# ADDITIONAL PURCHASE / SWITCH FORM FOR TATA RETIREMENT SAVINGS FUND

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

for purchase / switch in Scheme Name  $\_\_$ 



\_\_\_ (mention cheque details overleaf) Subject to realisation.

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| an extrassive ethics het entitles-identis manacroids pour of the door deribbate at shell that of a paperserum. If any pour is shell a shell a paper a paper and the shell and and   | ARN / RIA Code   | Sub-Broker   | ARN Code   | Sub-Broker / Bank Branch   | Code  | EUIN Code   |  |
| Post   Part   Shiring   Custodian   PMS   PAN     | Internal Code  | any interaction of<br>employee/relation  | Declaration for "execution-only" transaction - I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this is an "execution-only" transaction withou 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 loopee/relationship manager/sales person of the distributor has not charged any advisory fees on this transaction. ^ By mentioning RIA code, I / we authorize you have with the SEBI Registered Investment Adviser (RIA) the details of my / our transactions in the schemes(s) of Tata Mutual Fund. |  |   |   |  |
| 2. INVESTOR DETAILS Priole Name CRYC Date of Birth Date of  |  | re /   |  |  | 3   | ,   |  |
| C KYC  Date of Birth  Abolite Name  Please tick the appropriate option (any one per plan)  Pooressee Plan - Regular Plan  Abolite Name  Pooressee Plan - Regular Plan  Abolite Name  Abolite Name  Pooressee Plan - Regular Plan  Abolite Name  Account Number  Account Number  Account Number  Account Number  Account Type  Dated  Abolite Name  Plan Alare  Ala David Switch Option 1 (Progressee Name Age 45 Noderage to Conservative Bage 60).  No Alaro Switch  Branch  Branch  Branch  Branch  Branch  Branch  Also Switch Option 1 (Progresse Name Age 45 Noderage to Conservative Bage 60).  No Alaro Switch  Branch  Branch  Branch  Account Type  Dated  Account Number  |  |  |  |  | Folio No.   |   |  |
| Part       | 1st Holder Name  |  |  |  | PAN   |   |  |
| Part       |  |  |  |  |   |   |  |
| C.KYC    Date of Birth   Mobile No.   Self   Farent   Shiling   Cusrolian   PMS   |  |  |  |  | ☐ Se  | If 🗌 Parent 🗌 Sibling 🔲 Custodian   |  |
| Self   Parent   Shiling   Custodian   PMS   | 2 <sup>na</sup> Holder Name  |  |  |  | PAN   |   |  |
| C. KYC  Date of Birth  Mobile No.  Mobile No.  Mobile belongs to Self Farent Skilling Custodian Joseph Please Not Note to Self Farent Skilling Custodian Joseph Please Note Teacher Skilling Custodian Joseph Please Note Teacher Skilling Custodian Joseph Please Note Teacher Skilling Custodian Joseph Note Teacher Skilling Custodian   | C-KYC  |  |  | , ,  |   |   |  |
| Self:   Parent   Shibling   Custodian   PMS   | 3 <sup>rd</sup> Holder Name  |  |  |  | PAN   |   |  |
| ADDITIONAL PURCHASE DETAILS  Refer Instruction  Please lick the appropriate option (any one per plan)  Please lick the properties option (any one per plan)  Progressive Plan Direct Plan    Auto Switch Option   Progressive Regular Plan   Auto Switch Option   Refer   Refe  | C-KYC  |  |  | Mobile No.   | ☐ Se  | If Parent Sibling Custodian   |  |
| Plans Name  | B. ADDITIONAL PURCHASE DETAILS   | S  |  |  |   | Refer Instruction 3.  |  |
| Progressive Plan - Regular Plan   Auto Switch Option   (Progressive to Moderate Plan - Segular Plan   No Auto Switch Option   (Progressive to Moderate Plan - Regular Plan   No Auto Switch Option   (Progressive to Moderate Plan - Regular Plan   No Auto Switch Option   (Progressive to Moderate Plan - Regular Plan   No Auto Switch Option   (Progressive to Conservative ® age 60)   No Auto Switch Option   (Progressive Plan - Regular Plan   No Auto Switch Option   (Progressive Plan - Regular Plan - Direct Plan   Option   (Progressive Plan - Regular Plan - Auto Switch Option   (Progressive Plan - Regular Plan - Auto Switch Option   (Progressive Plan - Regular Plan - Auto Switch Option   (Progressive Plan - Regular Plan - Auto Switch Option   (Progressive Plan - Regular Plan - Auto Switch Option   (Progressive Plan - Regular Plan - Auto Switch Option   (Progressive Plan - Regular Plan - Auto Switch Option   (Progressive Plan - Regular Plan - Auto Switch Option   (Progressive Plan - Regular Plan - Auto Switch Option   (Progressive Plan - Regular Plan - Auto Switch Option   (Progressive Plan - Regular Plan - Auto Switch Option   (Progressive Plan - Regular Plan - Auto Switch Option   (Progressive Plan - Regular Plan - Auto Switch Option   (Progressive Plan - Regular Plan - Auto Switch Option   (Progressive Plan - Regular Plan - Auto Switch Option   (Progressive Plan - Regular Plan - Auto Switch Option   (Progressive Plan - Regular Plan - Auto Switch Option   (Progressive Plan - Regular Plan - Regular Plan - Auto Switch Option   (Progressive Plan - Regular Plan - Regular Plan - Auto Switch Option   (Progressive Plan - Regular Plan - Regular Plan - Auto Switch Option   (Progressive Plan - Regular Plan - Regular Plan - Auto Switch Option   (Progressive Plan - Regular Plan - Regular Plan - Auto Switch Option   (Progressive Plan - Regular Plan - Regul    |  |  | Plass  | e tick the annropriate ont   | tion (any one   | ner nlan)   |  |
| Moderate Plan - Regular Plan     | Progressive Plan - Regular Plan  | Auto   | Switch Option 1 (Progressive to M  | oderate @ age 45; Moderate to Co   | nservative @age   |   |  |
| Conservative Plan - Direct Plan Auto Switch Option 1 (Progressive to Conservative ® age 60) No Auto Switch Moderate Plan - Direct Plan Moderate Plan - Direct Plan Conservative ® Plan - Direct Plan Conservative Plan - Direct Plan Conservative Plan - Plan Regular Plan   | ☐ Moderate Plan - Regular Plan   |  |  | •  | J SWILCII   | □ No Auto Switch  |  |
| Payment Mode: OTM facility (Registered in folio) Cheque / DD Fund Transfer NEFT / RTGS  Gross Amount (A)   Refer Instruction  To Scheme / Plan / Option  To Scheme TATA RETIREMENT SAVINGS FUND  Plan Name  Plan Agree   Plan / Option  To Scheme TATA RETIREMENT SAVINGS FUND  Plan Name  Progressive Plan - Direct Plan   Auto Switch Option 1 (Progressive to Moderate ® age 45; Moderate to Conservative @age 60),  Progressive Plan - Percet Plan   Auto Switch Option 2 (Progressive to Moderate ® age 45; Moderate to Conservative @age 60),  Moderate Plan - Regular Plan   Auto Switch Option 3 (Moderate to Conservative @ age 60)   No Auto Switch  Moderate Plan - Direct Plan   Auto Switch Option 3 (Moderate to Conservative @ age 60)   No Auto Switch  Moderate Plan - Direct Plan   Auto Switch Option 3 (Moderate to Conservative @ age 60)   No Auto Switch  Moderate Plan - Direct Plan   Auto Switch Option 3 (Moderate to Conservative @ age 60)   No Auto Switch  Moderate Plan - Direct Plan   Auto Switch Option 3 (Moderate to Conservative @ age 60)   No Auto Switch  Moderate Plan - Direct Plan   Auto Switch Option 3 (Moderate to Conservative @ age 60)   No Auto Switch  Moderate Plan - Direct Plan   Auto Switch Option 3 (Moderate to Conservative @ age 60)   No Auto Switch  Moderate Plan - Direct Plan   Auto Switch Option 3 (Moderate to Conservative @ age 60)   No Auto Switch  Moderate Plan - Direct Plan   Auto Switch Option 3 (Moderate to Conservative @ age 60)   No Auto Switch  Moderate Plan - Direct Plan   Auto Switch Option 3 (Moderate to Conservative @ age 60)   No Auto Switch  Moderate Plan - Direct Plan   Auto Switch Option 3 (Moderate to Conservative @ age 60)   No Auto Switch  Moderate Plan - Direct Plan   Auto Switch Option 3 (Moderate to Conservative @ age 60)   No Auto Switch  Moderate Plan - Direct Plan   Auto Switch Option 3 (Moderate to Conservative @ age 60)   No Auto Switch Option 3 (Moderate Plan - Direct Plan   Auto Switch Option 3 (Moderate Plan - Direct Plan   Auto Switch Option 3 (Moderate Plan - Direct Plan   Auto  | Conservative Plan - Regular Plan   |  |  |  |   |   |  |
| Cross Amount (A)  Refer Instruction  Refer Instruct  |  | stered in foli   | io) Cheque / DD  | Fund Transfer  | □ NEFT .  | / RTGS  |  |
| Account Number    Account Number  |  |  |  |  |   |   |  |
| Drawn on Bank  Cheque / DD / UTR No.  Branch  Branch City  SWITCH DETAILS  From Scheme / Plan / Option  Foo Scheme TATA RETIREMENT SAVINGS FUND  Plan Name Plan Name Plan Regular Plan Auto Switch Option 1 (Progressive to Moderate @ age 45; Moderate to Conservative @age 60), Progressive Plan - Direct Plan Auto Switch Option 2 (Progressive to Conservative @ age 60) Moderate Plan - Regular Plan Moderate Plan - Direct Plan Moderate Plan - Regular Plan Conservative Plan - Regular Plan Moderate Plan - Regular Plan Moderate Plan - Regular Plan Moderate Plan - Direct Plan Moderate Plan - Regular Plan Conservative Plan - Direct Plan  No Auto SWP Fixed SWP (Select Frequency) Monthly OR  No Auto SWP Fixed SWP (Select Frequency) Monthly OR  No Auto SWP Fixed SWP (Select Frequency) Monthly OR  No Auto SWP Fixed SWP (Select Frequency) Monthly OR  | ₹  |  |  | ₹  | ₹   |   |  |
| Drawn on Bank  Cheque / DD / UTR No.  Branch  Branch  Branch  Branch City  SwiTCH DETAILS  Refer Instruction  Scheme / Plan / Option  To Scheme / Plan / Option  To Scheme TATA RETIREMENT SAVINGS FUND  Plan Name  Progressive Plan - Regular Plan  Progressive Plan - Breter Plan  Auto Switch Option 1 (Progressive to Moderate @ age 45; Moderate to Conservative @age 60),  Progressive Plan - Direct Plan  Auto Switch Option 3 (Moderate Plan eage 60)  Moderate Plan - Direct Plan  Conservative Plan - Direct Plan  Auto Switch Option 3 (Moderate to Conservative @ age 60)  No Auto Switch  Moderate Plan - Direct Plan  Conservative Plan - Direct Plan  Amount (in figure)  Amount (in figure)  Annount (in figure)  Refer    No Auto SwP FACILITY (Will be applicable after attaining 60 years).  Refer    No Auto SwP FACILITY (Will be applicable after attaining 60 years).  Refer    No Auto SwP FACILITY (Will be applicable in the service of the se  | Account Number   |  |  | Account Type   |   | M M / Y Y Y Y   |  |
| SWITCH DETAILS  From Scheme   Plan   Option  To Scheme TATA RETIREMENT SAVINGS FUND  Plan Name  Progressive Plan - Regular Plan   Auto Switch Option 1 (Progressive to Moderate @ age 45; Moderate to Conservative @ age 60),   Progressive Plan - Direct Plan   Auto Switch Option 2 (Progressive to Conservative @ age 60)   No Auto Switch   Moderate Plan - Direct Plan   Auto Switch Option 3 (Moderate to Conservative @ age 60)   No Auto Switch   Moderate Plan - Direct Plan   Conservative Plan - Direct Plan   Auto Switch Option 3 (Moderate to Conservative @ age 60)   No Auto Switch   Moderate Plan - Direct Plan   Conservative Plan - Direct Plan   Auto Switch Option 3 (Moderate to Conservative @ age 60)   No Auto Switch   Moderate Plan - Direct Plan   Conservative Plan - Direct Plan   Amount (in figure)   Regular Plan (Conservative Plan - Direct Plan     Auto SWP FACILITY (Will be applicable after attaining 60 years).   No Auto SWP   Fixed SWP (Select Frequency)   Monthly OR   Quarterly (Default)     Selection   Default   | Drawn on Bank  |  |  |  |   |   |  |
| From Scheme / Plan / Option    Plan Name  | Branch   |  |  |  | Branch City   |   |  |
| To Scheme TATA RETIREMENT SAVINGS FUND  Plan Name  Please tick the appropriate option (any one per plan)  Progressive Plan - Regular Plan Auto Switch Option 1 (Progressive to Moderate @ age 45; Moderate to Conservative @ age 60), No Auto Switch Moderate Plan - Direct Plan  Direct Plan  Auto Switch Option 3 (Moderate to Conservative @ age 60)  No Auto Switch  Moderate Plan - Polivect Plan  Conservative Plan - Polivect Plan  Conservative Plan - Direct Plan  Amount (in figure)  No Auto SWP FACILITY (Will be applicable after attaining 60 years).  Refer  No Auto SWP FACILITY (Will be applicable after attaining 60 years).  Refer  DECLARATION AND SIGNATURES  Remainer not prohibet from accessing capital markets under any order/reling/indgment etc., of any regulation, including SER. (We confirm that my application is in compliance with applicable indian and foreign laws. 1 / We hereby confirm and declare as under- (1) 1 / We have read, of hereby applicable in dian and specific or in the scheme related documents including the key information Memoratulum and apply for a licitude or the scheme related in this application in the undersace to information with the application in the undersace to information with the production of the scheme related documents and and apply for all scheme or (blus of the Schemes) of Iza Multar Faul (Fund) indicated in this application in the undersace to information and revention of any accessing capital and indicates to inform the ARC / Fund/Registers and rates Application in the scheme related documents and and apply for all size from the true of the purpose of control and one vention of any access produces of the Arch Paul Amale of the Scheme is application from its two and correct and funder age to funding and the scheme is been precommended in the scheme   |  |  |  |  |   |   |  |
| Plan Name   |  |  |  |  |   | Refer Instruction 4.  |  |
| Plan Name   |  |  |  |  |   |   |  |
| Progressive Plan - Direct Plan   Moderate Plan - Regular Plan   Moderate Plan - Regular Plan   Moderate Plan - Breter Plan   Moderate Plan - Direct Plan  |  | IGS FUND   | Please   | e tick the appropriate opt   | tion (any on  | e per plan)   |  |
| Moderate Plan - Regular Plan   Auto Switch Option 3 (Moderate to Conservative @ age 60)   No Auto Switch  | Progressive Plan - Regular Plan  | Auto   | Switch Option 1 (Progression Switch Option 2 (Progression)   | ve to Moderate @ age 45; Moderate @ age 60)  | derate to Cons  | ervative @age 60),  |  |
| Conservative Plan - Regular Plan Conservative Plan - Direct Plan  Amount (in figure)  Amount (in figure)  Amount (in figure)  Author SWP FACILITY (Will be applicable after attaining 60 years).  Refer  Author SWP FACILITY (Will be applicable after attaining 60 years).  Refer  Author SWP FACILITY (Will be applicable after attaining 60 years).  Refer  DECLARATION AND SIGNATURES  Ream/are not prohibited from accessing agatal markets under any order/juling/julgment etc., of any regulation, including 58B. UNe confirm that my applicable indian and foreign laws. I / We hereby confirm and declare as under-(1) I / We have read, the 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. (2) I/We am/are eligible investor(s) as per attend documents and am/are authorised to make this investment. The amount invested in the Scheme(s) is through legitimates sources only and is not for the purpose of contravention and/or evasion of any act, rules, regulations, notifications or directions issued by any regulatory authority on any part of it including the changes/judicided pre-mission and understate to inform the AMC in rules/gastras and Transfer Agent RIX out any change in the information furnished from time to time. (4) That in the event, the above information and/or any part of it including the changes/judicidel authorities/gagenesis including but not limited to Financial Intelligence Unichedia (Fill-MIN) les under and intrinsport and midral part service providers, SEI register distribution for midrate to the consequences arising therefrom. (5) I/We hereby authorize you to disclose, share, remit information of the providers and this part service and transfer service information and/or any part of it including the changes (providers). SEI register distribution for midrate violety in the providers of the providers. SEI register distribution for midr  | Moderate Plan - Regular Plan   |  |  |  |   |   |  |
| Amount (in figure)  AUTO SWP FACILITY (Will be applicable after attaining 60 years).  Refer  No Auto SWP  Fixed SWP (Select Frequency) Monthly OR Quarterly (Default)  DECLARATION AND SIGNATURES  We amaze not prohibited from accessing capital markets under any order/fulling/judgment etc., of any regulation, including \$581. (We confirm that my application is in compliance with applicable Indian and foreign laws. 1 / We hereby confirm and declare as under: (1) 1 / We have read, d hereby agree to comply with the terms and conditions of the scheme related documents including the Key information Memorandum and apply for allorment of Units of the Scheme(s) of Tata Mutual Fund ("Fund") indicated in this application form. (2) I/We am/are eligible Investor(s) as per acted documents and anyare authorised to make information from its true and conditions of the scheme related documents including the Key information Memorandum and apply for allorment of Units of the Scheme(s) of Tata Mutual Fund ("Fund") indicated in this application form. (2) I/We am/are eligible Investor(s) as per acted documents and anyare authorised from the investment. The amount invested in the Scheme(s) is through legitimate sources only and is not for the purpose of contravention and/or evasion of any act, rules, regulations, notifications or directions issued by any regulatory authority out any change in the information funnished from time to time. (4) That in the event, the above information and/or any part of it is/are found to be false/ untrue/misleading, I/We will be liable for the consequences arising therefron. (5) I/We hereby authorize you to disclose, share, remit innovation, any Indian or foreign statutory, regulatory, full independent of the management of the scheme is being recommended to mejus. (8) I/We hereby authorizes/agericis including but not limited to Financial intelligence Unit-India, If(II-INI) etc. without any indicative yell by the Fund/AMC/fits distributor for this investment. (9) For Foreign Nationals Resident in India Indee | Conservative Plan - Regular Plan   |  |  |  |   |   |  |
| No Auto SWP   Fixed SWP (Select Frequency)   Fixed Amount (Frequency Monthly only) Rs.  | Amount <sub>=</sub>  |  |  |  |   | OR All Units  |  |
| Monthly OR Quarterly (Default)  DECLARATION AND SIGNATURES  We am/are not prohibited from accessing capital markets under any order/ruing/judgment etc., of any regulation, including SEBI. I/We confirm that my application is in compliance with applicable Indian and foreign laws. I / We hereby confirm and declare as under: (1) I / We have read, thereby 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. (2) I/We an/are eligible Investor(s) as per lated documents and am/are authorised to make this investment. The amount invested in the Scheme(s) is through legitimate sources only and is not for the purpose of contravention and/or evasion of any act, rules, regulations, notifications or directions issued by any regulatory authority in Information and or or intervention and/or evasion of any act, rules, regulations, notifications or directions issued by any regulatory authority in Information furnished from time to time. (4) That in the event, the above information and/or any part of it including the changes/updates that may be provided by me/us to the Mutual Fund, its Sponsor/s, Trustees, Asset Management Port. (1) (IAMPIL) Fund and undertake to inform the AMC / Fund/Registras and Transfer Agent (RT) and provided by me/us to the Mutual Fund, its Sponsor/s, Trustees, Asset Management Company, its employees, agents and third party service providers, SEBI registered intermediates for single bmission, any Indian or foreign statutory, regulatory, judicial authorities/agencies including but not limited for Inamerical intelligence Unit-India (FUI-IND) let without any intimation/advice to me/us. (6) I/We will indemnify the Fund, AMC, Trustee, RTA and other intermediates for single bmission, any Indian or foreign statutory, regulatory, regu  |  | licable after  | ·  |  |   | Refer Sec.  |  |
| Ne am/are not prohibited from accessing capital markets under any order/ruling/judgment etc., of any regulation, including SEBI. I/We confirm that my application is in compliance with applicable Indian and foreign laws. 1 / We hereby confirm and declare as under: (1) 1 / We have read, d hereby agree to comply with the terms and conditions of the scheme related documents including the Key Information Memorandum ad apply for allotment of Units of the Scheme(s) of Tata Mutual Fund ("Fund) indicated in this application form. (2) I/We am/lare eligible Investor(s) as a dar advare authorised to make this investment. The amount invested in the Scheme(s) is through legitimate sources only and is not for the purpose of Contravention and/or any act, rules, regulations, notifications or directions issued by any regulatory authority is information given in / with this application form is true and correct and further agree to furnish such other further/additional information as may be required by the Tata Asset Management Pvt. Ltd. (TAMPL)/ Fund and undertake to inform the AMC / Fund/Registrars and Transfer Agent (RT) out any change in the information and/or any part of it including the technique of the changes (undertake that may be provided by me/us to fund to be false/ untrue/misleading.) (We will be liable for the consequences arising therefrom. (5) I/We hereby authorize you of discloses, share, remit in anney/mode the obeninformation and/or any part of it including the changes/updates that may be provided by me/us to fund the formation furnished from time to time. (4) That in the event, the above information and/or any part of it including the changes/updates that may be provided by me/us for including the time to time. (4) That in the event, the above information and/or any part of it including the changes (undertake to information from the AMC / Fund/Registrars and Transfer Agent (RT) and the provided by me/us to disclose the transfer Agent (RT) and the provided by me/us to disclose the change in residential provided   |  |  |  | ed Amount (Frequency Mont  | hly only) Rs.   |   |  |
| Sole / 1st Applicant Signature / 2nd Applicant Signature / 3rd Applicant Signature / Thumb Impression Thumb Impression  | . DECLARATION AND SIGNATURES  //e am/are not prohibited from accessing capital markets under any order/ d hereby agree to comply with the terms and conditions of the scheme rela ated documents and am/are authorised to make this investment. The amo e information given in / with this application form is true and correct and f out any change in the information furnished from time to time. (4) That in mer/mode the above information furnished from time to time. (4) That in minssion, any Indian or foreign statutory, regulatory, judicial, quasi-judicial pute regarding the eligibility, validity and authorization of my/our transacti ds from amongst which the Scheme is being recommend to me/us. (8) redeem my/our entire investment/s before I/We change my/our Indian res | ruling/judgment etc., of<br>ted documents including<br>int invested in the Scher<br>urther agree to furnish 3<br>the event, the above inf<br>ges/updates that may but<br>authorities/agencies inc<br>ons. (7) The ARN holder<br>//We hereby confirm tha<br>idency status. //We shall | any regulation, including SEBI. I/We confirm that my the Key Information Memorandum and apply for al melo; is through legitimate sources only and is not f such other further/additional information as may be r formation and/or any part of it is/are found to be fa provided by me/us to the Mutual Fund, its Sponse sluding but not limited to Financial intelligence Unit- (AMFI registered Distributor) has disclosed to me/us 1/We have not been offered/communicated any in be fully liable For all consequences (including taxta)   | lotment of Units of the Scheme(s) of Tata Mutual Fior<br>or the purpose of contravention and/or evasion of<br>equired by the Tata Asset Management Prt. Ltd. (T.<br>Ise/ untrue/misleading, I/We will be liable for the<br>orthogology of the properties of the properties of the<br>india (FIU-IND) et without any intimation/advice to<br>all the commissions (in the form of trail commiss<br>dicative portfolio and/or any indicative yield by the<br>only arising out of the failure to redeem on account | und ('Fund') indicated in<br>any act, rules, regulatio<br>AMPL)/ Fund and undert:<br>consequences arising the<br>ployees, agents and thir<br>me/us. (6) I/We will ind<br>ion or any other mode),<br>e Fund/AMC/its distribut<br>t of change in residentia | this application form. (2) / We am/are eligible livestor(s) as per the scf is, notifications or directions issued by any regulatory authority in India ke to inform the AMC / Fund/Registrars and Transfer Agent (RTA) in wrefrom. (5) //We hereby authorize you to disclose, share, remit in any for a party service providers, SEBI registered intermediaries for single upda eminify the Fund, AMC, Trustee, RTA and other intermediaries in case of payable to him/them for the different competing Schemes of various M or this investment. (9) For Foreign Nationals Resident in India only; status. (10) For Nation IV. We confirm that my apolication |  |
| Acknowledgement Slin  | Sole / 1st Applicant Signatur<br>Thumb Impression  | re /   | 2nd Applicant<br>Thumb Im  | Signature /  | 3   | rd Applicant Signature /<br>Thumb Impression  |  |
|   | rata   |  |  |  |   | <del>-</del> <del>-</del>   |  |

## INSTRUCTIONS FOR FILLING EXISTING INVESTOR APPLICATION FORM



 The Statement of Additional Information (SAI), Scheme Information Document (SID) and Key Information Memorandum (KIM) of the schemes are available on 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 (EUIN): 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. 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 EUIN box is left blank, you are required to provide the duly signed declaration to the effect as given in the form.
- iii. New cadre distributors: Postal agents, retired government and semi-government officials (class III and above or equivalent), retired teachers and retired bank officers (all such retired persons with at least 10 years of service) and other similar persons (such as Bank correspondents) as may be notified by AMFI/ the AMC from time to time as new cadre distributors are permitted to sell eligible schemes of the Fund. In case your application for subscription through such distributor, is not from an eligible scheme, it is liable to be rejected.
- iv. Overseas distributors: For, overseas Distributors, the ARN Code provided by AMFI is required to be incorporated in the space provided. However, such 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 laws, rules and regulations of jurisdictions where they carry out their operations in the capacity of distributors.

#### v. Transaction Charges:

In accordance with SEBI circular No. Cir/ IMD/ DF/13/ 2011 dated August 22, 2011, Tata Asset Management Pvt. Ltd./ 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.  $10,000/\mbox{-};$
- c. for transactions other than purchases / subscriptions relating to new inflows i.e. through Switches / Systematic Transfers / IDCW Transfers/ IDCW 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).

### vi. 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: TAMPL / 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.
  - Payment by employer on behalf of employee under Systematic Investment Plan (SIP) facility through payroll deductions;
  - 2. 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<br>mentioned by the<br>Investor | Plan<br>mentioned by<br>the investor | Default Plan to<br>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. Default option for scheme: In case investor fails to specify even a single plan, then units shall, by default, be issued under the following plans depending upon the age of the investors:
  - i) In case the age of investor is less than 45 years then units shall be allotted under "Progressive Plan".
  - ii) In case the age of investor is 45 years or more but less than 60 years then units shall, by default, be allotted under "Moderate Plan"
  - iii) In case the age of investor is 60 years or more then units shall, by default, be allotted under "Conservative Plan".
- xiii. In cases of wrong/ invalid/ incomplete ARN codes mentioned on the application form, the application shall be processed under Regular Plan. TAMPL 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 TAMPL 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.
- The condition for minimum amount in the switch-in schemes is not applicable for "ALL UNITS" switch-out.
- 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
  - Folio has both the Plans and Both plans have unit balance under different options then the switch request will be rejected
- Applications incomplete in any respect are liable to be rejected. Tata Asset Management Pvt. Ltd. (the AMC) / Tata Trustee Company Pvt. Ltd. (Trustee) have absolute discretion to reject any such Application Forms.
- absolute discretion to reject any such Application Forms.

  6. 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.

|                           |                                 |              |          | %                       |
|---------------------------|---------------------------------|--------------|----------|-------------------------|
|                           |                                 | Acknowledgem | ent Slip |                         |
| Cheque Details            |                                 | _            | ·        |                         |
| Cheque No                 | Dated                           | A/c. No      | Bank     |                         |
| Call (022) 6282 7777 (Mor | nday to Saturday 9:00 am to 5:3 | (0 pm)       |          | Subject to realisation. |