

TRANSACTION SLIP

Investment Manager: Tata Asset Management Ltd. **Trustee:** Tata Trustee Company Ltd.

Investor Services: Mulla House, Ground Floor, M. G. Road, Fort, Mumbai - 400001.

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)**



Expertise that's trusted

Financial Advisor Code/ARN No.	Sub-Financial Advisor Code
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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.

Folio Number: _____ **Date:** _____

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

	Name	PAN Number	KYC Compliant Status (If yes attach proof). Refer Instruction 3.
First Applicant/Guardian*			<input type="checkbox"/> Yes <input type="checkbox"/> No
Second Applicant			<input type="checkbox"/> Yes <input type="checkbox"/> No
Third Applicant			<input type="checkbox"/> Yes <input type="checkbox"/> No

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

ADDITIONAL PURCHASE REQUEST

Scheme	Option
Gross Amount in ₹	DD Charges ₹ (if any)
₹ (in Words)	Net Amount in ₹
Account No.	Cheque/DD No.
Drawn on Bank & Branch	Dated

SWITCH REQUEST

From (Scheme)	Option
To (Scheme)	Option
No. of Units	Transaction No _____ or
Amount (₹)	Amount (in Words)

TRIGGER FACILITY (For Tata Infrastructure Fund)	Would you like to avail of the Trigger Facility? <input type="checkbox"/> Yes <input type="checkbox"/> No
Trigger choice: (Tick (✓)NAV Appreciation): <input type="checkbox"/> 5% <input type="checkbox"/> 10% (Default: 10%)	Trigger option: <input type="checkbox"/> Switch to Tata Floater Fund - Growth Option <input type="checkbox"/> Redeem
Default Trigger at 10%.	(Default: Switch to Tata Floater Fund)

REDEMPTION REQUEST

Scheme	Option
No. of Units	Transaction No _____ or
Amount (₹)	Amount (in Words)

The Trustee, Tata Mutual Fund

a) Having read & understood the contents of the Scheme Information Document of the 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 Customer" process is not completed by me/us to the satisfaction of the AMC, I/ We hereby authorise the AMC, to 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 are true and correct. **e)** I/We have read & understood the SEBI Circular No. MRD/DoP/Cir-05/2007 dt. April 27, 2007 & SEBI Circular No. 35/MEM-COR/18/07-08 dt. June 26, 2007 regarding mandatory requirement of PAN. I/We confirm that I/we are holding valid PAN card.

Signature(s)
/ Thumb Impression

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Folio _____ Scheme _____ Option _____	For office use Signature of receiving authority.	
Received from Mr./Ms. _____		
<input type="checkbox"/> Additional Purchase: ₹. _____ (In Words) _____	Date of Receipt:	Time of Receipt:
Cheque/DD No _____ dated _____ drawn on _____		
<input type="checkbox"/> Redemption <input type="checkbox"/> Switch: Amount (₹) _____ ₹ in words _____		
OR Unit _____ <input type="checkbox"/> Change of Address <input type="checkbox"/> Change of Bank Account		

Current Load structure enclosed

<input type="checkbox"/> CHANGE OF OPTION	
From (Scheme) _____	Option _____
FROM: DIVIDEND PAYOUT / DIVIDEND REINVESTMENT	TO: DIVIDEND PAYOUT / DIVIDEND REINVESTMENT

<input type="checkbox"/> CHANGE OF ADDRESS (Refer Instruction - 2)		
Address _____		
City _____	State: _____	Pincode: _____
Tel. (R) _____	Tel. (O) _____	Mobile _____

<input type="checkbox"/> EMAIL COMMUNICATION	
Email Address	_____
Consent to receive Email communication: <input type="checkbox"/> Yes <input type="checkbox"/> No.	
I would like to receive Account Statements, Newsletters, Annual Reports and other Statutory information / documents only by email.	

<input type="checkbox"/> CHANGE/ADDITION OF BANK ACCOUNT DETAILS (of Sole/First Holder Only) - Refer instructions - 9, 10, 11, 12.	
<input type="checkbox"/> Change of default Bank Mandate <input type="checkbox"/> Addition of Bank Mandate <input type="checkbox"/> Crediting Redemption Proceeds (in case of multiple bank registered <input type="checkbox"/>)	
Name of Your Bank _____	Branch _____
Your Account No. _____	_____
Bank Address _____	
City _____	PIN _____
_____	MICR Code _____
Account Type _____	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> NRO <input type="checkbox"/> NRNR <input type="checkbox"/> NRE
*IFSC Code for RTGS _____	*IFSC Code for NEFT _____
* This is a 11 Digit Number, kindly obtain it from your Bank Branch. (Cancelled cheque is Mandatory)	

<input type="checkbox"/> DIRECT CREDIT FACILITY FOR REDEMPTION / DIVIDEND	
Tata Mutual Fund directly credits the Dividends/Redemption/Payout into the investor Bank Account in case the account is with ICICI Bank Ltd./HDFC Bank Ltd./Axis Bank /IDBI Bank/Standard Chartered Bank/Kotak Bank/HSBC Bank/Deutsche Bank/Royal Bank of Scotland/State Bank of India (Core banking centers only).	
I/We understand that the instruction to the bank for Direct Credit/ECS/NEFT will be given by the Mutual Fund & such instruction will be adequate discharge of Mutual Fund towards redemption/dividend/payout proceeds. In case of bank not crediting my/our bank account with/without assigning any reason thereof or if the transaction is delayed or not effected at all for reasons of incomplete or incorrect information, I/We would not hold Tata Mutual Fund responsible. I/We understand that in case account number furnished by me/us, if found incorrect, I/We would not hold Tata Mutual Fund responsible for the credit going to the wrong account. Further, the Mutual Fund reserves the right to issue a demand draft/payable at par cheque in case it is not possible to make payment by DC.	
If however you wish to receive cheque payment, please tick here <input type="checkbox"/>	

Signature(s) / Thumb Impression		
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INSTRUCTIONS

1.) Please mention the change of address (only KYC non-compliant investor) / bank mandate (if any) in the form for redemption / Switch / Additional Investment. 2.) If you are KYC Compliant, request for change of address has to be submitted at POS of CVL using their form. Please do not use this form. 3.) PAN is mandatory for investments in Mutual Funds. Currently, KYC is mandatory for purchases of units by non individual investors i.e. corporate, partnership firms, Trusts; NRIs, PIOs, OICs, and all channel investors i.e. investors introduced through a distributor under a special arrangement titled as "Channel Investor"/"Channel Distributor" irrespective of the amount of investment and such transactions must be accompanied with a documentary proof of KYC compliance. For resident Individuals an application for purchase of units amounting to ₹. 50,000/- or more should be accompanied with a documentary proof of KYC compliance. In case of a minor, PAN details of the Guardian must be submitted. Application without this would be rejected by the Mutual Fund without any reference to the investor. 4.) 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. 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.) For fresh purchases under new scheme, plan or option - please refer the respective SID/SAI/KIM for more details. 7.) Please mention the Transaction No. in respect of every redemption request. If there is no such mention units will be redeemed on a first allotted first repurchased basis. Only 4 transaction numbers can be mentioned per transaction slip. 8.) If there is no sufficient amount/ units, the balance available free units in the respective account will be redeemed/ switched. 9.) 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 and the request for Change of bank mandate will be rejected. 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. 10.) Please inform the purpose of the request clearly by choosing ANY ONE of the options among (i) Change of default Bank Mandate (ii) Addition of Bank Mandate (iii) Bank Account for crediting redemption proceeds. Please Note (a) The selection "Bank account for crediting redemption proceeds" will be executed only if the mandate is already registered. (b) In case, where there are more than one bank mandates registered the bank mandate will be used only for the specific transaction and the default mandate will remain unchanged. (c) In case of any ambiguity the request will not be processed. 11.) Any of the following documents are valid supporting documents for registration of a bank documents: (a) A cancelled original cheque leaf (where the number and first unit holder name is printed on the face of cheque). (b) A letter from the bank on its letterhead certifying that the unit holder maintain as/maintained an account with the bank, account numbers, bank branch, account type, MICR of the branch & IFSC Code for NEFT & IFSC code for RTGS (where available). The letter should be certified by the bank manager with his/her full signature, name employee code, bank seal and contact number. (c) A copy of the bank pass book or statement of bank account having the name and address of the account holder and account number. The copy should be attested by the bank manager with his/her full signature, name employee code, bank seal and contact number. 12.) In case of Change of mandate, please provide the proof for OLD bank mandate as well. 13.) Please use this transaction slip only for Tata Service Industries Fund and Tata Contra Fund. 14.) Sign on all pages else instructions/requests only on signed leaf will be processed. 15.) Requests for change from dividend option to growth option and vice versa should be given under switch request. 16.) Refer Key Information Memorandum (KIM) for default options.

Tata Form: 06.12.10