

ADDITIONAL PURCHASE / SWITCH FORM FOR TATA RETIREMENT SAVINGS FUND

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



1. ADVISOR DETAILS

Refer Instruction 2.

ARN / RIA Code	Sub-Broker ARN Code	Sub-Broker / Bank Branch Code	EUIN Code
Internal Code	OR ☐ 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 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 st Holder Name	PAN		
C-KYC	Date of Birth	Mobile No.	Mobile belongs to ☐ Self ☐ Parent ☐ Sibling ☐ Custodian ☐ Spouse ☐ Child ☐ Guardian ☐ PMS ☐ POA
2 nd Holder Name	PAN		
C-KYC	Date of Birth	Mobile No.	Mobile belongs to ☐ Self ☐ Parent ☐ Sibling ☐ Custodian ☐ Spouse ☐ Child ☐ Guardian ☐ PMS ☐ POA
3 rd Holder Name	PAN		
C-KYC	Date of Birth	Mobile No.	Mobile belongs to ☐ Self ☐ Parent ☐ Sibling ☐ Custodian ☐ Spouse ☐ Child ☐ Guardian ☐ PMS ☐ POA

3. ADDITIONAL PURCHASE DETAILS

Refer Instruction 3.

TATA RETIREMENT SAVINGS FUND	
Plan Name	Please tick the appropriate option (any one per plan)
☐ Progressive Plan - Regular Plan ☐ Progressive Plan - Direct Plan	☐ Auto Switch Option 1 (Progressive to Moderate @ age 45; Moderate to Conservative @age 60), ☐ Auto Switch Option 2 (Progressive to Conservative @ age 60) ☐ No Auto Switch
☐ Moderate Plan - Regular Plan ☐ Moderate Plan - Direct Plan	☐ Auto Switch Option 3 (Moderate to Conservative @ age 60) ☐ No Auto Switch
☐ Conservative Plan - Regular Plan ☐ Conservative Plan - Direct Plan	-----
Payment Mode : ☐ OTM facility (Registered in folio) ☐ Cheque / DD ☐ Fund Transfer ☐ NEFT / RTGS	
Gross Amount (A) ₹	DD Charges (if any) (B) ₹
Account Number	Account Type
Drawn on Bank	Dated
Branch	Cheque / DD / UTR No.
	Branch City

4. SWITCH DETAILS

Refer Instruction 4.

From Scheme / Plan / Option	
To Scheme TATA RETIREMENT SAVINGS FUND	
Plan Name	Please tick the appropriate option (any one per plan)
☐ Progressive Plan - Regular Plan ☐ Progressive Plan - Direct Plan	☐ Auto Switch Option 1 (Progressive to Moderate @ age 45; Moderate to Conservative @age 60), ☐ Auto Switch Option 2 (Progressive to Conservative @ age 60) ☐ No Auto Switch
☐ Moderate Plan - Regular Plan ☐ Moderate Plan - Direct Plan	☐ Auto Switch Option 3 (Moderate to Conservative @ age 60) ☐ No Auto Switch
☐ Conservative Plan - Regular Plan ☐ Conservative Plan - Direct Plan	-----
Amount (in figure) ₹	OR ☐ Units (in figure) OR ☐ All Units

5. AUTO SWP FACILITY (Will be applicable after attaining 60 years).

Refer Sec. H

☐ No Auto SWP	☐ Fixed SWP (Select Frequency) ☐ Monthly OR ☐ Quarterly (Default)	☐ Fixed Amount (Frequency Monthly only) Rs.
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6. DECLARATION AND SIGNATURES

I/We 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. I / We hereby confirm and declare as under:- (1) 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. (2) I/We am/are eligible Investor(s) as per the scheme related 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 India. (3) The 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 (RTA) in writing about any change in the information furnished 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 therefrom. (5) I/We hereby authorize you to disclose, share, remit in any form/ manner/mode 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 Company, its employees, agents and third party service providers, SEBI registered intermediaries for single updation/ submission, any Indian or foreign statutory, regulatory, judicial, quasi-judicial authorities/agencies including but not limited to Financial Intelligence Unit-India (FIU-IND) etc without any intimation/advice to me/us. (6) I/We will indemnify the Fund, AMC, Trustee, RTA and other intermediaries in case of any dispute regarding the eligibility, validity and authorization of my/our transactions. (7) 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. (8) 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. (9) For Foreign Nationals Resident in India only: I/We will redeem my/our entire investment/s before I/We change my/our Indian residency status. I/We shall be fully liable for all consequences (including taxation) arising out of the failure to redeem on account of change in residential status. (10) For NRIs/ PIO/OCIs only: I/We confirm that my application is in compliance with applicable Indian and Foreign laws. (11) I/We hereby accord my/our consent to TATA AMC for receiving the promotional information/ material via email, SMS, telemarketing calls, etc. on the mobile number and email provided by me/us in this Application form. Date: -----

Sole / 1st Applicant Signature / Thumb Impression	2nd Applicant Signature / Thumb Impression	3rd Applicant Signature / Thumb Impression
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Acknowledgement Slip

Received from Mr./Ms./M/s. Folio No. ₹

for purchase / switch in Scheme Name (mention cheque details overleaf) Subject to realisation.

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. 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 (EUIDN): Every employee/ relationship manager/ sales person of the distributor of mutual fund products to quote the EUIDN 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 EUIDN 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 EUIDN 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:

- where the Distributor of the investor has not opted to receive any Transaction Charges
- for purchases / subscriptions / total commitment amount in case of SIP of an amount less than Rs. 10,000/-;
- for transactions other than purchases / subscriptions relating to new inflows i.e. through Switches / Systematic Transfers / IDCW Transfers/ IDCW Reinvestment, etc.;
- for purchases / subscriptions made directly with the Fund (i.e. not through any Distributor); and
- 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

- It is mandatory to provide the folio number.
- 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.
- 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.'
- 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
- 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.
- Cheques once returned in clearing will not be represented and the accompanying applications may not be considered for allotment.
- 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;
- 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. 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:

- In case the age of investor is less than 45 years then units shall be allotted under "Progressive Plan".
- 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"
- 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

- 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.
- 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).
- 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:
 - 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.
 - 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
 - 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.
- 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.