

# Daiwa

## Asset Management

Continuous Offer for Units at Applicable NAV based prices

### Daiwa Industry Leaders Fund

(an open ended equity scheme)

### Daiwa Liquid Fund

(an open ended liquid scheme)

### Daiwa Treasury Advantage Fund

(an open ended income scheme)

### Daiwa Government Securities Fund - Short Term Plan

(an open ended gilt scheme)

Name of Mutual Fund

**Daiwa Mutual Fund**

Name of Asset Management Company

**Daiwa Asset Management (India) Private Limited**

Name of Trustee Company

**Daiwa Trustee Company (India) Private Limited**

Address (common for all entities)

Registered Office: 1102, 11th Floor, Tower 2, Wing 'A', One Indiabulls Centre,  
841, Senapati Bapat Marg, Elphinstone Road (West), Mumbai - 400 013

Website

[www.daiwafunds.in](http://www.daiwafunds.in)

This Key Information Memorandum (KIM) sets forth the information, which a prospective investor ought to know before investing. For further details of the Scheme/Mutual Fund, due diligence certificate by the AMC, Key Personnel, investors' rights & services, risk factors, penalties & pending litigations etc. investors should, before investment, refer to the Scheme 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.daiwafunds.in](http://www.daiwafunds.in).

The Scheme particulars have been prepared in accordance with Securities and Exchange Board of India (Mutual Funds) Regulations, 1996, as amended till date, and have been filed with the 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 August 10, 2011.

**PASSION**  
FOR THE  
**BEST**

大和

#### What does Daiwa mean?

In Japanese language, the character '大' (Dai) expresses 'great' and the character '和' (Wa) expresses 'harmony'. Collectively '大和' (Daiwa) expresses 'GREAT HARMONY'.

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## Daiwa Industry Leaders Fund (An open ended equity scheme)

**Investment objective** The scheme seeks to generate income and long-term capital appreciation by investing in a diversified portfolio of predominantly equity and equity-related securities of companies identified as industry leaders. However, there can be no assurance that the investment objective of the scheme will be realized and the scheme does not assure or guarantee any returns.

Asset allocation pattern of the scheme	Type of Instruments	Normal Allocation (% of net assets)	
		Minimum	Maximum
	Equity and equity related securities of companies identified as industry leaders <sup>5</sup>	65	100
	Debt* and money market securities/instruments	0	35

<sup>5</sup> Industry leader is defined as a company which, in the opinion of the fund manager, has:

- attained a major market share in India and possesses the potential to maintain or increase its market share in one or more products or services within its principal sector\*\*; or
- been among the companies registering the highest growth rates in sales in the sector\*\* over the last three years; or
- been among the most profitable company in the sector\*\* over the last three years.

\*\* as per the industry classification of the Association of Mutual Funds in India.

\* Investments in asset backed securities (securitized debt) will not exceed 10% of the net assets of the scheme. The scheme will not invest in foreign securitised debt.

If the scheme decides to invest in Foreign Securities in accordance with SEBI Regulations, it is the intention of the fund manager that such investments will not normally exceed 20% of the net assets of the scheme.

Investment in derivatives instruments will be up to 35% of the net assets of the scheme for the purpose of hedging and portfolio rebalancing in accordance with the guidelines issued by SEBI.

**Scheme differentiation** An open ended equity scheme that seeks to generate income and long-term capital appreciation by investing in a diversified portfolio of predominantly equity and equity-related securities of companies identified as industry leaders.

**Investment strategy of the scheme** Please refer to "Information Common to the Schemes" on page no. 5 for details.

**Risk profile of the scheme** Please refer to "Information Common to the Schemes" on page no. 5 for details.

**Risk mitigation factors** Please refer to "Information Common to the Schemes" on page no. 5 for details.

**Plans and Options**  
**Plans:** Nil.  
**Options:** Growth and Dividend (with Dividend Payout and Dividend Reinvestment sub-options).

**Applicable NAV (for continuous repurchase/sale)** Please refer to "Information Common to the Schemes" on page no. 6 for details.

Minimum application amount/Number of Units	Purchase	Additional Purchase	Repurchase/Redemption
	Rs. 5,000/- and in multiples of Re. 1/- thereafter.	Rs. 1,000/- and in multiples of Re. 1/- thereafter.	Rs. 1,000/- or equivalent Unit value and in multiples of Re. 1/- thereafter. In case the Unit balance in a folio subsequent to a Redemption request falls below Rs. 1,000/-, all Units under that folio will be redeemed.

**Benchmark index** BSE - 100 Index

**Name of the Fund Manager** Mr. David Pezarkar

Performance of the scheme	(A) As on July 29, 2011			(B) Absolute Returns									
	Compounded Annualised Returns	Scheme Returns (%) [For Growth Option]	Benchmark <sup>#</sup> Returns (%)										
Last 1 year		3.45	-0.84	<table border="1"> <caption>Bar Chart Data: Absolute Returns</caption> <thead> <tr> <th>Year</th> <th>Daiwa Industry Leaders Fund - Growth Option</th> <th>BSE 100 Index</th> </tr> </thead> <tbody> <tr> <td>FY 2009 - 10*</td> <td>5.30%</td> <td>9.90%</td> </tr> <tr> <td>FY 2010 - 11</td> <td>11.84%</td> <td>7.70%</td> </tr> </tbody> </table>	Year	Daiwa Industry Leaders Fund - Growth Option	BSE 100 Index	FY 2009 - 10*	5.30%	9.90%	FY 2010 - 11	11.84%	7.70%
Year	Daiwa Industry Leaders Fund - Growth Option	BSE 100 Index											
FY 2009 - 10*	5.30%	9.90%											
FY 2010 - 11	11.84%	7.70%											
Since Inception		7.20	6.57										

<sup>#</sup> BSE - 100 Index

Note: As per SEBI standards for performance reporting, the "since inception" returns are calculated on Rs.10/- invested at inception. For this purpose, inception date is deemed to be date of allotment i.e. September 9, 2009.

**Past performance may or may not be sustained in future.**

\*Returns are computed since inception to March 31, 2010.

**Expenses of the scheme**

i. **Load structure:**

Load	Particulars	Load (as % of Applicable NAV)
Entry		NA
Exit	If the Units are redeemed / switched-out within 1 year from the date of allotment	1%
	If the Units are redeemed / switched-out after 1 year from the date of allotment	Nil

No Entry Load/Exit Load is chargeable in case of Switch-in and Switch-out made between different options of the scheme.

In terms of SEBI circular no. SEBI/IMD/CIR No.4/168230/09 dated June 30, 2009, no entry load will be charged by the scheme to the investor. Upfront commission shall be paid directly by the investor to the AMFI registered distributor/advisor based on the investor's assessment of various factors including the service rendered by the distributor / advisor.

As per SEBI circular no. SEBI/IMD/CIR No. 14/120784/08 dated March 18, 2008, no exit load will be charged by the AMC on the issue of bonus Units or Units allotted on reinvestment of Dividends.

Investors are requested to check the prevailing load structure of the scheme before investing.

The Trustee reserves the right to change/modify the load structure from a prospective date.

ii. **Recurring Expenses:**

Average daily/weekly net assets	First Rs. 100 crores	Next Rs. 300 crores	Next Rs. 300 crores	Over Rs. 700 crores
Maximum recurring expenses, as a % of average daily/weekly net assets	2.50%	2.25%	2.00%	1.75%

**Actual expenses for the previous financial year ended March 31, 2011: 2.50%**

Please refer to "Information Common to the Schemes" on page nos. 5, 6 & 7 for other features of the scheme.

## Daiwa Liquid Fund (An open ended liquid scheme)

<b>Investment objective</b>	The scheme seeks to generate reasonable returns commensurate with low risk and high liquidity, from a portfolio constituted of money market instruments and short term debt instruments with a residual maturity of up to 91 days. However, there can be no assurance that the investment objective of the scheme will be realized and the scheme does not assure or guarantee any returns.														
<b>Asset allocation pattern of the scheme</b>	<b>Type of Instruments</b>		<b>Normal Allocation (% of net assets)</b>												
			<b>Minimum</b>	<b>Maximum</b>											
	Money market instruments with maturity <sup>a</sup> of upto 91 days		80	100											
	Debt securities <sup>a</sup> with maturity <sup>a</sup> of upto 91 days		0	20											
	<sup>a</sup> Explanation: a. In case of securities where the principal is to be repaid in a single payout, the maturity of the securities shall mean residual maturity. In case the principal is to be repaid in more than one payout, then the maturity of the securities shall be calculated on the basis of weighted average maturity of security. <sup>b</sup> . In case of securities with put and call options (daily or otherwise) the residual maturity of the securities shall not be greater than 91 days. <sup>c</sup> . In case the maturity of a security falls on a non-business day then settlement of securities will take place on the next business day. * Investments in asset backed securities (securitized debt) will not exceed 10% of the net assets of the scheme. The scheme will not invest in foreign securitized debt. If the scheme decides to invest in Foreign Securities in accordance with SEBI Regulations, it is the intention of the fund manager that such investments will not normally exceed 20% of the net assets of the scheme.														
<b>Scheme differentiation</b>	An open ended liquid scheme meant for investors looking at avenues to deploy their surplus funds primarily in money market instruments and debt securities with a very short to short term investment horizon. The scheme seeks to generate reasonable returns commensurate with low risk and high liquidity, from a portfolio constituted of money market instruments and short term debt instruments with a residual maturity of up to 91 days.														
<b>Investment strategy of the scheme</b>	Please refer to "Information Common to the Schemes" on page no. 5 for details.														
<b>Risk profile of the scheme</b>	Please refer to "Information Common to the Schemes" on page no. 5 for details.														
<b>Risk mitigation factors</b>	Please refer to "Information Common to the Schemes" on page no. 5 for details.														
<b>Plans and Options</b>	<b>Plans:</b> Retail Plan and Institutional Plan. <b>Options:</b> Growth and Dividend. The Dividend option offers Dividend Reinvestment sub-option having following frequencies: (i) Daily; and (ii) Weekly - Every Monday.														
<b>Applicable NAV (for continuous purchase/sale)</b>	Please refer to "Information Common to the Schemes" on page no. 6 for details.														
<b>Minimum application amount/Number of Units</b>	<b>Purchase</b>	<b>Additional Purchase</b>	<b>Repurchase/Redemption</b>												
	<b>Retail Plan:</b> Rs. 10,000/- and in multiples of Re.1/- thereafter. <b>Institutional Plan:</b> Rs. 1 crore and in multiples of Re.1/- thereafter.	<b>Retail Plan:</b> Rs. 1,000/- and in multiples of Re.1/- thereafter <b>Institutional Plan:</b> Rs. 1 lac and in multiples of Re. 1/- thereafter	Rs. 1,000/- or equivalent Unit value and in multiples of Re. 1/- thereafter. In case the Unit balance in a folio subsequent to a Redemption request falls below Rs. 1,000/-, all Units under that folio will be redeemed.												
<b>Benchmark index</b>	CRISIL Liquid Fund Index														
<b>Name of the Fund Manager</b>	Mr. Killol Pandya														
<b>Performance of the scheme</b>	<b>(A) As on July 31, 2011</b>			<b>(B) Absolute Returns</b>											
	<b>Compounded Annualised Returns</b>	<b>Scheme Returns (%) [For Growth Option]</b>		<table border="1"> <thead> <tr> <th>Year</th> <th>Daiwa Liquid Fund - Institutional Plan - Growth Option</th> <th>Daiwa Liquid Fund - Retail Plan - Growth Option</th> <th>Crisil Liquid Fund Index</th> </tr> </thead> <tbody> <tr> <td>FY 2009 - 10*</td> <td>3.09%</td> <td>2.97%</td> <td>2.22%</td> </tr> <tr> <td>FY 2010 - 11</td> <td>6.45%</td> <td>6.45%</td> <td>6.20%</td> </tr> </tbody> </table> <p>*Returns are computed since inception to March 31, 2010.</p>	Year	Daiwa Liquid Fund - Institutional Plan - Growth Option	Daiwa Liquid Fund - Retail Plan - Growth Option	Crisil Liquid Fund Index	FY 2009 - 10*	3.09%	2.97%	2.22%	FY 2010 - 11	6.45%	6.45%
Year	Daiwa Liquid Fund - Institutional Plan - Growth Option	Daiwa Liquid Fund - Retail Plan - Growth Option	Crisil Liquid Fund Index												
FY 2009 - 10*	3.09%	2.97%	2.22%												
FY 2010 - 11	6.45%	6.45%	6.20%												
Last 1 year	7.71	7.72	7.37												
Since Inception	6.07	6.01	5.35												
	<sup>#</sup> Crisil Liquid Fund Index Note: As per SEBI standards for performance reporting, the "since inception" returns are calculated on Rs.1,000/- invested at inception. For this purpose, inception date is deemed to be date of allotment i.e. July 9, 2009. Performance of the Dividend Option for the investor would be net of the applicable dividend distribution tax. <b>Past performance may or may not be sustained in future.</b>														
<b>Expenses of the scheme</b>	<b>i. Load structure:</b>														
	<b>Load</b>	<b>Load (as % of Applicable NAV)</b>		<b>Load</b>											
	Entry	NA		Exit											
				Nil											
	In terms of SEBI circular no. SEBI/IMD/CIR No.4/168230/09 dated June 30, 2009, no entry load will be charged by the scheme to the investor. Upfront commission shall be paid directly by the investor to the AMFI registered distributor /advisor based on the investor's assessment of various factors including the service rendered by the distributor / advisor. As per SEBI circular no. SEBI/IMD/CIR No. 14/120784/08 dated March 18, 2008, no exit load will be charged by the AMC on the issue of bonus Units or Units allotted on reinvestment of Dividends. Investors are requested to check the prevailing load structure of the scheme before investing. The Trustee reserves the right to change/modify the load structure from a prospective date.														
	<b>ii. Recurring Expenses:</b>														
	<b>Average daily/weekly net assets</b>	<b>First Rs. 100 crores</b>	<b>Next Rs. 300 crores</b>	<b>Over Rs. 700 crores</b>											
	Maximum recurring expenses, as a % of average daily/weekly net assets	2.25%	2.00%	1.75%											
	<b>Actual expenses for the previous financial year ended March 31, 2011:</b>														
	<ul style="list-style-type: none"> <li>• Institutional Plan: 0.33% ;      • Retail Plan: 0.33%</li> </ul>														

Please refer to "Information Common to the Schemes" on page nos. 5, 6 & 7 for other features of the scheme.

## Daiwa Treasury Advantage Fund (An open ended income scheme)

<b>Investment objective</b>	The scheme seeks to generate regular income through a judicious mix of portfolio comprising, predominantly of money market instruments and short term debt securities with a residual maturity of up to three years. However, there is no assurance that the investment objective of the scheme will be realized and the scheme does not assure or guarantee any returns.											
<b>Asset allocation pattern of the scheme</b>	<b>Type of Instruments</b>		<b>Normal Allocation (% of net assets)</b>									
			<b>Minimum</b>	<b>Maximum</b>								
	Money market instruments with residual maturity of upto 1 year		60	100								
	Debt securities including corporate debt, securitised debt* and government securities with residual maturity of upto 3 years		0	40								
	<p>* Investments in securitised debt will not exceed 20% of the net assets of the scheme. The scheme will not invest in foreign securitised debt.</p> <p>If the scheme decides to invest in Foreign Securities in accordance with SEBI Regulations, it is the intention of the fund manager that such investments will not normally exceed 20% of the net assets of the scheme.</p> <p>Investment in debt derivatives instruments will be up to 50% of the net assets of the scheme for the purpose of hedging and portfolio rebalancing.</p> <p>The scheme may also invest in short term deposits of scheduled commercial banks as permitted by SEBI.</p>											
<b>Scheme differentiation</b>	An open ended income scheme meant for investors looking at avenues to deploy their surplus funds primarily in debt securities and money market instruments with a short term investment horizon. The scheme seeks to generate regular income, through a judicious mix of portfolio comprising, predominantly of money market instruments and short term debt securities with a residual maturity of up to three years.											
<b>Investment strategy of the scheme</b>	Please refer to "Information Common to the Schemes" on page no. 5 for details.											
<b>Risk profile of the scheme</b>	Please refer to "Information Common to the Schemes" on page no. 5 for details.											
<b>Risk mitigation factors</b>	Please refer to "Information Common to the Schemes" on page no. 5 for details.											
<b>Plans and Options</b>	<p><b>Plans:</b> Nil.</p> <p><b>Options:</b> Growth and Dividend.</p> <p>The Dividend option offers the following sub-options:</p> <p>A. Dividend Payout sub-option - Monthly - 25th of every month.</p> <p>B. Dividend Reinvestment sub-option:</p> <p>(i) Daily</p> <p>(ii) Weekly - Every Monday</p> <p>(iii) Monthly - 25th of every month</p>											
<b>Applicable NAV (for continuous repurchase/sale)</b>	Please refer to "Information Common to the Schemes" on page no. 6 for details.											
<b>Minimum application amount/Number of Units</b>	<b>Purchase</b>	<b>Additional Purchase</b>	<b>Repurchase/Redemption</b>									
	Rs. 10,000/- and in multiples of Re. 1/- thereafter.	Rs. 1,000/- and in multiples of Re. 1/- thereafter.	Rs. 1,000/- or equivalent Unit value and in multiples of Re. 1/- thereafter. In case the Unit balance in a folio subsequent to a Redemption request falls below Rs. 1,000/-, all Units under that folio will be redeemed.									
<b>Benchmark index</b>	CRISIL Liquid Fund Index											
<b>Name of the Fund Manager</b>	Mr. Killol Pandya											
<b>Performance of the scheme</b>	<b>(A) As on July 29, 2011</b>			<b>(B) Absolute Returns</b>								
	<b>Compounded Annualised Returns</b>	<b>Scheme Returns (%) [For Growth Option]</b>	<b>Benchmark# Returns (%)</b>	<table border="1"> <thead> <tr> <th>Year</th> <th>Daiwa Treasury Advantage Fund - Growth Option</th> <th>CRISIL Liquid Fund Index</th> </tr> </thead> <tbody> <tr> <td>FY 2009 - 10*</td> <td>2.27%</td> <td>1.54%</td> </tr> <tr> <td>FY 2010 - 11</td> <td>6.47%</td> <td>6.20%</td> </tr> </tbody> </table> <p>*Returns are computed since inception to March 31, 2010.</p>	Year	Daiwa Treasury Advantage Fund - Growth Option	CRISIL Liquid Fund Index	FY 2009 - 10*	2.27%	1.54%	FY 2010 - 11	6.47%
Year	Daiwa Treasury Advantage Fund - Growth Option	CRISIL Liquid Fund Index										
FY 2009 - 10*	2.27%	1.54%										
FY 2010 - 11	6.47%	6.20%										
	Last 1 year	7.61	7.36									
	Since Inception	6.49	5.72									
	<p># CRISIL Liquid Fund Index</p> <p>Note: As per SEBI standards for performance reporting, the "since inception" returns are calculated on Rs.1,000/- invested at inception. For this purpose, inception date is deemed to be date of allotment i.e. October 9, 2009. Performance of the Dividend Option for the investor would be net of the applicable dividend distribution tax. <b>Past performance may or may not be sustained in future.</b></p>											
<b>Expenses of the scheme</b>	<b>i. Load structure:</b>											
	<b>Load</b>	<b>Load (as % of Applicable NAV)</b>	<b>Load</b>	<b>Load (as % of Applicable NAV)</b>								
	Entry	NA	Exit	Nil								
	<p>In terms of SEBI circular no. SEBI/IMD/CIR No.4/168230/09 dated June 30, 2009, no entry load will be charged by the scheme to the investor. Upfront commission shall be paid directly by the investor to the AMFI registered distributor /advisor based on the investor's assessment of various factors including the service rendered by the distributor /advisor.</p> <p>As per SEBI circular no. SEBI/IMD/CIR No. 14/120784/08 dated March 18, 2008, no exit load will be charged by the AMC on the issue of bonus Units or Units allotted on reinvestment of Dividends.</p> <p>Investors are requested to check the prevailing load structure of the scheme before investing.</p> <p>The Trustee reserves the right to change/modify the load structure from a prospective date.</p>											
	<b>ii. Recurring Expenses:</b>											
	<b>Average daily/weekly net assets</b>	<b>First Rs. 100 crores</b>	<b>Next Rs. 300 crores</b>	<b>Over Rs. 700 crores</b>								
	Maximum recurring expenses, as a % of average daily/weekly net assets	2.25%	2.00%	1.75%								
				1.50%								
	<b>Actual expenses for the previous financial year ended March 31, 2011: 0.23%</b>											

Please refer to "Information Common to the Schemes" on page nos. 5, 6 & 7 for other features of the scheme.

## Daiwa Government Securities Fund - Short Term Plan (An open ended gilt scheme)

<b>Investment objective</b>	The Scheme seeks to generate income and capital appreciation by investing predominantly in sovereign securities issued by the Central Government (including Treasury Bills) and/or by State Governments, with maximum average portfolio maturity of less than three years. However, there is no assurance that the investment objective of the Scheme will be realized and the Scheme does not assure or guarantee any returns.			
<b>Asset allocation pattern of the scheme</b>	Under this Scheme, the portfolio will have maximum average portfolio maturity of less than three years.			
	<b>Type of Instruments</b>	<b>Normal Allocation (% of net assets)</b>		
		<b>Minimum</b>	<b>Maximum</b>	
	Dated securities* issued by Central and State Governments	65	100	
	Money Market Instruments	0	35	
	* including oil bonds, food bonds, fertiliser bonds, etc. and other such instruments as specified by RBI from time to time.			
	Investments in the above securities with residual maturity not exceeding 3 years shall not be less than 80% of the net assets of the Scheme and not more than 20% of the net assets of the Scheme shall be invested in securities with residual maturity not exceeding 5 years.			
	The Scheme shall not invest in asset backed securities (securitized debt).			
	Investment in debt derivatives instruments will be up to 50% of the net assets of the Scheme for the purpose of hedging and portfolio rebalancing.			
	Investment in securities under the Scheme which includes debt securities, money market instruments and the gross investment in derivatives will not exceed 100% of the net assets under the Scheme.			
	Notwithstanding the above, the Scheme may also hold cash and / or cash equivalents from time to time for temporary defensive purposes.			
	The Scheme may also invest in short term deposits of scheduled commercial banks as permitted by SEBI.			
<b>Scheme differentiation</b>	The Mutual Fund does not have any existing scheme under the gilt category. The portfolio under the Scheme will have maximum average portfolio maturity of less than three years.			
<b>Investment strategy of the scheme</b>	Please refer to "Information Common to the Schemes" on page no. 5 for details.			
<b>Risk profile of the scheme</b>	Please refer to "Information Common to the Schemes" on page no. 5 for details.			
<b>Risk mitigation factors</b>	Please refer to "Information Common to the Schemes" on page no. 5 for details.			
<b>Plans and Options</b>	<b>Plan :</b> Short Term Plan <b>Options :</b> Growth and Dividend (Quarterly - 25th of every calendar quarter end). The Dividend option offers Dividend Pay-out and Dividend Re-investment sub-options.			
<b>Applicable NAV (for continuous repurchase/sale)</b>	Please refer to "Information Common to the Schemes" on page no. 6 for details.			
<b>Minimum application amount/Number of Units</b>	<b>Purchase</b>	<b>Additional Purchase</b>	<b>Repurchase/Redemption</b>	
	Rs. 10,000/- and in multiples of Re. 1/- thereafter.	Rs. 1,000/- and in multiples of Re. 1/- thereafter.	Rs. 1,000/- or equivalent Unit value and in multiples of Re. 1/- thereafter. In case the Unit balance in a folio subsequent to a Redemption request falls below Rs. 1,000/-, all Units under that folio will be redeemed.	
<b>Benchmark index</b>	I-Sec Si-bex index			
<b>Name of the Fund Manager</b>	Mr. Killol Pandya			
<b>Performance of the scheme</b>	<b>Absolute Returns (As on July 29, 2011)</b>	<b>Scheme Returns (%) [For Growth Option]</b>	<b>Benchmark# Returns (%)</b>	
	Since Inception	2.19	1.29	
	# I-Sec Si-BEX Index			
	Note: As per SEBI standards for performance reporting, the "since inception" returns are calculated on Rs. 1,000/- invested at inception. For this purpose, inception date is deemed to be date of allotment i.e. April 8, 2011. Performance of the Dividend Option for the investor would be net of the applicable dividend distribution tax. <b>Past performance may or may not be sustained in future.</b>			
				<p>FY 2011 - 12</p> <p>*Returns are computed since inception to July 29, 2011</p>
<b>Expenses of the scheme</b>	<b>i. Load structure:</b>			
	<b>Load</b>	<b>Load (as % of Applicable NAV)</b>	<b>Load</b>	<b>Load (as % of Applicable NAV)</b>
	Entry	NA	Exit	Nil
	In terms of the SEBI circular no. SEBI/IMD/CIR No.4/168230/09 dated June 30, 2009, no entry load will be charged by the Scheme to the investor. Upfront commission, if any, shall be paid directly by the investor to the AMFI registered distributor based on the investor's assessment of various factors including the service rendered by the distributor /advisor.			
	As per SEBI circular no. SEBI/IMD/CIR No. 14/120784/08 dated March 18, 2008, no load (entry Load as well as exit load) will be charged by the AMC on the issue of bonus Units or Units allotted on reinvestment of dividends.			
	Investors are requested to check the prevailing load structure of the Scheme before investing.			
	The AMC/Trustee reserves the right to introduce/change the load structure on a prospective basis.			
	<b>ii. Recurring Expenses:</b>			
	<b>Average daily/weekly net assets</b>	<b>First Rs. 100 crores</b>	<b>Next Rs. 300 crores</b>	<b>Next Rs. 300 crores</b>
	Maximum recurring expenses, as a % of average daily/weekly net assets	2.25%	2.00%	1.75%
				<b>Over Rs. 700 crores</b>
				1.50%
	<b>Actual expenses for the previous financial year ended March 31, 2011: N.A.</b>			

Please refer to "Information Common to the Schemes" on page nos. 5, 6 & 7 for other features of the scheme.

## INFORMATION COMMON TO THE SCHEMES

### Investment Strategy

#### Equity scheme:

#### Daiwa Industry Leaders Fund

Under normal market conditions, the scheme would invest predominantly in a diversified portfolio constituting equity and equity related instruments of companies that the fund manager believes are industry leaders and which have sustainable business models, and potential for income and capital appreciation. The scheme may also invest in debt and money market instruments in a manner consistent with the investment objective.

A portfolio comprised of prudently selected industry leaders has the potential to offer steady relative returns across various market conditions. The stock market performance of industry leaders tends to be better than their compatriots in most business environments, when risk or variability is factored in. These stocks tend to be more liquid than their peers and are more suitable to a more conservative approach to investing. An industry leader status tends to have significant business advantages such as better negotiating capability from suppliers, better terms of trade from customers, greater attraction of managerial talent, superior financing options, higher product pricing capabilities and better customer loyalty. The scheme would follow an actively managed approach allowing it the flexibility to pursue opportunities across the entire market capitalization spectrum, from smaller companies to well established large-cap companies, without having any bias in favour of sectoral allocations or market capitalization. The investment environment, valuation parameters and other investment criteria will determine the allocation and the investment style. The fund manager would follow a combination of top-down and bottom-up approach for portfolio construction in line with the process outlined below.

Under the top down process the fund manager would look at the global and Indian economy and the domestic policy environment and stock valuations. This would result in identification of themes which have a potential to outperform. The final stock selection process would be a bottom-up process wherein stocks from the short listed themes would be picked up based on valuations. For asset allocation, the fund manager would take the help of qualitative framework of MVPS (Macro, Valuation, Policy and Sentiment). Sentiment would be gauged from factors like the positive/negative breadth of the market, inflows/outflows into equity mutual funds and FII buying/selling figures.

Under normal market conditions and depending on the fund manager's views, the assets of the scheme would be invested across securities that represent a broad range of sectors of the economy in order to ensure adequate portfolio diversification.

#### Liquid/income schemes:

#### Daiwa Liquid Fund and Daiwa Treasury Advantage Fund

The schemes are meant for investors looking at avenues to deploy their surplus funds primarily in money market instruments and debt securities with a very short to short term investment horizon. The schemes will be managed according to their respective investment objectives, and will endeavour to generate regular returns with low risk and high liquidity. The schemes will invest in money market and investment grade debt securities such as Certificates of Deposits, Commercial Papers, Corporate Debentures, Structured Obligations, Treasury Bills, etc. and shall maintain reasonable to high levels of liquidity depending on the nature of the scheme. The residual maturity of the instruments constituting the portfolio shall not exceed 91 days in case of Daiwa Liquid Fund and three years in case of Daiwa Treasury Advantage Fund.

The credit quality of the portfolio will be maintained and monitored using in-house research capabilities as well as inputs from external sources such as independent credit rating agencies. The investment team will primarily use a bottom up approach to assess the quality of the security/instrument (including the financial health of the issuer) as well as the liquidity of the security.

Investments in debt instruments carry various risks such as interest rate risk, liquidity risk, market risk, reinvestment risk, etc. While such risks cannot be eliminated, they may be minimized through appropriate credit monitoring, portfolio diversification and effective use of hedging techniques.

#### Gilt scheme:

#### Daiwa Government Securities Fund - Short Term Plan

The scheme is meant for investors looking at avenues to deploy their surplus funds primarily in dated securities issued by the Central/State Governments with a short term horizon. The scheme will be managed according to its investment objective and will endeavour to generate regular income with low risk. The rationale for investment in such securities is to minimize the credit risk of counterparty default

risk as sovereign securities issued by the Central/State Governments are generally considered to be of the better credit quality and safety for timely servicing of debt obligations. The maximum average maturity of the portfolio of the scheme is less than three years.

### Risk Profile

Investment in mutual fund units involves investment risks such as trading volumes, settlement risk, liquidity risk, default risk including the possible loss of principal. Please read the relevant Scheme Information Document (SID) carefully for details on risk factors before investment. Scheme specific Risk Factors are summarized below:

#### Daiwa Industry Leaders Fund:

The scheme carries risks associated with investing in equity and equity related securities, derivatives, debt securities, securitized debt, Foreign Securities, money market instruments and short selling and securities lending.

#### Daiwa Liquid Fund:

The scheme carries risks associated with investing in debt securities, money market instruments, securitized debt, Foreign Securities and short selling and securities lending.

#### Daiwa Treasury Advantage Fund:

The scheme carries risks associated with investing in debt securities, money market instruments, securitized debt, derivatives, Foreign Securities and short selling and securities lending.

#### Daiwa Government Securities Fund - Short Term Plan

The Scheme carries risks associated with investing in government securities, money market instruments, derivatives and short selling and securities lending. Trading volume may restrict liquidity in such investments. Investments in government securities and money market instruments are subject to interest rate risk, credit risk, price risk, spread risk, liquidity risk, reinvestment risk, settlement risk, market risk, prepayment risk, etc. to the extent of the Scheme's investments in such securities.

Please refer to the relevant SIDs for further details.

### Risk Mitigation factors

#### Equity scheme:

#### Daiwa Industry Leaders Fund

The investment team follows a top-down approach in respect of selection and investment allocation of sectors, while individual stock selection is based on a bottom-up approach of identifying stocks for investments using in-depth research and an analysis of the company's financials. Portfolio investments are made after a report justifying the investment rationale is prepared by the research team. This report covers aspects such as company background and business analysis, sector fundamentals, company positioning & competitive environment, future outlook, corporate governance issues, management quality, valuations and stock price drivers.

Periodic reviews and updates on the companies invested in the portfolio are conducted, using the same parameters listed above. The portfolios are monitored on a continuous basis to identify any potential risks and devise suitable strategies to mitigate the same.

Internal limits on individual investment decisions and derivative transactions have been set to ensure that fund objectives are adhered to, and portfolio risk is kept at manageable levels. A customised software package has been installed to process all investment transactions, and all internal and SEBI mandated limits are incorporated in the same.

#### Liquid/income schemes:

#### Daiwa Liquid Fund and Daiwa Treasury Advantage Fund

We endeavour to enhance and optimize investor returns, while keeping risk factors at reasonable levels. These are achieved by reducing concentration risk in individual exposures and by having a well diversified portfolio. Investments in debt securities and money market instruments are guided by our views on liquidity and movements in interest rates across time bands. Emphasis is also given to proper stock picking based on in-house research and hedging and rebalancing the portfolio as per the objectives of the relevant scheme.

Liquidity of the portfolio is normally maintained by investing in securities that would result in balancing the maturity profile of the portfolio, and by maintaining appropriate levels of cash from time to time. In addition, a significant portion of the portfolio investments are made in debt instruments that have reasonable secondary market activity.

## INFORMATION COMMON TO THE SCHEMES (contd.)

The credit quality of the portfolio is maintained and monitored using in-house research capabilities as well as inputs from external sources such as independent credit rating agencies. Investments in debt instruments carry various risks such as interest rate risk, liquidity risk, market risk, reinvestment risk, etc. While risks such as interest rate risk, liquidity risk, market risk, reinvestment risk, etc. cannot be eliminated, they may be minimized through appropriate credit monitoring, portfolio diversification and effective use of hedging techniques.

### Gilt scheme:

#### **Daiwa Government Securities Fund - Short Term Plan**

We endeavour to enhance and optimize investor returns, while keeping risk factors at reasonable levels. These are achieved by reducing concentration risk in individual exposures and by having a well diversified portfolio. Investments in government securities and money market instruments are guided by our views on liquidity and movements in interest rates across time bands. Emphasis is also given to proper stock picking based on in-house research and hedging and rebalancing the portfolio as per the objectives of the relevant scheme.

Liquidity of the portfolio is normally maintained by investing in securities that would result in balancing the maturity profile of the portfolio, and by maintaining appropriate levels of cash from time to time. In addition, a significant portion of the portfolio investments are made in government securities that have reasonable secondary market activity.

Investments in government securities carry various risks such as interest rate risk, liquidity risk, market risk, reinvestment risk, etc. While risks such as interest rate risk, liquidity risk, market risk, reinvestment risk, etc. cannot be eliminated, they may be minimized through appropriate portfolio diversification and effective use of hedging techniques.

### Common for all schemes:

The Investment Committee of the AMC meets regularly to provide overall guidance to the investment process. The role of the Investment Committee includes an overall monitoring of the investment activity, evolve suitable investment strategies, monitor risk parameters in each scheme with specific attention to counterparties and debt issuers with respect to credit risk and credit ratings, and ensure that the investment limits are properly observed. The Investment Committee also regularly reviews the scheme portfolios and monitors the scheme performances against comparable benchmark indices and peer schemes.

### Applicable NAV (For continuous repurchase and sale)

#### **Daiwa Industry Leaders Fund, Daiwa Treasury Advantage Fund and Daiwa Government Securities Fund - Short Term Plan:**

##### **Cut-off time for NAV for Purchase/Subscription/Switch-in**

The following Cut-off times shall be observed by the Mutual Fund in respect of valid applications accepted for Purchase of Units and Switch-in transactions, and the following NAVs shall be applied for such Purchase/Switch-in:

- (i) where the application is received up to 3.00 p.m. with a local cheque or demand draft payable at par at the place where it is received - closing NAV of the day of receipt of application; and
- (ii) where the application is received after 3.00 p.m. with a local cheque or demand draft payable at par at the place where it is received - closing NAV of the next Business Day.

##### **For Purchase/Subscription of Rs. 1 crore and above (applicable only in case of Daiwa Treasury Advantage Fund and Daiwa Government Securities Fund - Short Term Plan)**

In respect of valid applications for Purchase of Units of the Scheme with amount equal to or more than Rs. 1 crore, irrespective of the time of receipt of application, the closing NAV of the day (or immediately following Business Day if that day is not a Business Day) on which the funds are available for utilization shall be applicable. It is further clarified that for determining the applicable NAV for allotment of Units in respect of Purchase/Switch-in the Scheme, it shall be ensured that the:

- (i) Application is received before the applicable Cut-off time.
- (ii) Funds for the entire amount of Subscription/Purchase as per the application are credited to the bank account of the Scheme before the Cut-off time.
- (iii) The funds are available for utilization by the Scheme before the Cut-off time.

Payments by cash, postal orders, money orders, non-MICR and outstation cheques/drafts and third party payment instruments will not be accepted.

##### **Cut-off time for NAV for Redemption / Switch-out**

The following Cut-off times shall be observed by the Mutual Fund in respect of valid applications accepted for Redemption of Units and Switch-out transactions and the following NAVs shall be applied for such Redemption/Switch-out:

- (i) where the application is received upto 3.00 p.m. - closing NAV of the day of receipt of application; and
- (ii) where the application is received after 3.00 p.m. - closing NAV of the next Business Day.

##### **Daiwa Liquid Fund:**

##### **Cut-off time for NAV for Purchase/Subscription**

The following Cut-off times shall be observed by the Mutual Fund in respect of valid applications accepted for Purchase of Units transactions, and the following NAVs shall be applied for such Purchase:

- (i) where the application is received up to 2.00 p.m. on a Business Day and funds are available for utilization by the Scheme before the Cut-off time - the closing NAV of the day immediately preceding the day of receipt of application;
- (ii) where the application is received after 2.00 p.m. on a Business Day and funds are available for utilization by the Scheme on the same day - the closing NAV of the day immediately preceding the next Business Day; and
- (iii) irrespective of the time of receipt of the application, where the funds are not available for utilization before the Cut-off time - the closing NAV of the day immediately preceding the day on which the funds are available for utilization by the Scheme.

For allotment of Units in respect of Purchase/Subscription/Switch-in the Scheme, it shall be ensured that the:

- (i) Application is received before the applicable Cut-off time.
- (ii) Funds for the entire amount of Subscription/Purchase as per the application are credited to the bank account of Scheme before the Cut-off time.
- (iii) The funds are available for utilization by the Scheme before the Cut-off time.

Payments by cash, postal orders, money orders, non-MICR and outstation cheques/drafts and third party payment instruments will not be accepted.

##### **Cut-off time for NAV for Redemption / Switch-out**

The following Cut-off times shall be observed by the Mutual Fund in respect of valid applications accepted for Redemption of Units and Switch-out transactions and the following NAVs shall be applied for such Redemption/Switch-out:

- (i) where the application is received upto 3.00 p.m. on a Business Day, the closing NAV of the day immediately preceding the next Business Day will be applicable; and
- (ii) where the application is received after 3.00 p.m. on a Business Day, the closing NAV of the next Business Day will be applicable.

### Dispatch of Repurchase (Redemption) request

The Redemption/Repurchase proceeds shall be dispatched to the Unit Holders within 10 working days from the date of receipt of valid Redemption/Repurchase request at the designated Investor Service Centre of the Mutual Fund.

### Dividend Policy

The Mutual Fund does not guarantee or assure declaration or payment of dividend. The Trustee may decide to distribute dividend subject to the availability of distributable surplus as calculated in accordance with the SEBI Regulations and if such distributable surplus is adequate for distribution in the opinion of the Trustee.

The Trustee's decision with regard to availability and adequacy, rate, timing and frequency of distribution shall be final. The dividend will be due to only those Unit Holders whose names appear in the Register of Unit Holders in the dividend option of the schemes on the record date. The procedure laid down in the SEBI Regulations for declaration of dividend will be adhered to.

In case of Daiwa Industry Leaders Fund, Daiwa Treasury Advantage Fund and Daiwa Government Securities Fund - Short Term Plan, the Unit Holders have the option of receiving the dividend or reinvesting the same. The dividend will be reinvested at the first ex-dividend NAV. In case of Daiwa Liquid Fund, dividend declared will be compulsorily reinvested at the first ex-dividend NAV.

The AMC shall dispatch to the Unit Holders, the dividend warrants within 30 days of the date of declaration of dividend.

## INFORMATION COMMON TO THE SCHEMES (contd.)

### Name of the Trustee Company

Daiwa Trustee Company (India) Private Limited.

### Waiver of Load for Direct Applications

Not Applicable. Pursuant to SEBI circular no. SEBI/IMD/CIR No.4/168230/09 dated June 30, 2009, no entry load shall be charged for all mutual fund schemes. Therefore, the procedure for waiver of load for direct applications is no longer applicable.

### Tax treatment for the Investors (Unitholder)

Investors are advised to refer to the Section on "Taxation on investing in Mutual Funds" in the "Statement of Additional Information" and to consult their own tax advisors with respect to the specific amount of tax and other implications arising out of their participation in the scheme.

### Daily Net Asset Value (NAV) Publication

The NAVs will be declared on every Business Day and the same shall be published at least in two national daily newspapers (alongwith Sale and Repurchase Prices). The NAVs declared, will also be uploaded on the AMFI website ([www.amfiindia.com](http://www.amfiindia.com)) and on Daiwa Mutual Fund's website ([www.daiwafunds.in](http://www.daiwafunds.in)). NAV details may also be obtained by calling the toll-free number 1-800-419-5000 or the investor care number 6000 5555 of the AMC.

### For Investor Grievances please contact

#### Registrar & Transfer Agent

#### Karvy Computershare Private Limited

Unit: Daiwa Mutual Fund,  
46, Road No 4, Street No 1, Banjara Hills,  
Hyderabad - 500 034.

#### Daiwa Mutual Fund

#### Mr. Mohammed Pardawala

Investor Relations Officer

Daiwa Asset Management (India) Private Limited  
1102, 11th Floor, Tower 2, Wing 'A', One Indiabulls Centre,  
841, Senapati Bapat Marg,  
Elphinstone Road (West), Mumbai - 400 013.  
Fax: +91-22-6610 0158  
E-mail: [investorcare@daiwafunds.in](mailto:investorcare@daiwafunds.in)  
Toll-free number: 1-800-419-5000  
Tel. number (Investor care) : 6000 5555

### Unit holders' information

#### Account Statements:

An account statement reflecting the number of Units allotted shall be dispatched to the sole/first Unit Holder by ordinary post/courier/speed post/electronic mail (if so mandated) within the following periods:

- (i) Within 3 Business Days but not later than 30 days from the date of acceptance of valid application.

- (ii) Within 3 Business Days of receipt of specific request for a physical account statement by a Unit Holder.

- (iii) In case of SIP/STP - within 10 Business Days from the end of quarter (March, June, September and December). However, the first account statement under SIP/STP shall be issued within 10 Business Days of the initial investment/transfer and in case of specific request, the account statement (SIP/STP) shall be dispatched within 5 Business Days from the receipt of such request without any charges.

- (iv) Annual Account Statement - Annually along with Portfolio Statement or Annual Report of the schemes.

In case of units held in dematerialised form, the Unit Holder will receive the holding statement directly from the respective Depository Participant at such frequency as may be defined in the Depository Act or regulations or on specific request.

#### Annual Report:

Scheme-wise Annual Report or an abridged summary thereof shall be mailed to all Unit Holders within four months from the date of closure of the relevant accounting year i.e. 31st March each year. Further, the full Annual Report will be available for inspection at the Head Office of the Mutual Fund and a copy will be sent to the Unit Holders, free of cost, on specific request. Daiwa Mutual Fund shall also disclose the Annual Report on its website [www.daiwafunds.in](http://www.daiwafunds.in).

#### Half yearly portfolio disclosure:

Full portfolio details of the schemes, in the prescribed format, shall be disclosed either by publishing it in one national English daily newspaper circulating in the whole of India and in a regional newspaper published in the language of the region where the Head Office of Daiwa Mutual Fund is situated or by mailing it to the Unit Holders within one month from the close of each half year (i.e. 31st March and 30th September). The portfolio details shall also be displayed on the websites of Daiwa Mutual Fund ([www.daiwafunds.in](http://www.daiwafunds.in)) and AMFI ([www.amfiindia.com](http://www.amfiindia.com)).

#### Number of folios and assets under management (As on July 29, 2011)

Scheme Name	Number of Folios	Assets Under Management
Daiwa Industry Leaders Fund	2379	Rs. 10.31 crores
Daiwa Liquid Fund*	120	Rs. 648.44 crores
Daiwa Treasury Advantage Fund	128	Rs. 37.43 crores
Daiwa Government Securities Fund - Short Term Plan	47	Rs. 34.77 crores

\* Data as on July 31, 2011.

Date: August 10, 2011

## INSTRUCTIONS FOR COMPLETING THE COMMON APPLICATION FORM

Please read the Key Information Memorandum, Scheme Information Document (SID) and Statement of Additional Information (SAI) containing the terms of offer carefully before filling up the Common Application Form. Investors are deemed to have read and accepted the terms subject to which these offers are being made, and bind themselves to the terms upon signing the Common Application Form and tendering payment.

### GENERAL INSTRUCTIONS

- Please complete the Common Application Form legibly in BLOCK LETTERS.
- Use Black ink or Dark Blue ink.
- Please complete the Common Application Form in English language only.
- Tick in the appropriate box for relevant options.

Please fill in the fields marked as 'MANDATORY' to prevent rejection of your Common Application Form. Please refer to the checklist provided at the end of the Common Application Form to ensure that the necessary details and attachments are made available. This will help to avoid processing delays and/or rejection of your application.

Please strike out any section that is not applicable. Correction/Cancellation on any of the mandatory information should be countersigned by the investor.

Applications complete in all respects, may be submitted at the designated Investor Service Centres (ISCs)/Official Points of Acceptance of Daiwa Mutual Fund.

**Investors must write the Common Application Form number/Folio number on the reverse of the cheques and bank drafts accompanying the Common Application Form.**

All applications will be accepted subject to verification. Invalid or incomplete applications are liable to be rejected after acceptance and verification. The AMC/Trustee retains the sole and absolute discretion to reject any application.

### A. DISTRIBUTOR / ADVISOR INFORMATION/DIRECT APPLICATIONS

Distributor/Investors are requested to kindly mention the correct AMFI Registration Number (ARN) in the Common Application Form. In case, the investor is directly applying, then they should clearly mention "DIRECT" in the column mentioned Name & Code.

Any edition or cancellation of the advisor Information should be countersigned by the investor else the same is liable to be rejected.

### B. INFORMATION OF EXISTING UNITHOLDER

An existing investor should mention the correct Folio Number and should note that there will be no change to the existing Investor Profile Details mentioned in the Existing Folio.

### C. APPLICANT INFORMATION

**Applications for Individuals:** Please write your name in the sequence of First Name, Middle Name and Last Name. Please do not abbreviate any name. Preferably write your name exactly as it appears in the Bank Account (as provided in the bank account details).

**Applications for Non-Individuals:** Companies, Trusts, Partnership firms, Societies or any other association should write the name exactly as it appears in its incorporation document and in the Bank Account (as provided in the bank account details). Sole-proprietorship concerns should apply in the name of the sole-proprietor.

Please fill in your date of birth as this may be required to establish your identity in your future communication with us.

Non-Resident Indians residing in the United States of America and Canada cannot invest in the schemes of Daiwa Mutual Fund.

Name and date of birth of the minor is mandatory for investment on behalf of minor applicant. In case of Legal Guardian attested copy of the court appointment letter, affidavit etc. should be submitted alongwith Application Form.

Name of the Parent or Guardian must be mentioned if the investments are being made on behalf of a minor.

Applications under a Power of Attorney or by a limited company or a corporate body or an eligible institution or a registered society or a trust fund must be accompanied by the original Power of Attorney (or a certified true copy of the same duly notarised) or the relevant resolution or authority to make the application (or duly notarised copy thereof) as the case may be, along with a certified copy of the Memorandum and Articles of Association and/or byelaws and/or trust deed and/or partnership deed and/or Certificate of Registration. Authorized officials should sign the Application Form under their official designation. A list of specimen signatures of the authorized officials, duly certified/attested should also be attached to the Application Form. In case of a Trust/Fund a resolution from the Trustee(s) authorising such purchase

must be submitted. Applications not complying with the above are liable to be rejected.

In case of applications made in joint names without indicating the mode of holding, mode of holding will be deemed as 'Joint' and processed accordingly.

### D. APPLICANT'S CONTACT INFORMATION

An investor is required to provide his/her full address along with the contact details.

If the investor is an NRI/FII, an overseas address must be provided. A local address if available may also be mentioned in the Common Application Form. The P.O. Box alone is not sufficient.

The address as mentioned in the Common Application Form will be overwritten by the address provided by the investor to CVL for the purpose of KYC. All future change in the address should be informed to CVL quoting KYC acknowledgement number/PAN.

### E. E-MAIL COMMUNICATION

Account Statements / Newsletters / Annual Reports / Other statutory information (as may be permitted under SEBI (Mutual Funds) Regulations, 1996) will be sent to each Unit holder by e-mail only. Should the Unit holder experience any difficulty in accessing the electronically delivered documents, the Unit holder may request the Fund for delivery of the same through alternate means. It is deemed that the Unit holder is aware of all security risks including possible third party interception of the documents and contents of the documents becoming known to third parties. Unit holders who wish to receive these documents by physical mode should tick the option provided on the application form. The physical documents will be sent by post / courier.

### F. BANK ACCOUNT DETAILS

In order to protect the interest of investors from fraudulent encashment of cheques and as per the current SEBI Regulations, it is mandatory for Unit holders to specify their complete bank details in the application for subscription or redemption of units. Applications without complete bank details shall be rejected.

Applicants should provide the name of the bank, branch address, account type and account no. of the Sole/First Applicant. **As per SEBI guidelines, it is mandatory for investors to mention their bank account details in the Common Application Form.**

Please also provide the following details:

- The 9-digit MICR (Magnetic Ink Character Recognition) number appearing to the right of the cheque number on the bottom white strip of a cheque leaf.
- The 11 digit IFSC (Indian Financial System Code) that is being given by some of the banks on the cheques. If not available, you could check with your local bank branch. The above information will help us in the future for secure transfer of your redemption and dividend payouts via the various electronic mode of transfers that are available in the banking system.

Investors are required to attach a physical blank cancelled cheque leaf/copy of cheque leaf along with the Common Application Form if the investment amount is issued through a demand draft/investment cheque is not issued from the bank account as mentioned in the Bank Account Details.

The Mutual Fund offers a facility of direct credit (issued through RTGS/NEFT/ Direct Credit Mode/ECS Mode) of redemption/dividend proceeds.

**ELECTRONIC CLEARING SERVICE (ECS) -** ECS facility is available only in respect of dividend payments and not in the case of Redemption of Units. Based on the bank particulars, investors will receive a direct credit of the amount due to them in their notified account with intimation.

Investors can register multiple bank accounts by completing the Multiple Bank Accounts Registration Form.

### G. SCHEME DETAILS

Investors should indicate the Scheme/Plan/Option/Sub-Option for which the subscription is made by writing down the appropriate details in the space provided for this purpose in the Common Application Form. In case of valid applications received without indicating any choice of Plan/Option/Sub-Option, the default Plan/Option/Sub-Option will be considered.

Daiwa Industry Leaders Fund and Daiwa Government Securities Fund - Short Term Plan	Default Option/Sub-Option
Growth/Dividend Option	Growth
Payout/Reinvestment Sub-Option	Reinvestment

## INSTRUCTIONS FOR COMPLETING THE COMMON APPLICATION FORM (contd.)

Daiwa Liquid Fund	Default Plan/Option/Sub-Option
Retail/Institutional Plan	If the amount invested is less than Rs. 1 crore - Retail. If the amount invested is Rs. 1 crore and above - Institutional.
Growth/Dividend Option	Dividend
Daily/Weekly Sub Option	Daily

Daiwa Treasury Advantage Fund	Default Option/Sub-Option
Growth/Dividend Option	Growth
Payout/Reinvestment Sub-Option	Reinvestment
Daily/Weekly/Monthly (Frequency)	Daily

### H. INVESTMENT & PAYMENT DETAILS

- The cheque or demand draft should be drawn in favour of either "Daiwa Industry Leaders Fund" or "Daiwa Liquid Fund" or "Daiwa Treasury Advantage Fund" or "Daiwa Government Securities Fund - Short Term Plan" and should be crossed 'Account Payee Only'.
- Returned cheques will not be presented again for collection and the accompanying application will be rejected.
- The following modes of payment are not valid, and applications accompanied by such payments are liable to be rejected.
  - Outstation cheques (i.e. if the cheque is payable at a bank's branch which does not participate in the local clearing mechanism of the city where the application is submitted).  
  
If you are from a city not serviced by an investor Service Centre, you may submit a Demand Draft payable at the place where you will submit the form.  
  
Bank charges for outstation demand drafts will be borne by the AMC only in case of investments in equity schemes of Daiwa Mutual Fund and will be limited to the bank charges stipulated in the SAI. Outstation Demand Draft has been defined as a demand draft issued by a bank where there is no ISC available for investors. The AMC will not accept any request for refund of demand draft charges, in such cases.
  - Non MICR cheques;
  - Cash, money orders or postal orders;
  - Post-dated cheques;
  - Multiple cheques with a single application; and
  - Third Party Payments as defined below.

#### Third Party Payments:

When payment is made through instruments issued from an account other than that of the applicant investor, such payment is referred to as "third party payment". It is clarified that in case of payments from a joint bank account, the first holder of the mutual fund folio has to be one of the joint holders of the bank account from which the payment is made.

#### Applications accompanied by Third Party Payments as defined above shall be rejected except in the following exceptional situations:

- Payment by parents/grand parents/related persons on behalf of a minor in consideration of natural love and affection or as gift for a value not exceeding Rs. 50,000/- (for each regular purchase or per SIP instalment). However the restriction of Rs. 50,000/- will not be applicable for payment made by a guardian whose name is registered in the records of the Mutual Fund in that folio;
- Payment by an employer on behalf of its employee(s) under Systematic Investment Plans or lump sum/one-time subscription through payroll deductions. The AMC may seek additional documentation from the investor to ensure authenticity of the arrangement from a fraud prevention and KYC perspective;
- Custodian on behalf of an FII or a client.

In case of the above exceptional situations, the AMC shall carry out adequate verification as required under the PMLA which shall *inter alia* include determining the identity of the investor and the person making the payment i.e. mandatory KYC for the investor and the person making the payment, obtaining necessary declarations from the investor and the person making the payment and verifying the source of funds. The AMC may also request for additional documentation as may be required in this regard from the investor/person making the payment.

When payment is made through pre-funded instruments such as Pay Order, Demand Draft, Banker's cheque, etc., a certificate from the issuing banker must accompany the application stating the account holder's name and the account number which has been debited for the issue of the instrument. If payment is made by RTGS, NEFT, ECS, bank transfer, etc., a copy of the instruction to the bank stating the account number debited must accompany the application. The AMC may, at its discretion, reject any application which is incomplete or not accompanied with valid documents.

- If you are from a city not serviced by an investor Service Centre, you may submit a Demand Draft payable at the place where you will submit the form.
- Applications received from NRIs, FIIs
  - On Repatriation Basis
    - In the case of NRIs, payment may be made either by inward remittance through normal banking channels or out of funds held in their Non-Resident (External) Rupee Account (NRE)/ Foreign Currency (Non-Resident) Account (FCNR). In case Indian rupee drafts are purchased abroad or from Foreign Currency Accounts or Non-resident Rupee Accounts a Foreign Inward Remittance Certificate (FIRC) from the bank issuing the draft confirming the debit shall also be enclosed.
    - FIIs shall pay their subscription 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 FII with a designated branch of an authorized dealer.
  - On Non-repatriation Basis  
In the case of NRIs, payment may be made either by inward remittance through normal banking channels or out of funds held in their NRE/FCNR/Non-Resident Ordinary Rupee Account (NRO). In case Indian rupee drafts are purchased abroad or from Foreign Currency Accounts or Non-resident Rupee Accounts a FIRC from the bank issuing the draft confirming the debit shall also be enclosed.
- If the scheme name on the Common Application Form and on the cheque is different then the units will be allotted as per the scheme name mentioned in the cheque.
- In case of investment through electronic mode (RTGS/Transfer letter), you are requested to contact the nearest AMC/Karvy ISC for the Bank Account Number to which the purchase/additional purchase amount is to be credited.

### I. DEMAT ACCOUNT DETAILS

- Unitholders are provided with an option to hold Units in Demat Form.
- Investors applying as Joint holders, need to provide Demat details of their Joint Demat Account.
- If demat account details provided are not valid, allotment will be done in physical mode by way of Statement of Account.
- In case of valid demat account details provided, the bank account details, joint holding details, mode of holding (joint / anyone or survivor) in case of joint holdings, address details and nominee details as per the demat account shall prevail over the corresponding details provided on the Application Form.

### J. NOMINATION DETAILS

- Nomination is not allowed in a folio held on behalf of a minor. Nomination Form cannot be signed by PoA Holders.
- The nomination(s) can be made only by individuals applying for/ holding units on their own behalf singly or jointly. Non-individuals including society, trust, body corporate, partnership firm, Karta of Hindu Undivided Family, holder of Power of Attorney cannot nominate. Upto 3 nominees can be appointed. The investor can do the same by requesting for the Non-Commercial Transaction Form which can be obtained from the Registrar/AMC or download the same from the AMC website ([www.daiwafunds.in](http://www.daiwafunds.in))
- A minor can be nominated and in that event, name and address of the guardian of the minor nominee shall be provided by the unit holder. Nomination(s) 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

## INSTRUCTIONS FOR COMPLETING THE COMMON APPLICATION FORM (contd.)

Undivided Family or a Power of Attorney holder. A non-resident Indian can be a nominee subject to the exchange control regulations in force, from time to time.

- e) Nomination(s) in respect of the units stands rescinded upon the transfer/redemption of units. Transfer of units in favour of a nominee shall be valid discharge for the AMC/Mutual Fund against the legal heir.
- f) The cancellation/revocation of nomination(s) can be made only by those individuals who hold units on their own behalf singly or jointly and who made the original nomination. On cancellation of the nomination(s), the nomination shall stand rescinded and the AMC/Mutual Fund shall not be under any obligation to transfer the units in favour of the nominee.
- g) In case of more than one nominee, if the percentage of allocation/share for each of the nominees is not indicated, the AMC shall settle the claim equally amongst all the nominees.

### K. DECLARATION AND SIGNATURES

- a) All signatures should be in English or any Indian language. Thumb impressions should be from the left hand for males and the right hand for females and in all cases be attested by a Magistrate, Notary Public or Special Executive Magistrate.
- b) Applications by minors should be signed by their guardians. In the case of a Hindu Undivided Family (HUF), the Karta should sign on behalf of the HUF.
- c) Authorized officials should sign the form under their official designation and company seal. A list of authorized officials, duly certified and attested, should also be attached to the Common Application Form. In the case of a trust fund, a resolution from the trustee(s) authorising such purchase or investment must be submitted.
- d) If you are investing through your constituted attorney, please ensure that the PoA document is signed by you and your Constituted Attorney. The signature in the Common Application Form, then, needs to clearly indicate that the signature is by the Constituted Attorney on your behalf.

### L. PAN DETAILS

SEBI has made it mandatory for all applicants (in the case of application in joint names, each of the applicants) to mention his/her permanent account number (PAN) irrespective of the amount of purchase\*. Where the applicant is a minor, and does not possess his/her own PAN, he/she shall quote the PAN of his/her father or mother or the guardian, as the case may be. In order to verify that the PAN of the applicants (in case of application in joint names, each of the applicants) has been duly and correctly quoted therein, the applicants shall attach along with the purchase\* application, a photocopy of the PAN card duly self-certified along with the original PAN card. The original PAN card will be returned immediately across the counter after verification.

\* includes fresh/additional purchase, Systematic Investment Plan (excluding Micro Systematic Investment Plan).

**Applications not complying with the above requirement may not be accepted/processed.**

Additionally, in the event of any Common Application Form being subsequently rejected for mismatch/non-verification of applicant's PAN details with the details on the website of the Income Tax Department, the investment transaction will be cancelled and the amount may be redeemed at the applicable NAV, subject to payment of exit load, if any.

Please contact any of the Investor Service Centres/Karvy/Advisors or visit our website [www.daiwafunds.in](http://www.daiwafunds.in) for further details.

### M. PREVENTION OF MONEY LAUNDERING AND KNOW YOUR CUSTOMER (KYC) COMPLIANCE

KYC is mandatory for all investors effective January 1, 2011. Please enclose a copy of the KYC Acknowledgement Letter for each applicant to evidence fulfillment of KYC requirements. For minor applicants, the Guardian needs to fulfill KYC requirements and enclose a copy of his/her KYC Acknowledgement Letter. Where the investment is made on behalf of an applicant by a Power of Attorney (POA) Holder, the POA Holder needs to fulfill KYC requirements and submit a copy of his/her KYC Acknowledgement Letter. In case you are not yet KYC-compliant, please approach a Point of Service (PoS) of CDSL Ventures Limited to obtain KYC compliance and submit a copy of your KYC Acknowledgement Letter to us. Applications not complying with the above requirement may not be accepted / processed.

Please read the instructions carefully, before filling up the Common Application Form  
Please fill all fields with black / blue ball point, in block letters and complete mandatory fields.

Application No. **CAFR**

Advisor Information (Refer Instruction A)		For office use only	
Advisor's Name & Code	Sub-Advisor's Name & Code	Sales Officer Code	Date & Time of receipt
ARN- Sushil Finance Consultants Limited 42257			
Contact No. :			

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

**1. EXISTING UNIT HOLDER** (Please fill in your Folio No. below. Please furnish only KYC and PAN details in Section 2 (if not provided earlier) and proceed to Section 5)

Please note that applicant details and mode of holding will be as per existing Folio Number

Folio No. \_\_\_\_\_

**2. APPLICANT'S INFORMATION** (Please fill in block letters, use one box for one alphabet leaving one box blank between two words)

Occupation <sup>5</sup> [Please ✓]						Status [Please ✓]					
<input type="radio"/> Private Sector Service	<input type="radio"/> Public Sector / Government Service	<input type="radio"/> Business	<input type="radio"/> Professional	<input type="radio"/> Agriculturist	<input type="radio"/> Retired	<input type="radio"/> Individual	<input type="radio"/> Minor	<input type="radio"/> Partnership	<input type="radio"/> Company	<input type="radio"/> HUF	<input type="radio"/> Trust
<input type="radio"/> Housewife	<input type="radio"/> Student	<input type="radio"/> Forex Dealer	<input type="radio"/> Defence	<input type="radio"/> Bureaucrat	<input type="radio"/> PEP	<input type="radio"/> Society	<input type="radio"/> AOP / BOI	<input type="radio"/> Bank	<input type="radio"/> Others _____		

**Sole / First Applicant's personal details**

Date of birth\*

Mr. Ms. M/s. \_\_\_\_\_

**Please submit anyone of the following mandatory documents to certify identification of Minor:**

Birth Certificate of the Minor  School Leaving Certificate / Marks Sheet issued by HSC / ICSE / CBSE Board  Passport of Minor  Any other proof evidencing date of birth of the minor.

**Guardian Name** (if sole / first applicant is a Minor)

Mr. Ms. M/s. \_\_\_\_\_

Natural Guardian (Father or Mother)  Legal Guardian\* (court appointed guardian) Guardian's relationship with Minor applicant \_\_\_\_\_

\*if sole/first applicant is a Minor, date of birth is mandatory. \* In case of legal guardian, please submit attested copy of the court appointment letter, affidavit etc.

**Name of Contact Person** (In case of Non-individual investor only) / **POA Holder's Details** (Mandatory, if the investment is being made by a Constituted Attorney)

Mr. Ms. M/s. \_\_\_\_\_

**Name of second applicant**

Mr. Ms. M/s. \_\_\_\_\_

**Name of third applicant**

Mr. Ms. M/s. \_\_\_\_\_

**Address for Correspondence<sup>5</sup>**

\_\_\_\_\_  
\_\_\_\_\_

City \_\_\_\_\_ Pin Code \_\_\_\_\_

State \_\_\_\_\_ Country \_\_\_\_\_

**Contact Details (Mandatory)** Phone (O) \_\_\_\_\_ Extn. \_\_\_\_\_ Fax \_\_\_\_\_  
Phone (R) \_\_\_\_\_ Mobile No. \_\_\_\_\_

<sup>5</sup> Please note that information sought here will be obtained from CVL also and in case of any difference, the CVL inputs will apply.

Receive Account Statement, Annual Reports and other information instantly by e-mail (Refer instruction E)

I/We wish to receive the above documents by physical mode.

I/We wish to receive updates via SMS on my mobile (✓)

E-mail \_\_\_\_\_

**Permanent Account Number (PAN) [Mandatory]\***

Sole / First applicant \_\_\_\_\_ Guardian \_\_\_\_\_ Second applicant \_\_\_\_\_

Please ✓  KYC compliant\* (proof enclosed)

Please ✓  KYC compliant\* (proof enclosed)

Please ✓  KYC compliant\* (proof enclosed)

Third applicant \_\_\_\_\_ PoA Holder \_\_\_\_\_ ^ refer instruction L.

Please ✓  KYC compliant\* (proof enclosed)

Please ✓  KYC compliant\* (proof enclosed)

\* For the KYC norms, refer instruction M.

**Mode of holding** [Please (✓)]  Single  Joint  Anyone or Survivor (In case of more than one applicant, default will be taken as joint)

**3. DOCUMENTS ENCLOSED** (Please ✓) Total number of documents \_\_\_\_\_

Resolution/Authorisation to invest  List of authorized signatories with specimen signature  Memorandum & Articles of Association  Trust Deed  Bye-laws  Partnership Deed  
 Notarised PoA  Proof of Address  KYC Compliance Proof  DoB Certificate  School Leaving Certificate  Passport of Minor  SIP/Micro SIP Form



TEAR HERE



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

Application No. **CAFR**

Received from: Mr. / Ms. / M/s. \_\_\_\_\_

Application for units of: **DAIWA** \_\_\_\_\_ Plan \_\_\_\_\_

Option \_\_\_\_\_ Sub-option \_\_\_\_\_ Div. Frequency \_\_\_\_\_

Cheque / D.D. no. \_\_\_\_\_ dated \_\_\_\_\_ for Rs. \_\_\_\_\_

Drawn on Bank and Branch \_\_\_\_\_

**Please Note :** All purchases are subject to realization of instruments and furnishing of mandatory information / documents

ISC Stamp, Signature & Date

#### 4. BANK ACCOUNT DETAILS (Mandatory as per SEBI Guidelines, refer instruction F)

A/c. No.  Account Type  Savings  Current  Others (please specify)

Bank Name

Branch Address

City  Pin Code

MICR Code  RTGS IFSC Code  (For Rs. 2 lakhs and above) NEFT IFSC Code  (For up to Rs. 2 lakhs)

(9 digit number next to your Cheque No.) Please also provide a cancelled cheque leaf of the same bank account as mentioned above  
Mentioning your RTGS IFSC Code or NEFT IFSC Code, as applicable, will help us transfer the amount to your bank account quicker, electronically.

#### 5. SCHEME DETAILS (Refer instruction G)

Scheme **DAIWA** Plan

Option  Sub-option  Dividend Frequency

#### 6. INVESTMENT AND PAYMENT DETAILS (Refer instruction H)

Investment Amount (Rs.) (A)	<input type="text"/>	Cheque / DD No.	<input type="text"/>
DD Charges (Rs.) (B)	<input type="text"/>	Date	<input type="text"/>
Net Amount (Cheque / DD amount) (Rs.) (A minus B)	<input type="text"/>	Cheque / DD Drawn on Bank	<input type="text"/>
Amount in words	<input type="text"/>	Branch	<input type="text"/>
Mode of Payment	<input type="radio"/> Cheque <input type="radio"/> DD <input type="radio"/> Fund Transfer	A/c. Type <input checked="" type="radio"/> Current <input type="radio"/> Savings <input type="radio"/> Others	<input type="text"/>
A/c. No.	<input type="text"/>		

**MANDATORY DECLARATION:** The details of the bank account provided above pertain to my / our own bank account in my / our name (Please  Yes /  No. If No, Please attach 'Third Party Payment Declaration Form' along with necessary proofs. Application Form without this information is liable to be rejected. Third Party Declaration Form submitted  Yes /  No.

**SYSTEMATIC INVESTMENT PLAN (SIP):** Investors can opt for SIP by filling SIP / Micro SIP Auto Debit / ECS facility - Registration cum Mandate Form.

#### 7. DEMAT ACCOUNT DETAILS OF FIRST / JOINT APPLICANT(S) (Refer instruction I)

Depository Participant (DP) ID  Beneficiary Account Number  Depository Participant (DP) ID & Beneficiary Account Number

NSDL   OR CDSL

#### 8. NOMINATION DETAILS (To be filled by individual(s) applying singly or jointly, refer instruction J)

(MANDATORY)

I/We  and  (strike out whichever is not applicable)

A. do not wish to nominate anyone to receive the units allotted to my/our credit in my Folio in the event of my / our death.

B. do hereby nominate the undermentioned Nominee(s) to receive the units allotted to my/our credit in my Folio in the event of my / our death. I/We also understand that all payments and settlements made to such Nominee(s) acknowledging receipt thereof shall be a valid discharge by the Mutual Fund / Trustee / AMC.

Name of the First nominee\*  Date of birth (if nominee is minor)

Mr. Ms. M/s.

Address of the First nominee (Please provide full address)

Allocation %  Signature of First nominee/Guardian (if nominee is minor)

Pin code

If Nominee is a Minor, Name and Address of the Guardian :

Mr. Ms. M/s.

Name of the Second nominee  Date of birth (if nominee is minor)

Mr. Ms. M/s.

Address of the Second nominee (Please provide full address)

Allocation %  Signature of Second nominee/Guardian (if nominee is minor)

Pin code

Name of the Third nominee  Date of birth (if nominee is minor)

Mr. Ms. M/s.

Address of the Third nominee (Please provide full address)

Allocation %  Signature of Third nominee/Guardian (if nominee is minor)

Pin code

\*Nomination is not allowed in a folio held on behalf of a minor. Nomination Form cannot be signed by PoA Holders.

#### 9. DECLARATION AND SIGNATURES

To, The Trustee, Daiwa Mutual Fund,

I/We have read and understood the contents of the Scheme Information Document and the Statement of Additional Information of Daiwa Mutual Fund, including the sections on 'Who cannot invest', 'Prevention of Money Laundering', 'Know Your Customer' and 'Investor Protection'. I/We hereby apply for allotment/purchase of Units in the Scheme as indicated above and agree to abide by the terms, conditions, rules and regulations of the Scheme. I/We have read and understood the details of the Scheme and have neither received nor been induced by any rebate or gifts, directly or indirectly, in making this investment. I/We hereby declare that I/We am/are authorised to make this investment and that the investment and the amount invested in the Scheme is through legitimate sources and does not involve and is not designed for the purpose of any contravention or evasion of any Act, Rules, Regulations, Notifications or Directions issued by any regulatory authority in India. I/We hereby authorize Daiwa Mutual Fund, Daiwa Asset Management (India) Private Limited (Investment Manager to Daiwa Mutual Fund) and its agents to disclose details of my investment(s) to my bank(s)/Daiwa Mutual Fund's bank(s) and/or Advisor/Broker/Investment Advisor. I/We hereby declare that the details provided by me/us above are true and correct. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information, I/We would not hold Daiwa Mutual Fund, its investment manager, their appointed service providers or representatives responsible. The ARN holder has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him for the different competing schemes of various mutual funds from amongst which the Scheme is being recommended to me / us.

Date	SIGNATURE(S)		
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
XX	Sole / First Applicant / Guardian / PoA	XX	Second Applicant
		XX	Third Applicant

Default options will be applied in cases where the information provided is either ambiguous or has any discrepancy.

**CHECKLIST** (Please submit the following document with your application (where applicable). All documents should be original/true copies certified by a Director/Trustee/Company Secretary/Authorized Signatory/Notary Public)

Document	Minors	Individuals	Companies	Societies	Partnership Firms	Investment through PoA	Trust
Resolution/Authorization to invest			✓	✓	✓		✓
List of authorized signatories with specimen signatures			✓	✓	✓	✓	✓
Memorandum & Articles of Association			✓				
Trust Deed							✓
Bye-laws				✓			
Partnership Deed					✓		
Notarized PoA						✓	
KYC	✓ (Guardian)	✓	✓	✓	✓	✓	✓
Proof of Address (Mandatory for Micro SIP)		✓					
DoB Certificate or School Leaving Certificate or Passport	✓						

Please read the instructions carefully, before filling up the Common Application Form  
Please fill all fields with black / blue ball point, in block letters and complete mandatory fields.

Application No. CAFN

Advisor Information (Refer Instruction A)		For office use only	
Advisor's Name & Code	Sub-Advisor's Name & Code	Sales Officer Code	Date & Time of receipt
ARN- Sushil Finance Consultants Limited 42257			
Contact No. :			

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

#### 1. EXISTING UNIT HOLDER (Please fill in your Folio No. below. Please furnish only KYC and PAN details in Section 2 (if not provided earlier) and proceed to Section 5)

Please note that applicant details and mode of holding will be as per existing Folio Number **Folio No.** \_\_\_\_\_

#### 2. APPLICANT'S INFORMATION (Please fill in block letters, use one box for one alphabet leaving one box blank between two words)

Occupation <sup>§</sup> [Please ✓]						Status [Please ✓]
<input type="radio"/> Private Sector Service	<input type="radio"/> Public Sector / Government Service	<input type="radio"/> Business	<input type="radio"/> Professional	<input type="radio"/> Agriculturist	<input type="radio"/> Retired	<input type="radio"/> Minor
<input type="radio"/> Housewife	<input type="radio"/> Student	<input type="radio"/> Forex Dealer	<input type="radio"/> Defence	<input type="radio"/> Bureaucrat	<input type="radio"/> PEP	<input type="radio"/> FII
<input type="radio"/> Others (Please specify) _____						<input type="radio"/> NRI
						<input type="radio"/> Others _____

#### Sole / First Applicant's personal details

Mr. Ms. M/s. \_\_\_\_\_ Date of birth\* \_\_\_\_\_

#### Please submit anyone of the following mandatory documents to certify identification of Minor:

Birth Certificate of the Minor  School Leaving Certificate / Marks Sheet issued by HSC / ICSE / CBSE Board  Passport of Minor  Any other proof evidencing date of birth of the minor.

#### Guardian Name (If sole / first applicant is a Minor)

Mr. Ms. M/s. \_\_\_\_\_

Natural Guardian (Father or Mother)  Legal Guardian<sup>+</sup> (court appointed guardian) **Guardian's relationship with Minor applicant** \_\_\_\_\_

\*If sole/first applicant is a Minor, date of birth is mandatory. <sup>+</sup> In case of legal guardian, please submit attested copy of the court appointment letter, affidavit etc.

#### Name of Contact Person (In case of Non-individual investor only) / POA Holder's Details (Mandatory, if the investment is being made by a Constituted Attorney)

Mr. Ms. M/s. \_\_\_\_\_

#### Name of second applicant

Mr. Ms. M/s. \_\_\_\_\_

#### Name of third applicant

Mr. Ms. M/s. \_\_\_\_\_

#### Resident Address

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 City \_\_\_\_\_ Pin Code \_\_\_\_\_  
 State \_\_\_\_\_ Country \_\_\_\_\_  
 Nationality<sup>§</sup> \_\_\_\_\_ Country of Residence<sup>§</sup> \_\_\_\_\_

#### Overseas Address (refer instruction D)

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 City \_\_\_\_\_ Pin Code \_\_\_\_\_  
 State \_\_\_\_\_ Country \_\_\_\_\_

#### Contact Details (Mandatory)

Phone (O) \_\_\_\_\_ Extn. \_\_\_\_\_ Fax \_\_\_\_\_  
 Phone (R) \_\_\_\_\_ Mobile No. \_\_\_\_\_

<sup>§</sup> Please note that information sought here will be obtained from CVL also and in case of any difference, the CVL inputs will apply.

Receive Account Statement, Annual Reports and other information instantly by e-mail (Refer instruction E)

I/We wish to receive the above documents by physical mode.

I/We wish to receive updates via SMS on my mobile (✓)

E-mail \_\_\_\_\_

#### Permanent Account Number (PAN) [Mandatory]^

Sole / First applicant \_\_\_\_\_ Guardian \_\_\_\_\_ Second applicant \_\_\_\_\_

Please ✓  KYC compliant<sup>#</sup> (proof enclosed)

Please ✓  KYC compliant<sup>#</sup> (proof enclosed)

Please ✓  KYC compliant<sup>#</sup> (proof enclosed)

#### Third applicant

Please ✓  KYC compliant<sup>#</sup> (proof enclosed)

#### PoA Holder

Please ✓  KYC compliant<sup>#</sup> (proof enclosed)

<sup>^</sup> refer instruction L.

<sup>#</sup> For the KYC norms, refer instruction M.

**Mode of holding** [Please (✓)]  Single  Joint  Anyone or Survivor (In case of more than one applicant, default will be taken as joint)

#### 3. DOCUMENTS ENCLOSED (Please ✓) Total number of documents

- List of authorized signatories with specimen signature  Notarised PoA by Indian Consulate  KYC Compliance Proof  PIO Card  
 Foreign Inward Remittance Certificate  DoB Certificate  School Leaving Certificate  Passport of Minor  SIP/Micro SIP Form

TEAR HERE

#### ACKNOWLEDGEMENT SLIP (To be filled in by the investor)

Received from: Mr. / Ms. / M/s. \_\_\_\_\_

Application for units of: **DAIWA** \_\_\_\_\_ Plan \_\_\_\_\_

Option \_\_\_\_\_ Sub-option \_\_\_\_\_ Div. Frequency \_\_\_\_\_

Cheque / D.D. no. \_\_\_\_\_ dated \_\_\_\_\_ for Rs. \_\_\_\_\_

Drawn on Bank and Branch \_\_\_\_\_

Please Note : All purchases are subject to realization of instruments and furnishing of mandatory information / documents

Application No. CAFN

ISC Stamp, Signature & Date

**4. BANK ACCOUNT DETAILS (Mandatory as per SEBI Guidelines, refer instruction F)**

A/c. No.  Account Type  NRO  NRE  Others (please specify)

Bank Name

Branch Address

City  Pin Code

MICR Code  RTGS IFSC Code  (For Rs. 2 lakhs and above) NEFT IFSC Code  (For up to Rs. 2 lakhs)

(9 digit number next to your Cheque No.) Please also provide a cancelled cheque leaf of the same bank account as mentioned above  
Mentioning your RTGS IFSC Code or NEFT IFSC Code, as applicable, will help us transfer the amount to your bank account quicker, electronically.

**5. SCHEME DETAILS (Refer instruction G)**

Scheme **DAIWA** Plan

Option  Sub-option  Dividend Frequency

**6. INVESTMENT AND PAYMENT DETAILS (Refer instruction H)**

Investment Amount (Rs.) (A)	<input type="text"/>	Cheque / DD No.	<input type="text"/>
DD Charges (Rs.) (B)	<input type="text"/>	Date	<input type="text"/>
Net Amount (Cheque / DD amount) (Rs.) (A minus B)	<input type="text"/>	Cheque / DD Drawn on Bank	<input type="text"/>
Amount in words	<input type="text"/>	Branch	<input type="text"/>
Mode of Payment	<input type="radio"/> Cheque <input type="radio"/> DD <input type="radio"/> Fund Transfer	A/c. Type <input checked="" type="radio"/> NRO <input type="radio"/> NRE <input type="radio"/> Others (please specify)	<input type="text"/>
A/c. No.	<input type="text"/>		

**MANDATORY DECLARATION:** The details of the bank account provided above pertain to my / our own bank account in my / our name (Please  Yes /  No. If No, Please attach 'Third Party Payment Declaration Form' along with necessary proofs. Application Form without this information is liable to be rejected. Third Party Declaration Form submitted  Yes /  No.  
**SYSTEMATIC INVESTMENT PLAN (SIP):** Investors can opt for SIP by filling SIP / Micro SIP Auto Debit / ECS facility - Registration cum Mandate Form.

**7. DEMAT ACCOUNT DETAILS OF FIRST / JOINT APPLICANT(S) (Refer instruction J)**

Depository Participant (DP) ID  Beneficiary Account Number  Depository Participant (DP) ID & Beneficiary Account Number

NSDL   OR CDSL

**8. NOMINATION DETAILS (To be filled by individual(s) applying singly or jointly, refer instruction J) (MANDATORY)**

I/We  and  (strike out whichever is not applicable)

- A. do not wish to nominate anyone to receive the units allotted to my/our credit in my Folio in the event of my / our death.
- B. do hereby nominate the undermentioned Nominee(s) to receive the units allotted to my/our credit in my Folio in the event of my / our death. I/We also understand that all payments and settlements made to such Nominee(s) acknowledging receipt thereof shall be a valid discharge by the Mutual Fund / Trustee / AMC.

Name of the First nominee\*  Date of birth (if nominee is minor)

Mr. Ms. M/s.

Address of the First nominee (Please provide full address)  Allocation %  Signature of First nominee/Guardian (if nominee is minor)

Pin code

If Nominee is a Minor, Name and Address of the Guardian :

Mr. Ms. M/s.

Name of the Second nominee  Date of birth (if nominee is minor)

Mr. Ms. M/s.

Address of the Second nominee (Please provide full address)  Allocation %  Signature of Second nominee/Guardian (if nominee is minor)

Pin code

Name of the Third nominee  Date of birth (if nominee is minor)

Mr. Ms. M/s.

Address of the Third nominee (Please provide full address)  Allocation %  Signature of Third nominee/Guardian (if nominee is minor)

Pin code

\*Nomination is not allowed in a folio held on behalf of a minor. Nomination Form cannot be signed by PoA Holders.

**8. DECLARATION AND SIGNATURES**

To, The Trustee, Daiwa Mutual Fund,  
I/We have read and understood the contents of the Scheme Information Document and the Statement of Additional Information of Daiwa Mutual Fund, including the sections on 'Who cannot invest', 'Prevention of Money Laundering', 'Know Your Customer' and 'Investor Protection'. I/We hereby apply for allotment/purchase of Units in the Scheme as indicated above and agree to abide by the terms, conditions, rules and regulations of the Scheme. I/We have read and understood the details of the Scheme and have neither received nor been induced by any rebate or gifts, directly or indirectly, in making this investment. I/We hereby declare that I/We am/are authorised to make this investment and that the investment and the amount invested in the Scheme is through legitimate sources and does not involve and is not designed for the purpose of any contravention or evasion of any Act, Rules, Regulations, Notifications or Directions issued by any regulatory authority in India. I/We hereby authorize Daiwa Mutual Fund, Daiwa Asset Management (India) Private Limited (Investment Manager to Daiwa Mutual Fund) and its agents to disclose details of my investment(s) to my bank(s)/Daiwa Mutual Fund's bank(s) and/or Advisor / Broker / Investment Advisor. I/We hereby declare that the details provided by me/us above are true and correct. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information, I/We would not hold Daiwa Mutual Fund, its investment manager, their appointed service providers or representatives responsible. The ARN holder has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him for the different competing schemes of various mutual funds from amongst which the Scheme is being recommended to me / us.  
I/We confirm that I am/We are Non-Resident(s) of Indian nationality/origin and that I/We have remitted funds from abroad through approved banking channels or from funds in my/our NRE/FCNR account. I/We undertake that all additional purchases made under this folio will also be from funds received from abroad through approved banking channels or from funds in my/our NRE/FCNR account.

		SIGNATURE(S)		
Date	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	XX Sole / First Applicant / Guardian / PoA XX	Second Applicant	XX Third Applicant

Default options will be applied in cases where the information provided is either ambiguous or has any discrepancy.

**CHECKLIST** (Please submit the following document with your application (where applicable). All documents should be original/true copies certified by a Director/Trustee/Company Secretary/Authorized Signatory/Indian Consulate)

Document	Minors	Investment through PoA	NRI	FII	PIO
Resolution/Authorization to invest				✓	
List of authorized signatories with specimen signatures		✓		✓	
Notarized PoA		✓			
KYC	✓ (Guardian)	✓	✓	✓	✓
PIO Card					✓
Foreign Inward Remittance Certificate	✓	✓	✓	✓	✓
DoB Certificate or School Leaving Certificate or Passport	✓				

New investors subscribing to the scheme through Auto Debit facility are requested to complete this Form compulsorily alongwith Common Application Form. Application should be submitted at least 30 days before the 1st Debit Clearing date.

Application No. SIP

ADVISOR INFORMATION		For office use only	
Advisor's Name & Code	Sub-Advisor's Name & Code	Sales Officer Code	Date & Time of receipt
ARN- Sushil Finance Consultants Limited 42257			
Contact No. :			

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

Please ✓ any one only  New Registration  Change in Bank Account  SIP Registration-by New Investor  Cancellation  
 SIP Registration-by Existing Investor  Micro SIP Registration-by New Investor  Micro SIP Registration-by Existing Investor

APPLICANT'S INFORMATION (MANDATORY)	
Folio Number (for existing investor)	Common Application Form No. (for new investor)
Name of the First Applicant	Enclosed (Please ✓) <input type="radio"/> KYC Compliance Proof (Mandatory)
PAN (Mandatory)	
Name of the Second Applicant	Enclosed (Please ✓) <input type="radio"/> KYC Compliance Proof (Mandatory)
PAN (Mandatory)	
Name of the Third Applicant	Enclosed (Please ✓) <input type="radio"/> KYC Compliance Proof (Mandatory)
PAN (Mandatory)	
Micro SIP (PAN is not Mandatory in case of Micro SIP) (Please refer to the Terms and Conditions overleaf)	
Date of Birth	Type of supporting document
	Identification number details

SIP / MICRO SIP INVESTMENT DETAILS	
Scheme Name	Plan
Amount: Rs. in figures	Option
	Sub-Option
Payment Mechanism (Please ✓) <input type="radio"/> Auto Debit Facility (Please complete the SIP / Micro SIP Auto Debit Facility Form below) <input type="radio"/> Cheque (Please provide the details below)	Minimum installment amount through SIP/Micro SIP is Rs. 500/-
Total No. of Cheques	Period of enrolment (MM / YYYY) (Mandatory)
Drawn on Bank	From
Branch	To
A/c. No.	No. of months / quarters
Frequency (Please ✓) <input type="radio"/> Monthly <input type="radio"/> Quarterly	SIP / Micro SIP Date (Please ✓) <input type="radio"/> 1st <input type="radio"/> 7th <input type="radio"/> 14th <input type="radio"/> 21st <input type="radio"/> All Dates

#### SIP / MICRO SIP AUTO DEBIT (ECS) FACILITY FORM - Registration cum Mandate Form for ECS (Debit Clearing)

First SIP / Micro SIP Instalment via Cheque drawn on bank details provided below

ECS DEBIT BANK ACCOUNT DETAILS (MANDATORY) (Cheque should be drawn on bank, details provided below)	
I / We hereby authorize Daiwa Asset Management (India) Pvt. Ltd., Investment Manager to Daiwa Mutual Fund, acting through their authorized service providers to debit my / our following bank account by ECS (Debit Clearing) for collection of SIP / Micro SIP payments.	
Name of the Account Holder as in Bank Records	Account Type (✓) <input type="radio"/> Savings <input type="radio"/> Current <input type="radio"/> Cash Credit <input type="radio"/> Others
A/c. No.	City
Bank Name	PIN
Branch Address	RTGS IFSC Code^ (Mandatory)
MICR Code* (Mandatory)	NEFT IFSC Code^ (Mandatory)

#### DECLARATION AND SIGNATURE(S)

To, The Trustee of Daiwa Mutual Fund,  
 I/We have read and understood the contents of the Scheme Information Document and the Statement of Additional Information of Daiwa Mutual Fund, including the sections on "Who cannot invest", "Prevention of Money Laundering", "Know Your Customer" and "Investor Protection". I/We hereby apply for allotment/purchase of Units in the Scheme as indicated above and agree to abide by the terms, conditions, rules and regulations of the Scheme. I/We have read and understood the details of the Scheme and have neither received nor been induced by any rebate or gifts, directly or indirectly, in making this investment. I/We hereby declare that I/We am/are authorized to make this investment and that the amount invested in the Scheme is through legitimate sources and does not involve and is not designed for the purpose of any contravention or evasion of any Act, Rules, Regulations, Notifications or Directions issued by any regulatory authority in India. I/We hereby authorize Daiwa Mutual Fund, Daiwa Asset Management (India) Private Limited (Investment Manager to Daiwa Mutual Fund) and its agents to disclose details of my investment to my bank, Daiwa Mutual Fund's bank(s) and / or Distributor / Broker / Investment Advisor. I/We hereby declare that the details provided by me/us above are true and correct. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information, I/We would not hold Daiwa Mutual Fund, its investment manager, their appointed service providers or representatives responsible. The ARN holder has disclosed to me / us all the commissions (in the form of trail commission or any other mode), payable to him for the different competing schemes of various mutual funds from amongst which the Scheme is being recommended to me / us. I/We confirm that I/ We do not have any existing Micro SIP investments which together with the current application will result in aggregate investments exceeding Rs. 50,000/- in a year (Applicable for Micro SIP investments only). I/We have read, understood and agreed to the Terms and Conditions for Auto Debit/ECS facility and will inform Daiwa Mutual Fund about any changes in my/our bank account. Applicable to NRIs : I/We confirm that I am / we are Non-Resident(s) of Indian nationality / origin and that I/We have remitted funds from abroad through approved banking channels or from funds in my / our NRE / FCNR account. I/We undertake that all additional / purchases made under this folio will also be from funds received from abroad through approved banking channels or from funds in my / our NRE / FCNR account. 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. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information, I/We would not hold Daiwa Asset Management (India) Pvt. Ltd., (Investment Manager to Daiwa Mutual Fund), their appointed service provider or representatives responsible. I/We will also inform Daiwa Asset Management (India) Pvt. Ltd., about any changes in my/our bank account. I/We have read and agreed to the terms and conditions mentioned overleaf.

Date	XX	XX	XX
	Sole / First Applicant / PoA	Second Applicant	Third Applicant
For Office use only (Not to be filled in by investor)	Recorded on	Recorded by	Credit Account Number

#### AUTHORISATION OF THE BANK ACCOUNT HOLDER [(to be signed by the Account Holder(s))] (to be retained by the bank)

This is to inform that I/We have registered for the RBI's Electronic Clearing Service (Debit Clearing) and that my/our payment towards my/our investment in Daiwa Mutual Fund shall be made from my/our below mentioned bank account number with your bank. I/We authorize Daiwa Asset Management (India) Pvt. Ltd. (Investment Manager to Daiwa Mutual Fund), acting through their service providers and representatives carrying the ECS mandate Form to get it verified and executed.

Account Number	XX	XX	XX
	Signature as in Bank Record	Signature as in Bank Record	Signature as in Bank Record
	First Applicant	Second Applicant	Third Applicant

#### ACKNOWLEDGEMENT SLIP (To be filled by the investor)

Received from	Application No. SIP
SIP / Micro SIP application for Units of	
Plan	
Option	
Sub-Option	
No. of Cheques	SIP / Micro SIP Auto Debit Facility Total Amount (Rs.)
Date	
	ISC Stamp & Signature

Please Note : All purchases are subject to realization of instruments and furnishing of mandatory information / documents

## TERMS AND CONDITIONS FOR SIP/MICRO SIP WITH AUTO DEBIT/ECS FACILITY

1. **Minimum investment amount through SIP/Micro SIP is Rs. 500/-.**
2. Please check for the availability of SIP/Micro SIP facility in the respective Scheme.
3. This facility is offered to investors having bank accounts in selected cities and banks only.
4. Completed and signed SIP/Micro SIP Auto Debit/ECS Mandate Form and Common Application Form (in case of new investors) along with the first cheque should be submitted to the AMC/Karvy ISCs.
5. It is mandatory for investors to give a cheque for the first instalment. The first cheque should be drawn on the same bank account which is sought to be registered for Auto Debit/ECS. Alternatively, the cheque may be drawn on any bank, for which investor should provide a photocopy of the cheque or cancelled cheque of the bank/branch for which ECS is sought to be registered.
6. It is mandatory to mention the period of enrolment from date and to date.
7. First SIP/Micro SIP cheque and subsequent SIP/Micro SIP installments via Auto Debit/ECS should be of the same amount.
8. There shall be a gap of at least 30 days between the date of the first cheque and first instalment through Auto Debit/ECS. The AMC reserves the right to modify the SIP/Micro SIP period depending on the period for registration to ensure minimum number of installments as mentioned in Scheme Information Document (SID) of the relevant scheme(s).
9. ECS facility is available only in respect of the cities as prescribed by the Reserve Bank of India (RBI).
10. The cities may be modified/updated/changed/removed at any time in future at the discretion of the AMC without assigning any reasons or prior notice. If any city, bank/branch is removed, SIP/Micro SIP instructions for investors in such cities, bank/branch via Auto Debit/ECS route will be discontinued without prior notice.
11. Micro SIPs where aggregate of installments in a rolling 12 month period or in a financial year i.e. April to March do not exceed Rs. 50,000/- (hereinafter referred as "Micro SIP") shall be exempt from the requirement of PAN/KYC subject to submission of any one of the necessary photo identification documents as detailed below. This exemption will be applicable only to investments by resident individuals, minors, sole proprietary firms and joint holders. HUFs and other categories will not be eligible for the exemption.
12. Investors (including joint holders) should submit a photocopy of any one of the following photo identification documents (current and valid and either self-attested by the investor or attested by an AMFI registered advisor mentioning the AMFI Registration number) along with the application form as a proof of identification in lieu of PAN:
  - Voter Identity Card; • Driving License; • Government/Defence identification card; • Passport; • Photo Ration Card; • Photo Debit Card (Credit card not included); • Employee ID cards issued by companies registered with Registrar of Companies; • Photo Identification issued by Bank Managers of Scheduled Commercial Banks/Gazetted Officer/Elected Representatives to the Legislative Assembly/Parliament; • ID card issued to employees of Scheduled Commercial/State/District Co-operative Banks; • Senior Citizen/Freedom Fighter ID card issued by Government; • Cards issued by Universities/deemed Universities or institutes under statues like ICAI, ICWA, ICSI; • Permanent Retirement Account No. (PRAN) card issued to New Pension System (NPS) subscribers by CRA (NSDL); • Any other photo ID card issued by Central Government/Municipal authorities/Government organizations like ESIC/EPFO.
13. In addition to the photo identification documents prescribed above, a copy of the proof of address that is self attested and additionally attested by the ARN holder is required to be submitted.
14. The SIP/Micro SIP Enrollment will be discontinued in cases where two consecutive SIP/Micro SIP installments are not honoured or the bank account is closed and no request for change in bank account has been submitted.
15. SIP/Micro SIP facility is available only on specific dates of the month viz - 1st, 7th, 14th and 21st and all dates.
16. If the SIP/Micro SIP date/frequency is not mentioned or in case of any ambiguity, the SIP/Micro SIP date will be 7th of each month and the default frequency will be monthly.
17. You can choose to discontinue this facility by giving 14 days written notice to any of AMC/Registrar Investor Service Centres.
18. During ongoing purchase your first SIP/Micro SIP can be for any day of the month. Your second and subsequent SIPs/Micro SIPs are available only on the above specified dates of the month with a minimum gap of at least 30 days between first and second SIP/Micro SIP instalment.
19. If you are a new investor investing in a scheme/plan through the SIP/Micro SIP, please fill in all the sections in the Common Application Form except the section titled "Investment and Payment Details". The investment details must be indicated in the SIP/Micro SIP auto debit form.
20. Existing investors are required to submit only the SIP/Micro SIP Auto Debit/ECS form indicating the existing folio number and investment details in the SIP/Micro SIP section.
21. Request for change in bank mandate should be submitted atleast 30 business days before the due date of next SIP/Micro SIP instalment.
22. The bank provided for ECS (Debit) should participate in local MICR Clearing.
23. MICR code starting and/or ending with 000 are not valid for ECS.
24. The investor agrees to abide by the terms and conditions of ECS facility of the Reserve Bank of India (RBI) as applicable at the time of investment and as may be modified from time to time.
25. The investor undertakes to keep sufficient funds in the registered bank account till the date of execution of the debit. The investor hereby declares that the particulars given overleaf are correct and complete. If the date of debit to the investor's account happens to be a non Business Day as per the Mutual Fund, execution of the debit will not happen on the day of the holiday and allotment of Units will happen as per the terms and conditions listed in the relevant Scheme Information Document (SID). The Mutual Fund, its Registrar, Auto Debit Banks and other service providers shall not be liable for, nor be in default by reason of, any failure or delay in completion of its obligation under this arrangement, where such failure or delay is caused, in whole or in part, by any acts of God, civil war, civil commotion, riots, strike, mutiny, revolution, fire, flood, fog, war, change of government policies, unavailability of bank's computer system, force majeure events or any other cause of peril which is beyond their reasonable control and which has the effect of preventing the performance of contract by them.
26. Investors will not hold the AMC, its registrar, banks and other service providers responsible if the transaction is delayed or not effected or the investor's bank account is debited in advance or after the specific SIP/Micro SIP date due to local holidays or any other reason.
27. Daiwa AMC reserves the right to reject any application without assigning any reason thereof.
28. Please refer the Key Information Memorandum (KIM) and SID for applicable NAV, risk factors, load (exit/entry) and other information on the Scheme/plan before investing.
29. Incorrect, incomplete or ambiguous forms will not be accepted and will be returned to the investor within 10 business days via normal post.
30. To avail of SIP/Micro SIP in separate schemes/plans via Auto Debit/ECS facility, an investor will have to fill a separate form for each scheme/plan. A single form cannot be used for different schemes simultaneously.
31. KYC is mandatory for all investors effective January 1, 2011. Please enclose a copy of the KYC Acknowledgement Letter for each applicant to evidence fulfillment of KYC requirements. For minor applicants, the Guardian needs to fulfill KYC requirements and enclose a copy of his/her KYC Acknowledgement Letter. Where the investment is made on behalf of an applicant by a Power of Attorney (POA) Holder, the POA Holder needs to fulfill KYC requirements and submit a copy of his/her KYC Acknowledgement Letter. In case you are not yet KYC-compliant, please approach a Point of Service (PoS) of CDSL Ventures Limited to obtain KYC compliance and submit a copy of your KYC Acknowledgement Letter to us. Applications not complying with the above requirement may not be accepted / processed.

Third Party Payment Declaration Form should be completed in English and in BLOCK LETTERS only.

Application No. TPF

#### FOR OFFICE USE ONLY

#### BENEFICIAL INVESTOR INFORMATION (Refer instruction No. 2)

Folio No. (For existing investor)

Application No.

#### Name of First/Sole Applicant (Beneficial Investor)

Mr. Ms. M/s.

#### THIRD PARTY INFORMATION (Refer instruction No. 3.)

#### Name Of Third Party (Person Making The Payment)

Mr. Ms. M/s.

Nationality

PAN#

KYC\*\* Attached (Please tick    
(Mandatory for any amount)

# Mandatory for any amount. Please attach PAN Proof. Refer instruction No. 6. \*\* Refer instruction No. 7.

#### Name of Contact Person & Designation (In case of Non-Individual Third Party)

Mr. Ms.

Designation

#### Mailing Address (P.O. Box Address may not be sufficient)

City  Pin Code

State

#### Contact Details (Mandatory)

Tel. Off.  Tel. Resi.  Mobile

Fax  Email

#### RELATIONSHIP OF THIRD PARTY WITH THE BENEFICIAL INVESTOR (Refer Instruction No. 3) [Please tick (✓) as applicable]

Status of the Beneficial Investor	<input type="radio"/> Minor	<input type="radio"/> FII <input type="radio"/> Client	<input type="radio"/> Employee
Relationship of Third Party with the Beneficial Investor	<input type="radio"/> Natural Guardian <input type="radio"/> Legal Guardian <input type="radio"/> Related Person _____ (please specify)	Custodian SEBI Registration No. of Custodian _____ Registration Valid Till <input type="text"/>	Employer
Declaration by Third Party	I/We declare that the payment made on behalf of minor is in consideration of natural love and affection or as a gift.	I/We declare that the payment is made on behalf of FII/ Client and the source of this payment is from funds provided to us by FII/Client.	I/We declare that the payment is made on behalf of our employee under Systematic Investment Plan or Lump sum/one-time subscription through Payroll Deductions.

#### THIRD PARTY PAYMENT DETAILS (Refer instruction No. 4)

Mode of Payment [Please tick (✓)]	Mandatory Enclosure(s)*
Cheque <input type="radio"/>	In case the account number and account holder name of the third party is not pre-printed on the cheque then a copy of the bank passbook / statement of bank account or letter from the bank certifying that the third party maintains a bank account.
Pay Order <input type="radio"/> Demand Draft <input type="radio"/> Banker's Cheque <input type="radio"/>	Certificate from the issuing banker stating the Bank Account Holder's Name and Bank Account Number debited for issue of the instrument.
RTGS <input type="radio"/> NEFT <input type="radio"/> Fund Transfer <input type="radio"/>	Copy of the instruction to the bank stating the Bank Account Number which has been debited.

\* Daiwa Mutual Fund reserves the right to seek information and / or obtain such other additional documents/information from the Third Party for establishing the identity of the Third Party.

Amount Rs. (in figures)  (in words)

Scheme Name **DAIWA**

Cheque/DD/PO/UTR No.  Cheque/DD/PO/RTGS Date

Pay-in Bank A/c No.

Name of the Bank

Branch  City

Account Type (Please ✓)  Savings  Current  NRE  NRO  Others \_\_\_\_\_ (please specify)

## DECLARATIONS & SIGNATURE/S (Refer Instruction 5)

### THIRD PARTY DECLARATION

I/We have read and understood the Third Party Payment rules, as given below and hereby agree to be bound by the same. I/We hereby declare that I/We am/are authorized to make this investment and that the investment and the amount invested in the Scheme is through legitimate sources and does not involve and is not designed for the purpose of any contravention or evasion of any Act, Rules, Regulations, Notifications or Directions issued by any regulatory authority in India. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information, I/We would not hold Daiwa Mutual Fund, its investment manager, their appointed service providers or representatives responsible.

**Applicable to NRIs only :** I/We confirm that I am/We are Non-Resident(s) of Indian nationality/origin and I/We have remitted funds from abroad through approved banking channels or from funds in my / our NRE / FCNR account.

Date 

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

Signature of the Third Party

XX

### BENEFICIAL INVESTOR(S) DECLARATION

I/We certify that the information declared herein by the Third Party is true and correct.

I/We acknowledge that Daiwa Mutual Fund reserves the right in its sole discretion to reject/not process the Declaration Form and refund the payment received from the aforesaid Third Party and the declaration made by the Third Party will apply solely to my/our transaction as the beneficial investor(s) detailed in the Declaration Form. Daiwa Mutual Fund will not be liable for any damages or losses or any claims of whatsoever nature arising out of any delay or failure to process this transaction due to occurrences beyond the control of Daiwa Mutual Fund.

**Applicable to Guardian receiving funds on behalf of Minor only:**

I/We confirm that I/We are the legal guardian of the Minor, registered in folio and have no objection to the funds received towards Subscription of Units in this Scheme on behalf of the minor.

Date 

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

 Place : \_\_\_\_\_

SIGNATURES	XX	First / Sole Applicant / Guardian / PoA
	XX	Second Applicant
	XX	Third Applicant

### THIRD PARTY PAYMENT RULES

- In order to enhance compliance with Know Your Customer (KYC)/ Prevention of Money Laundering Act, 2002 (PMLA) requirements as well as to mitigate the risks associated with acceptance of Third Party payments, the Association of Mutual Funds in India (AMFI) has issued best practice guidelines on "Risk mitigation process against Third Party cheques for mutual fund subscriptions".
  - The following words and expressions shall have the meaning specified herein:
    - "Beneficial Investor"** is the first named applicant/investor in whose name the application for subscription of Units is applied for with the Mutual Fund.
    - "Third Party"** means any person making payment towards subscription of Units in the name of the Beneficial Investor.
    - "Third Party payment"** is referred to as a payment made through instruments issued from a bank account other than that of the Beneficial Investor.

It is clarified that in case of payments from a joint bank account, the first holder of the mutual fund folio has to be one of the joint holders of the bank account from which payment is made.

**Illustrations**

Illustration 1: An application submitted in joint names of A, B & C alongwith cheque issued from a bank account in names of B, C & Y. This will be considered as Third Party payment.

Illustration 2: An application submitted in joint names of A, B & C alongwith cheque issued from a bank account in names of C, A & B. This will not be considered as Third Party payment.

Illustration 3: An application submitted in joint names of A, B & C alongwith cheque issued from a bank account in name of A. This will not be considered as Third Party payment.
- Daiwa Mutual Fund/Daiwa Asset Management (India) Private Limited ("Daiwa AMC") will not accept subscriptions with Third Party payments except in the following exceptional cases, which is subject to submission of requisite documentation/declarations:
  - Payment by parents/grand parents/related persons on behalf of a minor in consideration of natural love and affection or as gift for a value not exceeding Rs. 50,000/- (for each regular purchase or per SIP instalment). However the restriction of Rs. 50,000/- will not be applicable for payment made by a guardian whose name is registered in the records of the Mutual Fund in that folio;
  - Payment by an employer on behalf of its employee(s) under Systematic Investment Plans or lump sum/one-time subscription through payroll deductions. The AMC may seek additional documentation from the investor to ensure authenticity of the arrangement from a fraud prevention and KYC perspective;
  - Custodian on behalf of an FII or a client.
- In case of the above exceptional situations, the AMC shall carry out adequate verification as required under the PMLA which shall include the following :
  - Mandatory KYC for the investor (guardian in case of minor) and the person making the payment i.e. Third Party.
  - Submission of a complete and valid 'Third Party Payment Declaration Form' from the investor (guardian in case of minor) and the person making the payment i.e. Third Party.
- Investor(s) are requested to note that any application for subscription of Units of the scheme(s) of Daiwa Mutual Fund accompanied with Third Party Payment other than the above mentioned exceptional cases as described in Rule (2b) above is liable for rejection without any recourse to the Third Party or the applicant investor(s).

The above mentioned Third Party Payment Rules are subject to change from time to time. Please contact any of the Investor Service Centres of Daiwa AMC or visit our website [www.daiwafunds.in](http://www.daiwafunds.in) for any further information or updates on the same.

### INSTRUCTIONS FOR THIRD PARTY PAYMENT DECLARATION FORM

#### 1. GENERAL INSTRUCTIONS

Please read the terms of the Key Information Memorandum ("KIM"), the Scheme Information Document ("SID") and Statement of Additional Information ("SAI") carefully before filling the Third Party Payment Declaration Form (hereinafter referred to as "Declaration Form").

The Declaration Form should be completed in ENGLISH and in BLOCK LETTERS only. **Please tick in the appropriate box for relevant declarations wherever applicable.** Please do not overwrite. For any correction/changes (if any) made in the Declaration Form, the corrections made shall be authenticated by cancelling and rewriting the correct details and counter-signed by the Third Party and the Beneficial Investor(s).

Applications along with the Declaration Form completed in all respects, must be submitted at the designated Investor Service Centres (ISCs)/Official Points of Acceptance of Daiwa Mutual Fund.

Daiwa Mutual Fund/Daiwa AMC retains the sole and absolute discretion to reject any application which is incomplete or not accompanied with valid documents.

#### 2. BENEFICIAL INVESTOR INFORMATION

In case the Beneficial Investor is an existing investor of Daiwa Mutual Fund, the Third Party should mention the correct Folio Number in Section 1. In case the Beneficial Investor is not an existing investor, the Third Party should mention the Application Number as stated in the Application Form. Name of the Beneficial Investor must be written in full.

#### 3. THIRD PARTY INFORMATION

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 on behalf of the Beneficial Investor(s) is:

- by parents/grand parents/related persons on behalf of a minor in consideration of natural love and affection or as gift for a value not exceeding Rs. 50,000/- (for each regular purchase or per SIP instalment). However the restriction of Rs. 50,000/- will not be applicable for payment made by a guardian whose name is registered in the records of the Mutual Fund in that folio;
- by an employer on behalf of its employee(s) under Systematic Investment Plans or lump sum/one-time subscription through payroll deductions. The AMC may seek additional documentation from the investor to ensure authenticity of the arrangement from a fraud prevention and KYC perspective;
- by a custodian on behalf of an FII or a client.

Complete mailing address and contact details of the Third Party should be provided.

#### 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 the Third Party as per the mode of payment selected:

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

If the bank account number on the cheque leaf is handwritten or the name of the Third Party is not printed on the face of the cheque, copy of the bank account statement or passbook giving the name, address and the account number should be enclosed. If photocopy of any document is submitted, the copy should be certified by the bank and the Third Party must produce the original document for verification. The original document will be returned across the counter after due verification.

Alternatively, the Third Party may also submit 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.

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

A certificate (in original) from the issuing banker should be submitted along with the purchase application, stating the account holder's name and the account number which has been debited for issue of the instrument. The said certificate should be duly certified by the bank manager with his/her full signature, name, employee code, bank seal and contact number.

##### (iii) Source of funds - if paid by RTGS, bank account-to-account transfer, NEFT, ECS, etc.

Acknowledged copy of the instruction to the bank stating the account number debited.

##### (iv) Source of funds - if paid by a pre-funded instrument issued by the bank against cash

Daiwa AMC/Daiwa Mutual Fund will not accept any purchase application if accompanied by a pre-funded instrument such as Pay Order, Demand Draft, Banker's cheque, etc. issued by a bank against cash funded by Third Party for investments of Rs. 50,000/- or more. The Third Party should provide a certificate (in original) obtained from the issuing banker giving name, address and PAN of the person who has requested for the payment instrument. The said certificate should be duly certified by the bank manager with his/her full signature, name, employee code, bank seal and contact number.

#### 5. SIGNATURE(S)

All signature(s) should be in English or any Indian language. Declarations on behalf of minors should be signed by their guardian.

#### 6. PERMANENT ACCOUNT NUMBER

It is mandatory for the Third Party to mention the Permanent Account Number (PAN) irrespective of the amount of purchase\*. In order to verify that the PAN of the Third Party has been duly and correctly quoted therein, the Third Party shall attach along with the Declaration Form, a photocopy of the PAN card duly self-certified along with the original PAN card. The original PAN Card will be returned immediately across the counter after verification.

\*includes fresh/additional purchase, Systematic Investment Plan (excluding Micro Systematic Investment Plan).

**Declaration Forms not complying with the above requirement will not be accepted/processed.**

Additionally, in the event of any Declaration Form being subsequently rejected for mis-match/non-verification of the Third Party's PAN details with the details on the website of the Income Tax Department, the investment transaction will be cancelled and the amount may be redeemed at the applicable NAV, subject to payment of exit load, if any.

Please contact any of the Investor Service Centres/Karvy/Distributors or visit our website [www.daiwafunds.in](http://www.daiwafunds.in) for further details.

#### 7. PREVENTION OF MONEY LAUNDERING AND KNOW YOUR CUSTOMER COMPLIANCE

KYC is mandatory for all investors effective January 1, 2011. Please enclose a copy of the KYC Acknowledgement Letter for each applicant to evidence fulfillment of KYC requirements. For minor applicants, the Guardian needs to fulfill KYC requirements and enclose a copy of his/her KYC Acknowledgement Letter. Where the investment is made on behalf of an applicant by a Power of Attorney (POA) Holder, the POA Holder needs to fulfill KYC requirements and submit a copy of his/her KYC Acknowledgement Letter. In case you are not yet KYC-compliant, please approach a Point of Service (PoS) of CDSL Ventures Limited to obtain KYC compliance and submit a copy of your KYC Acknowledgement Letter to us. Applications not complying with the above requirement may not be accepted / processed.



## DOCUMENTS REQUIRED

Any of the following documents are valid supporting documents for registration of a bank account:

1. A cancelled **original** cheque leaf/duly self attested photocopy of the cancelled cheque (where the account number and first Unitholder name is printed on the face of the cheque). Unitholders should without fail cancel the original cheque and write 'Cancelled' on the face of it to prevent any possible misuse.
2. A letter from the bank on its letterhead certifying that the Unitholder maintains/maintained an account with the bank, the bank account information like bank account number, bank branch, account type, the MICR code of the branch & IFSC Code (where available). The letter should be certified by the bank manager with his/her full signature, name, employee code, bank seal and contact number.
3. A copy of the bank passbook or a statement of bank account having the name and address of the account holder and account number. The copy should be certified by the bank manager with his/her full signature, name, employee code, bank seal and contact number.
4. Unitholders may also bring a copy of the documents mentioned above along with the original documents to the ISCs/Official Points of Acceptance of Daiwa Mutual Fund. The original documents will be returned across the counter to the Unitholder after due verification.

REQUEST TYPE	SUPPORTING DOCUMENTS TO BE SUBMITTED FOR
Request for registration of multiple bank accounts	(1) Any one of the existing bank accounts in the folio (2) All the bank accounts mentioned in the application form for registration of multiple bank accounts
Request for addition of bank account(s) in a folio in which multiple bank accounts are already registered	(1) Any one of the existing bank accounts in the folio (2) All the bank accounts mentioned in the application form for registration of multiple bank accounts

5. In case the existing bank account is already closed, the Unit holder should submit a duly stamped original letter from the bank on the bank's letterhead, confirming closure of the account.

The documents to be submitted should be complete in all respects to the satisfaction of the AMC, failing which the request for the change of bank mandate will not be processed. Redemptions/Dividend payments, if any, will be processed as per specified service standards and the last registered bank account information will be used for such payments to the Unitholder.

## INSTRUCTIONS AND TERMS AND CONDITIONS

1. Daiwa Mutual Fund offers a facility to investors for registering up to 5 bank accounts in a folio for receiving redemption proceeds (hereinafter referred to as "the facility"). Investors have to specify any one bank as "Default" The bank account details mentioned in 'DEFAULT BANK ACCOUNT' section in this form will be considered as "Default".
2. 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.
3. Proceeds of dividends, if any, will be processed into the "Default" bank account only.
4. Proceeds of redemptions, if any, will be processed into the "Default" bank account in any of the following scenarios:
  - a. The Unitholder(s) does not specify details of any bank account in the redemption request for receiving redemption proceeds.
  - b. The Unitholder(s) specifies the bank account details of the "Default" bank account in the redemption request.
  - c. Maturity of investments in Fixed Maturity Plan (i.e. FMPs).
  - d. The Unitholder(s) specifies the details of a bank account in the redemption request which is not registered in the folio.
5. The facility is not available to investors investing through distributors/advisors who have registered with Daiwa Mutual Fund for sending transaction details of their investors as electronic feeds i.e. channel partners.
6. When Unitholder(s) opt for registering multiple bank accounts for the first time in their folio, the details of the bank account currently registered for receipt of redemption/dividend proceeds will be substituted.
7. If multiple bank accounts are already registered for a folio and the Unitholder(s) provides a new application form for registering multiple bank accounts details, the bank accounts currently registered for receipt of redemption/dividend proceeds will be substituted.
8. The facility will be activated in the folio within 10 working days from the receipt of a duly completed application form.
9. In case of folios that have availed for the facility, any addition/change/deletion in the registered bank accounts will be completed within 10 working days from the receipt of the application form for the same. The requests for addition/change/deletion in the registered bank account(s) will only be received by way of application forms available for this purpose. Requests received on a plain paper are liable to be rejected.
10. A letter confirming the registration/addition/change/deletion of multiple bank accounts will be dispatched within 2 weeks of the receipt of the application form. Unitholder(s) should preserve this letter for their future reference. In case of inability to process the request for registration/addition/change/deletion of multiple bank accounts, an intimation will be sent to Unitholder(s).
11. In case 2, 3 or 4 bank accounts have been registered for a folio, Unitholder(s) can provide a new bank account for redemption along with the redemption request. Valid supporting documents for any one of the bank accounts already registered for the folio as well as the new bank account sought to be added for the folio should be submitted with the redemption request. In case the supporting documents provided by Unitholder(s) are incomplete/incorrect, the redemption proceeds will be credited into the bank account registered as "Default" in the folio. The new bank account will be added to the registered bank accounts in the folio. In case 5 bank accounts are already registered for a folio, Unitholder(s) cannot provide a new bank account for redemption along with the redemption request.
12. Unitholder(s) can substitute one or more bank accounts registered in the folio by submitting a separate form available for the purpose.
13. Unitholder(s) may submit a written request for deletion of one or more bank accounts registered in the folio. No supporting documents should be submitted along with the request.
14. If a request by the Unitholder(s) for deletion of bank account(s) reduces the total number of bank accounts in the folio to one, the request will be considered for opting out of the facility.
15. If a request by the Unitholder(s) for deletion of bank account(s) reduces the total number of bank accounts in the folio to Zero, the request will be rejected.
16. The bank account specified as "Default" account cannot be deleted. It can only be substituted with another bank account.
17. Please enclose a cancelled cheque leaf/duly self attested photocopy of the cancelled cheque for each of the bank accounts sought to be registered. This will help in verification of the account details and register them accurately. If the bank account number on the cheque leaf is handwritten or investor name is not printed on the face of the cheque, copy of the bank account statement or passbook giving the name, address and the account number should be enclosed. If photocopy of any document is submitted, the copy should be certified by the bank and the investor must produce the original document for verification.
18. Bank account registration/deletion 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.
19. The first/sole unit holder in the folio should be one of the holders of the bank account being registered.
20. If any of the registered bank accounts are closed/alterd, the investor should immediately intimate the AMC in writing with an instruction to delete/alter the said bank account.
21. If in an NRI 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 accounts types for redemption can be SB/NRO/NRE.
22. 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.
23. Daiwa Mutual Fund or Daiwa Asset Management (India) Private Limited will not be held liable for any loss arising to the Unitholder(s) due to credit of the redemption proceeds into any of the bank accounts registered in the aforesaid folio.
24. The account statement will reflect only the "Default" bank account details.

## OFFICIAL POINTS OF ACCEPTANCE

### DAIWA ASSET MANAGEMENT (INDIA) PRIVATE LIMITED (OFFICES)

**Ahmedabad** : Abhijeet 1, Unit 201, Second Floor, Near Mithakali Six Roads, Ellisbridge, Ahmedabad - 380 009. Tel.: (079) 32446018.

**Bengaluru** : Unit No. 202, Prestige Meridian, Level #2, No. 30, M. G. Road, Bengaluru - 560 001. Tel.: (080) 41467459.

**Kolkata** : Apeejay Business Centre, Suite # 3, Apeejay House, Block A, 8th Floor, 15, Park Street, Kolkata - 700 016. Tel.: (033) 39845249.

**Mumbai** : 1102, 11th Floor, Tower 2, Wing 'A', One Indiabulls Centre, 841, Senapati Bapat Marg, Elphinstone Road (West), Mumbai - 400 013. Tel.: (022) 66142900.

**New Delhi** : C/o. DBS Business Centre, Private Office # 204, 1st Floor, World Trade Tower, Barakhamba Lane, Connaught Place, New Delhi - 110 001. Tel.: (011) 40509219.

**Pune** : #10, Kotwal Complex, 4th Floor, Bhandarkar Road, Pune - 411 016. Tel.: (020) 41302003.

### KARVY COMPUTERSHARE PRIVATE LIMITED (Investor Service Centres)

#### For Daiwa Liquid Fund and Daiwa Treasury Advantage Fund

**Ahmedabad** : 201, Shail Building, Opp : Madhusudhan House, Nr. Navrangpura Telephone Exchange, Navrangpura, Ahmedabad - 380 006.

**Bengaluru** : No: 51/25, 1st Floor, Surya Building, Ratna Avenue, Richmond Road, Bengaluru - 560 025.

**Baroda** : SB-4 & 5, Mangaldeep Complex, Opp. Mesonic Hall, Productivity Road, Alkapuri, Baroda - 390 007.

**Chandigarh** : Sco-371-372, First Floor, Above HDFC Bank, Sector 35B, Chandigarh - 160 022.

**Chennai** : Flat No. F11, First Floor, Akshya Plaza, (Erstwhile Harris Road), Opp Chief City Metropolitan Court, # 108, Adhithanar Salai, Egmore, Chennai - 600 002.

**Gurgaon** : Shop No. 18, Ground Floor, Sector -14, Opp. AKD Tower, Near Huda Office, Gurgaon - 122 001.

**Hyderabad** : 8-2-596 Karvy Plaza, Avenue 4, Street No.1, Banjara Hills, Hyderabad - 500 034.

**Jaipur** : S-16 A, 3rd Floor, Land Mark, Opp. Jaipur Club, Mahavir Marg, C- Scheme, Jaipur - 302 001.

**Jamshedpur** : Kanchan Tower, 3rd Floor, Chhaganlal Dayalji & Sons, 3-S B Shop Area, (Near Traffic Signal), Main Road, Bistupur, Jamshedpur - 831 001.

**Kanpur** : 15/46, Opp. Muir Mills, Civil Lines, Kanpur - 208 001.

**Kolkata** : 16, Jatin Bagchi Road, Kolkata - 700 029.

**Kolkata** : 2nd Floor, Dalhousie, 9, R. N. Mukherjee Road, Kolkata - 700 001. (Not available for Daiwa Liquid Fund)

**Lucknow** : Usha Sadan, 24, Prem Nagar, Ashok Marg, Lucknow - 226 001.

**Ludhiana** : SCO-3, Bawa Building, Feroze Gandhi Market, Ludhiana - 141 001.

**Meerut** : 1st Floor, Medi Centre Complex, Opp. ICICI Bank, Hapur Road, Meerut - 250 002.

**Mumbai** : DAS Chambers, Ground Floor, Opp. BSE & next to Corporation Bank, Dalal Street, Fort, Mumbai - 400 023.

**New Delhi** : 305, 3rd Floor, New Delhi House, Barakhamba Road, Connaught Place, New Delhi - 110 001.

**Noida** : 307 Jaipuria Plaza, D 68 A, 2nd Floor, Opp. Delhi Public School, Sector 26, Noida - 201 301.

**Pune** : Srinath Plaza, C Wing, Office No. 58 And 59, 3rd Floor, Dyaneshwar Paduka Chowk, Survey No. 184/4, F C Road, Pune - 411 004.

**Surat** : G-6 Empire State Building, Nr. Udhna Darwaja, Ring Road, Surat - 395 002.

### KARVY COMPUTERSHARE PRIVATE LIMITED (Investor Service Centres)

#### For Daiwa Industry Leaders Fund and Daiwa Government Securities Fund - Short Term Plan

**Ahmedabad** : 201, Shail Building, Opp. Madhusudhan House, Nr. Navrangpura Telephone Exchange, Navrangpura, Ahmedabad - 380 006.

**Bengaluru** : No : 51/25, 1st Floor, Surya Building, Ratna Avenue, Richmond Road, Bengaluru - 560 025.

**Baroda** : SB-4 & 5, Mangaldeep Complex, Opp. Mesonic Hall, Productivity Road, Alkapuri, Baroda - 390 007.

**Bhopal** : Kay Kay Busniss Centre, 133 Zone I, M. P. Nagar, Bhopal - 462 021.

**Bhubaneswar** : Plot No- 104/105(P), Jaydev Vihar, Besides Hotel Pal Heights, Bhubaneswar - 751 013.

**Chandigarh** : Sco-371-372, First Floor, Above HDFC Bank, Sector 35B, Chandigarh - 160 022.

**Chennai** : Flat No F11, First Floor, Akshya Plaza, (Erstwhile Harris Road), Opp Chief City Metropolitan Court, # 108, Adhithanar Salai, Egmore, Chennai - 600 002.

**Cochin** : Room no 2, 2nd floor, Jewel Arcade, (Above Oriental Insurance Ltd), Layam Road, Cochin - 682 011.

**Dhanbad** : 208, New Market, 2nd floor, Katras Road, Bank More, Dhanbad - 826 001.

**Durgapur** : MWAV-16, Bengal Ambuja, 2nd floor, City Centre, Durgapur - 713 216, District Burdwan.

**Gurgaon** : Shop No. 18, Ground Floor, Sector - 14, Opp. AKD Tower, Near Huda Office, Gurgaon - 122 001.

**Hyderabad** : 8-2-596 Karvy Plaza, Avenue 4, Street No.1, Banjara Hills, Hyderabad - 500 034.

**Indore** : G - 7, Royal Ratan Building, M. G. Road, Opp. Kotak Mahindra Bank, Indore - 452001.

**Jaipur** : S-16 A, 3rd Floor, Land Mark, Opposite Jaipur Club, Mahavir Marg, C- Scheme, Jaipur - 302 001.

**Jamshedpur** : Kanchan Tower, 3rd Floor, Chhaganlal Dayalji & Sons, 3-S B Shop Area, (Near Traffic Signal), Main Road, Bistupur, Jamshedpur - 831 001.

**Kanpur** : 15/46, Opp. Muir Mills, Civil Lines, Kanpur - 208 001.

**Kolkata** : 16 Jatin Bagchi Road, Kolkata - 700 029.

**Kolkata** : 2nd Floor, Dalhousie, 9, R. N. Mukherjee Road, Kolkata - 700 001.

**Lucknow** : Usha Sadan, 24, Prem Nagar, Ashok Marg, Lucknow - 226 001.

**Ludhiana** : SCO-3, Bawa Building, Feroze Gandhi Market, Ludhiana - 141 001.

**Mangalore** : Ground Floor, Mahendra Arcade, Kodial Bail, Mangalore - 575 003.

**Meerut** : 1st Floor, Medi Centre Complex, Opp. ICICI Bank, Hapur Road, Meerut - 250 002.

**Mumbai** : DAS Chambers, Ground Floor, Opp. BSE & next to Corporation Bank, Dalal Street, Fort, Mumbai - 400 023.

**New Delhi** : 305, 3rd Floor, New Delhi House, Barakhamba Road, Connaught Place, New Delhi - 110001.

**Noida** : 307 Jaipuria Plaza, D 68 A, 2nd Floor, Opp Delhi Public School, Sector 26, Noida - 201 301.

**Panjim** : No.7 & 8, El. Dorado Plaza, Heliodoro Salgado Road, Panjim - 403 001.

**Patna** : 3A, 3rd floor, Anand Tower, Beside Chankya Cinema Hall, Exhibition Road, Patna - 800 001.

**Pune** : Srinath Plaza, C Wing, Office No. 58 And 59, 3rd Floor, Dyaneshwar Paduka Chowk, Survey No. 184/4, F C Road, Pune - 411 004.

**Raipur** : Room No. TF 31, 3rd floor, Millennium Plaza, Behind Indian Coffee House, G E Road, Raipur - 492 001.

**Surat** : G-6 Empire State Building, Nr. Udhna Darwaja, Ring Road, Surat - 395 002.

The above list is subject to change from time to time. The investors are advised to contact the Investor Service Centre (ISC) / AMC for exact location of the ISC / AMC offices.

# Daiwa

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## Asset Management

**Daiwa Asset Management (India) Private Limited**

**Registered Office:** 1102, 11th Floor, Tower 2, Wing 'A', One Indiabulls Centre,  
841, Senapati Bapat Marg, Elphinstone Road (West), Mumbai - 400 013, Maharashtra.  
Tel. No. (Investor Care) : 6000 5555.

**Toll Free**  
1800-419-5000

**Website**  
[www.daiwafunds.in](http://www.daiwafunds.in)

**E-mail - Investors**  
[investorcare@daiwafunds.in](mailto:investorcare@daiwafunds.in)