



# TATA MUTUAL FUND

Mulla House, Ground Floor, M.G. Road, Fort, Mumbai - 400 001



## COMMON TRANSACTION FORM

Refer Instruction 2.

### 1. ADVISOR DETAILS

ARN / RIA ^ Code <b>1678</b>	Sub-Broker ARN Code	Sub-Broker / Bank Branch Code	EJIN Code <b>E087722</b>
Internal Code	OR Declaration for "execution-only" transaction - I/We hereby confirm that the EJIN box has been intentionally left blank by me/us as this is an "execution-only" transaction without any interaction or advice by the employee/relationship manager/sales person of the above distributor or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor and the distributor has not charged any advisory fees on this transaction. ^ By mentioning RIA code, I / we authorize you to share with the SEBI Registered Investment Adviser (RIA) the details of my / our transactions in the schemes(s) of Tata Mutual Fund.		
Sole / 1st Applicant Signature / Thumb Impression		2nd Applicant Signature / Thumb Impression	3rd Applicant Signature / Thumb Impression

### 2. INVESTOR DETAILS

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

1 <sup>st</sup> Holder Name			PAN
C-KYC	Date of Birth D D / M M / Y Y Y Y	Mobile No.	Mobile belongs to <input type="checkbox"/> Self <input type="checkbox"/> Parent <input type="checkbox"/> Spouse <input type="checkbox"/> Child
2 <sup>nd</sup> Holder Name			PAN
C-KYC	Date of Birth D D / M M / Y Y Y Y	Mobile No.	Mobile belongs to <input type="checkbox"/> Self <input type="checkbox"/> Parent <input type="checkbox"/> Spouse <input type="checkbox"/> Child
3 <sup>rd</sup> Holder Name			PAN
C-KYC	Date of Birth D D / M M / Y Y Y Y	Mobile No.	Mobile belongs to <input type="checkbox"/> Self <input type="checkbox"/> Parent <input type="checkbox"/> Spouse <input type="checkbox"/> Child

### 3. ADDITIONAL PURCHASE DETAILS

Refer Instruction 3.

Payment Mode : <input type="checkbox"/> OTM facility (Registered in folio) <input type="checkbox"/> Cheque / DD <input type="checkbox"/> Fund Transfer <input type="checkbox"/> NEFT / RTGS		
Scheme / Plan / Option		
Gross Amount (A)	DD Charges (if any) (B)	Net Amount (A - B)
Account Number	Account Type	Dated D D / M M / Y Y Y Y
Drawn on Bank	Cheque / DD / UTR No.	

### 4. SWITCH OUT DETAILS

Refer Instruction 4.

From Scheme / Plan / Option
To Scheme / Plan / Option
<input type="checkbox"/> Amount (in figure) _____ OR <input type="checkbox"/> Units (in figure) _____ OR <input type="checkbox"/> All Units

### 5. REDEMPTION DETAILS

Refer Instruction 5.

From Scheme / Plan / Option
<input type="checkbox"/> Amount (in figure) _____ OR <input type="checkbox"/> Units (in figure) _____ OR <input type="checkbox"/> All Units

Redemption Bank Account Details for investors who have registered for Multiple Bank Accounts facility in the above folio (Please strike off this section if not used). The redemption should be processed into the following bank account as per the payout mechanism indicated by me/us:

Bank Name	Bank Account Number	
IFSC for NEFT	IFSC for RTGS	MICR

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.

### 6. DECLARATION AND SIGNATURES

I/We have read, understood and hereby agree to comply with the terms and conditions of the scheme related documents including the key information Memorandum and apply for allotment of Units of the Scheme(s) of Tata Mutual Fund ("Fund") indicated in this application form. I/We will indemnify the Fund, AMC, Trustee, RTA and other intermediaries in case of any disputes regarding the eligibility, validity and authorization of my/our transactions. The ARN holder (AMFI registered Distributor) has disclosed to me / us all the commissions (in the form of trail commission or any other mode), payable to him / them for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us. I/We hereby confirm that I/We have not been offered / communicated any indicative portfolio and/ or any indicative yield by the Fund/AMC/its distributor for this investment. I/We, the holder of the above stated Aadhaar number, hereby give my consent to Tata Mutual Fund(TMf), to obtain my Aadhaar number, Name and Fingerprint/Iris for authentication with UIDAI, use my mobile number mentioned in my account for sending SMS alerts to me. I/We hereby provide my consent in accordance with Aadhaar Act, 2016 and regulations made thereunder, for (i) collecting, storing and usage (ii) validating/authenticating and (ii) updating my/our Aadhaar number(s) in accordance with the Aadhaar Act, 2016 (and regulations made thereunder) and PMLA. I/We hereby provide my/our consent for sharing/disclose of the Aadhaar number(s) including demographic information with the asset management companies of SEBI registered mutual fund and their Registrar and Transfer Agent (RTA) for the purpose of updating the same in my/our folios with my PAN. Date \_\_\_\_\_

1 <sup>st</sup> Applicant Signature / Thumb Impression	2 <sup>nd</sup> Applicant Signature / Thumb Impression	3 <sup>rd</sup> Applicant Signature / Thumb Impression
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### Acknowledgement Slip



Folio No. \_\_\_\_\_ Purchase Redemption Switch in Scheme \_\_\_\_\_

For Amount of ` \_\_\_\_\_ or Units \_\_\_\_\_ (details overleaf)

1. The Statement of Additional Information (SAI), Scheme Information Document (SID) and Key Information Memorandum (KIM) of the schemes are available on [www.tatamutualfund.com](http://www.tatamutualfund.com). Investors having read and understood the terms of SAI, SID and KIM of the respective schemes must refer SID/KIM for default values and minimum subscription / redemption values.
  2. Advisor / Distributor Information
    - i. Investments through distributors: As per directions of Securities and Exchange Board of India (SEBI), Investors can route their application forms directly and /or through the distributors / employees of the distributor who hold a valid certification from the National Institute of Securities Markets (NISM) and ARN provided by Association of Mutual Funds in India (AMFI). Further, no agents / distributors are entitled to sell units of mutual funds unless the intermediary is registered with AMFI.
    - ii. Employee Unique Identification Number (EUN): Every employee/ relationship manager/ sales person of the distributor of mutual fund products to quote the EUN obtained by him/her from AMFI in the Application Form. Investors are requested to verify the AMFI registration details from their Distributor. However, in case of any exceptional cases, where there is no interaction by the employee/ sales person / relationship manager of the distributor/sub broker with respect to the transaction and EUN box is left blank, you are required to provide the duly signed declaration to the effect as given in the form.
    - iii. Transaction Charges:
 

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 Rs. 100 per purchase / subscription of Rs. 10,000 and above are deductible (per Scheme Plan – Option) 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 Rs. 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).
    - iv. Direct Investment:
 

Investors subscribing under Direct Plan of the scheme will have to indicate "Direct Plan" in the "Broker/ ARN -Code" field and against the scheme plan in the application form. Investors should also indicate "Direct" in the ARN column of the application form. However, in case Distributor code is mentioned in the application form, but "Direct Plan" is indicated against the scheme name, the application will be processed under Direct Plan. Further, where application is received for Regular Plan without Distributor code or "Direct" mentioned in the ARN Column, the application will be processed under Direct Plan.
  3. Investment Information
    - i. It is mandatory to provide the folio number.
    - ii. The Application form number / Folio number / PAN and Name of the Applicant should be written by the Applicants on the reverse of the cheques and bank drafts accompanying the Application Form.
    - iii. For investment a cheque/DD amounting to the value of investment must be drawn in favour of "Name of the Scheme" dated, signed and crossed 'A/c Payee only.'
    - iv. Bank charges for outstation demand drafts will be borne by the AMC and will be limited to the bank charges stipulated by the State Bank of India. Outstation Demand Draft has been defined as a demand draft issued by a bank where there is no Official Point of Acceptance available for Investors. The AMC will not accept any request for refund of demand draft charges
    - v. Cash, Stock invests, Outstation Cheques/DD, Post Dated Cheques, Money Orders and Postal Orders will not be accepted and such applications will not be considered for allotment. All investment cheques should be current dated.
    - vi. Cheques once returned in clearing will not be represented and the accompanying applications may not be considered for allotment.
    - vii. Third Party payments: TAML / TMF will not accept applications for subscriptions of units accompanied with Third Party Payments except in exceptional cases as mentioned below. "Third Party Payment" means
      - a. Payment made through an instrument issued from a bank account other than that of the first named applicant / investor mentioned in the application form.
      - b. In case of payment instruments issued from a joint bank account, the first named applicant/ investor must be one of the joint holders of the bank account from which the payment instrument is issued.
      - c. Following are the exceptional cases where third party payments will be accepted subject to submission of requisite documentation / declarations.
        1. 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 installment. Please note that payments made by a guardian whose name is registered in the records of Mutual Fund in that folio will not be treated as a Third Party Payment.
        2. Payment by employer on behalf of employee under Systematic Investment Plan (SIP) facility through payroll deductions;
        3. Custodian on behalf of an FII or a Client.
    - viii. Investors are required to indicate their choice of Plan, Option for which subscription is made at the time of filling up the Application Form.
    - ix. Investors subscribing under Direct Plan of a Scheme/Plan will have to indicate "Direct Plan" in the application form by ticking the appropriate box.
    - x. Direct Plan is only for investors who purchase /subscribe Units in a Scheme directly with the Fund & is not available for investors who route their investments through a Distributor. Direct Plan shall have a lower expense ratio excluding distribution expenses, commission, etc & no commission for distribution of Units will be paid / charged under Direct Plan.
    - xi. Default under Direct / Regular Plan:
 

Sn.	Broker Code mentioned by the Investor	Plan mentioned by the investor	Default Plan to be captured
1	Not mentioned	Not mentioned	Direct Plan
2	Not mentioned	Direct Plan	Direct Plan
3	Not mentioned	Regular Plan	Direct Plan
4	Mentioned	Direct Plan	Direct Plan
5	Direct Plan	Not mentioned	Direct Plan
6	Direct Plan	Regular Plan	Direct Plan
7	Mentioned	Regular Plan	Regular Plan
8	Mentioned	Not mentioned	Regular Plan
  - xii. For default options refer SID
  - xiii. In cases of wrong/ invalid/ incomplete ARN codes mentioned on the application form, the application shall be processed under Regular Plan. TAML shall contact and obtain the correct ARN code within 30 calendar days of the receipt of the application form from the investor/ distributor. In case, the correct code is not received within 30 calendar days, the TAML shall reprocess the transaction under Direct Plan from the date of application without any exit load.
  - xiv. In case of discrepancies in the amount received from the investor and the amount mentioned in the application form the units will be allotted for amount received in our bank account.
  - xv. Units will be allotted subject to realization of payment proceeds.
  - xvi. 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.
4. Instructions for Switch
    - i. Investors can switch-out amount /units, subject to meeting the minimum amount criterion of the switch-in schemes.
    - ii. The condition for minimum amount in the switch-in schemes is not applicable for "ALL UNITS"switchout.
    - iii. If amount to be switched is insufficient in the Switch-out scheme then the balance available free units in the scheme will be switched subject to the minimum application amount of the Switch-in Scheme(s).
    - iv. Separate Switch-out request is required for Regular Plan and Direct Plan. Switch-out request is required to clearly contain the name of the Plan / option failing which the below mentioned business rule will apply:
      - a. If the folio has both the Plans / option and Both plans have unit balance under same option then switch-out will be processed in Regular Plan.
      - b. If the folio has both the Plans / option and One plan has NIL balance and other has unit balance under same option, switch-out will be processed from Plan / option which has unit balance
      - c. If the Folio has only one Plan / option then switch-out will be processed from that Plan/option
      - d. Folio has both the Plans and Both plans have unit balance under different options then the switch request will be rejected
  5. Instruction for Redemption:
    - i. The Redemption form has to be filled with the scheme details within a folio. Investors need to specify the name of the scheme, plan, option and units/amount they wish to redeem. In case the details are not mentioned, transactions are liable for rejection.
    - ii. For redemption of All units, investors need to specify by selecting the "All Units" option. If the redemption request specifies both i.e. unit and amount, the units mentioned shall be considered for the transaction.
 

If there is no sufficient amounts/ units, the balance available free units in the respective account will be redeemed.
    - iii. Redemption may not be processed if folio number and full scheme name including plan and option is not mentioned. Investors need to ensure that either of amount or units is mentioned in the redemption request.
    - iv. Separate redemption request is required for Regular Plan and Direct Plan. Redemption request is required to clearly contain the name of the Plan / Option failing which the below mentioned business rule will apply:
      - a. 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
      - b. 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
      - c. If the Folio has only one Plan / option then redemption will be processed from that Plan/option
      - d. Folio has both the Plans and Both plans have unit balance under different options then the redemption request will be rejected.
    - v. TMF 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 redemptions payouts unless investor specifies one of the existing registered bank account in the redemption request for receiving redemption proceeds.
    - vi. 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. Investors may choose to mention any of the existing registered bank accounts with redemption request for receiving redemption proceeds. If registered bank account is not mentioned, default bank account will be used. If a new and unregistered bank mandate is provided 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 investors due to the credit of redemption proceeds into any of the bank accounts registered with us for the aforesaid folio
    - vii. 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.
    - viii. Investors holding units in the Depository Account, need to submit the redemption request to Depository Participant/ Broker.
    - ix. REGISTRAR:
 

Computer Age Management Services Pvt. Ltd.: New No. 10 (Old No. 178), M. G. R. Salai, Nungambakkam, Chennai – 600 034. E-mail: [eng\\_t@camsonline.com](mailto:eng_t@camsonline.com)
    - x. IMP NOTE: In case there is any change in your KYC information please update the same by using the prescribed 'KYC Change Request form' and submit the same at the Point of Service of any KYC Registration Agency.
  6. Aadhaar requirement: The investor agrees that by submitting his above Aadhaar number he voluntarily gives his consent to: Use his Aadhaar details to authenticate him from UIDAI; Use his mobile number mentioned in his account for sending SMS alerts to him; He also consents authentication of the Aadhaar number to Tata Mutual Fund (TMF), to obtain his Aadhaar number, Name and Fingerprint/ Iris for authentication with UIDAI. Investors should note that that his identity information would only be used for demographic authentication / validation / eKYC purpose and also that his biometrics will not be stored / shared and will be submitted to CIDR only for the purpose of authentication.
  7. Applications incomplete in any respect are liable to be rejected. Tata Asset Management Limited (the AMC) / Tata Trustee Company Limited (Trustee) have absolute discretion to reject any such Application Forms.
  8. In case there is any change in your KYC information, please update the same by using the prescribed 'KYC Change Request Form' and submit the same at the Point of Service of any KYC Registration Agency.

## Acknowledgement Slip

Cheque Details

Cheque No. \_\_\_\_\_ Dated \_\_\_\_\_ A/c No. \_\_\_\_\_ Bank \_\_\_\_\_

Call: (022) 6282 7777 (Monday to Saturday 9:00 am to 5:30 pm)

Subject to realisation.