.co.in/redhex-sif</a>.</p> <p><b>Actual expenses for the previous financial year:</b></p> <p>Not Applicable as the investment strategy is a new investment strategy.</p> <p>The maximum limit of recurring expenses that can be charged to the Investment Strategy would be as per Regulation 66 of the SEBI (MF) Regulation, 2026. Investors are requested to read "Section- Annual Recurring Expenses" in the ISID.</p>				
<p><b>Additional Investment Strategy related disclosures</b></p>	<p>i. <b>Investment Strategy's portfolio holdings (top 10 holdings by issuer and fund allocation towards various sectors.)</b> Not applicable since this is a new Investment strategy.</p> <p>ii. <b>Functional website link for Portfolio Disclosure.</b> Not applicable since this is a new Investment strategy</p> <p>iii. <b>Portfolio Turnover Rate.</b> Not applicable</p>				
<p><b>Daily Net Asset Value (NAV) Publication</b></p>	<p>The AMC will prominently calculate and disclose the first NAV under the Investment Strategy not later than 5 Business Days from the date of allotment. Subsequently, the NAVs of the Investment strategy will be calculated by the SIF on each Business Day.</p> <p>NAV of the Investment strategy /Option(s) shall be made available at all Investor Service Centers of the AMC. The AMC shall update the NAVs under a separate head on the website of the SIF <a href="https://www.assetmanagement.hsbc.co.in/en/redhex-sif/fund-centre">https://www.assetmanagement.hsbc.co.in/en/redhex-sif/fund-centre</a> and of the Association of Mutual Funds in India - AMFI (<a href="http://www.amfiindia.com">www.amfiindia.com</a>) by 11.00 p.m. on every Business Day. NAV of the Segregated Portfolio, if any, shall be declared on daily basis.</p>				
<p><b>Tax treatment for the Investors (Unitholders)</b></p>	<p>Investors are advised to refer to the details provided in the Statement of Additional Information and also independently refer to your tax advisor.</p>				
<p><b>For Investor Grievances, please contact</b></p>	<table border="1" data-bbox="459 1312 1493 1536"> <thead> <tr> <th data-bbox="459 1312 839 1335">Name and Address of Registrar</th> <th data-bbox="847 1312 1493 1335">Name and Address of Mutual Fund</th> </tr> </thead> <tbody> <tr> <td data-bbox="459 1339 839 1469"> <p><b>Computer Age Management Services Limited (CAMS),</b> HSBC Mutual Fund Unit Rayala Tower-I, 158, Anna Salai, Chennai 600002.</p> </td> <td data-bbox="847 1339 1493 1536"> <p>Mr. Ankur Banthiya is currently designated as the Investor Relations Officer. His contact details are as follows: <b>HSBC Asset Management (India) Private Limited</b> Address: Unit No. 62, 1st Floor, Parade View, Rukmani Lakshmipathi Salai, Egmore, Chennai, Tamil Nadu - 600008, India Tel. : 1800-200-2434 / 1800-4190-200 Email: <a href="mailto:sifinvestor.line@mutualfunds.hsbc.co.in">sifinvestor.line@mutualfunds.hsbc.co.in</a></p> </td> </tr> </tbody> </table>	Name and Address of Registrar	Name and Address of Mutual Fund	<p><b>Computer Age Management Services Limited (CAMS),</b> HSBC Mutual Fund Unit Rayala Tower-I, 158, Anna Salai, Chennai 600002.</p>	<p>Mr. Ankur Banthiya is currently designated as the Investor Relations Officer. His contact details are as follows: <b>HSBC Asset Management (India) Private Limited</b> Address: Unit No. 62, 1st Floor, Parade View, Rukmani Lakshmipathi Salai, Egmore, Chennai, Tamil Nadu - 600008, India Tel. : 1800-200-2434 / 1800-4190-200 Email: <a href="mailto:sifinvestor.line@mutualfunds.hsbc.co.in">sifinvestor.line@mutualfunds.hsbc.co.in</a></p>
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<p><b>Unitholders' Information</b></p>	<p><b>Account Statement:</b></p> <p>The AMC shall send an allotment confirmation specifying the units allotted by way of email and/or SMS within 5 working days of receipt of valid application/transaction to the Unit holders registered e-mail address and/or mobile number.</p> <p>A Consolidated Account Statement (CAS) detailing all the transactions across all mutual funds holding at the end of the month shall be sent to the Unit holders in whose folio(s) transaction(s) have taken place during the month. Investor those who have opted for delivery via electronic mode, e-CAS will be sent by the twelfth (12th) day from the month end and to investors who have opted for delivery via physical mode, physical CAS will be despatched by the fifteenth (15th) day from the month end. If there is any transaction in any of the demat accounts of the investor or in any of his mutual fund folios, then CAS will be sent to that investor through email on monthly basis. In case there is no transaction in any of the mutual fund and demat accounts then CAS with holding details will be sent to the investors by email on half yearly basis. In respect of half- yearly CAS, the AMCs/MF-RTAs shall provide the data with respect to the common PANs to the depositories on or before eighth(8th) day of April and October every year. The depositories shall then consolidate and dispatch the CAS to investors that have opted for delivery via electronic mode, on or before the eighteenth (18th) day of April and October and to investors that have opted for delivery via physical mode, on or before the twenty-first (21st) day of April and October. However, where an investor does not wish to receive CAS through email, option will be given to the investor to receive the CAS in physical form at the address registered with the Depositories and the AMCs/MF-RTAs.</p>				

The default mode for dispatch of Consolidated Account Statement will be email.

For further details, refer SAI.

**Periodic Disclosure:**

**i. Bimonthly Portfolio disclosures:**

The SIF shall disclose portfolio (along with ISIN), including derivative instruments, as on the last day of every alternate month (i.e. as on the end of May, July, September, November, January and March) for all its investment strategies (including debt based investment strategies) on the websites of the AMC (SIF) and AMFI within 10 days from the close of such month in a user friendly and downloadable spreadsheet format.

Kindly refer ([weblink](#)) for bimonthly portfolio disclosures.

**ii. Half yearly Disclosures: Financial Results**

The Fund / SIF shall within one month from the close of each half year, that is on 31st March and on 30th September, host a soft copy of its unaudited financial results on AMC/SIF's website, containing details as specified in Regulation 70(2) of the SEBI (Mutual Funds) Regulations, 2026 read with format specified in SEBI Master Circular for Mutual Funds dated March 20, 2026 and such other details as are necessary for the purpose of providing a true and fair view of the operations of the SIF. Written communication (including digital modes such as email/SMS etc.) shall be sent to unitholders by the AMC about the availability of financial results.

Kindly refer ([weblink](#)) for half yearly Financial Results.

**iii. Annual Report**

An digital Investment Strategy wise Annual Report/abridged summary thereof shall be provided to all Unitholders as soon as may be but not later than 4 months from 31 March of each year.

The abridged/full Investment Strategy wise Annual Report shall contain such details as are required under the Regulations/Circulars issued thereafter.

The SIF shall provide the Investment Strategy wise annual report/abridged summary thereof as under:

- (i) By hosting functional link the same on the websites of the AMC (SIF) and AMFI;
- (ii) The physical copy of the Investment Strategy wise annual report/abridged summary thereof shall be made available to the investors at the registered office of the AMC. A link of the Investment Strategy annual report or abridged summary shall be displayed prominently on the website of the Fund.
- (iii) By e-mailing the same to those Unit holders' whose e-mail address is registered with the Fund.

Unit holders are therefore requested to update their email address with the Fund to receive annual reports through email.

The AMC shall publish an advertisement every year disclosing the hosting of the Investment Strategy wise annual report on its website (SIF) and on the website of AMFI. Such advertisement shall be published in the all India edition of at least two daily newspapers, one each in English and Hindi. Further, AMC shall provide modes such as SMS, telephone, email or written request (letter), etc. through which unitholders can submit a request for a physical or electronic copy of the Investment Strategy wise annual report or abridged summary thereof.

Kindly refer ([weblink](#)) for Annual report.

For further details, refer SAI.

*Notwithstanding anything contained in the SAI, Investment Strategy Information Document and Key Information Memorandum of the Investment Strategy(s) the provisions of SEBI (Mutual Funds) Regulations, 2026 and Guidelines thereunder shall be applicable. Investors can also obtain further changes after the date of this Key Information Memorandum from the Mutual Fund/Investor Service Centres or distributors.*

Date: May 07, 2026.

## Important Instructions

- 1) Please refer to the ISID, SAI and the KIM carefully before filling the Application Form.
- 2) Please refer the sections on "Who can invest" and "Who cannot invest" for a list of eligible investors in the ISID. Applications from investors resident in USA or Canada will not be accepted.
- 3) All applicants are deemed to have accepted the terms subject to which this offer is being made and bind themselves to the terms upon signing the Application Form and tendering the payment.
- 4) Investors are requested to use the services of AMFI certified Distributors empanelled with the AMC. The AMC shall not be liable to an Investor, with respect to investments made through non-empanelled Distributors.

If the investor wishes to invest directly, i.e. without involving the services of any agent or broker, "DIRECT" should be mentioned in the space provided for "ARN Number" in the Application Form/Transaction Form. Any subsequent change/updation/removal of broker code will be based on the written request from the Unit holder and will be on a prospective basis only from the date when the Registrar executes such written instruction.

**Employee Unique Identification Number (EUIN) :** Para 15.11 of SEBI Master Circular on Mutual Funds dated June 27, 2024, required creation of a unique identity number of the employee/relationship manager/sales person of the distributors interacting with the investor for the sale of mutual fund products, in addition to the AMFI Registration Number (ARN) of the distributor. This has been recommended by SEBI in order to avoid any instance of mis-selling, particularly in advisory based transactions. This would further help tackle the problem of mis-selling even if the employee/relationship manager/sales person leave the employment of the distributor. Due to this regulatory change, all employees of distributors who are involved in sale of mutual fund products are required to obtain an Employee Unique Identification Number (EUIN). Applications received without a valid EUIN and/or valid sub-broker code(should be a valid ARN and not an internal code) are subject to rejection by the fund.

### 5) Identification of Ultimate Beneficial Owner (UBO)

As per SEBI circular dated January 24, 2013, read with SEBI Circular dated October 13, 2023, non-individuals and trusts are required to provide details of controlling persons [CP]/ultimate beneficiary owner [UBO] and submit appropriate proof of identity of such CPs/UBOs. The beneficial owner has been defined in the circular as the natural person or persons, who ultimately own, control or influence a client and/or persons on whose behalf a transaction is being conducted, and includes a person who exercises ultimate effective control over a legal person or arrangement.

#### A. For Investors other than individuals or trusts:

- (i) The identity of the natural person, who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest. Controlling ownership interest means ownership of/entitlement to:
  - more than 10% of shares or capital or profits of the juridical person, where the juridical person is a company.
  - more than 10% of the capital or profits of the juridical person, where the juridical person is a partnership.
  - more than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.
- (ii) In cases where there exists doubt under clause (i) above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity of the natural person exercising control over the juridical person through other means like through voting rights, agreement, arrangements or in any other manner.
- (iii) Where no natural person is identified under clauses (i) or (ii) above, the identity of the relevant natural person who holds the position of senior managing official.

#### B. For Investors which is a trust:

The identity of the settler of the trust, the trustee, the protector, the beneficiaries with 10% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

#### C. Exemption in case of listed companies/foreign investors

The client or the owner of the controlling interest is a company listed on a stock exchange or is a majority-owned subsidiary of such a company, it is not necessary to identify and verify the identity of any shareholder or beneficial owner of such companies. Intermediaries dealing with foreign investors' viz., Foreign Institutional Investors, Sub Accounts and Qualified Foreign Investors, may be guided by the clarifications issued vide SEBI circular October 13, 2023, for the purpose of identification of beneficial ownership of the client.

#### D. KYC requirements

Beneficial Owner(s) is/are required to comply with the prescribed KYC process as stipulated by SEBI from time to time with any one of the

KRA & submit the same to AMC. KYC acknowledgement proof is to be submitted for all the listed Beneficial Owner(s).

### E. Controlling Person Type [CP/UBO] Codes:

CP/UBO Code	Description	CP/UBO Code	Description
C01	CP of legal person-ownership	C08	CP of legal arrangement-trust-other
C02	CP of legal person-other means	C09	CP of legal arrangement-trust-other-settlor equivalent
C03	CP of legal person-senior managing official	C10	CP of legal arrangement-trust-other-trustee-equivalent
C04	CP of legal arrangement-trust-settlor	C11	CP of legal arrangement-trust-other-protector equivalent
C05	CP of legal arrangement-trust-trustee	C12	CP of legal arrangement-trust-other-beneficiary-equivalent
C06	CP of legal arrangement-trust-protector	C13	CP of legal arrangement-trust-other-other-equivalent
C07	CP of legal arrangement-trust-beneficiary	C14	Unknown

### 6) Applications under Power of Attorney/Body Corporate/Registered Society/Trust/Partnership

The original Power of Attorney or a duly notarised copy of the Power of Attorney shall be required to be submitted where applications are made under a Power of Attorney.

A company, body corporate, eligible institutions, registered society, trusts, partnership or other eligible non-individuals who apply in the schemes should furnish a certified copy of resolution or authority to make the application as the case may be and a certified copy of the Memorandum and Articles of Association and/or bye-laws and/or Trust Deed and/or Partnership Deed and certificate of registration or any other document as the case may be. In case of a Trust/Fund, it shall submit a certified true copy of the resolution Important Instructions from the Trustee(s) authorising such purchases. The officials should sign the application under their official designation and furnish a list of authorised signatories. All communications and payments shall be made to the First Applicant only.

### 7) Prevention of Money Laundering and Know Your Client (KYC) Norms

KYC (Know Your Customer) norms are mandatory for all unit holders, including for all joint holders and the guardian in case of folio of a minor investor for transacting in Mutual Funds. Accordingly, financial transactions (including redemptions, switches and all types of systematic plans) and non-financial requests will not be processed if the unit holders (including POA holder) have not completed KYC requirements. Investors are requested to note that all investors are required to be KRA (KYC Registration Agency) KYC compliant. Those investors who had obtained MF KYC compliance through CVL (KYC registration authority till 31 December 2011) are required to submit necessary supporting(s) and update the missing information to be in compliance with the uniform KYC requirement laid down by SEBI.

For investors who have not completed KYC compliance through KRA, any application received without the requisite KYC information will be rejected. However, investors who have obtained KRA KYC compliance, as well as existing investors of the Fund who have registered their KYC details with the Fund shall be required to submit the additional KYC information to the Fund, only in the event of change in their occupation or income details. Kindly use the updated application forms or the separate KYC form of the Fund, available at ISCs or on the Fund's website for updating the additional information. The AMC reserves the right to reject the application and refund the application amount, post acceptance of the application, in the event that the required KYC information is not provided or not found adequate.

#### Implementation of Central KYC (CKYC)

The Government of India has authorized the Central Registry of Securitization and Asset Reconstruction and Security interest of India (CERSAI, an independent body), to perform the function of Central KYC Records Registry including receiving, storing, safeguarding and retrieving KYC records in digital form. New individual investors investing into the Fund are requested to note the following changes, from February 1, 2017.

1. New individual investors who have never done KYC under KRA (KYC Registration Agency) regime and whose KYC is not registered or verified in the KRA system, will be required to fill the new CKYC form while investing with the Fund.
2. If any new individual investor uses the old KRA KYC form which does not have all the information needed for registration with CKYC, such investor will be required to either fill the new CKYC form or provide

the missing/additional information using the Supplementary KYC form.

3. Investors who have already completed KYC and have a KYC Identification Number (KIN) from the KYC Registry can invest in Investment strategy of the Fund quoting their 14 digit KIN in the application form. Further, in case the investor's PAN is not updated in KYC system, a self-certified copy of PAN Card will need to be provided.

#### 8) Third Party Payments

- a) Third party payments (i.e where payment is made from a source other than that of the first holder) will not be accepted by the Fund, except if made under the following exceptional categories, namely i) as gift by parents /related persons in favour of minor, ii) employer on behalf of employee as payroll deductions or deductions out of expense reimbursements for SIP/Lumpsum investments, iii) Custodian on behalf of FPI/client and iv) Payment by Asset Management Company (AMC) to a Distributor empanelled with it on account of commission/incentive etc. in the form of the Mutual Fund Units of the Funds managed by the AMC through Systematic Investment Plans or Lumpsum Investment (w.e.f January 16, 2012). v) Payment by a Corporate to its Agent/Distributor/Dealer, on account of commission or incentive payable for sale of its goods/services, in the form of the Mutual Fund Units through Systematic Investment Plan or Lumpsum Investment (w.e.f. April 20, 2015). In such cases, KYC acknowledgement along with additional declarations will have to be submitted along with the application form, failing which the application will be rejected. Such declaration to be submitted in original & in the prescribed standard format and unique across each lumpsum investment. (Declaration formats can be obtained from ISCS or downloaded from the Fund's website.)
  - b) In case of payment from a joint bank account, first holder in the folio has to be one of the joint holders of the bank account from which the payment is made. Hence, joint holders may pre-register their bank accounts (single /multiple) with the AMC/RTA, by completing the Multiple Bank Account Registration Form, if they intend to make payment on behalf of other joint holder(s) in the folio. In such cases the application will be accepted and not treated as a third party payment.
  - c) Where the payment instrument does not mention the bank account holders name/s, investor should attach bank pass book copy/bank statement to substantiate that the first unit holder is one of the joint holders of the bank account. Where a payment is through a pre-funded instrument, a bank certification of the bank account no. and account holders name should be attached, in the required format.  
For RTGS/NEFT /online bank transfer etc., a copy of the instruction to the bank stating the account number debited must accompany the purchase application.
  - d) The AMC reserves the right to reject the application, post acceptance of the same, if any of the requisite documents /declarations are unavailable or incomplete, in which case the AMC shall refund the subscription money. No interest will be payable on the subscription money refunded. Refund orders will be marked "A/c. payee only" and will be in favour of and be despatched to the Sole /First Applicant, by courier /speed post /registered post.
- 9) Subject to the SEBI (MF) Regulations, any application for Units may be accepted or rejected in the sole and absolute discretion of the Trustee. The Trustee may inter alia reject any application for the purchase of Units if the application is invalid or incomplete or if the Trustee for any other reason does not believe that it would be in the best interest of the Investment strategy or its Unit holders to accept such an application.

#### 10) NRIs, Persons of Indian Origin, FPIs

The Foreign Exchange Management (Transfer or Issue of Security by a Person Resident Outside India) Regulations, 2000 (the "FEMA Regulations") permit a NRI / POI to purchase on repatriation or non-repatriation basis, without limit, units of domestic mutual funds. Payment for such units must be made either by cheque or demand draft by means of: (i) inward remittance through normal banking channels; or (ii) out of funds held in the NRE /FCNR account, in the case of purchases on a repatriation basis or out of funds held in the NRE/FCNR/NRO account, in the case of purchases on a non-repatriation basis.

Investments by NRIs /FPIs shall be in accordance with the prevailing laws governing such investments.

Payment by the FPI must be made either by inward remittance through normal banking channels or out of funds held in foreign currency account or non resident rupee account maintained by the FPI with a designated branch of an authorised dealer in terms of paragraph 2 of Schedule 2 to the FEMA Regulations.

#### 11) Confirmation under the Foreign Account Tax Compliance Act (FATCA) for determining US person status (MANDATORY for ALL unitholders)

The United States Department of the Treasury and the US Internal Revenue Service (IRS) has introduced The Foreign Account Tax Compliance Act

(FATCA), effective 1 July 2014. The purpose of FATCA is to report financial assets owned by United States persons to the United States tax authorities. Accordingly, Government of India may collect information from banks and financial institutions and onward submit it to United States authorities.

All Investors including non-individual investors, shall be required to submit a mandatory declaration form along with the investment request confirming their status against a list of US indicia's. The indicia's are to identify a United States Person as defined under the Laws of the United States of America. The absence of these completed documentations may prevent us from accepting the investment and may require us to redeem existing investments in case the same is mandated by AMFI/SEBI. We may also be required to report information relating to these folios to the authority established by the Government of India.

In case of any change in the information such as address, telephone number, citizenship, etc., investors are requested to bring this to the notice of the fund and submit the FATCA declaration form (available on the fund website). AMC reserves the right to seek additional information/ documents in order to ascertain your status.

#### 12) Nomination Details

1. If you are opening a new demat account /MF folio, you have to provide nomination. Otherwise, you have to follow the specified procedure for Opt-out
2. The nomination can be made only by individuals applying for /holding units on their own behalf singly or jointly.
3. You can make nomination or change nominee any number of times without any restriction.
4. You are entitled to receive acknowledgement from the AMC/DP for each instance of providing or changing nomination.
5. Non-individuals including a Society, Trust, Body Corporate, Partnership Firm, Karta of Hindu undivided family, a Power of Attorney holder and /or Guardian of Minor unitholder cannot nominate.
6. Nomination is not allowed in a folio where Minor is the unitholder.
7. The signatories for this nomination form in joint folios/account, shall be the same as that of your joint MF folio/demat account. i.e.
  - a. 'Either or Survivor' Folios/Accounts - any one of the holders can sign.
  - b. 'First holder Folios/Accounts - only First Holder can sign.
  - c. 'Jointly' Folios/Accounts - both holders have to sign
8. A minor may be nominated. In that event, the name and address of the Guardian of the minor nominee is to be provided.
9. Nomination can also be in favour of the Central Government, State Government, a local authority, any person designated by virtue of his office or a religious or charitable trust.
10. The Nominee shall not be a trust (other than a religious or charitable trust), society, body corporate, partnership firm, Karta of Hindu Undivided Family, or a Power of Attorney holder.
11. A Non-Resident Indian may be nominated subject to the applicable exchange control regulations.
12. **Multiple Nominees:** Nomination can be made in favour of multiple nominees, subject to a maximum of three nominees. In case of multiple nominees, the percentage of the allocation/share should be in whole numbers without any decimals, adding upto a total of 100%. If the percentage of allocation/share for each of the nominee is not mentioned, the allocation/claim settlement shall be made equally amongst all the nominees. Any odd lot after division shall be assigned/transferred to the first nominee mentioned in the form.
13. In case of demise of the investor and any one of the nominees, the regulated entities shall distribute the assets pro-rata to the remaining nominees.
14. Every new nomination for a folio/account shall overwrite the existing nomination, if any.
15. Nomination made by a unit holder shall be applicable for units held in all the Investment strategy under the respective folio/account.
16. Nomination shall stand rescinded upon the transfer of units.
17. Transmission of units in favour of a Nominee shall be valid discharge by the asset management company/Mutual Fund/Trustees against the legal heir(s).
18. The nomination will be registered only when this form is completed in all respects to the satisfaction of the AMC.
19. In respect of folios/accounts where the Nomination has been registered, the AMC will not entertain any request for transmission/claim settlement from any person other than the registered nominee(s), unless so directed by any competent court.
20. Where Nominee details and Nomination Opt-Out both are mentioned, Nomination Opt-Out will be considered as "Default". Folio in such case will be updated without Nominee.

**Transmission aspects**

- Upon demise of the investor, the nominees shall have the option to either continue as joint holders with other nominees or for each nominee(s) to open separate single account/folio.
- In case all your nominees do not claim the assets from the AMC/DP, then the residual unclaimed asset shall continue to be with the AMC in case of MF units and with the concerned Depository in case of Demat account.
- Nominee(s) shall extend all possible co-operation to transfer the assets to the legal heir(s) of the deceased investor. In this regard, no dispute shall lie against the AMC/DP.
- Death of Nominee/s: In the event of the nominee(s) pre-deceasing the unitholder(s), the unitholder/s is/are advised to make a fresh nomination soon after the demise of the nominee. The nomination will automatically stand cancelled in the event of the nominee(s) pre-deceasing the unitholder(s). In case of multiple nominations, if any of the nominee is deceased at the time of death claim settlement, the said nominee's share will be distributed on pro-rata basis (as illustrated below) amongst the surviving nominees. Nominee's legal heir cannot claim the assets on behalf of deceased Nominee(s).

% share as specified by investor at the time of nomination		% assets to be apportioned to surviving nominees upon demise of investor and nominee 'A'			
Nominee	% share	Nominee	% initial share	% of A's share to be apportioned	Total % share
A	60%	A	0	0	0
B	30%	B	30%	45%	75%
C	10%	C	10%	15%	25%
<b>Total</b>	<b>100%</b>	-	<b>40%</b>	<b>60%</b>	<b>100%</b>

# Instructions for filling up the Application Form

## 1. General Information

- (i) The Application Form should be completed in ENGLISH in BLOCK LETTERS only. Please Tick (✓) in the appropriate box (  ), where boxes have been provided.
- (ii) Please do not overwrite. For any correction / changes (if any) made on the application form, applicants are requested to authenticate the same by canceling and re-writing the correct details and counter-signed by the sole / all applicants.
- (iii) In view of the RBI Circular - DPSS.CO.CHD.No. 1832/01.07.05/2009-10 dated 22nd February 2010, kindly note the following:  
No changes / corrections should be carried out on the cheques. For any change in the payee's details, amount in figures or amount in words, etc., fresh cheque would be required. Cheque with alterations / corrections will not be honoured effective 1st July, 2010.

## 2. Applicant's Information

Applicants must provide all the details under Section 2 of the Application Form.

- (i) Name and address must be given in full (P.O. Box Address alone is not sufficient).
- (ii) Name and Date of Birth (DOB) for all the holders (including Guardian in case of Minor) should match with PAN as per Income Tax records.
- (iii) Email ID and Mobile number provided in the application form should be of the primary unit holder for speed and ease of communication. Where email ID and Mobile number is not provided the same will be updated from KRA records.
- (iv) Non-Resident Investors and Foreign Nationals should mandatorily state their complete overseas address in the application form else the application will be rejected. Further, Investors are requested to note that in case information with regard to US Person or Canada Resident is subsequently received from the investor by way of change of address or obtained from KRA database, the AMC at a later date reserves the right to redeem the investments after providing due notification to such investor.
- (v) Please provide the name of the Contact Person in case of investments by a Company/Body Corporate/Partnership Firm/Trust/Society/FPIs/Association of Persons/Body of Individuals.
- (vi) If the application is on behalf a Minor, the Guardian's Name and date of birth of the Minor should be provided.
- (vii) The minor shall be the first and the sole holder in an account. There shall not be any joint accounts with minor as the first or joint holder.
- (viii) Payment for investment by means of Cheque, Demand Draft or any other mode shall be accepted from the bank account of the minor or from a joint account of the minor with the guardian only, else the transaction is liable to get rejected.
- (ix) Existing unit holders are requested to review the Bank Account registered in the folio and ensure that the registered Bank Mandate is in favour of minor or joint with registered guardian in folio. If the registered Bank Account is not in favour of minor or not joint with registered guardian, unit holders will be required to submit the change of bank mandate, where minor is also a bank account holder (either single or joint with registered guardian), before initiation of any redemption transaction in the folio, else the transaction is liable to get rejected.

## 3. Bank Account Details / Multiple Bank Account Registration

Investors to ensure the name in the application form and in their bank account are the same. Applicants should provide the name of the bank, branch address, account type and account number of the Sole / First Applicant. As per SEBI guidelines, **it is mandatory for investors to mention their bank account details in the Application Form.** AMC will endeavour to directly credit redemption / dividend proceeds in customer's bank account wherever possible.

**For NRI investors** - Kindly also provide the FIRC (Foreign Inward Remittance Certificate) letter from your banker (i.e. source of funds confirmation) if your account type is NRE.

**Applications without this information will be rejected.**

**Multiple Bank Accounts Registration / Deletion Facility:**

1. The fund offers its investors' facility to register multiple bank accounts for pay-in & payout purposes and designate one of the bank account as "Default Bank Account". This facility can be availed by using a designated **Multiple Bank Accounts Registration** (available at the ISCS or downloaded from the Fund's website). In case of new investors,

the bank account mentioned on the purchase application form, used for opening the folio, will be treated as default bank account till the investor gives a separate request to register multiple bank accounts and change the default bank account to any of other registered bank account. Registered bank accounts may also be used for verification of pay-ins (i.e. receiving of subscription funds) to ensure that a third party payment is not used for mutual fund subscription. Default Bank Account will be used for all dividends and redemptions payouts unless investor specifies one of the existing registered bank account in the redemption request for receiving redemption proceeds.

2. **Bank Account Details with Redemption Request:** Please note the following important points related to payment of redemption proceeds:

- a. 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.
- b. 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.
- c. Updation of Bank Account in a customer's account / folio should be submitted either using the Multiple Bank Account Registration Form or the standalone Change of Bank Mandate form only. Hence, any form containing redemption request will not have the facility to change the bank mandate or update a new bank mandate.

The Fund will continue to follow a cooling period policy whenever any change of Bank Mandate request is received / processed few days prior to submission of a redemption request.

- d. Any request for change of bank mandate details will be entertained only if the Unit Holder provides any of the following documents along with the designated Multiple Bank Account Registration / Deletion form or a standalone separate Change of Bank Mandate form :

Any one of the following document to be provided for Existing (Old) as well as New Bank account :

- Cancelled original cheque leaf with first Unit Holder name and bank account number printed on the face of the cheque. OR
- Copy of Bank Passbook having the name, address and account number of the account holder. OR
- Bank Statement (issued within 3 months for new bank, in case of old bank account the date of statement will not be applicable)

**Important :** The above documents should be either in original or copy to be submitted along with original produced for verification. In case if documents for the existing bank account are not available, kindly visit HSBC/CAMS office for In Person Verification along with PAN Card Copy/Photo Identification Proof for PAN Exempt cases. All documents to be self attested. Kindly carry originals for adding a new bank.

- e. Any request without the above mentioned documents will be treated invalid and will not be acted upon and any financial transaction, including redemptions, will be carried with the previous details only. Valid change of bank mandate requests with supporting documents will be processed within ten days of documents reaching the head office of the Registrar and any financial transaction request received in the interim will be carried with previous details only.
- f. Unitholder(s) are strongly advised to register their various bank accounts and continuously update the bank account details with the mutual fund, using this facility well in advance and specify any one of registered bank account for payment of redemption proceeds with each redemption request. If any of the registered bank accounts are closed / altered, please intimate such change with an instruction to delete / alter it from our records using this form.
- g. The registered bank accounts will also be used to identify the pay-in proceeds. Hence, unit holder(s) are advised to register their various bank accounts in advance using this facility and ensure that payments for ongoing purchase transactions are from any of the registered bank accounts only, to avoid fraudulent transactions and potential rejections due to mismatch of pay-in bank details with the accounts registered in the folio.
- h. If in a NRI folio, subscription investments are vide SB or NRO bank account, the bank account types for redemption can be SB or NRO only. If the purchase investments are made vide NRE account(s), the bank accounts types for redemption can be SB / NRO / NRE.
- i. RedHex SIF, the AMC or its registrar and other service providers shall not be held liable for any loss arising to the unit holder(s) due to the credit of the redemption proceeds into any of the bank

accounts registered in the folio.

- j. RedHex SIF, the AMC and its registrar shall not be held liable for any loss arising to the Unitholder(s) on account of inadequate or incomplete documentation resulting in delay or rejection of the request.
- k. In case a redemption request is received before the change of bank details has been validated and registered, the redemption request would be processed to the currently registered (existing on fund records) bank account. In such a case the Trustee / AMC will not be responsible in case of old bank mandate being frozen / locked by the bank for any purpose including non-maintenance of adequate balance.

3. **Bank Mandate Registration as part of new folio creation:** Investor(s) or Unit Holder(s) are requested to note that any one of the following documents shall be submitted by the investor(s) or Unit Holder(s), in case the cheque/Fund Transfer Request provided along with fresh subscription/new folio creation does not belong to the bank mandate specified in the application form:

- Cancelled original cheque leaf with first Unit Holder name and Bank account number printed on the face of the cheque. OR
- Copy of Bank Passbook having the name, address and account number of the account holder. OR
- Bank Statement (issued within 3 months for new bank, in case of old bank account the date of statement will not be applicable)

**Important :** The above documents should be either in original or copy to be submitted along with original produced for verification. Kindly visit HSBC/CAMS office with originals for verification. All documents to be self attested.

Where such additional document(s) are not provided for the verification of bank account, the AMC reserves the right to capture the bank account used towards subscription for the purpose of redemption and dividend payments.

#### 4. Investment and Payment Details

- (i) The application amounts can be tendered by cheque / demand drafts payable locally at any of the ISCs and designated collection centres. Application Forms accompanied with outstation cheques / stockinvests / postal orders / money orders / cash will not be accepted.
- (ii) All cheques and bank drafts must be drawn in the name of the Investment strategy e.g. **"RedHex Hybrid Long-Short Fund"** and crossed **"Account Payee only"**. A separate cheque or bank draft must accompany each Application.  
Please note that amount in words and figures on the cheque should not be in local languages.
- (iii) Bank charges for outstation demand drafts will be borne by the AMC and units will be allotted inclusive of the DD charges incurred. The above will be limited to the bank charges as per table below.

Amount	DD Charges#
Upto INR 5,000	INR 25 flat fee
INR 5,000 to INR 10,000	INR 50 flat fee
INR 10,001 to INR 1,00,000	INR 5 per INR 1,000 (Minimum charge INR 60)
Above INR 1,00,000	INR 4 per INR 1,000 (minimum INR 600 maximum INR 2,000)

# Demand Draft charges vary depending on the bank and the amount. Kindly note, additional GST may also be applicable.

However, such Demand Draft charges would be borne by the AMC only when the investor is not residing in any of the locations where the AMC or CAMS have official points of acceptance and the Demand draft has not been issued at the AMC / CAMS point of acceptance. Such demand drafts should be payable at the AMC / CAMS location where the investment application is submitted. The AMC will not entertain any request for refund of demand draft charges.

- (iv) If no indication is given for the investment the default Option will be as follows:

Indication not made / incorrectly made	Default
Investment strategy Name	As indicated on the Application Form/Transaction Slip
Direct plan ticked (irrespective whether broker code written on the application or not)	Units will be allotted under "Direct Plan"
Distributor code is Incorrect or left blank or "Direct"	Units will be allotted under "Direct Plan"

Indication not made / incorrectly made	Default
Growth/IDCW Option / Sub-options	Growth Option / Sub-option
Payout / Reinvestment of IDCW	Reinvestment of IDCW
Mode of holding (in cases where there are more than one applicant)	Joint
Status of First Applicant (Individual, HUF, Company etc.)	Others#
Demat Account Details*	Units will be held in physical mode

\* For Investors, who wish to opt for Demat mode, the applicants under the Investment strategy (including a transferee) will be required to have a beneficiary account with a DP of NSDL / CDSL and will be required to indicate in the application the DP's name, DP ID Number and its beneficiary account number with DP. In the absence of the information (including incomplete information / incorrect) in respect of DP ID / BO ID, the application will be processed with statement option as 'physical' only.

# Tax rates (including the tax on dividend distribution) wherever applied on 'others' by HSBC Mutual Fund shall be the same as applicable to a Resident Indian Company.

**With regard to Broker Code, default Plan as per the following table will apply to investors.**

Broker Code mentioned by the investor	Plan mentioned by the investor	Default Plan to be captured
Not mentioned	Not mentioned	Direct Plan
Not mentioned	Direct	Direct Plan
Not mentioned	Regular	Direct Plan
Mentioned	Direct	Direct Plan
Direct	Not Mentioned	Direct Plan
Direct	Regular	Direct Plan
Mentioned	Regular	Regular Plan
Mentioned	Not Mentioned	Regular Plan

In cases of wrong / invalid / incomplete ARN codes mentioned on the application form, the application shall be processed under Regular Plan. The AMC shall contact and obtain the correct ARN code within 30 calendar days of the receipt of the application form from the investor / distributor. In case, the correct code is not received within 30 calendar days, the AMC shall reprocess the transaction under Direct Plan from the date of application without any exit load.

#### (v) ASBA Facility

As per SEBI circular dated March 15, 2010 read with circular dated July 28, 2010, investors can subscribe to the NFO through ASBA facility for NFOs launched on or after October 1, 2010. The ASBA facility shall co-exist with the current process, wherein cheques / demand drafts are accepted by the Mutual Fund as a mode of payment for subscription. ASBA is an application containing an authorisation given by the investor to block the application money in his specified bank account towards the subscription of Units offered during the NFO. Thus, for an investor who applies through ASBA facility, the application money blocked towards subscription of Units shall be debited only if his/her application is selected for allotment of Units. The ASBA facility is offered by selected Self Certified Syndicate Banks (SCSBs) which are registered with SEBI for offering the facility, and whose names appear in the list of SCSBs on the website of NSE, BSE and SEBI. Investors are requested to check with their respective banks about the availability of the ASBA facility. Investors adopting the ASBA route may only fill up the ASBA application form.

#### PAYMENT MECHANISM

##### A) Lumpsum Investment

- a) All cheques and bank drafts must be drawn in the name of the Investment strategy and crossed "Account Payee only". A separate cheque or bank draft must accompany each Application.

##### Subscription through RTGS/NEFT:

Subscription through RTGS/NEFT can be done ONLY into the account maintained with HSBC Bank as per the details provided below:

Bank Name	HSBC Ltd
Branch	M. G. Road, Fort, Mumbai
Account Type	Current Account
RTGS IFSC Code	HSBC0400002
NEFT IFSC Code	HSBC0400002
Beneficiary Account Name	HSBC RedHex Hybrid Long-Short Fund
Account Number	002-119485-926

## B) SIP Investment

- a) Unitholders of the Investment strategy can benefit by investing specific rupee amounts periodically, for a continuous period. SIP allows the investors to invest a fixed amount every month or quarter for purchasing additional Units of the Investment strategy at NAV based prices. The requirement of 'Minimum Amount for Application' will not be applicable in case of SIPs.

In case an investor wishes to invest through the SIP mode, the investor is required to provide:

- a mandate form to enable SIP debits either through NACH or such other facilities as may be provided by the AMC along with a copy of the cancelled cheque leaf with name of the unit holder pre-printed.

For details on minimum investment amount and minimum instalments refer to the table below:

Frequency	Minimum Installment Amount <sup>#</sup>	Minimum number of Installments	Dates
Daily	Rs. 1,000/-	Minimum 12 installments subject to aggregate of Rs. 12,000/-	Monday to Friday <sup>§</sup>
Weekly	Rs. 1,000/-		Any Day from Monday to Friday <sup>‡</sup>
Monthly	Rs. 1,000/-		Any Date of the month <sup>‡</sup>
Quarterly	Rs. 3,000/-	Minimum 4 instalments subject to aggregate of Rs. 12,000/-	Any Date of the month

<sup>#</sup> in multiples of Re 1/- thereafter.

SIP is subject to minimum investment of Rs 10,00,000/- across SIP investment strategies of RedHex SIF (Rs. 1,00,000 for accredited investors).

<sup>§</sup> Daily SIP will be processed from Monday to Friday. In case of a non-business day falling between Monday to Friday (both days inclusive) then the daily SIP installment for that day will not be processed on the next business day.

<sup>‡</sup> In case investor has missed to tick the date for Monthly and Quarterly frequency then the default date will be considered as 10th. Similarly, in case of Weekly SIP frequency the Default day will be considered as Wednesday. In case the chosen 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 available Business Day. If the choice of date selected is more than one date then the SIP installment will be processed only for Business Days when NAV is available. No SIP installment shall be processed for Saturday, Sunday or any other non-business day.

- b) The cheque for the first SIP installment can carry any date. The first installment of the SIP will be processed subject to applicable NAV & load, if any, on the date of receipt of the application form. The second installment in case of monthly SIP will be processed on any date as mentioned by the investor. If the choice of date for the second installment is not indicated by the investor, the second installment of SIP will be processed on the 10th of every month.

In case the chosen 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 available Business Day.

In case of quarterly SIP, the date for next instalment will be 10th of the relevant month. If any of above dates fall on a holiday, the transaction will be taken as of the next Business Day. Please refer to the Load Structure for details of applicable loads. Outstation cheques will not be accepted.

- c) The cheques should be drawn in the name of the Investment strategy and crossed "Account Payee only" and must be payable at the locations where the applications are submitted at the Investor Service Centres. Outstation cheques will not be accepted and applications accompanied by such cheques are liable to be rejected.

- d) You can choose multiple SIP dates in the Auto Debit Form in case you wish to make the SIP investment on multiple dates each month.
- e) If SIP form and cheque is submitted with bank details of a city where the Mutual Fund does not provide auto debit facility, first SIP cheque may get processed. However, future debits will not happen and SIP instruction shall be rejected.
- f) In case of rejection of SIP form for any reason whatsoever, the Mutual Fund will not entertain any request for refund of proceeds of first cheque which is already processed. Investors will have to redeem the units allotted through first cheque at applicable NAV.
- g) In case the Frequency (Weekly/Monthly/Quarterly add Daily) and SIP date is not indicated, Monthly frequency shall be treated as the Default Frequency, 10th shall be treated as the Default date.
- h) In case of investments under the SIP, if 3 consecutive payment instructions provided by the investor are dishonored for insufficiency of funds, the AMC reserves the right to discontinue the SIP.
- i) SIPs will be registered in a folio held by a minor only till the date of the minor attaining majority, even though the instructions may be for a period beyond that date. The SIP facility will automatically stand terminated upon the Unit Holder attaining 18 years of age.
- j) Investors can discontinue a SIP at any time by sending a written request to any Official Point of Acceptance or to the registrar CAMS. Please note that effect from December 1, 2024 it would take T + 2 Business days for the SIP to discontinue from the date of receipt of the duly filled request. Any installment due during this period might get debited from the bank account if it falls within T + 2 Business days. The AMC reserves the right to introduce/discontinue SIP/variants of SIP from time to time.

## 5. Mode of Holding

**Demat/Non-Demat Mode:** Investors have the option to hold the units in demat form. Please tick the relevant option of Yes/No for opting/not opting units of the Plan in demat form. If no option is exercised, "No" will be the default option.

Investor can hold units in demat/non-demat mode. In case investor did not provide demat account details or details of DP ID/BO ID, provided by the investor, is incorrect or demat account is not activated or not in active status, the units would be allotted in non demat mode.

The investor can dematerialize his/her holdings in non demat mode. Similarly, investor can rematerialize holdings in demat mode. All expenses in connection with conversion from demat to remat mode or remat to demat mode will have to be incurred by the investors. Allotment letters would be sent to investors who are allotted units in demat mode and Statement of Accounts would be sent to investors who are allotted units in non demat mode.

Unitholders who intend to avail of the facility to trade in units are required to have a Demat Account. Unitholders holding units in SOA form and desires to trade in the units, can do so by dematerialising the SOA through depositories.

For conversion of Mutual Fund units represented by SOA into dematerialized form or vice-a-versa, the unitholders are required to approach depositories. Currently, the units are listed at National Stock Exchange (NSE).

## 6. Declaration and Signatures

- a) Signature should be in black or blue ink only.
- b) Signatures should be in English or in any Indian language. Thumb impressions and Signatures in languages not specified in the Eight Schedule of the Constitution of India should be attested by a Magistrate or a Notary Public or a Special Executive Magistrate under his/her official seal. In case of HUF, the Karta will sign on behalf of the HUF.
- c) Applications on behalf of minors should be signed by their Guardian.

RedHex Specialized Investment Fund /AMC, reserves the right to reject any application inter alia in the absence of fulfilment of regulatory requirements, fulfilment of requirements of the ISID, SAI and furnishing necessary information to the satisfaction of the Specialised Investment Fund /AMC.

## Checklist for Documentation

Documents	Individuals	NRI	Minors	Companies/Body Corporates	Trusts	Societies	HUF	Partnership Firms	FPIs	Investments through Constituted Attorney
1. Certificate of Incorporation/Registration				✓	✓			✓	✓	
2. Resolution/Authorisation to invest				✓	✓	✓		✓	✓	
3. List of Authorised Signatories with Specimen Signature(s)				✓	✓	✓		✓	✓	✓
4. Memorandum & Articles of Association				✓						
5. Trust Deed					✓					
6. Bye-Laws						✓				
7. Partnership Deed/Deed of Declaration							✓	✓		
8. Notarised Power of Attorney										✓
9. Proof of PAN (including for guardian)	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
10. Proof of KYC/CKYC - KIN number	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
11. Overseas Auditor's Certificate (applicable for DTAA)		✓							✓	
12. Foreign Inward Remittance Certificate (FIRC)		✓							✓	
13. Date of Birth Certificate or School Living Certificate or Passport of Minor			✓							
14. Document evidencing relationship with Guardian			✓							
15. Declaration for Identification of Beneficial ownership				✓	✓	✓		✓	✓	
16. FATCA/CRS	✓	✓	✓	✓	✓	✓	✓	✓	✓	
17. NPO					✓	✓				

All documents for entities above should be originals/true copies certified by the Director/Trustee/Company Secretary/Authorised Signatory/Notary Public.

## Official Points of Acceptance of Transaction Requests

Please check our website <https://www.assetmanagement.hsbc.co.in/en/redhex-sif/contact-us> for an updated list of Official Points of Acceptance of RedHex SIF.

### CAMS SERVICE CENTRES / CAMS LIMITED TRANSACTION POINTS / CAMS COLLECTION CENTRES

For details on CAMS Service Centres, please visit [www.camsonline.com](http://www.camsonline.com)

**ASBA** : All Self Certified Syndicated Banks (SCSBs) and their branches, through which Applications Supported by Blocked Amounts (ASBA) are sourced shall also be considered as Official Points of Acceptance for ASBA Applications.

### TOLL FREE NUMBERS

Description	Toll Free Number	Email ID
Investor related queries	1800-4190-200 / 1800-200-2434	<a href="mailto:sifinvestor.line@mutualfunds.hsbc.co.in">sifinvestor.line@mutualfunds.hsbc.co.in</a>
Distributor related queries	1800-419-9800	<a href="mailto:sifpartner.line@mutualfunds.hsbc.co.in">sifpartner.line@mutualfunds.hsbc.co.in</a>
Investor (Dialing from abroad)	+ 91 44 39923900	<a href="mailto:sifinvestor.line@mutualfunds.hsbc.co.in">sifinvestor.line@mutualfunds.hsbc.co.in</a>



**3 CONTACT DETAILS AND CORRESPONDENCE ADDRESS**

Address for Correspondence† [P.O. Box Address is NOT sufficient] (Should be same as in KRA records)

City \_\_\_\_\_ Pin Code   
State \_\_\_\_\_ Country \_\_\_\_\_**Overseas Address/Registered Address in case of Non-Individual investors (Mandatory in case of NRI/FPI applicant in addition to mailing address) (Should be same as in KRA records)**City \_\_\_\_\_ Zip Code   
State \_\_\_\_\_ Country (Mandatory) \_\_\_\_\_**CONTACT DETAILS OF SOLE/FIRST APPLICANT**Mobile No.  Tel. (Res.)  Tel. (Office) Mobile belongs to :  Self  Spouse  Guardian (to Minor investment)  Dependant Children  Dependant Parents  Dependant Siblings  Custodian  POA  PMS†E-mail  Email ID to be filled in CAPITAL LETTERSE-mail belongs to:  Self  Spouse  Guardian (to Minor investment)  Dependant Children  Dependant Parents  Dependant Siblings  Custodian  POA  PMS Yes  No † I/We, wish to receive annual report or an abridged summary thereof/account statements/statutory & other documents by email.  
If unticked, by default the above will be sent on email.**4 ADDITIONAL INFORMATION FOR ACCREDITED INVESTOR (Submit a copy of Registration Certificate)**Registration Number  Validity        **5 JOINT APPLICANTS, IF ANY AND THEIR DETAILS (Please tick (✓) wherever applicable)**MODE OF HOLDING (✓)  Single  Joint (Default if not mentioned)  Anyone or Survivor**NAME OF SECOND APPLICANT AS PER PAN (Not applicable if Sole/First Applicant is a Minor and Second Applicant cannot be a Minor)**Are you a resident of USA/Canada? (✓) Yes  No\*\*  (\*\*Default if not ticked.)Mr Ms M/s  Name as per PAN CARD Date of Birth §‡ (Mandatory\*)         PAN\*\* (Mandatory\*)         Proof enclosed (✓)  PAN card CopyGender  Male  Female  Third Gender KYC Identification Number (KIN) ‡‡ 

Nationality \_\_\_\_\_ Country of Residence \_\_\_\_\_

Status of Second Applicant (✓) :  Resident Individual  Non-Resident (Repatriable)  Non-Resident (Non-Repatriable)a. Occupation (please ✓) :  Private Sector Service  Public Sector Service  Government Service  Professional  Agriculturist  Retired  Housewife  
 Student  Business [Nature of Business] \_\_\_\_\_  Doctor  Forex Dealer  Money lender  Casino Owner  Arms manufacturer  
 Gambling services offerer  Money lender  Pawn Broker  Others [Please specify] \_\_\_\_\_b. Gross Annual Income (please ✓) :  Below ₹ 1 Lac  ₹ 1-5 Lacs  ₹ 5-10 Lacs  ₹ 10-25 Lacs  ₹ 25 Lacs - ₹ 1 Crore  > ₹ 1 Crorec. Others (please ✓) :  Politically Exposed Person (PEP)  Related to a Politically Exposed Person (PEP)  Not Applicable**CONTACT DETAILS OF SECOND APPLICANT**Mobile No.  E-mail  Email ID to be filled in CAPITAL LETTERSMobile belongs to :  Self  Spouse  Guardian (to Minor investment)  Dependant Children  Dependant Parents  Dependant Siblings  Custodian  POA  PMSE-mail belongs to:  Self  Spouse  Guardian (to Minor investment)  Dependant Children  Dependant Parents  Dependant Siblings  Custodian  POA  PMS**NAME OF THIRD APPLICANT AS PER PAN (Not applicable if Sole/First Applicant is a Minor and Third Applicant cannot be a Minor)**Are you a resident of USA/Canada? (✓) Yes  No\*\*  (\*\*Default if not ticked.)Mr Ms M/s  Name as per PAN CARD Date of Birth §‡ (Mandatory\*)         PAN\*\* (Mandatory\*)         Proof enclosed (✓)  PAN card CopyGender  Male  Female  Third Gender KYC Identification Number (KIN) ‡‡ 

Nationality \_\_\_\_\_ Country of Residence \_\_\_\_\_

Status of Third Applicant (✓) :  Resident Individual  Non-Resident (Repatriable)  Non-Resident (Non-Repatriable)a. Occupation (please ✓) :  Private Sector Service  Public Sector Service  Government Service  Professional  Agriculturist  Retired  Housewife  
 Student  Business [Nature of Business] \_\_\_\_\_  Doctor  Forex Dealer  Money lender  Casino Owner  Arms manufacturer  
 Gambling services offerer  Money lender  Pawn Broker  Others [Please specify] \_\_\_\_\_b. Gross Annual Income (please ✓) :  Below ₹ 1 Lac  ₹ 1-5 Lacs  ₹ 5-10 Lacs  ₹ 10-25 Lacs  ₹ 25 Lacs - ₹ 1 Crore  > ₹ 1 Crorec. Others (please ✓) :  Politically Exposed Person (PEP)  Related to a Politically Exposed Person (PEP)  Not Applicable

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**CALL US AT**Please visit our website <https://www.assetmanagement.hsbc.co.in/en/redhex-sif/contact-us> for an updated list of Official Points of Acceptance of RedHex SIF.  
Please visit [www.camsonline.com](http://www.camsonline.com) for an updated list of Official Points of Acceptance of our Registrar / Transfer Agent : Computer Age Management Services.**TOLL FREE NUMBERS**

Description	Investor related queries	Distributor related queries	Investor (Dialing from abroad)
Toll Free Number	1800-4190-200/1800-200-2434	1800-419-9800	+91 44 39923900
Email ID	sifinvestor.line@mutualfunds.hsbc.co.in	sifpartner.line@mutualfunds.hsbc.co.in	sifinvestor.line@mutualfunds.hsbc.co.in

**CONTACT DETAILS OF THIRD APPLICANT**

Mobile No.  E-mail  Email ID to be filled in CAPITAL LETTERS

Mobile belongs to:  Self  Spouse  Guardian (to Minor investment)  Dependant Children  Dependant Parents  Dependant Siblings  Custodian  POA  PMS

E-mail belongs to:  Self  Spouse  Guardian (to Minor investment)  Dependant Children  Dependant Parents  Dependant Siblings  Custodian  POA  PMS

**POA HOLDER NAME AS PER PAN** (If the investment is being made by a Constituted Attorney please furnish details of PoA holder).

Mr Ms M/s  Name as per PAN CARD

Date of Birth (Mandatory\*)  D  D  M  M  Y  Y  Y  Y KYC Identification Number (KIN)

PAN\*\* (Mandatory\*)  Proof enclosed (✓)  PAN card Copy

Nationality  Country of Residence

a. Occupation (please ✓):  Private Sector Service  Public Sector Service  Government Service  Professional  Agriculturist  Retired  Housewife  Student  Business [Nature of Business]   Doctor  Forex Dealer  Money lender  Casino Owner  Arms manufacturer  Gambling services offerer  Money lender  Pawn Broker  Others [Please specify]

b. Gross Annual Income (please ✓):  Below ₹ 1 Lac  ₹ 1-5 Lacs  ₹ 5-10 Lacs  ₹ 10-25 Lacs  ₹ 25 Lacs - ₹ 1 Crore  > ₹ 1 Crore OR Net-worth in Rupees (Mandatory for Non-Individuals) ₹  Net-worth should not be older than 1 year

c. Others (please ✓):  Politically Exposed Person (PEP)  Related to a Politically Exposed Person (PEP)  Not Applicable

**6 BANK ACCOUNT DETAILS** (For Minor investments – Redemption proceeds will be paid only to the Bank A/c held in the name of Minor)

Core Banking A/c No.  A/c. Type (✓)  Current  Savings  NRO\*  NRE\* \* For NRI Investors

Bank Name

Branch  City

Pin Code  State  Country

MICR code  RTGS/NEFT/IFSC code

Please provide a cancelled cheque leaf with your name and IFSC code pre-printed if the bank details in Section 6 are different or Fund transfer is submitted.

**7 INVESTMENT STRATEGY DETAILS** (Please write Investment Strategy/Plan/Option/Sub-option below)

Investment Strategy	RedHex Hybrid Long-Short Fund		
Plan/Option	Plan	Option/Sub-Option	
Investment Amount (₹)	Amount in figures	Amount in words	
Payment Mode	Minimum investment amount is INR 10 Lakhs (Rs. 1 Lakh for accredited investors).		
Cheque/DD/RTGS/NEFT Details	<input type="checkbox"/> Cheque <input type="checkbox"/> DD <input type="checkbox"/> RTGS <input type="checkbox"/> NEFT <input type="checkbox"/> One Time Mandate (OTM) <input type="checkbox"/> Electronic Transfer Cheque/DD/RTGS/UMRN/NEFT No. <input type="text"/> Instrument Date <input type="text"/> D <input type="text"/> D / <input type="text"/> M <input type="text"/> M / <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y DD Charges, if any (₹) <input type="text"/>		
Payment from Bank A/c. No.	<input type="text"/>		
A/c. Type (✓)	<input type="checkbox"/> Current <input type="checkbox"/> Savings <input type="checkbox"/> NRO* <input type="checkbox"/> NRE* <input type="checkbox"/> FCNR* <input type="checkbox"/> Others (* For NRI Investors)		
Drawn On	Bank	City	

The Investment Strategy mentioned on the application form and the cheque has to be the same. In case of any discrepancy between the two, units will be allotted as per the Investment Strategy mentioned on the application only.

**MANDATORY DECLARATION:** The details of the bank account provided above pertain to my/our own bank account in my/our name  Yes  No  
 If no, my relationship with the bank account holder (attach the Third Party declaration Form) (Please ✓)  Employee  Custodian  AMC  Corporate  
**Documents attached to avoid Third Party Payment Rejection:**  Third Party Declarations  Bank Certificate for Pre-funded Instruments  
 For Minor investment, if Funds are from Parent/Legal Guardian, enclose Relationship Proof  
 Birth Certificate  Passport  School Leaving Certificate  Court Order

**8 CONFIRMATION UNDER THE FOREIGN ACCOUNT TAX COMPLIANCE ACT (FATCA) AND COMMON REPORTING STANDARD (CRS)** [Mandatory for all investors including Unit holder (Guardian in case of minor), Joint holder(s) and POA Holder]

**FATCA/CRS SELF CERTIFICATION FOR INDIVIDUAL INVESTORS (INDIVIDUAL/NRI/ON BEHALF OF MINOR/PROPRIETORSHIP FIRM)**

	Sole/First Applicant Guardian	Second Applicant	Third Applicant/POA holder
Place and Country of Birth	Place <input type="text"/> Country <input type="text"/>	Place <input type="text"/> Country <input type="text"/>	Place <input type="text"/> Country <input type="text"/>
Address Type [for KYC address]	<input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	<input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	<input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office
Tax Resident (i.e. are you assessed for Tax) in any country other than India?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
If 'Yes' please fill for all countries (other than India) in which you are a Resident for tax purpose i.e. where you are Citizen/Resident/Green Card Holder/Tax Resident in the respective countries			
Country of Tax Residency#	<input type="text"/>	<input type="text"/>	<input type="text"/>

...continued overleaf ⇨



Applicable for Individual Unitholders only. All unit holders need to sign (irrespective of mode of holding). Please read the instructions carefully before filling up this Form.

Date : 

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Investor Name (Mr./Ms.) \_\_\_\_\_

**Nomination Details**

I/We wish to make a nomination and do hereby nominate the following person(s) in the above specified folio(s) who shall receive all the assets held in my/our account in the event of my/our death. This nomination shall supersede any prior nomination made by us/me if any.

Nomination can be made upto three nominees in the account.	Mandatory information		
	1st Nominee	2nd Nominee	3rd Nominee
Name of the Nominee (Mr./Ms.)			
Share of each Nominee#	%	%	%
Date of Birth (for Minor)			
Relationship with the Applicant (select one)	<input type="checkbox"/> Spouse <input type="checkbox"/> Father <input type="checkbox"/> Mother <input type="checkbox"/> Daughter <input type="checkbox"/> Son <input type="checkbox"/> Others (please specify) _____	<input type="checkbox"/> Spouse <input type="checkbox"/> Father <input type="checkbox"/> Mother <input type="checkbox"/> Daughter <input type="checkbox"/> Son <input type="checkbox"/> Others (please specify) _____	<input type="checkbox"/> Spouse <input type="checkbox"/> Father <input type="checkbox"/> Mother <input type="checkbox"/> Daughter <input type="checkbox"/> Son <input type="checkbox"/> Others (please specify) _____
Nominee/Guardian (in case of Minor) Identification details [Please tick any one of the following and provide ID Number and no copies required].	<input type="checkbox"/> PAN _____ <input type="checkbox"/> Aadhaar (masked – only last 4 digits visible) * * * * * <input type="checkbox"/> Passport (for NRIs/OCIs/PIOs) _____ <input type="checkbox"/> Driving License _____	<input type="checkbox"/> PAN _____ <input type="checkbox"/> Aadhaar (masked – only last 4 digits visible) * * * * * <input type="checkbox"/> Passport (for NRIs/OCIs/PIOs) _____ <input type="checkbox"/> Driving License _____	<input type="checkbox"/> PAN _____ <input type="checkbox"/> Aadhaar (masked – only last 4 digits visible) * * * * * <input type="checkbox"/> Passport (for NRIs/OCIs/PIOs) _____ <input type="checkbox"/> Driving License _____
Address of Nominee(s)/ Guardian in case of Minor	<input type="checkbox"/> Same as First Applicant	<input type="checkbox"/> Same as First Applicant	<input type="checkbox"/> Same as First Applicant
	_____	_____	_____
	City _____	City _____	City _____
	Pin code _____	Pin code _____	Pin code _____
	State _____	State _____	State _____
Country _____	Country _____	Country _____	
Mobile No. of Nominee(s) / Guardian in case of Minor			
Email ID of Nominee(s) / Guardian in case of Minor			
Name of the Guardian (in case Nominee is Minor)			
Guardian's Relationship with Nominee (non mandatory)	<input type="checkbox"/> Father <input type="checkbox"/> Mother <input type="checkbox"/> Legal Guardian	<input type="checkbox"/> Father <input type="checkbox"/> Mother <input type="checkbox"/> Legal Guardian	<input type="checkbox"/> Father <input type="checkbox"/> Mother <input type="checkbox"/> Legal Guardian

I/We want the details of my/our nominee to be printed in the statement of holding, provided to me/us by the AMC/DP as follows; (please tick, as appropriate)

Name of nominee(s) with Details and Percentage     Nomination without Details and Percentage (Default Option)

**This nomination shall supersede any prior nomination made by the account holder(s), if any.**

# Any odd lot after division shall be assigned/transferred to the first nominee mentioned in the form.

Request submitted for:  Fresh Nomination

From \_\_\_\_\_

Subject to further verification and furnishing of mandatory information/documents. Please retain this slip until processed

ISC Stamp & Signature

SIGNATURE(S)		
I/We have read the terms and conditions for nomination and hereby nominate the above nominee(s) to receive all the amounts to my/our credits in the event of my/our death. Signature of the nominee(s) acknowledging receipt of my/our credit will constitute full discharge of liabilities in RedHex Specialized Investment Fund.		
Name of the Holder		Signature/Thumb Impression
Sole/First Holder (Mr./Ms.)	Name	Signature/Thumb <sup>^</sup> Impression
	Witness 1 Name & Address: _____	Witness 1 Signature:
	Witness 2 Name & Address: _____	Witness 2 Signature:
Second Holder (Mr./Ms.)	Name	Signature/Thumb <sup>^</sup> Impression
	Witness 1 Name & Address: _____	Witness 1 Signature:
	Witness 2 Name & Address: _____	Witness 2 Signature:
Third Holder (Mr./Ms.)	Name	Signature/Thumb <sup>^</sup> Impression
	Witness 1 Name & Address: _____	Witness 1 Signature:
	Witness 2 Name & Address: _____	Witness 2 Signature:

<sup>^</sup> Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature.

If the account holder affixes thumb impression instead of signature, additionally please provide a doctors certificate and the thumb impression should be notarised.

**Note:** The Intermediary shall provide acknowledgement of the nomination form to the account holder(s)

## INSTRUCTIONS

- If you are opening a new demat account/SIF folio, you have to provide nomination. Otherwise, you have to follow the specified procedure for Opt-out
- The nomination can be made only by individuals applying for/holding units on their own behalf singly or jointly.
- You can make nomination or change nominee any number of times without any restriction.
- You are entitled to receive acknowledgement from the AMC/RedHex SIF for each instance of providing or changing nomination.
- Non-individuals including a Society, Trust, Body Corporate, Partnership Firm, Karta of Hindu undivided family, a Power of Attorney holder and/or Guardian of Minor unitholder cannot nominate.
- Nomination is not allowed in a folio where Minor is the unitholder.
- The signatories for this nomination form in joint folios/account, shall be the same as that of your joint SIF folio/demat account. i.e.
  - 'Either or Survivor' Folios/Accounts - any one of the holders can sign.
  - 'First holder Folios/Accounts – only First Holder can sign.
  - 'Jointly' Folios/Accounts - both holders have to sign
- A minor may be nominated. In that event, the name and address of the Guardian of the minor nominee is to be provided.
- Nomination can also be in favour of the Central Government, State Government, a local authority, any person designated by virtue of his office or a religious or charitable trust.
- The Nominee shall not be a trust (other than a religious or charitable trust), society, body corporate, partnership firm, Karta of Hindu Undivided Family, or a Power of Attorney holder.
- A Non-Resident Indian may be nominated subject to the applicable exchange control regulations.
- Multiple Nominees: Nomination can be made in favour of multiple nominees, subject to a maximum of three nominees. In case of multiple nominees, the percentage of the allocation/share should be in whole numbers without any decimals, adding upto a total of 100%. If the percentage of allocation/share for each of the nominee is not mentioned, the allocation / claim settlement shall be made equally amongst all the nominees. Any odd lot after division shall be assigned/transferred to the first nominee mentioned in the form.
- In case of demise of the investor and any one of the nominees, the regulated entities shall distribute the assets pro-rata to the remaining nominees
- Every new nomination for a folio/account shall overwrite the existing nomination, if any.
- Nomination made by a unit holder shall be applicable for units held in all the Investment Strategies under the respective folio/account.
- Nomination shall stand rescinded upon the transfer of units.
- Transmission of units in favour of a Nominee shall be valid discharge by the asset management company/Mutual Fund/Specialized Investment Fund/Trustees against the legal heir(s).
- The nomination will be registered only when this form is completed in all respects to the satisfaction of the AMC/Redhex SIF.
- In respect of folios/accounts where the Nomination has been registered, the AMC/Redhex SIF will not entertain any request for transmission/claim settlement from any person other than the registered nominee(s), unless so directed by any competent court.
- Where Nominee details and Nomination Opt-Out both are mentioned, Nomination Opt-Out will be considered as "Default". Folio in such case will be updated without Nominee.

### Transmission aspects

- Upon demise of the investor, the nominees shall have the option to either continue as joint holders with other nominees or for each nominee(s) to open separate single account/folio.
- In case all your nominees do not claim the assets from the AMC/RedHex SIF/DP, then the residual unclaimed asset shall continue to be with the AMC/RedHex SIF in case of SIF units and with the concerned Depository in case of Demat account.
- Nominee(s) shall extend all possible co-operation to transfer the assets to the legal heir(s) of the deceased investor. In this regard, no dispute shall lie against the AMC/RedHex SIF/DP.
- Death of Nominee/s: In the event of the nominee(s) pre-deceasing the unitholder(s), the unitholder/s is/are advised to make a fresh nomination soon after the demise of the nominee. The nomination will automatically stand cancelled in the event of the nominee(s) pre-deceasing the unitholder(s). In case of multiple nominations, if any of the nominee is deceased at the time of death claim settlement, the said nominee's share will be distributed on pro-rata basis (as illustrated below) amongst the surviving nominees. Nominee's legal heir cannot claim the assets on behalf of deceased Nominee(s).

% share as specified by investor at the time of nomination		% assets to be apportioned to surviving nominees upon demise of investor and nominee 'A'			
Nominee	% share	Nominee	% initial share	% of A's share to be apportioned	Total % share
A	60%	A	0	0	0
B	30%	B	30%	45%	75%
C	10%	C	10%	15%	25%
<b>Total</b>	<b>100%</b>	-	<b>40%</b>	<b>60%</b>	<b>100%</b>

## CALL US AT

Please visit our website <https://www.assetmanagement.hsbc.co.in/en/redhex-sif/contact-us> for an updated list of Official Points of Acceptance of RedHex SIF. Please visit [www.camsonline.com](http://www.camsonline.com) for an updated list of Official Points of Acceptance of our Registrar / Transfer Agent : Computer Age Management Services.

## TOLL FREE NUMBERS

Description	Investor related queries	Distributor related queries	Investor (Dialing from abroad)
Toll Free Number	1800-4190-200 / 1800-200-2434	1800-419-9800	+ 91 44 39923900
Email ID	sifinvestor.line@mutualfunds.hsbc.co.in	sifpartner.line@mutualfunds.hsbc.co.in	sifinvestor.line@mutualfunds.hsbc.co.in

**1. INVESTOR DETAILS**

Investor Name as per PAN \_\_\_\_\_ Name as per PAN CARD \_\_\_\_\_  
 PAN 

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**2. CATEGORY**

Our company is a Listed Company on a recognized stock exchange in India/Subsidiary of a or Controlled by a Listed Company [If this category is selected, no need to provide UBO details].  
 Name of the Stock Exchange where it is listed# \_\_\_\_\_  
 Security ISIN# 

--	--	--	--	--	--	--	--	--	--	--	--

  
 Name of the Listed Company (applicable if the investor is subsidiary/associate): \_\_\_\_\_  
 Unlisted Company     Partnership Firm/LLP     Unincorporated association/body of individuals     Public Charitable Trust  
 Private Trust     Religious Trust     Trust created by a Will     Others [please specify]

# Mandatory in case of Listed company or subsidiary of the Listed Company

**3. UBO / CONTROLLING PERSON(S) DETAILS**

**Does your company/entity have any individual person(s) who holds direct/indirect controlling ownership above the prescribed threshold limit? (Please ✓)**  
 Yes     No  
 If 'YES' - We hereby declare that the following individual person holds directly/indirectly controlling ownership in our entity above the prescribed threshold limit. Details of such individual(s) are given below.  
 BEN2 form as downloaded from MCA portal is attached as documentary evidence of the UBO information or any other applicable supporting documents like shareholding pattern of the entity and its associates. Further, we hereby consent to submitting the appropriate documentary evidence substantiating this as and when required at AMC/RTA end.  
 If 'NO' - declare that no individual person (directly/indirectly) holds controlling ownership in our entity above the prescribed threshold limit. Details of the individual who holds the position of Senior Managing Official (SMO) are provided below.

	UBO-1/Senior Managing Official (SMO)	UBO-2	UBO-3																								
Name of the UBO/SMO#																											
UBO/SMO PAN# [For Foreign National, TIN to be provided]																											
% of beneficial interest#	<input type="checkbox"/> >10% controlling interest <input type="checkbox"/> >15% controlling interest <input type="checkbox"/> >25% controlling interest <input type="checkbox"/> NA. (for SMO)	<input type="checkbox"/> >10% controlling interest <input type="checkbox"/> >15% controlling interest <input type="checkbox"/> >25% controlling interest <input type="checkbox"/> NA. (for SMO)	<input type="checkbox"/> >10% controlling interest <input type="checkbox"/> >15% controlling interest <input type="checkbox"/> >25% controlling interest <input type="checkbox"/> NA. (for SMO)																								
UBO/SMO Country of Tax Residency#																											
UBO/SMO Taxpayer Identification Number/ Equivalent ID Number#																											
UBO/SMO Identity Type																											
UBO/SMO Place & Country of Birth #	Place of Birth _____ Country of Birth _____	Place of Birth _____ Country of Birth _____	Place of Birth _____ Country of Birth _____																								
UBO/SMO Nationality																											
UBO/SMO Date of Birth #	<table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px; height: 20px;">D</td><td style="width: 20px; height: 20px;">D</td><td style="width: 20px; height: 20px;">M</td><td style="width: 20px; height: 20px;">M</td><td style="width: 20px; height: 20px;">Y</td><td style="width: 20px; height: 20px;">Y</td><td style="width: 20px; height: 20px;">Y</td><td style="width: 20px; height: 20px;">Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y	<table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px; height: 20px;">D</td><td style="width: 20px; height: 20px;">D</td><td style="width: 20px; height: 20px;">M</td><td style="width: 20px; height: 20px;">M</td><td style="width: 20px; height: 20px;">Y</td><td style="width: 20px; height: 20px;">Y</td><td style="width: 20px; height: 20px;">Y</td><td style="width: 20px; height: 20px;">Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y	<table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px; height: 20px;">D</td><td style="width: 20px; height: 20px;">D</td><td style="width: 20px; height: 20px;">M</td><td style="width: 20px; height: 20px;">M</td><td style="width: 20px; height: 20px;">Y</td><td style="width: 20px; height: 20px;">Y</td><td style="width: 20px; height: 20px;">Y</td><td style="width: 20px; height: 20px;">Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y																				
D	D	M	M	Y	Y	Y	Y																				
D	D	M	M	Y	Y	Y	Y																				
UBO/SMO PEP#	<input type="checkbox"/> Yes – PEP <input type="checkbox"/> Yes – Related to PEP <input type="checkbox"/> No – Not a PEP.	<input type="checkbox"/> Yes – PEP <input type="checkbox"/> Yes – Related to PEP <input type="checkbox"/> No – Not a PEP.	<input type="checkbox"/> Yes – PEP <input type="checkbox"/> Yes – Related to PEP <input type="checkbox"/> No – Not a PEP.																								
UBO/SMO Address [include City, Pincode, State, Country]	Address _____ City: _____ Pincode <table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr></table> State _____ Country _____									Address _____ City: _____ Pincode <table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr></table> State _____ Country _____									Address _____ City: _____ Pincode <table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr></table> State _____ Country _____								
UBO/SMO Address Type	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Regd. Office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Regd. Office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Regd. Office																								
UBO/SMO Email ID																											
UBO/SMO Mobile No.																											
UBO/SMO Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others																								
UBO/SMO Father's Name																											
UBO/SMO Occupation	<input type="checkbox"/> Public Service <input type="checkbox"/> Private Service <input type="checkbox"/> Business <input type="checkbox"/> Others	<input type="checkbox"/> Public Service <input type="checkbox"/> Private Service <input type="checkbox"/> Business <input type="checkbox"/> Others	<input type="checkbox"/> Public Service <input type="checkbox"/> Private Service <input type="checkbox"/> Business <input type="checkbox"/> Others																								
SMO Designation#																											
UBO/SMO KYC Complied**	<input type="checkbox"/> Yes/ <input type="checkbox"/> No.	<input type="checkbox"/> Yes/ <input type="checkbox"/> No.	<input type="checkbox"/> Yes/ <input type="checkbox"/> No.																								
	If 'Yes,' please attach the KYC acknowledgement.    If 'No,' complete the KYC and confirm the status.																										
BEN2 Form or any other relevant supporting documents as applicable ***	<input type="checkbox"/> Attached	<input type="checkbox"/> Attached	<input type="checkbox"/> Attached																								

# Mandatory column. **Note:** If the given columns are not sufficient, required information in the given format can be enclosed as additional sheet(s) duly signed by Authorized Signatory. \* Participating Mutual Fund(s)/RTA may call for additional information/documentation wherever required or if the given information is not clear/incomplete/correct and you may provide the same as and when solicited. \*\* In case of Foreign Nationals, who are not KYC complied, they need to attach the ID proof in English along with the Nationality proof, Address proof again in English. If the documentary proof is in Foreign Language, it should be translated in English and should be attested by Indian Embassy of that country. \*\*\* Documentary proof for UBO.

## DECLARATION

I/We acknowledge and confirm that the information provided above is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false, untrue, misleading, or misrepresenting, I/We am/are aware that I/We may be liable for it including any penalty levied by the statutory/legal/regulatory authority. I/We hereby confirm the above beneficial interest after perusing all applicable share holding pattern and MF/RTA/other registered intermediaries can make reliance on the same. I/We hereby authorize you [RTA/Fund/AMC/Other participating entities] to disclose, share, rely, remit in any form, mode or manner, all/any of the information provided by me, including all changes, updates to such information as and when provided by me to any of the Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees/RTAs (the Authorized Parties) or any Indian or foreign governmental or statutory or judicial authorities/agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax/revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me/us of the same. Further, I/We authorize to share the given information to other SEBI Registered Intermediaries/or any regulated intermediaries registered with SEBI/RBI/IRDA/PFRDA to facilitate single submission/update & for other relevant purposes. I/We also undertake to keep you informed in writing about any changes/modification to the above information in future within 30 days of such changes and undertake to provide any other additional information as may be required at your/Fund's end or by domestic or overseas regulators/tax authorities.

### Signature with relevant seal:

<input checked="" type="checkbox"/>	Authorized Signatory 1	<input checked="" type="checkbox"/>	Authorized Signatory 2	<input checked="" type="checkbox"/>	Authorized Signatory 3
Name:		Name:		Name:	
Designation:		Designation:		Designation:	
Date	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Place	<input type="text"/>		

## INSTRUCTIONS ON CONTROLLING PERSONS/ULTIMATE BENEFICIAL OWNER

As per PMLA guidelines and relevant SEBI circulars issued from time to time, non-individuals and trusts are required to provide details of controlling persons [CP]/ultimate beneficiary owner [UBO] and submit appropriate proof of identity of such CPs/UBOs. The beneficial owner has been defined in the circular as the natural person or persons, who ultimately own, control or influence a client and/or persons on whose behalf a transaction is being conducted and includes a person who exercises ultimate effective control over a legal person or arrangement.

### A. For Investors other than individuals or trusts:

- The identity of the natural person, who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest. Controlling ownership interest means ownership of/entitlement to:
  - more than 10% of shares or capital or profits of the juridical person, where the juridical person is a company.
  - more than 10% of the capital or profits of the juridical person, where the juridical person is a partnership.
  - more than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals..
- In cases where there exists doubt under clause (i) above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity of the natural person exercising control over the juridical person through other means like through voting rights, agreement, arrangements or in any other manner.
- Where no natural person is identified under clauses (i) or (ii) above, the identity of the

relevant natural person who holds the position of senior managing official.

### B. For Investors which is a trust:

The identity of the settlor of the trust, the trustee, the protector, the beneficiaries with 10% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

### C. Exemption in case of listed companies/foreign investors

The client or the owner of the controlling interest is a company listed on a stock exchange or is a majority-owned subsidiary of such a company, there is no need for identification and verification of the identity of any shareholder or beneficial owner of such companies and hence exempted from UBO declaration provided other requisite information is provided. Intermediaries dealing with foreign investors' viz., Foreign Institutional Investors, Sub Accounts and Qualified Foreign Investors, may be guided by the clarifications issued vide SEBI circular CIR/MIRSD/11/2012 dated September 5, 2012 and other circulars issued from time to time, for the purpose of identification of beneficial ownership of the client.

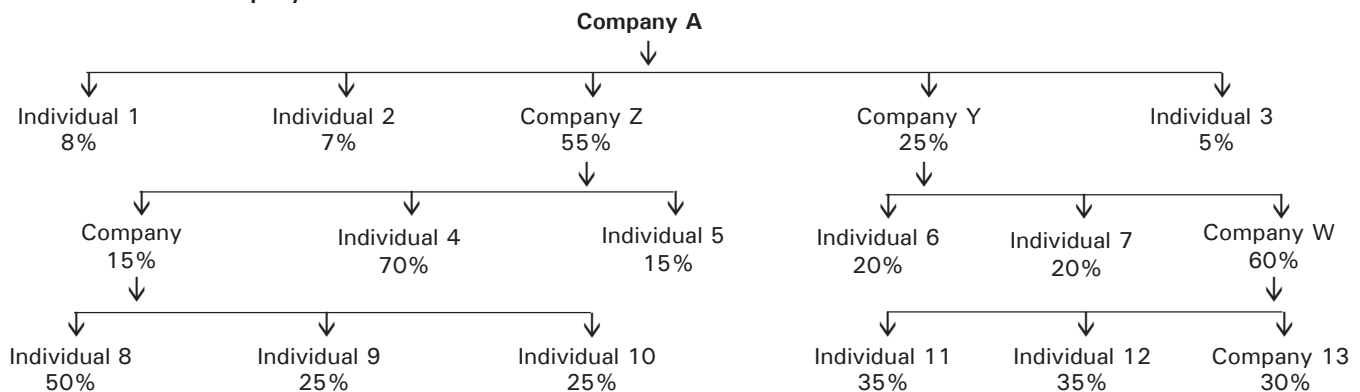
### D. KYC requirements

Beneficial Owner(s)/Senior Managing Official (SMO) is/are required to comply with the prescribed KYC process as stipulated by SEBI from time to time with any one of the KRA & submit the same to AMC. KYC acknowledgement proof is to be submitted for all the UBO(s)/SMO(s).

*In case of Foreign Nationals, who are not KYC complied, they need to attach the ID proof in English along with the Nationality proof. Address proof again in English. If the documentary proof is in Foreign Language, it should be translated in English and should be attested by Indian Embassy of that country.*

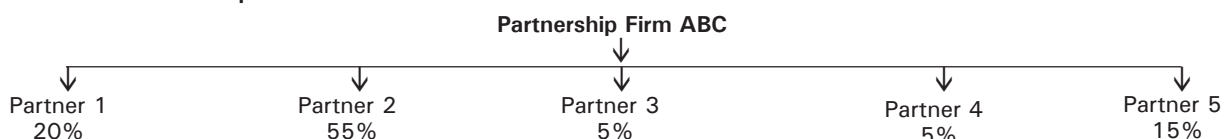
## SAMPLE ILLUSTRATIONS FOR ASCERTAINING BENEFICIAL OWNERSHIP:

### Illustration No. 1 – Company A



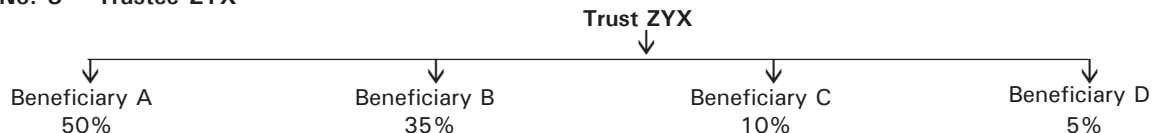
For Applicant A, Individual 4 is considered as UBO as it holds effective ownership of 38.50% in Company A. Hence details of Individual 4 must be provided with KYC proof, Shareholding pattern of Company A, Z & Y to be provided along with details of persons of Company Y who are senior managing officials and those exercising control.

### Illustration No. 2 – Partnership Firm ABC



For Partnership Firm ABC, Partners 1, 2 and 5 are considered as UBO as each of them holds >=10% of capital. KYC proof of these partners needs to be submitted including shareholding.

### Illustration No. 3 – Trustee ZYX



For Trust ZYX, Beneficiaries A, B and C are considered as UBO as they are entitled to get benefitted for >10% of funds used. KYC proof for these beneficiaries needs to be submitted. Additionally, if they have nominated any person or group of persons as Settlor of Trust/Protector of Trust, relevant information to be provided along with the proof indicated.

**INVESTOR'S DETAILS**

Investor Name as per PAN \_\_\_\_\_ Name as per PAN CARD \_\_\_\_\_

PAN 

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 Mobile No. + 

9	1																		
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- I/We hereby confirm that above stated entity/organization is falling under “Non-profit organization” [NPO] which has been constituted for religious or charitable purposes referred to in clause (15) of section 2 of the Income-tax Act, 1961 (43 of 1961), and is registered as a trust or a society under the Societies Registration Act, 1860 (21 of 1860) or any similar State legislation or a Company registered under the section 8 of the Companies Act, 2013 (18 of 2013).
- Enclosed relevant documentary proof evidencing the above definition.

We further confirm that we have registered with DARPAN Portal of NITI Aayog as NPO and registration details are as follows:

Registration Number of DARPAN portal \_\_\_\_\_

If not, please register immediately and confirm with the above information. In absence of receipt of the Darpan portal registration details, MF/AMC/RedHex SIF/RTA will be required to register your entity on the said portal and/or report to the relevant authorities as applicable.

- I/We hereby confirm that the above stated entity/organization is NOT falling under Non-profit organization as defined above or in PMLA Act/Rules thereof.

I/We acknowledge and confirm that the information provided above is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/We may be liable for it for any fines or consequences as required under the respective statutory requirements and authorize you to deduct such fines /charges under intimation to me/us or collect such fines/charges in any other manner as might be applicable. I/We hereby authorize you [RTA/Fund/AMC/RedHex SIF/Other participating entities] to disclose, share, rely, remit in any form, mode or manner, all/any of the information provided by me, including all changes, updates to such information as and when provided by me to any of the Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees/RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities/agencies including to the Financial Intelligence Unit-India (FIU-IND), the tax/revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me/us of the same. Further, I/We authorize to share the given information to other SEBI Registered Intermediaries or any other statutory authorities to facilitate single submission/update & for regulatory purposes. I/We also undertake to keep you informed in writing about any changes/modification to the above information in future within 30 days of such changes and undertake to provide any other additional information as may be required at your/Fund's end or by domestic or overseas regulators/tax authorities.

**SIGNATURE WITH RELEVANT SEAL:**

<p><b>X</b></p> <p>Authorized Signatory</p>	<p><b>X</b></p> <p>Authorized Signatory</p>	<p><b>X</b></p> <p>Authorized Signatory</p>					
<p>Date <table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 40px; height: 20px;"></td><td style="width: 20px; text-align: center;">/</td><td style="width: 40px; height: 20px;"></td><td style="width: 20px; text-align: center;">/</td><td style="width: 40px; height: 20px;"></td></tr></table></p>		/		/		<p>Place: _____</p>	
	/		/				

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[Mandatory for Non-Individual Investors including HUF] Please turn over for Definitions/ Instructions/Guidance

**APPLICANT DETAILS**

Applicant Name as per PAN	Name as per PAN CARD
PAN	Type of address given at KRA <input type="checkbox"/> Residential or Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office

**INCORPORATION and TAX RESIDENCY DETAILS (Mandatory)**

Place of Incorporation:	Country of Incorporation:	Date of Incorporation:
-------------------------	---------------------------	------------------------

Is Entity a tax resident of any country other than India?  Yes  No  
 (If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below)

#	Country of Tax Residency	TIN or equivalent number <sup>^</sup>	Identification Type (TIN or Other, please specify)
1		mandatory	
2		mandatory	
3		mandatory	
4		mandatory	

<sup>^</sup> In case Tax Identification Number is not available, kindly provide its functional equivalent. In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc.

In case the Entity's Country of Incorporation/Tax residence is U.S. but Entity is not a Specified U.S. Person (as per definition E5), please mention the exemption code in the box (Refer instruction D4):

**FATCA and CRS DETAILS (Mandatory)**

(Please consult your professional tax advisor for further guidance on FATCA & CRS classification)

**PART A (to be filled by Financial Institutions or Direct Reporting NFEs)**

<b>We are a, (Please ✓ as appropriate) :</b> <input type="checkbox"/> Financial Institution (Refer definition A) or <input type="checkbox"/> Direct reporting NFE (Refer definition B)	GIIN <input type="text"/> <b>Note:</b> If you do not have a GIIN (Global Intermediary Identification number) but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below <b>Name of sponsoring entity:</b> <input type="text"/>
<b>GIIN - Not Available (Please ✓ as appropriate):</b> If the entity is a financial institution,	<input type="checkbox"/> Applied for <input type="checkbox"/> Not required to apply for - please specify 2 digits sub-category <input type="text"/> <input type="text"/> (refer definition C) <input type="checkbox"/> Not obtained – Non-participating FI

**PART B (please fill any one as appropriate, to be filled by NFEs other than Direct Reporting NFEs)**

<b>Is the Entity a publicly traded company?</b> No <input type="checkbox"/> (that is, a company whose shares are regularly traded on an established securities market) (Refer definition D1)	Yes <input type="checkbox"/> (If yes, please specify any one stock exchange on which the stock is regularly traded) <b>Name of stock exchange</b> <input type="text"/>
<b>Is the Entity a related entity of a publicly traded company?</b> No <input type="checkbox"/> (a company whose shares are regularly traded on an established securities market) (Refer definition D2)	Yes <input type="checkbox"/> (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded) <b>Name of listed company</b> _____ <b>Nature of relation:</b> <input type="checkbox"/> Subsidiary of the Listed Company OR <input type="checkbox"/> Controlled by a Listed Company <b>Name of stock exchange</b> <input type="text"/>
<b>Is the Entity an Active NFE?</b> No <input type="checkbox"/> (Refer definition D3)	Yes <input type="checkbox"/> Also provide UBO Form <input type="checkbox"/> <b>Nature of Business</b> _____ <b>Please specify the sub-category of Active NFE</b> <input type="text"/> <input type="text"/> (Mention code - refer D3)
<b>Is the Entity a Passive NFE?</b> No <input type="checkbox"/> (Refer definition E2)	Yes <input type="checkbox"/> Also provide UBO Form <input type="checkbox"/> <b>Nature of Business</b> _____

# If Passive NFE, please provide the below additional details for each of the Controlling person. (Please attach additional sheets if necessary)

Sr. No.	Name of UBO	Taxpayer Identification Number/PAN/Equivalent ID Number	Place of Birth	Country of Birth	Occupation Type [Service, Business, Others]	Nationality	Father's Name	Date of Birth dd/mm/yyyy	Gender [Male, Female, others]
1		mandatory							
2		mandatory							
3		mandatory							

*The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.*

*Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.*

*If any controlling person of the entity is a US citizen or resident or green card holder, please include United States in the foreign country information field along with the US Tax Identification No.*

*It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.*

**DECLARATION & SIGNATURE(S)**

I acknowledge and confirm that the information provided with respect to FATCA/CRS is true and correct to the best of my knowledge and belief. I certify that I am the Account Holder (or am authorised to sign for the Account Holder) of all the account(s) to which this form relates. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I am aware that I will be responsible for it. I authorize the Fund to update its records from the FATCA/CRS information provided by me and received by the Fund from other SEBI Registered Intermediaries. Further, I authorize the Fund to share the given information provided by me to the Fund with other SEBI Registered Intermediaries to facilitate single submission/update. I also undertake to keep the Fund informed in writing about any changes/modification/update to the above information in future and also undertake to provide any other additional information as may be required at the Fund's end and/or by the domestic tax authorities. I authorize the Fund/AMC/RTA to close or suspend my account(s) under intimation to me for non-submission of documentation.

X

Date : _____	Place : _____	<b>Authorized Signatories</b> [with Company / Trust/Firm/Body Corporate seal]
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**DEFINITIONS / INSTRUCTIONS / GUIDANCE**

**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	I 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:

- 1. Publicly traded corporation (listed company):** A company is publicly traded if its stock are regularly traded on one or more established securities markets.
- 2. 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;
07	Any NFE is a 'non for profit organization which meets all of the following requirements: <ul style="list-style-type: none"> <li>• It is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or</li> </ul>

Code	Sub-Category
	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; <ul style="list-style-type: none"> <li>• It is exempt from income tax in India;</li> <li>• It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;</li> </ul>

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
A	An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)
B	The United States or any of its agencies or instrumentalities
C	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
H	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 58
K	A broker
L	A trust exempt from tax under section 664 or described in section 4947(a)(1)
M	A tax exempt trust under a section 403(b) plan or section 457(g) plan

**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:** An FI meeting the following requirements: (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.

**Applications Supported by Blocked Amount (ASBA) Application Form**

(To be used by investors adopting the ASBA route)

**RedHex Hybrid Long-Short Fund**

(An interval investment strategy investing in equity and debt securities, including limited short exposure in equity and debt through derivatives)

<p><b>This product is suitable for investors who are seeking*:</b></p> <ul style="list-style-type: none"> <li>Income and capital appreciation over medium to long term</li> <li>Investment in fixed income as well as equity and equity related securities</li> </ul>	<p><b>Investment strategy Risk band</b></p> <p>RISK BAND: LOWER RISK (1, 2), HIGHER RISK (3, 4, 5). RISK LEVEL 2.</p>	<p><b>Benchmark Risk band</b></p> <p>As per AMFI Tier I Benchmark Index: NIFTY 50 Hybrid Composite Debt 50:50 Index</p> <p>RISK BAND: LOWER RISK (1, 2), HIGHER RISK (3, 4, 5). RISK LEVEL 3.</p>
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\* Investors should consult their financial advisers if in doubt about whether the product is suitable for them. The above product labelling assigned during the New Fund Offer (NFO) is based on internal assessment of the characteristics of the investment strategy or model portfolio and the same may vary post NFO when the actual investments are made.

Broker Name & ARN code/RIA code <sup>^</sup>	Sub-broker ARN code	Sub code	EUIN	SCSB	SCSB IFSC Code	Syndicate Member Code	SI. No.

<sup>^</sup> I/We hereby confirm that by mentioning RIA code, I/We authorise you to share with the SEBI Registered Investment Adviser (RIA) the details of my/our transactions in the Investment Strategy(s) of RedHex SIF. 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.

<b>Sole/Ist Applicant/ Authorised Signatory</b>	<b>IInd Applicant/ Authorised Signatory</b>	<b>IIIRD Applicant/ Authorised Signatory</b>
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**1 INVESTOR'S DETAILS (Names should be in the same sequence as appearing in your Demat Account. In case of discrepancies, the Application is liable to get rejected.)**

Name as per PAN (Mandatory)\*\*  
 Mr Ms M/s \_\_\_\_\_ Name as per PAN CARD \_\_\_\_\_  
 KYC Identification Number (KIN) \_\_\_\_\_ PAN (Mandatory) \_\_\_\_\_  
 Proof to be enclosed (✓)  PAN card Copy

**Guardian's** (If Sole/First Applicant is a Minor) OR **Contact Person's** (In case of Non-Individual Investors only)  
 Name as per PAN \_\_\_\_\_ Mr Ms M/s \_\_\_\_\_ Name as per PAN CARD \_\_\_\_\_  
 KYC Identification Number (KIN) \_\_\_\_\_ PAN (Mandatory) \_\_\_\_\_ Proof to be enclosed (✓)  PAN card Copy

Are you a resident of USA/Canada? (✓) Yes  No\*\*  \*\*Default if not ticked.

**2 INVESTMENT DETAILS**

Investment Strategy : **RedHex Hybrid Long-Short Fund** Plan (✓) :  Regular  Direct  
 Option (✓) :  Growth (default)  IDCW Sub-option:  Reinvestment of IDCW  Payout of IDCW

Total Amount to be blocked (in Figures) ₹ \_\_\_\_\_ (in words) \_\_\_\_\_

**3 SCSB ACCOUNT DETAILS (please refer websites of NSE, BSE and SEBI for list of SCSBs) (MANDATORY)**

Bank Name \_\_\_\_\_  
 Branch Address \_\_\_\_\_ Bank City \_\_\_\_\_  
 Bank A/c No. \_\_\_\_\_ A/c. Type (✓)  Current  Savings  NRO\*  NRE\* \* For NRI Investors

**4 DEMAT ACCOUNT DETAILS (MANDATORY)**

	NSDL	CDSL
DP Name	_____	_____
DP ID	I N _____	_____
Beneficiary Account No.	_____	_____

**5 UNDERTAKING BY ASBA INVESTOR/ACCOUNT HOLDER**

1) I/We hereby undertake that I/We am/are an ASBA investor(s) as per the applicable provisions of the SEBI (Issue of Capital and Disclosure Requirements) Regulations, 2009. 2) In accordance with ASBA process provided in the SEBI (Issue of Capital and Disclosure Requirements) Regulations, 2009, I/We authorize (a) the Self Certified Syndicate Bank (SCSB) to do all acts as are necessary to make an application for purchase of units in the NFO blocking the amount to the extent mentioned above in the "SCSB details" or unblocking of funds in the bank account maintained with the SCSB specified in the ASBA Form, transfer of funds to the Issuer's account designated for this purpose on receipt of instruction from the Registrar after finalisation of the basis of allotment entitling me/us to receive Units on such transfer of funds, etc. (b) Registrar to RedHex Specialized Investment Fund to issue instructions to the SCSB to remove the block on the funds in the bank account specified in the ASBA Form, upon finalisation of the basis of allotment and to transfer the requisite money to the Issuer's account designated for this purpose. 3) In case the amount available in the bank account specified in the ASBA Form is insufficient for blocking the amount equivalent to the application money, the SCSB shall reject the application. 4) If the DP ID, Client ID or PAN furnished by me/us in the ASBA Form is incorrect or incomplete, the ASBA Application shall be rejected and the AMC/RedHex SIF, R&TA and SCSB shall not be liable for losses, if any. 5) I/We hereby authorise the SCSB to make relevant revisions as may be required to be done during the NFO, in the event of price revision.

Having read and understood the contents of the ISID and SAI, I/We hereby apply under Direct/AMFI Certified empanelled distributors to the HSBC Trustees (India) Private Limited for units of the Investment Strategy/Option as indicated above and agree to abide by the terms, conditions, rules and regulations of the Investment Strategy. I/We have understood the details of the Investment Strategy and I/We have not received nor been induced by any rebate or gifts, directly or indirectly, in making this investment. I/We hereby authorise RedHex Specialized Investment Fund, its Investment Manager and its Agents to disclose details of my/our investment to my/our bank(s)/RedHex Specialized Investment Fund's Bank(s) and/or Distributor/Broker/Investment Advisor and to verify my/our bank details provided by me/us. I/We hereby declare that the particulars given above are correct and express my/our willingness to make payments referred above through participation in ECS/Direct Debit Facility. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information, I/We would not hold HSBC Asset Management (India) Pvt. Ltd. (Investment Manager to RedHex Specialized Investment Fund), their appointed service providers or representatives responsible. I/We will also inform HSBC Asset Management (India) Pvt. Ltd., about any changes in my/our bank account. We have understood that the present Investment Strategy does not offer any guarantee or assured return and that the Investment Strategy is subject to credit risk or default risk including possible loss of principal, any losses in case of a default will be borne by me/us. \*I/We confirm that I am/We are Non-Residents of Indian Nationality/Origin and that the funds are remitted from abroad through approved banking channels or from my/our NRE/NRO/FCNR Account. I/We confirm that the details provided by me/us are true and correct. I/We hereby declare that the amount being invested by me/us in the Investment Strategy is derived through legitimate sources and is not held or designed for the purpose of contravention of any Act, Rules, Regulations or any statute or legislation or any other applicable laws or any Notifications, Directions issued by any governmental or statutory authority from time to time. \*Applicable to NRI I/We confirm that 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 Investment Strategy of various SIF from amongst which the Investment Strategy is being recommended to me/us. I/We acknowledge that the AMC/RedHex SIF has not considered my/our tax position in particular and that I/we should seek tax advice on the specific tax implications arising out of my/our participation in the Investment Strategy.

I/We confirm that I am/We are not United States person(s) under the laws of United States or resident(s) of Canada. In case of change to this status, I/We shall notify the AMC/RedHex SIF, in which event the AMC/RedHex SIF reserves the right to redeem my/our investments in the Investment Strategy(s).

Date: _____	<b>Signature of the Applicant(s)</b>	<b>1. Sole/First Applicant/Guardian/POA</b>	<b>2. Second applicant/POA</b>	<b>3. Third Applicant/POA</b>
	<b>Signature of the Bank Account Holder(s)</b>	<b>1. Sole/First Holder</b>	<b>2. Second Holder</b>	<b>3. Third Holder</b>
	<b>Attn: NRI investors; payment must be made through NRE/ FCNR Accounts)</b>			

**ACKNOWLEDGEMENT SLIP FOR INVESTOR**

Investment Strategy \_\_\_\_\_ Option \_\_\_\_\_ Date: \_\_\_\_\_  
 Received from Mr./Ms. \_\_\_\_\_  
 Address \_\_\_\_\_ Pin Code \_\_\_\_\_  
 Tel. \_\_\_\_\_ Mobile \_\_\_\_\_ PAN \_\_\_\_\_  
 Bank A/c No. \_\_\_\_\_ Bank Name \_\_\_\_\_  
 Branch Address \_\_\_\_\_  
 Total Amount to be Blocked (Rs.) \_\_\_\_\_ (in words) \_\_\_\_\_

**SCSB Stamp, Signature, Date & Time of Form submission**

# Instructions for filling up the Application Form

## Background:

In its continuing endeavour to make the existing New Fund Offer process more efficient, SEBI introduced a supplementary process of applying in New Fund Offer, viz: the “Applications Supported by Blocked Amount (ASBA)” process. Accordingly, Securities and Exchange Board of India (Issue of Capital and Disclosure Requirements) Regulations, 2009, as amended have been amended for ASBA process. The salient features of circular no. SEBI/CFD/DIL/ASBA/1/2009/30/12 dated December 30, 2009 available on SEBI website for “Additional mode of payment through Applications Supported by Blocked Amount (hereinafter referred to as “ASBA”) are mentioned below for understanding the ASBA process:

- 1. Meaning of ASBA:** ASBA is an application for subscribing to a New Fund Offer (NFO), containing an authorisation to block the application money in a bank account.
- 2. Self Certified Syndicate Bank (SCSB):** SCSB is a banker to an issue registered with the SEBI which offers the facility of applying through the ASBA process. The list of SCSBs will be displayed by SEBI on its website at [www.sebi.gov.in](http://www.sebi.gov.in) from time to time. ASBAs can be accepted only by SCSBs, whose names appear in the list of SCSBs displayed on SEBI's website. Investors maintaining their accounts in any of these Banks may approach one of the designated branches of these SCSBs for availing this facility. Further it may be noted that from time to time new banks register themselves as SCSBs who become eligible to provide these services and also the existing SCSBs designate additional branches that also provide this facility. An updated list of all the registered SCSBs, their controlling branches, contact details and details of their contact persons, a list of their designated branches which are providing such services is available on the website of SEBI at the address <http://www.sebi.gov.in>. Further these details are also available on the websites of the Stock Exchanges at <http://www.bseindia.com> and <http://www.nseindia.com>. Alternatively, investors may also contact the AMC/RedHex SIF, R&TA for information about the SCSBs or the ASBA process. These SCSBs are deemed to have entered into an arrangement with the Issuer and shall be required to offer the ASBA facility to all its account holders for all issues to which ASBA process is applicable. An SCSB shall identify its Designated Branches (DBs) at which an ASBA Applicant shall submit ASBA and shall also identify the Controlling Branch (CB), which shall act as a coordinating branch for the Registrar to the Issue, Stock Exchanges and Merchant Bankers. The SCSB, its DBs and CB shall continue to act as such, for all issues to which ASBA process is applicable. The SCSB may identify new DBs for the purpose of ASBA process and intimate details of the same to SEBI, after which SEBI will add the DB to the list of SCSBs maintained by it. The SCSB shall communicate the following details to Stock Exchanges for making it available on their respective websites. These details shall also be made available by the SCSB on its website: (i) Name and address of the SCSB (ii) Addresses of DBs and CB and other details such as telephone number, fax number and email ids. (iii) Name and contact details of a nodal officer at a senior level from the CB.
- 3. Eligibility of Investors:** An Investor shall be eligible to apply through ASBA process, if he/she:
  - (i) is a “Resident Retail Individual Investor, Non Institutional Investor, QIBs, Eligible NRIs applying on non-repatriation basis, Eligible NRIs applying on repatriation basis i.e. any investor,
  - (ii) is applying through blocking of funds in a bank account with the SCSB; Such investors are hereinafter referred as “ASBA Investors”.
- 4. ASBA Facility in Brief:** Investor shall submit his/her Application through an ASBA Application Form, either in physical or electronic mode, to the SCSB with whom the bank account of the ASBA Investor or bank account utilised by the ASBA Investor (“ASBA Account”) is maintained. The SCSB shall block an amount equal to the NFO application Amount in the bank account specified in the ASBA Application Form, physical or electronic, on the basis of an authorisation to this effect given by the account holder at the time of submitting the Application. The Application Amount shall remain blocked in the aforesaid ASBA Account until the Allotment in the New Fund Offer and consequent transfer of the Application Amount against the allocated Units to the Issuer's account designated for this purpose, or until withdrawal/failure of the Offer or until withdrawal/rejection of the ASBA Application, as the case may be. The ASBA data shall thereafter be uploaded by the SCSB in the electronic IPO system of the Stock Exchanges. Once the Allotment is finalised, the R&TA shall send an appropriate request to the Controlling Branch of the SCSB for unblocking the relevant bank accounts and for transferring the amount allocable to the successful ASBA Applicants to the AMC/RedHex SIF account designated for this purpose. In case of withdrawal/Rejection of the Offer, the

R&TA shall notify the SCSBs to unblock the blocked amount of the ASBA Applicants within one day from the day of receipt of such notification.

- 5. Obligations of the AMC/RedHex SIF:** AMC/RedHex SIF shall ensure that adequate arrangements are made by the R&TA to obtain information about all ASBAs and to treat these applications similar to non-ASBA applications while allotment of Units, as per the procedure specified in the Securities and Exchange Board of India (Issue of Capital and Disclosure Requirements) Regulations, 2009.

Investors are requested to check with their respective banks about the availability of the ASBA facility.
- 6. Other Information for ASBA Investors:**
  1. On the closure date of the NFO, the ASBA form should be submitted to the SCSBs before the 3.00 p.m. or such other time as may be decided by respective SCSBs.
  2. The Applicant intending to invest in the Investment strategy through ASBA Process will be required to have a beneficiary account with a Depository Participant (DP) of NSDL/CDSL and will be required to mention in the application form DP ID No. and Beneficiary Account No. with the DP at the time of purchasing Units during the NFO.
  3. Signatures as available with depository will be taken for all purpose after the allotment of units incase of demat holding.
  4. All static details in our records would be taken from the demat account (DP ID) provided by you.
  5. Bank account details provided in the ASBA Application form will be used for refunding reject applications where DP ID is not matching
  6. Bank Mandate for redemptions/dividend will be as per your DP ID incase of demat holding.
  7. SCSB shall give ASBA investors an acknowledgement for the receipt of ASBAs.
  8. SCSB shall not upload any ASBA in the electronic system of the Stock Exchange(s) unless (i) it has received the ASBA in a physical or electronic form; and (ii) it has blocked the application money in the bank account specified in the ASBA or has systems to ensure that Electronic ASBAs are accepted in the system only after blocking of application money in the relevant bank account opened with it.
  9. SCSB shall ensure that complaints of ASBA investors arising out of errors or delay in capturing of data, blocking or unblocking of bank accounts, etc. are satisfactorily redressed.
  10. SCSB shall be liable for all its omissions and commissions in discharging responsibilities in the ASBA process.
  11. R&TA shall act as a nodal agency for redressing complaints of ASBA and non-ASBA investors, including providing guidance to ASBA investors regarding approaching the SCSB concerned.
  12. ASBA facility is currently available only to those investors who wish to hold the units in dematerialized form.

## Grounds for rejection of ASBA applications

ASBA application forms can be rejected by the AMC/RedHex SIF/Registrar/SCSBs, on the following technical grounds:

1. Applications by persons not competent to contract under the Indian Contract Act, 1872, including but not limited to minors, insane persons etc.
2. Mode of ASBA i.e. either Physical ASBA or Electronic ASBA, not selected or ticked.
3. ASBA Application Form without the stamp of the SCSB.
4. Application by any person outside India if not in compliance with applicable Foreign and Indian laws.
5. Bank account details not given/incorrect details given.
6. Duly certified Power of Attorney, if applicable, not submitted along with the ASBA Application Form.
7. No corresponding records available with the Depositories matching the parameters namely (a) Names of the ASBA applicants (including the order of names of joint holders) (b) DP ID (c) Beneficiary account number or any other relevant details pertaining to the Depository Account.
8. Insufficient funds in the investor's account.
9. Application accepted by SCSB and not uploaded on/with the Exchange/Registrar.





# INSTRUCTIONS FOR THIRD PARTY PAYMENT DECLARATION FORM

## 1. GENERAL INSTRUCTIONS

Please read the terms of the Key Information Memorandum, the Investment Strategy Information Document carefully before making an investment decision and filling up the Application Form. Investors are deemed to have accepted the terms of subject to which these offers are being made and bind themselves to the terms upon signing the Application Form and tendering payment for investment.

### Manner of filling Application Form

Manner must be completed in BLOCK LETTERS in ENGLISH.

Please tick in appropriate box for relevant options wherever applicable. Signatures should be in English or in any Indian Language. Thumb impressions must be attested by a Magistrate/Notary Public under his/her official seal. Submission of Application: Duly completed applications along with full payment must be remitted at the designated Collection Centres or may be routed through Agents of RedHex Specialized Investment Fund.

Note: Kindly retain the acknowledgement slip initiated/stamped by the collecting authority.

## 2. BENEFICIAL INVESTOR INFORMATION

a. The Third Party should provide the PAN of the Beneficial Investor already having an account in any of the RedHex Specialized Investment Fund in Section 1. In case the Beneficial Investor does not have a Folio Number, the Third Party should mention the PAN as stated in the Application Form. Name must be written in full.

b. Investors are requested to provide name of the FII/Client, if the Beneficial Investor is a FII/Client. Please note that the name of the First/Sole Applicant should be match with the details mentioned in the Application Form. If the Beneficial Investors are employees, a separate list of employees mentioning their codes and signatures and list of authorised signatories on behalf of employees along with the KYC compliance and PAN details of each employees shall be furnished by the employer on its letterhead.

If the Beneficial Investors are empanelled distributors, a separate list of the distributors mentioning their ARN numbers and signatures shall be furnished.

If the Beneficial Investors are agents/distributors/dealers, a separate list of the agents/distributors/dealers with their signatures and list of authorised signatories on behalf of agents/distributors/dealers along with the KYC compliance and PAN details of each agent/distributor/dealer shall be furnished by the employer on the letter head.

## 3. THIRD PARTY INFORMATION

“Third Party” Custodian or Employer, making payment towards subscription of Units in the name of the Beneficial Investor(s).

Full Name and relationship of Third Party with the Beneficial Investor must be provided. The Relationship declared by the Third Party will suggest that the payment made on behalf of Beneficial Investor(s) is:

- On behalf of employee under Systematic Investment Plans or as lump sum/onetime subscription, through Payroll deductions or deductions out of expense reimbursements made by employer; or
- On behalf of an FPI or a Client made by the Custodian.
- Payment by an AMC/RedHex SIF to its empanelled distributor on account of commission/incentive etc. in the form of Mutual Fund units through SIP or lump sum/one time subscription.
- Payment by a Corporate to its Agent/Dealer/Distributor on account of commission or incentive payable for sale of its goods/services in the form of RedHex SIF units through SIP or lump sum/one time subscription.

Mailing address and contact details of Third Party must be written in full.

## 4. THIRD PARTY PAYMENT DETAILS

Third Party must provide in the Declaration Form the details of the Pay-in Bank Account i.e. account from which subscription payment is made in the name of the Beneficial Investor(s).

The Declaration Form with incomplete payment details shall be rejected. The following document(s) is/are required to be submitted by Third Party as per the mode of payment selected:

### (i) Source of funds - if paid by cheque

In case the account number and account holder name of the third party is not preprinted on the cheque, then the third party should provide any one of the following documents:

- A copy of the bank passbook or a statement of bank account having the name and address of the account holder and account number; or
- A letter (in original) from the bank on its letterhead certifying that the third party maintains an account with the bank, along with information like bank account number, bank branch, account type, the MICR code

of the branch & IFSC Code (where available). The said letter should be certified by the bank manager with his/her full signature, name, employee code, bank seal and contact number.

The original documents along with the documents mentioned above should be submitted to the Official Points of Acceptance of HSBC Mutual Fund. The copy of such documents will be verified with the original documents to the satisfaction of the HSBC Mutual Fund/Registrar and Transfer Agent. The original documents will be returned across the counter after due verification.

### (ii) Source of funds - if funded by pre-funded investments such as Pay Order, Demand Draft, Banker's cheque etc. against registered Pay-in account

- a proof of debit to the investor's bank account in the form of a bank manager's certificate with details of account holder's name, bank account number and PAN as per bank records, if available, or
- a copy of the acknowledgement from the bank, wherein the instructions to debit carry the bank account details and name of the investor as an account holder are available, or
- a copy of the passbook/bank statement evidencing the debit for issuance of a DD.

### (iii) Source of funds - if paid by RTGS, Bank Account-to-Account Transfer, NEFT, ECS, etc.

- In such case, investor is required to provide a copy which has been provided to the Bank indicating the account number and the debit instructions.
- For payment through online mode AMC/RedHex SIF may match payer account details with registered Pay-in bank accounts of the Investor.

## 5. SIGNATURE(S)

Signature(s) should be in English or in any Indian Language. Declarations on behalf of FII clients/Employee/Agent/Dealer/Distributor should be signed by their Custodian/Employer/AMC/RedHex SIF/Corporate respectively.

## 6. PERMANENT ACCOUNT NUMBER

As per SEBI Circular dated April 27,2007, Permanent Account Number (PAN) has been made the sole identification number for all participants transacting in the securities market, irrespective of the amount of transaction, effective July 2, 2007. Transactions by unit holder/investors who fail to submit copy of PAN are liable to be rejected.

Accordingly, it is mandatory for all investors to quote their Permanent Account Number (PAN) and submit certified copy of the PAN card issued by the Income Tax Department, irrespective of the amount of investment, while making an application for Purchase of Units. Furnishing an incorrect PAN or not furnishing these details could invite a penalty of R 10,000 as per the extant provisions of the Income Tax Act, 1961.

However, there are certain nature of transactions and type of clients for which PAN is not mandatory, as mentioned below:

- Investments from investors residing in the state of Sikkim;
- Investments from Central Government, State Government and the official appointed by the Courts e.g. Official Liquidator, Court Receiver etc. (under the category of Government).

In all the above cases, Investors are requested to submit such documents as mentioned under “Non PAN based KYC applicability“ under the Section “Know Your Customer“.

## 7. PREVENTION OF MONEY LAUNDERING

SEBI vide its circular reference number ISD/CIR/RR/AML/1/06 dated January 18, 2006 mandated that all intermediaries including Mutual Funds should formulate and implement a proper policy framework as per the guidelines on anti money laundering measures and also to adopt a Know Your Customer (KYC) policy. The Third Party should ensure that the amount invested in the Investment Strategy is through legitimate sources only and does not involve and is not designated for the purpose of any contravention or evasion of the provisions of the Income Tax Act, Prevention of Money Laundering Act (PMLA), Prevention of Corruption Act and/or any other applicable law in force and also any laws enacted by the Government of India from to time or any rules, regulations, notifications or directions issued thereunder.

To ensure appropriate identification of the Third Party and with a view to monitor transactions for the prevention of money laundering, RedHex SIF reserves the right to seek information and/or obtain and retain documentation for establishing the identity of the third party, proof of residence, source of funds, etc. It may reverify identity and obtain any incomplete or additional information for this purpose.

HSBC Mutual Fund and their Directors, employees and agents shall not be liable in any manner for any claims arising whatsoever on account of freezing the folios/rejection of any application/allotment of Units or mandatory redemption of Units due to non-compliance with the provisions of the Act, SEBI/AMFI circular(s) and KYC policy and/or where the AMC/RedHex SIF believes that transaction is suspicious in nature within the purview of the Act and SEBI/AMFI circular(s) and reporting the same to FIU-IND.

#### 8. KNOW YOUR CUSTOMER (KYC) COMPLIANCE

- a. KYC is mandatory for investment and all applicants need to comply with this requirement.
- b. With effect from 1st February 2017, any individual customer who is new to KRA system and whose KYC is not registered or verified in the KRA system, needs to fill in new KYC form viz., "CKYC Form" to comply with the KYC requirements. For more information on KYC requirements, please visit our web site (<https://www.assetmanagement.hsbc.co.in/en/redhex-sif/-/media/files/attachments/india/redhex-sif/kyc>) or speak to your investment adviser.

For non-Individual applicants, KYC Compliance requires identification of the customer by seeking relevant information on incorporation, commencement of business, tax status, nature of entity, nature of business, address and certain details of Promoters/Partners/Trustees/Whole Time Directors/Kartas of HUF. SEBI has appointed KYC Registration Agencies (KRA) to facilitate a single KYC across all SEBI registered intermediaries. For more information on KYC requirements, please visit our web site or speak to your investment adviser.

- c. If the investment is being made by a Constituted Attorney on behalf of an applicant, the Attorney needs to comply with KYC requirements.

#### • Non PAN Based KYC applicability

Non PAN Based KYC applicability For certain nature of transactions and type of clients, PAN is not mandatory. In such cases, common standard KYC through CVL will not apply. In such cases, the client will have to submit certain documents as elaborated below and KYC will be handled by the AMC/RedHex SIF/Registrar & Transfer Agent i.e. Computer Age Management Services Private Limited directly. Such nature of transaction and type of clients and the documents required for successful completion of KYC is mentioned below:

##### A. Investments from investors residing in Sikkim

Documents required

1. Proof of address of Sikkim state and application form should mention

the same address.

2. Address proof shall be self-attested by the investor/attested by the ARN holder mentioning the ARN number or attested by any competent authority.

##### B. Investments from Central Government, State Government and the officials appointed by the courts, e.g., Official Liquidator, Court receiver, etc., (under the category of Government)

Documents required

1. Proof of identity as documentary evidence in support of the claim for such an exemption.
2. Such proof shall be self-attested by the investor/attested by the ARN holder mentioning the ARN number or attested by any competent authority.

For complying with the KYC requirement, all the investors could approach POS or CVL for submitting their KYC Application Form (KAF) and the mandatory documents of Proof of Identity and Proof of Address. The list of all documents required to fill up the form and the detailed process is mentioned above and can be found in the KYC Application Form. An updated list of POS is available at <https://www.assetmanagement.hsbc.co.in/en/redhex-sif/contact-us>.

After verification of the KYC Application Form and accompanying documents, investors will receive a letter certifying their KYC compliance. Investors are requested to visit the Knowledge Centre Section of our website [www.assetmanagement.hsbc.co.in/en/redhex-sif/investor-resources](http://www.assetmanagement.hsbc.co.in/en/redhex-sif/investor-resources) and also read the KYC section of Statement of Additional Information (SAI) in detail.

Investors are requested to note that KYC would be subject to verification of the veracity of the claim of the investors by collecting sufficient documentary evidence. The AMC/RedHex Specialized Investment Fund reserves the right to ask for the necessary documentation to the satisfaction of the AMC/RedHex SIF.

The AMC/RedHex Specialized Investment Fund, under powers delegated by the Trustee, shall have absolute discretion to reject any application, prevent further transactions by a Unit holder, if after due diligence, the investor/unitholder/a person making the payment on behalf of the investor does not fulfil the requirements of the KYC Policy or the AMC/RedHex Specialized Investment Fund believes that the transaction is suspicious in nature with regard to money laundering.

#### CALL US AT

Please visit our website <https://www.assetmanagement.hsbc.co.in/en/redhex-sif/contact-us> for an updated list of Official Points of Acceptance of RedHex SIF. Please visit [www.camsonline.com](http://www.camsonline.com) for an updated list of Official Points of Acceptance of our Registrar / Transfer Agent : Computer Age Management Services.

#### TOLL FREE NUMBERS

Description	Investor related queries	Distributor related queries	Investor (Dialing from abroad)
Toll Free Number	1800-4190-200 / 1800-200-2434	1800-419-9800	+91 44 39923900
Email ID	<a href="mailto:sifinvestor.line@mutualfunds.hsbc.co.in">sifinvestor.line@mutualfunds.hsbc.co.in</a>	<a href="mailto:sifpartner.line@mutualfunds.hsbc.co.in">sifpartner.line@mutualfunds.hsbc.co.in</a>	<a href="mailto:sifinvestor.line@mutualfunds.hsbc.co.in">sifinvestor.line@mutualfunds.hsbc.co.in</a>

Please refer to the general instructions for assistance and complete all sections in English. For legibility, please use BLOCK LETTERS in black or dark ink.

Broker Name & ARN Code / RIA Code	Sub-broker ARN Code	Sub Code	EUIN	Branch Code

Time Stamp

Investor's Declaration where EUIN is not furnished: I/We confirm that the EUIN box has been intentionally left blank by me/us as this is an "execution only" transaction without any interaction or advice by the employee/relationship manager/sales person of the above distributor and/or notwithstanding the advice of inappropriateness, if any, provided by the employee/relationship manager/sales person of distributor and the distributor has not charged any advisory fees on this transaction

<b>Sole / 1st Applicant / Authorised Signatory</b> X	<b>2nd Applicant / Authorised Signatory</b> X	<b>3rd Applicant / Authorised Signatory</b> X
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New SIP Registration     OTM Debit Mandate to be registered in the folio.

**1 APPLICANT INFORMATION**

Name of Sole / 1st Unit Holder	First Name	Middle Name	Last Name
PAN			
<b>Contact Details</b>			
Mobile No.	+ 9 1	Tel. (Res./Office)	
Mobile belongs to : <input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependant Children <input type="checkbox"/> Dependant Parents <input type="checkbox"/> Dependant Siblings <input type="checkbox"/> Custodian <input type="checkbox"/> Guardian (to Minor investment) <input type="checkbox"/> POA <input type="checkbox"/> PMS			
+ E-mail		Email ID to be filled in CAPITAL LETTERS	
E-mail belongs to : <input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependant Children <input type="checkbox"/> Dependant Parents <input type="checkbox"/> Dependant Siblings <input type="checkbox"/> Custodian <input type="checkbox"/> Guardian (to Minor investment) <input type="checkbox"/> POA <input type="checkbox"/> PMS			

**2 OTM DEBIT MANDATE FOR NACH/ECS/AUTO DEBIT**

UMRN 

F	O	R	O	F	F	I	C	E	U	S	E	O	N	L	Y
---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---

 Date 

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Sponsor Bank Code   Create     Modify     Cancel

Utility Code  I/We hereby authorize **RedHex SIF**

To debit (✓)  SB     CA     CC     SB-NRE     SB-NRO     Others    Bank Account No.

with Bank  Name of customers bank    IFSC/MICR

An amount of Rupees  In Words    ₹  In Figures

Debit Type:  Fixed Amount     Maximum Amount    Frequency:  Monthly     Quarterly     Half Yearly     Yearly     As & when presented

Reference 1  Folio No.    Reference 2  Application Number

Mobile No.     Email ID

1. I agree for the debit of mandate processing charges by the bank whom I am authorizing to debit my account as per latest schedule of charges of the bank. 2. This is to confirm that the declaration has been carefully read, understood & made by me/us. I am authorising the user entity/Corporate to debit my account, based on the instructions as agreed and signed by me. I have understood that I am authorised to cancel / amend this mandate by appropriately communicating the cancellation/amendment request to the user entity/Corporate or the bank where I have authorised debit.

**PERIOD\*** (Mandatory)    Maximum period of validity of this mandate is 40 years only.

From 

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

 X    X    X

To 

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

    Signature of Primary Bank Account Holder    Signature of Bank Account Holder    Signature of Bank Account Holder

Maximum period of validity of this mandate is 40 years only.    Name as in bank records    Name as in bank records    Name as in bank records

**ACKNOWLEDGEMENT SLIP (To be filled in by the Applicant)**

This Acknowledgement Slip is for your reference only. Information provided on the form is considered final.

Received from \_\_\_\_\_ PAN.

Investment Strategy \_\_\_\_\_ Plan \_\_\_\_\_ Option/Sub-option \_\_\_\_\_

New SIP Registration     OTM Debit Mandate to be registered in the folio.

SIP Amount Rs. \_\_\_\_\_ Frequency  Daily     Weekly     Monthly     Quarterly

STP Top Up Amount Rs. \_\_\_\_\_ Frequency  Half Yearly     Yearly

Acknowledgement  
Stamp & Date

### 3 SIP & INVESTMENT DETAILS

#### First SIP Details

Instrument No.	<input type="text"/>	Dated	<input type="text"/>	Cheque Amount	₹ <input type="text"/>
Bank Name	<input type="text"/>	A/C No.	<input type="text"/>		
Branch	<input type="text"/>	City	<input type="text"/>		
A/c. Type	<input type="checkbox"/> Current <input type="checkbox"/> Savings <input type="checkbox"/> NRO <sup>§</sup> <input type="checkbox"/> NRE <sup>§</sup> <input type="checkbox"/> Others				
UMRN for OTM	<input type="text"/>				
Reason for your SIP (✓)	<input type="checkbox"/> Children's Education <input type="checkbox"/> Children's Marriage <input type="checkbox"/> House <input type="checkbox"/> Car <input type="checkbox"/> Retirement <input type="checkbox"/> Others				
Investment Strategy Name	<input type="text"/>	Plan	<input type="text"/>	Option/Sub option	<input type="text"/>
IDCW Frequency	<input type="text"/>	SIP Date	<input type="checkbox"/> 1st <input type="checkbox"/> 2nd <input type="checkbox"/> 3rd <input type="checkbox"/> 4th <input type="checkbox"/> 5th <input type="checkbox"/> 6th <input type="checkbox"/> 7th <input type="checkbox"/> 8th <input type="checkbox"/> 9th <input type="checkbox"/> 10th (Default <sup>Δ</sup> ) <input type="checkbox"/> 11th <input type="checkbox"/> 12th <input type="checkbox"/> 13th <input type="checkbox"/> 14th <input type="checkbox"/> 15th <input type="checkbox"/> 16th <input type="checkbox"/> 17th <input type="checkbox"/> 18th <input type="checkbox"/> 19th <input type="checkbox"/> 20th <input type="checkbox"/> 21st <input type="checkbox"/> 22nd <input type="checkbox"/> 23rd <input type="checkbox"/> 24th <input type="checkbox"/> 25th <input type="checkbox"/> 26th <input type="checkbox"/> 27th <input type="checkbox"/> 28th <input type="checkbox"/> 29th <input type="checkbox"/> 30th <input type="checkbox"/> 31st		
SIP Period	From <input type="text"/>	To	<input type="text"/>	[If end date is not mentioned then the SIP will be considered based on end date provided in NACH Mandate]	
SIP Frequency	<input type="checkbox"/> Daily <sup>§</sup> <input type="checkbox"/> Weekly <sup>Δ</sup> <input type="checkbox"/> Monthly <sup>^</sup> <input type="checkbox"/> Quarterly (10th)			SIP Day	<input type="checkbox"/> Monday <input type="checkbox"/> Tuesday <input type="checkbox"/> Wednesday <sup>Δ</sup> <input type="checkbox"/> Thursday <input type="checkbox"/> Friday
SIP Amount (figures)	₹ <input type="text"/>	(words)	<input type="text"/>		
<input type="checkbox"/> <b>SIP Top Up</b> (Optional) – Available only for investments effected through Auto Debit.					
Top Up Amount	₹ <input type="text"/>	Amount in multiples of ₹ 500 only	Top Up Frequency	<input type="checkbox"/> Half Yearly <input type="checkbox"/> Annual (Default) <sup>^</sup>	
Top Up to continue till SIP amount reaches <sup>^^</sup>	₹ <input type="text"/>		OR Top Up to continue till #	<input type="text"/>	

<sup>§</sup> For NRI Investors. <sup>§</sup> Daily SIP will be processed from Monday to Friday. In case of a non-business day falling between Monday to Friday (both days inclusive) then the daily SIP installment for that day will not be processed on the next business day. <sup>Δ</sup> If the day for Weekly SIP is not selected, Wednesday will be the default day. <sup>^</sup> If no debit date is mentioned default date would be considered as 10th of every month/quarter. Minimum gap of 21 days required between first cheque and subsequent instalment. In case of discrepancy in the SIP Period, the one mentioned in the Debit Mandate will be considered. Please ensure the amount mentioned in the NACH form is a total of per SIP installment requested above. <sup>^^</sup> SIP Top Up will cease once the mentioned amount is reached. <sup>#</sup> It is the date from which SIP Top-Up amount will cease. Effective February 1, 2021, units will be allotted only upon receipt of subscription amount by the AMC/RedHex Specialized Investment Fund for utilisation irrespective of any investment category/investment.

### 4 DECLARATION AND SIGNATURE(S) (to be signed by all Unit Holders if Mode of Holding is 'Joint')

#### OTHER DECLARATIONS (Signature(s) should be as it appearing on the Application Form and in the same order)

I/We have read and understood the respective Investment Strategy Information Document, Statement of Additional Information and Key Information Memorandum. I/We have neither received nor been induced by any rebate or gifts directly or indirectly in making this Systematic Investment. I/We confirm that the ARN holder has disclosed to me/us all the commissions, payable to him for the different investment strategy of various SIF Strategies from amongst which the Investment strategy is being recommended to me/us. I/We hereby declare that the particulars given here are correct and express my/our willingness to make payments referred above through participation in Electronic Debit arrangement/NACH (National Automated Clearing House). If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information, I/We would not hold the user institution or any of their appointed service providers or representatives responsible. I/We will also inform RedHex Specialized Investment Fund about any changes in my/our bank account. I/We have read and agreed to the terms and conditions mentioned overleaf. I/We hereby accord my/our consent to disclose, share, remit in any form, mode or manner, all/any of the information provided by me/us, including all changes, updates to such information as and when provided by me/us to the group companies of HSBC Mutual Fund for any valid business purposes including marketing or sales promotion or with any statutory or judicial authorities, without any prior intimation to me/us, until notified by me/us otherwise.

X	X	X
Sole/First Applicant/Guardian/PoA	Second Applicant/ PoA	Third Applicant/PoA

**Investments in Specialized Investment Fund involves relatively higher risk including potential loss of capital, liquidity risk and market volatility. Please read all investment strategy related documents carefully before making the investment decision.**

#### CALL US AT

Please visit our website <https://www.assetmanagement.hsbc.co.in/en/redhex-sif/contact-us> for an updated list of Official Points of Acceptance of RedHex SIF. Please visit [www.camsonline.com](http://www.camsonline.com) for an updated list of Official Points of Acceptance of our Registrar / Transfer Agent : Computer Age Management Services.

#### TOLL FREE NUMBERS

Description	Investor related queries	Distributor related queries	Investor (Dialing from abroad)
Toll Free Number	1800-4190-200/1800-200-2434	1800-419-9800	+ 91 44 39923900
Email ID	sifinvestor.line@mutualfunds.hsbc.co.in	sifpartner.line@mutualfunds.hsbc.co.in	sifinvestor.line@mutualfunds.hsbc.co.in

## SYSTEMATIC INVESTMENT PLAN (SIP) - GENERAL INSTRUCTIONS

Please read the below instructions carefully before filling the form. Please fill up the form in English in BLOCK LETTERS with black or dark ink. All information sought in the form is mandatory except where it is specifically indicated as optional. All instructions & notes are subject to SEBI and AMFI guidelines as amended from time to time. Please note in case of any error while filling the form all applicants must sign against the corrections.

### 1. ONE TIME DEBIT MANDATE FORM (OTM):

- Investors who have already submitted One Time Debit Mandate Form (OTM) 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, if such investors wish to add a new bank account towards OTM facility, may fill the form with the new bank details.
- Investors, who have not registered for OTM facility, may fill the OTM form and submit duly signed with their name mentioned.
- Alongwith OTM, investors need to provide an original cancelled cheque (or a copy) with name and account number pre-printed of the bank account to be registered failing which registration may not be accepted. Investor's cheque/bank account details are subject to third party validation.
- Investors are deemed to have read and understood the terms and conditions of SIP registration, Investment Strategy Information Document, Statement of Additional Information, Key Information Memorandum, Instructions and addendum issued from time to time of the respective Investment Strategy(s) of RedHex Specialized Investment Fund.
- Date and validity of the mandate should be mentioned in DD/MM/YYYY format.
- Sponsor Bank Code and Utility Code of the Service Provider will be mentioned by RedHex Specialized Investment Fund.
- For the convenience of investors, the frequency of the mandate mentioned "As and when presented".
- From date and To date is mandatory. However, the maximum duration for enrollment is 40 years.

#### Mandatory Information to be provided by investors in One Time Debit Mandate Form (OTM):

• Date of Mandate	• Bank A/c Type
• Bank Account Number	• Bank Name
• IFSC and/or MICR Code	• Maximum Amount (Rupees in figures and words)
• Folio No./Appln No.	• Mandatory From Date
• Mandate To Date	• Signature(s) as per Bank records
• Name(s) as per Bank records	

### 2. Applicant Information:

Please furnish the Folio Number, Name and PAN of Sole/First Applicant Section 1 of the Form. Your investment would be processed in the specified folio.

Investors/Unit holders should provide the Folio & Name of the Sole/Primary Holder. In case the name as provided in this application does not correspond with the name appearing in the existing Folio, the application form may be rejected.

Your personal information and bank account details would apply to this investment as well.

Please provide the Mobile Number and E-Mail Address of the Sole/First Applicant in the form in case of Individuals and Key Contact in case of Non-Individuals. This would help us seamlessly communicate with you on your investments.

KYC is mandatory. Please enclose copies of KYC acknowledgement letters for all applicants. \* 14 digit KYC Identification Number (KIN) and Date of Birth is mandatory for Individual(s) who has registered under Central KYC Records Registry (CKYCR).

Permanent Account Number (PAN): Furnishing of PAN is mandatory for all applicants except where specific dispensation is provided under law.

Upon signing and submitting the Application Form and tendering payment it will be deemed that the investors have accepted, agreed to and shall comply with the terms and conditions detailed in the respective Investment Strategy Documents.

### 3. SIP & Investment Details:

- New Investors who wish to enroll for SIP investment are required to fill (i) OTM Mandate Form (ii) SIP Registration Form and (iii) the respective Investment Strategy Application form (included in the Key Information Memorandum).
- New Investors can apply for SIP into respective Investment Strategy/Plans/Option without any existing investment/folio. Please mention the name of the Investment Strategy where you plan to make your investment and your preferred option. If you do not indicate your preferred option, your application would be processed based on the terms & conditions set out in the Investment Strategy Information Document. If you are not investing through a Distributor, please suffix "Direct Plan" after the Investment Strategy name.
- Where a One Time Mandate is already registered in a folio for a bank account, the Unit Holder(s) is not required to fill the OTM debit mandate again. However, please mention the UMRM, debit bank name & account number.
- Where the OTM mandate is getting submitted for the first time, please fill the OTM debit mandate form for NACH/ECS/Auto debit mandatorily.
- Enclose cancelled cheque leaf of the bank where OTM is getting registered if the initial purchase cheque is not from the same bank account.
- Investors can choose any preferred day/date of the month as SIP debit day/date. In case the chosen day/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.
- Investors can discontinue a SIP at any time by sending a written request to any Official Point of Acceptance or to the registrar CAMS. Please note that effect from December 1, 2024 it would take T+2 Business days for the SIP to discontinue from the date of receipt of the duly filled request. Any installment due during this period might get debited from the bank account if it falls within T+2 Business days. The AMC/RedHex SIF reserves the right to introduce/discontinue SIP/variants of SIP from time to time.

Further in case of 3 consecutive SIP payment instructions provided by the investor are dishonored for insufficiency of funds, the AMC/RedHex SIF reserves the right to discontinue the SIP.

In case of auto cancellation, the below given uniform timeline for treating an SIP as

closed/cancelled shall be adopted by AMC/RedHex Specialized Investment Fund:

S. No.	SIP Interval	No. of failed debit attempts prior to cancellation of SIP
1.	Daily	3
2.	Weekly, Fortnightly	3
3.	Monthly	3
4.	Bi-monthly, Quarterly or Longer interval SIPs	2

### Third Party Payments:

- Third Party Payments for investments are not accepted except in the below cases
  - Payment by employer on behalf of employees under SIP or lump sum subscription through Pay Roll deductions or deductions out of expense reimbursements.
  - Custodian on behalf of an FPI or Client made by Custodian.
  - Payment by an AMC/RedHex Specialized Investment Fund to its empanelled distributor on account of commission/incentive etc. in the form of Mutual Fund units through SIP or lump sum/one time subscription.
  - Payment by a Corporate to its Agent/Dealer/Distributor on account of commission or incentive payable for sale of its goods/services in the form of Mutual Fund units through SIP or lump sum/one time subscription.

In the above cases, necessary declaration/banker's certificate needs to be provided confirming the source of funds for the investment. Please refer the SAI for more details.

### SIP Top-Up Facility:

- Investors can opt for SIP Top Up facility wherein the amount of SIP can be increased at fixed intervals.
  - Top Up facility will be available for valid new registration(s) under SIP or renewal of SIP & for the existing SIPs;
  - Top Up facility will be available only for investments under SIP effected through auto-debit;
  - Amount of Top Up shall be in multiples of ₹500;
  - Top Up can be done on a half yearly/annual basis. Default Option is Annual;
  - Top Up Facility will not be available for investments under SIP where the auto debit period has not been indicated by the investor at the time of investments.
  - Unit holders have the option of indicating the threshold in terms of amount or the date up to which the Top Up will continue. On reaching the threshold, Top Up with respect to the SIP concerned shall cease and SIP installments will continue at the amount which was invested last for such period as may be specified in the SIP application form.
- Your investment cheque should be crossed "Account Payee only" and drawn favoring the Investment Strategy name where the investment is in a specific Investment Strategy
- Please ensure that the investment cheque issued by you complies with CTS 2010 requirement stipulated by the Reserve Bank of India. The words "CTS 2010" should appear on the face of the cheque.
- Payments made by Cash/Money Order/Postal Order, Non-MICR cheque, outstation cheques are not accepted.
- For detailed terms and conditions on SIP, SIP Top-up, OTM facility, please visit our website [www.assetmanagement.hsbc.co.in/en/redhex-sif/investor-resources](http://www.assetmanagement.hsbc.co.in/en/redhex-sif/investor-resources) and also refer to Investment Strategy related documents.
- Note:** Effective February 1, 2021, units will be allotted only upon receipt of subscription amount by the Fund House for utilisation irrespective of any Investment Strategy category/investment amount. Net Asset Value (NAV) will be applied based on realization of funds for all purchases including systematic transactions registered prior or post February 1, 2021.
- Applications incomplete in any respect are liable to be rejected. AMC/RTA/RedHex Specialized Investment Fund shall have absolute discretion to reject any such Application Forms.
- Investors are advised to retain the acknowledgment slip till they receive a confirmation of processing of their SIP Mandate from the HSBC Mutual Fund Investor Service Centre (ISC)/CAMS.

### Minimum application amount and number of installments:

Frequency	Minimum Installment Amount#	Minimum number of Installments	Dates
Daily	Rs. 1,000/-	Minimum 12 installments subject to aggregate of Rs. 12,000/-	Monday to Friday <sup>§</sup>
Weekly	Rs. 1,000/-	Minimum 12 installments subject to aggregate of Rs. 12,000/-	Any Day from Monday to Friday ❖
Monthly	Rs. 1,000/-	Minimum 12 installments subject to aggregate of Rs. 12,000/-	Any Date of the month ❖
Quarterly	Rs. 3,000/-	Minimum 4 installments subject to aggregate of Rs. 12,000/-	

# In multiples of Re. 1/- . SIP is subject to minimum investment of Rs 10,00,000/- across SIF investment strategies of RedHex SIF (Rs. 1,00,000 for accredited investors).

§ Daily SIP will be processed from Monday to Friday. In case of a non-business day falling between Monday to Friday (both days inclusive) then the daily SIP installment for that day will not be processed on the next business day.

❖ In case investor has missed to tick the date for Monthly and Quarterly frequency then the default date will be considered as 10th. Similarly, in case of Weekly SIP frequency the Default day will be considered as Wednesday. In case the chosen 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 available Business Day. If the choice of date selected is more than one date then the SIP installment will be processed only for Business Days when NAV is available. No SIP installment shall be processed for Saturday, Sunday or any other non-business day.

### 4. Declarations & Signatures:

Unit holders need to sign here in accordance to the Mode of Holding provided to us and as per the mode of holding in the bank account in the same sequence and manner in the relevant boxes provided in the form.

## SAMPLE OTM DEBIT MANDATE FOR NACH/ECS/AUTO DEBIT

Please refer the instructions in RED to fill the OTM Debit mandate. This will help to ensure all the mandatory information is correctly filled by you and avoid rejection of mandate registration.

### Instructions to Fill OTM Debit Mandate

UMRN	<b>F O R O F F I C E U S E O N L Y</b>	Date	<b>Date of filling Form</b>
Sponsor Bank Code	<b>Keep Blank</b>	<b>Anyone to be selected</b>	<input type="radio"/> Create <input type="radio"/> Modify <input type="radio"/> Cancel
Utility Code	<b>Keep Blank</b>	I/We hereby authorize	<b>RedHex SIF</b>
To debit ( <input checked="" type="checkbox"/> Anyone)	<input type="checkbox"/> SB <input type="checkbox"/> CA <input type="checkbox"/> CC <input type="checkbox"/> SB-NRE <input type="checkbox"/> SB-NRO <input type="checkbox"/> Others	Bank Account No.	<b>Write from left most column</b>
with Bank	<b>(Name of customers bank)</b>	IFSC/MICR	<b>Anyone details to be mentioned, refer cheque for IFSC/MICR</b>
An amount of Rupees	<b>Amount in words should match with amount in figure</b>	₹	<b>Amount in figure</b>
Debit Type:	<input checked="" type="checkbox"/> Fixed Amount <input checked="" type="checkbox"/> Maximum Amount	Frequency:	<input checked="" type="checkbox"/> Monthly <input checked="" type="checkbox"/> Quarterly <input checked="" type="checkbox"/> Half Yearly <input checked="" type="checkbox"/> Yearly <input checked="" type="checkbox"/> As & when presented
Reference 1	<b>(Folio No.)</b>	Reference 2	<b>(Application Number)</b>
Mobile No.	<b>Mobile No.</b>	Email ID	<b>Email ID</b>

1. I agree for the debit of mandate processing charges by the bank whom I am authorizing to debit my account as per latest schedule of charges of the bank. 2. This is to confirm that the declaration has been carefully read, understood & made by me/us. I am authorising the user entity/Corporate to debit my account, based on the instructions as agreed and signed by me. I have understood that I am authorised to cancel / amend this mandate by appropriately communicating the cancellation/amendment request to the user entity/Corporate or the bank where I have authorised debit.

<b>PERIOD (Mandatory)</b>	Maximum period of validity of this mandate is 40 years only.	
From DD MM YYYY	<b>X</b>	<b>Sign of Account Holder</b>
To <b>End Date</b>	Signature of Primary Bank Account Holder	<b>X</b>
	<b>Name of Account Holder (As in bank records)</b>	<b>Signature of joint holders as per bank records, else keep blank</b>
	<b>Name of Joint Holder as per bank record else keep blank</b>	Signature of Bank Account Holder    Signature of Bank Account Holder

(Please read the Instructions overleaf and attached necessary documents for registration of Bank Accounts. Strike off the Sections not used by you to avoid unauthorised use.)

Folio No. (For Existing Unit Holders)                      Permanent Account No. (PAN)

Name of Sole/First Unit Holder

**A. Addition of Bank Accounts:**

Please register my/our following additional bank accounts for all investments in my/our folios. I/we understand that I/we can choose to receive payment proceeds in any of these accounts, by making a specific request in my/our redemption request. I/We understand that the bank accounts listed below shall be taken up for registration in my/our folio and the same shall be registered only if there is a scope to register additional bank accounts in the folio subject to a maximum of five in the case of individuals and ten in the case of non-individuals.

Bank A/c. Type:  Savings  Current  NRI-NRO  NRI-NRE  Others

For each bank account, Investors should produce original for verification or submit originals of the documents mentioned below.

<b>1</b>	Core Bank Account No. <input type="text"/> Bank Name <input type="text"/> City <input type="text"/> MICR Code^ <input type="text"/>	Account Type (✓): <input type="checkbox"/> Current <input type="checkbox"/> Savings <input type="checkbox"/> NRO# <input type="checkbox"/> NRE# <input type="checkbox"/> FCNR# <input type="checkbox"/> Branch <input type="text"/> PIN Code <input type="text"/> IFSC Code^^ <input type="text"/>
Any one Document with name of investor pre printed <input type="checkbox"/> Cancelled Cheque Leaf <input type="checkbox"/> Passbook <input type="checkbox"/>		
<b>2</b>	Core Bank Account No. <input type="text"/> Bank Name <input type="text"/> City <input type="text"/> MICR Code^ <input type="text"/>	Account Type (✓): <input type="checkbox"/> Current <input type="checkbox"/> Savings <input type="checkbox"/> NRO# <input type="checkbox"/> NRE# <input type="checkbox"/> FCNR# <input type="checkbox"/> Branch <input type="text"/> PIN Code <input type="text"/> IFSC Code^^ <input type="text"/>
Any one Document with name of investor pre printed <input type="checkbox"/> Cancelled Cheque Leaf <input type="checkbox"/> Passbook <input type="checkbox"/>		
<b>3</b>	Core Bank Account No. <input type="text"/> Bank Name <input type="text"/> City <input type="text"/> MICR Code^ <input type="text"/>	Account Type (✓): <input type="checkbox"/> Current <input type="checkbox"/> Savings <input type="checkbox"/> NRO# <input type="checkbox"/> NRE# <input type="checkbox"/> FCNR# <input type="checkbox"/> Branch <input type="text"/> PIN Code <input type="text"/> IFSC Code^^ <input type="text"/>
Any one Document with name of investor pre printed <input type="checkbox"/> Cancelled Cheque Leaf <input type="checkbox"/> Passbook <input type="checkbox"/>		
<b>4</b>	Core Bank Account No. <input type="text"/> Bank Name <input type="text"/> City <input type="text"/> MICR Code^ <input type="text"/>	Account Type (✓): <input type="checkbox"/> Current <input type="checkbox"/> Savings <input type="checkbox"/> NRO# <input type="checkbox"/> NRE# <input type="checkbox"/> FCNR# <input type="checkbox"/> Branch <input type="text"/> PIN Code <input type="text"/> IFSC Code^^ <input type="text"/>
Any one Document with name of investor pre printed <input type="checkbox"/> Cancelled Cheque Leaf <input type="checkbox"/> Passbook <input type="checkbox"/>		
<b>5</b>	Core Bank Account No. <input type="text"/> Bank Name <input type="text"/> City <input type="text"/> MICR Code^ <input type="text"/>	Account Type (✓): <input type="checkbox"/> Current <input type="checkbox"/> Savings <input type="checkbox"/> NRO# <input type="checkbox"/> NRE# <input type="checkbox"/> FCNR# <input type="checkbox"/> Branch <input type="text"/> PIN Code <input type="text"/> IFSC Code^^ <input type="text"/>
Any one Document with name of investor pre printed <input type="checkbox"/> Cancelled Cheque Leaf <input type="checkbox"/> Passbook <input type="checkbox"/>		

^ 9 digit code on your cheque next to the cheque number.

^^ 11 digit code printed on your cheque.

# For NRI Investors.

**B. Default Bank Account:**

From among the bank accounts mentioned above or those already registered with you, please register the following bank account as a Default Bank Account for payment of future redemption and/or dividend proceeds, if any, in the above mentioned folio:

Core Bank Account No.  Bank Name :

**C. Declaration & Signatures (To be signed by all the holder(s) as per the mode of holding)**

I/We have read and understood the Instructions and the Terms and Conditions for Multiple Bank Accounts Registration and agree to abide by the same. I/We acknowledge that my/our request will be processed only if all details are properly filled and valid documents are attached, failing which the request may be rejected/delayed as the case may be in which case I/We will not hold RedHex Specialized Investment Fund, the AMC and the Registrar liable for any loss due to delayed execution or rejection of the request.

<b>X</b>	<b>X</b>	<b>X</b>
Sole/First Unit Holder	Second Unit Holder	Third Unit Holder

Request from  for

Folio No.

Multiple Bank Accounts Registration Form (subject to verification of documents).

ISC Stamp & Signature

## INSTRUCTIONS AND TERMS & CONDITIONS

1. This facility allows a unit holder to register multiple bank account details for all investments held in the specified folio (existing or new). Individuals/ HUF can register upto 5 different bank accounts for a folio by using this form. Non individuals can register upto 10 different bank accounts for a folio. For registering more than 5 accounts, please use extra copies of this form.
2. Supporting Documents as mentioned in Part A will help in verification of the account details and register them accurately. The application will be processed only for such accounts for which valid documents are provided. Accounts not matching with such documents will not be registered.
3. If the bank account number on the cheque leaf is handwritten or investor name is not printed on the face of the cheque, then any one of the following document should be submitted as a supporting:
  - a. Cancelled original cheque leaf with first Unit Holder name and bank account number printed on the face of the cheque OR
  - b. Copy of Bank Passbook having the name, address and account number of the account holder.
  - c. Bank Statement (issued within 3 months for new bank, in case of old bank account the date of statement will not be applicable)

**Important :** The above documents should be either in original or copy to be submitted along with original produced for verification.
4. Bank account registration request will be accepted and processed only if all the details are correctly filled and the necessary documents are submitted. The request is liable to be rejected if any information is missing or incorrectly filled or if there is deficiency in the documents submitted.
5. The first/sole unit holder in the folio should be one of the holders of the bank account being registered. Unitholder(s) cannot provide the bank account(s) of any other person or where the First/Sole Unitholder is not an account holder in the bank account provided.
6. The investors can change the default bank account only by submitting this form. In case multiple bank accounts are opted for registration as default Bank Account, the mutual fund retains the right to register any one of them as the default bank account.
7. A written confirmation of registration of the additional bank account details will be dispatched to you within 10 calendar days of receipt of such request. Unitholder(s) must preserve this written confirmation as the account statement will only reflect the default bank mandate.
8. If any of the registered bank accounts are closed/ altered, please intimate the AMC in writing of such change with an instruction to delete/alter it from our records.
9. The Bank Account chosen as the primary/default bank account will be used for all Redemption payouts /Dividend payouts. At anytime, investor can instruct the AMC to change the default bank account by choosing one of the additional accounts already registered with the AMC.
10. If request for redemption is received prior to/together with a change of bank account or before verification and validation of the new bank account, the redemption request would be processed to the currently registered default (old) bank account.
11. If in a folio, purchase investments are vide SB or NRO bank account, the bank account types for redemption can be SB or NRO only. If the purchase investments are made vide NRE account(s), the bank account types for redemption can be SB/NRO/NRE.
12. The registered bank accounts will also be used to identify the pay-in proceeds. Hence, unit holder(s) are advised to register their bank accounts in advance using this facility and ensure that payments for ongoing purchase transactions are from any of the registered bank accounts only, to avoid fraudulent transactions and potential rejections due to mismatch of pay-in bank details with the accounts registered in the folio.
13. RedHex Specialised Investment Strategy, the AMC and its registrar shall not be held liable for any loss arising to the Unitholder(s) on account of inadequate or incomplete documentation resulting in delay or rejection of the request.

### CALL US AT

Please visit our website <https://www.assetmanagement.hsbc.co.in/en/redhex-sif/contact-us> for an updated list of Official Points of Acceptance of RedHex SIF. Please visit [www.camsonline.com](http://www.camsonline.com) for an updated list of Official Points of Acceptance of our Registrar / Transfer Agent : Computer Age Management Services.

### TOLL FREE NUMBERS

Description	Investor related queries	Distributor related queries	Investor (Dialing from abroad)
Toll Free Number	1800-4190-200/1800-200-2434	1800-419-9800	+91 44 39923900
Email ID	sifinvestor.line@mutualfunds.hsbc.co.in	sifpartner.line@mutualfunds.hsbc.co.in	sifinvestor.line@mutualfunds.hsbc.co.in

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Investments in Specialized Investment Fund involves relatively higher risk including potential loss of capital, liquidity risk and market volatility. Please read all investment strategy related documents carefully before making the investment decision.

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## HSBC Asset Management (India) Private Limited

CIN NO: U74140MH2001PTC134220

9-11 Floors, NESCO IT Park, Building No. 3,  
Western Express Highway, Goregaon (East), Mumbai 400 063, India

RedHex SIF: [www.assetmanagement.hsbc.co.in/redhex-sif](http://www.assetmanagement.hsbc.co.in/redhex-sif)

Description	Investor related queries	Distributor related queries	Investor (Dialing from abroad)
Toll Free Number	1800-4190-200 / 1800-200-2434	1800-419-9800	+91 44 39923900
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To get your updated account statement email us at : "[mfsoa@mutualfunds.hsbc.co.in](mailto:mfsoa@mutualfunds.hsbc.co.in)"

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**We're always here to help you, so feel free to reach out to us**

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