TRANSACTION SLIP

Investment Manager: Tata Asset Management Limited **Trustee:** Tata Trustee Company Limited
Toll Free: 1800 - 209 - 0101, **Fax:** (022) 66315194, **Email:** kiran@tataamc.com, **Website:** www.tatamutualfund.com
*** To be filled in BLOCK LETTERS (Please strike off section(s) that is (are) not applicable)**

TATA MUTUAL FUND
Expertise that's trusted

BROKER / AGENT CODE	SUB-BROKER / BANK BRANCH CODE	SUB-BROKER ARN CODE	EUIN CODE	FOR OFFICE USE ONLY (TIME STAMP)
ARN-95070			E-101834	

☐ I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this transaction is executed without any interaction or advice by the employee/relationship manager/ sales person of the above distributor/sub broker or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor/ sub broker. Upfront commission shall be paid directly by the investor to the AMFI registered Distributors based on the investors' assessment of various factors including the service rendered by the distributor. (Refer instruction 15 & 16)

Sole / 1st Unitholder Signature / Thumb Impression	2nd Unitholder Signature / Thumb Impression	3rd Unitholder Signature / Thumb Impression

Folio Number: **Date:** ______________

e-mail → (IN CAPITAL) (Refer Inst. 17)

DEMAT ACCOUNT DETAILS: (Please ensure that the sequence of names as mentioned in the application form matches with that of the account held with the Depository Participant). In case Unit holders do not provide their Demat Account details, an account statement shall be sent to them. Such investors will not be able to trade on the stock exchange. **(Refer Inst. - 14)**

NATIONAL SECURITIES DEPOSITORY LTD. (NSDL)	CENTRAL DEPOSITORY SERVICES (INDIA) LTD. (CDSL)
Depository Participant Name:	Depository Participant Name:
DPID No.: I N	**Beneficiary A/c No.**
Beneficiary A/c No.	

INVESTOR DETAILS: PAN AND KYC COMPLIANT STATUS DETAILS (MANDATORY)

	Name	PAN Number	KYC Compliant Status (please attach proof). Refer Instruction 4.
First Applicant/Guardian*			☐ Yes
Second Applicant			☐ Yes
Third Applicant			☐ Yes

*If the First Applicant is a Minor, then please state the details of Guardian. Please attach PAN proof.

☐ ADDITIONAL PURCHASE REQUEST

Payment Mode: ☐ OTM facility (One Time Mandate) ☐ Cheque / DD ☐ Funds Transfer ☐ RTGS/NEFT

Scheme   Plan   Option

Gross Amount in ₹   DD Charges ₹ (if any)   Net Amount in ₹

₹ (in Words)

Account No.   Cheque/DD No.   Dated

Drawn on Bank & Branch

☐ SWITCH REQUEST (Refer Instruction 8)

From Scheme ______________ Plan ______________ Option ______________

To Scheme ______________ Plan ______________ Option ______________

No. of Units ______________ or Amount (₹) ______________ Amount (in Words) ______________

☐ REDEMPTION REQUEST

Scheme ______________ Plan ______________ Option ______________

No. of Units ______________ or Amount (₹) ______________ Amount (in Words) ______________

For investors who have registered for Multiple Bank Accounts facility in the above folio (Please strike off this section if not used) Refer Inst. 11 &12

The redemption should be processed into the following bank account as per the payout mechanism indicated by me/us:

Name of the Bank: ______________ Branch: ______________

Account No.: ______________ Account Type: ______________ Bank City: ______________

Important Note : If the bank account mentioned above is different from those already registered in your folio OR If the bank account details are not filled above, the redemption will be processed into the "Default" bank account registered for the aforesaid folio.

The Trustee, Tata Mutual Fund

a) Having read & understood the contents of the Scheme Information Document of the Scheme, Switch-in Scheme. I/ We hereby apply for units of the scheme & agree to abide by the terms, conditions, rules & regulations governing the scheme.

I/ We hereby declare that the amount invested in the scheme is through legitimate sources only & does not involve & is not designed for the purpose of the contravention of any Act, Rules, Regulations, Notifications or Directions of the provisions of the Income Tax Act, Anti Money Laundering Laws, Anti Corruption Laws or any other applicable laws enacted by the Govt of India from time to time. I/ We have understood the details of the scheme & I/ We have not received nor have been induced by any rebate or gifts, directly or indirectly in making this investment. I/ We confirm that the funds invested in the Scheme, legally belong to me / us. In the event "Know Your Client" process is not completed by me/us to the satisfaction of the AMC, I/ We hereby authorise the AMC, to refund/redeem the funds invested in the Scheme, in favour of the applicant at the applicable NAV prevailing on the date of such redemption & undertaking such other action with such funds that may be required by the Law. **b) For NRIs:** I/ We confirm that I am / we are Non Residents of Indian Nationality / Origin & that I / we have remitted funds from abroad through approved banking channels or from funds in my / our Non-Resident External / Non-Resident Ordinary. **c)** 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. **d)** I/ We confirm that details provided by me / us in this application are true & correct. **e)** I/We have read & understood the AMFI Circular No. 35/MEM-COR/62/10-11 dt. 07/10/2010 regarding mandatory KYC requirement.

Signature(s) / Thumb Impression

Folio ______________ Scheme ______________ Option ______________

Received from Mr./Ms. ______________

☐ Additional Purchase: ₹. ______________ Cheque/DD No ______________ dated ______________ drawn on ______________

☐ Redemption ☐ Switch: Amount (₹) ______________ ₹ in words ______________

OR Unit ______________ Units in words ______________

For office use
Signature of receiving authority.

TATA MUTUAL FUND
Expertise that's trusted

Date of Receipt:

Time of Receipt:

Current Load structure enclosed

INSTRUCTIONS

1. For fresh purchases under new scheme, plan or option - please refer the respective SID/SAI/KIM for more details and default values.
2. To make an additional purchase, please send us a local cheque / DD payable at any of our branch/ authorised centre. Please make the cheque/DD payable in favour of the respective scheme.
   In pursuance to Best Practice Guidelines issued by Association of Mutual Funds in India [AMFI] Vide Circular No.135/BP/16/10 dated August 16th 2010 for acceptance of Third party cheques, Tata Asset Management Ltd has decided henceforth not to accept subscriptions with Third-Party cheques* except in the following exceptional situations:
   a) Payment by Parents/Grand-Parents/related persons on behalf of a minor in consideration of natural love & affection or as gift for a value not exceeding ₹ 50,000/- (for each regular purchase or per SIP installment). **b)** Payment by Employer on behalf of employee under Systematic Investment Plans through Payroll deductions. **c)** Custodian on behalf of an FII or a client.
   * Third Party Cheque means:
   a) When payment is made through instruments issued from an account other than that of the beneficiary investor, the same is referred to as Third-Party payment.
   b) 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, other wise it will be treated as third party cheque.
   c) Investments from the investor's account with a different bank i.e., the pay-in & payout banks are different, if the pay-in bank mandate could not be established to be that of the investor, it will also be treated as third party investment.
3. PAN is mandatory for investments in Mutual Funds. KYC is mandatory for purchases, switch of units for all investors irrespective of the amount of investment and such transactions must be accompanied with a documentary proof of KYC compliance. In case of a minor, PAN and KYC details of the Guardian must be submitted. Application without this would be rejected by the Mutual Fund without any reference to the investor.
4. Investors shall note that KYC is mandatory and they need to comply with the 'Know Your Client' requirements, by submitting requisite documents to KYC Registration Agency. For more information on KYC, please log on to www.tatamutualfund.com before investing. Applications are liable to be rejected without any intimation to the applicants, if required KYC compliance is not complied by all the unit holders.
5. Cash or outstation cheques will not be accepted. If there is no authorised centre where the investor resides he may send a DD after deducting the bank charges not exceeding the rate prescribed by State Bank of India.
6. ADDITIONAL PURCHASE THROUGH OTM FACILITY: If you are making payment through OTM facility registered in your folio, please tick the relevant box and do not attach any cheque. If more than one bank account is registered in your folio under OTM facility, please mention the bank account number and bank name where you wish the debit to happen. If the same is not mentioned or is not registered, default bank mandate under OTM facility will be considered to debit the purchase amount.
7. Requests for change from dividend option to growth option and vice versa should be given under switch request.
8. In case of Switch of units, investors shall ensure that they have read and understood the Scheme Information Document of the Switch in Scheme.
9. If there is no sufficient amount/ units, the balance available free units in the respective account will be redeemed/ switched.
10. Redemption may not be processed if folio number and full scheme name including plan and option is not mentioned. Please ensure that either of amount or units is mentioned in the redemption request. The fund offers a facility to register multiple bank accounts and designate one of the bank account as "Default Bank Account". Default Bank Account will be used for all dividends and redemptions payouts including FMP schemes maturity proceeds unless investor specifies one of the existing registered bank account in the redemption request for receiving redemption proceeds.
11. Redemption requests should not be accompanied with requests for Change of Bank Account Details. If the Change of Bank Account Detail request is received along with Redemption requests only the redemption request will be processed and the redemption proceeds will be credited to the last registered bank mandate & the request for Change of bank mandate will be rejected. New bank accounts can only be registered using the designated "Bank Account Registration Form/Multiple Bank Account Registration Form". In case the investor needs to add/alter the existing bank mandate he should carry out the same 10 business days prior to date of redemption.
12. Proceeds of any redemption request will be sent only to a bank account that is already registered and validated in the folio at the time of redemption transaction processing. Unit holder(s) may choose to mention any of the existing registered bank accounts with redemption request for receiving redemption proceeds. If no registered bank account is mentioned, default bank account will be used. If unit holder(s) provide a new and unregistered bank mandate with a specific redemption request (with or without necessary supporting documents) such bank account will not be considered for payment of redemption proceeds. Tata Asset Management Ltd OR Tata Mutual Fund will not be liable for any loss arising to the unitholder(s) due to the credit of redemption proceeds into any of the bank accounts registered with us for the aforesaid folio.
13. a. Separate redemption/Switch out request is required for Plan A and Direct Plan.
    b. Redemption /Switch out request is required to clearly contain the name of the plan / option failing which the below mentioned business rule will apply
       i If the folio has both the Plans / option and Both plans have unit balance under same option then redemption will be processed in Plan A
       ii If the folio has both the Plans / option and One plan has NIL balance and other has unit balance under same option, redemption will be processed from Plan / option which has unit balance
       iii If the Folio has only one Plan / option then redemption will be processed from that Plan/option
       iv Folio has both the Plans and Both plans have unit balance under different options then the redemption request will be rejected
14. **Demat Account:** Applicants must ensure that the sequence of names as mentioned in the application form matches that of the account held with the Depository Participant. Client ID, Names, Address and PAN details, other KYC norms mentioned in the application form will be verified against the Depository data which will be downloaded from Depository master. Only those applications where the details are matched with the depository data, will be treated as valid applications for allotment of units in dematerialised form. If the details mentioned in the application are incomplete / incorrect, not matched with the depository data, the application shall be treated as invalid and shall be liable to be rejected / units will be issued / allotted by issuing physical account statements. To capture correct depository account details, investors are required to submit Client Master. For units held in demat form, the KYC performed by the Depository Participant of the applicants will be considered as KYC verification done by the Trustee/AMC.
    Please note that where the investor has furnished the details of their depository accounts in the Application Form, it will be assumed that the investor has opted for allotment in electronic form & the allotment will be made only in electronic form as default.
15. In accordance with SEBI circular No. Cir/ IMD/ DF/13/ 2011 dated August 22, 2011, Tata Asset Management Limited/ Mutual Fund will deduct Transaction Charges from the purchase/ subscription amount received from the investors investing through a valid ARN Holder i.e. AMFI registered Distributor (provided the Distributor has opted to receive the Transaction Charges).
    Transaction Charge of ₹ 100 per purchase / subscription of ₹ 10,000 and above are deductible from the purchase / subscription amount and payable to the Distributor. The balance amount shall be invested.
    Transaction Charges shall not be deducted: **(a)** where the Distributor of the investor has not opted to receive any Transaction Charges **(b)** for purchases/subscriptions/total commitment amount in case of SIP of an amount less than ₹ 10,000/- **(c)** for transactions other than purchases / subscriptions relating to new inflows i.e. through Switches/ Systematic Transfers/Dividend Transfers/Dividend Reinvestment, etc. **(d)** for purchases/subscriptions made directly with the Fund (i.e. not through any Distributor); and **(e)** for purchases/subscriptions routed through Stock Exchange(s).
16. Employee Unique Identification Number (EUIN): Further, SEBI has made it compulsory for every employee/ relationship manager/ sales person of the distributor of mutual fund products to quote the EUIN obtained by him/her from AMFI in the Application Form. EUIN would assist in addressing any instance of mis-selling even if the employee/relationship manager/sales person later leaves the employment of the distributor. Hence, if your investments are routed through a distributor please ensure that the EUIN is correctly filled up in the Application Form.
    However, if the transaction is executed without any interaction or advice of the employee/ relationship manager / sales person of the distributor the EUIN box may be left blank. In this case you are required to provide a duly signed declaration to this effect in the form.
    Overseas Distributors: Overseas Distributors are exempt from obtaining NISM certification and AMFI registration as per AMFI circular No. CIR/ ARN-14/12-13 dated July 13, 2012 and the EUIN requirement as per AMFI Circular No.135/BP/33/2012-13 dated December 31, 2012. However, such Overseas Distributors are required to comply with the guidelines/ requirements as may be issued by AMFI /SEBI from time to time and also comply with the laws, rules and regulations of jurisdictions where they carry out their operations in the capacity of distributors.
17. The Email ID provided will be updated and already exiting email ID, if any, will be overreurn For faster dissemination of information, Unitholders are requested to provide their E-mail IDs. Delivering service through the internet & web-based services such as e-mail is a more efficient delivery channel. Annual report, Account statements & other communication will be sent via email, by default, to investors who have provided their email ID, unless specified otherwise. In such cases, the Mutual Fund / Registrars are not responsible for email not reaching the investor & for all consequences thereof. The Investor shall from time to time intimate the Mutual Fund / its transfer agents about any changes in the email address. In case of a large document, a suitable link would be provided & investor can download, save & print these documents. However, the investor always has a right to demand a physical copy of any or all the service deliverables, & the Fund would arrange to send the same to the investor. It is deemed that the Unitholder is aware of all the security risks associated with online communication, including the possibility of third party interception of the documents sent via email. Mutual Fund / registrar shall not be responsible for e-mail not reaching to the investors and for all consequences thereof.

Tran. form: 11.02.14

ACKNOWLEDGMENT SLIP (To be filled in by the Applicant)

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