



Application For Empanelment As A Distributor

TATA MUTUAL FUND

Fort House, 221 Dr. D. N. Road, Fort, Mumbai 400001.

Affix Recent Passport
size Photograph
For Individuals

To,
The Managing Director
Tata Asset Management Ltd.
Mumbai.

(Application Form must be filled in BLOCK LETTERS in English)

Dear Sir,

I / We hereby apply for the distribution agency of the TATA Mutual Fund and in support thereof, I/We furnish hereunder the requisite information.

Name : Mr / Ms / M/s _____

Address in full : _____

_____ City : _____ Pin:

Tel no . _____ Fax: _____ Mobile No.: _____

E-mail Id : _____

Date of Birth / Incorporation (DD / MM / YYYY)

ARN _____ valid upto (DD/MM/YYYY)

PAN Circle / Ward / District

Form 60 submitted

For Individual :

Educational Qualification _____

Occupation : Service Business Housewife Retired others

Wedding Anniversary (DD/MM/ YYYY)

For Non - individual :

Status : Company Bank Partnership Firm NBFC Others (Specify) _____

Name of CEO/Proprietor / Key Person : _____ Telephone : _____

Contact Person (s) _____

Bank details :

Bank Name _____ Branch _____

Address: _____

City _____ Pin:

A/c Type : SB Current NRO NRE NRNR

A/c No.

A/c no in words

RTGS Code No.

RTGS Code No. in words

Mode of Payment : *Direct credit Cheque

* Direct credit facility for brokerage

Tata Mutual Fund directly credits the Brokerage into the Distributor Bank Account in case the Bank Account is with ICICI Bank Ltd./HDFC Bank Ltd./UTI Bank /IDBI Bank/Standard Chartered Bank/Kotak Bank/HSBC Bank/ Deutsche Bank.

I / We understand that the instruction to the bank for Direct Credit will be given by the Mutual Fund and such instruction will be adequate discharge of Mutual Fund towards brokerage amount. 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.

Total Experience (no of years) _____ Client Profile: HNI Retail
 Corporate Others _____

Reach / Network : Local Regional All India

Type of MF products you offer to the client : Cash fund Debt fund Equity fund
 MIPs All

Business procured for other MFs in the past three years:

Organisation	Rs. (Year 1)	Rs. (Year 2)	Rs. (Year 3)

Relevant document(s) submitted : Yes No (please check documents list mentioned at pt 12 in terms & conditions)

Declaration:

This is to certify that _____ is a partnership / corporate / proprietorship firm and all employees engaged in sales and distribution activities are AMFI certified and also have applied for / received their ARN photo ID cards.

"I will comply with the provisions of The Prevention of Money Laundering Act, 2002 guidelines issued by Securities and Exchange Board of India and association of Mutual Funds in India from time to time in this regards."

Place : _____

Date : _____

(Signature of the Applicant)

Nomination Form
(For Individuals)

To

Tata Asset Management Ltd.
Fort House, 221 Dr. D. N. Road,
Fort, Mumbai 400001.

Distributor Details

Name : _____

ARN Code : _____

Address : _____

Dear Sir,

I/we _____

do hereby nominate the following person in whom on my/our death, the amount payable to me/us in respect of the commission pertaining to the units canvassed by me/us specified below shall vest and to whom such amount shall then be payable.

NOMINEE: Shri/Smt/Kumari _____

Address: _____

Signature _____

#(Date of birth, if minor) _____

The above nominee is a minor whose guardian's name, signature and address are as under.

Guardian : Shri/Smt _____

Signature _____

Address : _____

#This nomination is in substitution of the nomination dated _____ and registered in your books which nomination shall stand cancelled on registration of this nomination.

(Delete/strike off if not applicable)

Place:

Date:

Signature of Distributor

Witness:

1. Name : _____

Address : _____

Signature : _____

2. Name : _____

Address : _____

Signature : _____

(For AMC use only)

Signature verified:

Signature of authorized person:

Objection if any:

Nomination verified _____

TERMS AND CONDITIONS

1. A distributor shall carry out such directions and instructions as may from time to time, be issued by Tata Asset Management Ltd. (AMC) in this regard.
2. A distributor /or its employee who are involved in distribution of MF products must have cleared the AMFI test clearance (Advisor module). A copy of ARN card, AMFI certificate & PAN card must be submitted by the distributor to Tata Asset Management Ltd., for its records and verification.
3. A distributor is not authorised to issue any receipt for cheques and demand drafts received alongwith the application forms on behalf of the AMC. The agent shall at no point of time receive cash on behalf of the AMC.
4. A distributor is eligible for brokerage on the amounts mobilized by him at the rate(s) prescribed by AMC. The rate(s) are subject to revision, from time to time, at the discretion of the AMC and the agent shall be bound by such changes. The brokerage payable, shall be inclusive of any tax, service tax, cost, charges and expenses incurred by the agent in connection with the agency.
5. The agent declares and covenants with the AMC to defend, indemnify and hold the AMC and its affiliates, promoters, successors in interest and permitted assigns harmless from and against all claims, damages or assertions of liability of any kind or nature resulting from:
 - a) any breach of terms, covenants and conditions or other provisions hereof, or offer document(s) or any actions or omissions thereunder;
 - b) any failure to comply with all applicable legislation, statutes, ordinances, regulations, administrative rulings or requirements of law;
 - c) the misfeasance, malfeasance or fraudulent acts of the representatives of the agents; and
 - d) any and all actions, suits, proceedings, assessments, settlement, arbitration judgments, cost and expenses, including attorneys' fees, resulting from any of the matters set forth above.
6. The appointment of a distributor shall be liable to be terminated by the AMC forthwith:
 - a) If he/she is found to be a minor or adjudicated as an insolvent or found to be of unsound mind by a court of competent jurisdiction;
 - b) If in course of any judicial proceeding it is found that he/she has knowingly participated in or connived at any fraud, dishonesty or misrepresentation against the AMC or any Unit holder of Tata Mutual Fund (Mutual Fund)
 - c) If the AMC is satisfied that any statement made in the Agent Registration Form was false or misleading or calculated to mislead;
 - d) If he / she acts in any other manner prejudicial to the interest of the AMC / Mutual Fund; and
 - e) If he / she does not comply with all applicable legislation, statutes, ordinances, regulations, administrative rulings or requirements of law.
 - f) If he / she fails to comply with the terms and conditions mentioned in this empanelment form.
7. In addition to what is stated in the preceding paragraphs the AMC shall have the right to terminate the appointment of agent at any time by giving the agent 10 days notice and assigning any reasons thereof. A distributor may also terminate the agency at any time by giving 10 days notice to the AMC.
8. A distributor shall not have any claim against the AMC/Mutual Fund for any loss incurred by him/her as not anticipated and arising out of any revision in the rate(s) of commission for business canvassed.
9. A distributor must read and understand the Offer Document of the respective scheme(s) carefully and explain the risks, investment objectives and the special features of the schemes to the investors. The agent must not make any representation concerning Units or the Mutual Fund except those contained in the Offer Document of the respective scheme(s), the Key Information Memorandum containing Application Forms and printed information issued by the AMC as information supplemental to such documents.
10. The agent must not use any unethical means to sell, market or induce any investor to buy Units of Tata Mutual Fund.
11. The nominee of individual distributor will receive trail commission on business done before the demise of the distributor holding ARN card. The nominee will not be entitled for any commission on SIP investment post demise of distributor. In case of any payment made between the period of actual date of demise and date of intimation of demise, the amount paid shall be recoverable from the nominee.
12. In case of application by non-individuals, a certified true copy of the relevant Board resolution or authority to make the application as the case may be, along with a certified true copy of the MOA/Partnership deed/ Certification of registration / Authorised Signatories list should be submitted. A declaration on company letter head for the employees engaged in sales activity should be submitted.
13. The agent shall use only such Offer Documents, Key Information Memorandum containing Application Forms and advertising material provided by AMC and the agent shall not design its own advertisement of the scheme(s) of Tata Mutual Fund unless it has obtained prior approval in writing from the AMC.
14. The agency shall stand automatically terminated without any notice from the AMC / Mutual Fund upon disqualification or withdrawal of Regulatory or Government Approval to act in the capacity contemplated herein. Upon any termination, the agent shall forthwith return all documents, papers and material pertaining to AMC / Mutual Fund and / or belonging to AMC / Mutual Fund to the AMC.
15. Appointment as a distributor is subject to written confirmation by Tata Asset Management Ltd.
16. In respect of all disputes arising under this empanelment, the courts in Mumbai alone shall have jurisdiction.
17. The agent shall comply with the provisions of the Securities and Exchange Board of India (Mutual Funds) Regulations, 1996 and guidelines issued by SEBI/AMFI Form time to time pertaining to mutual funds with specific focus on regulations/guidelines on advertisements / sales literature and code of conduct for distributors and shall adhere to it at all times.

FORM NO.60

(See second proviso to rule 114 B)

Form of declaration to be filed by a person who does not have a permanent account number and who enters into any transaction specified in rule 114B

1. Full name :
- Address of the declarant :
-
- Details of the document being produced in support of address in column 1
- Ration Card Passport Driving Licence Identity Card Issued by any Institution Copy of electricity bill or telephone bill showing residential address
- Any document or communication issued by any authority of the Central Government, State Government or local bodies showing residential address.
- Any other documentary evidence in support of his address given in the declaration.

2. Particulars of transaction :
3. Amount of the transaction :
4. Are you assessed to tax : Yes / No If yes,
- (i) Details of Ward/Circle/Range where the last return of income was filed?
.....
- (ii) Reasons for not having permanent account number
.....

VERIFICATION

I,, do hereby declare that what is stated above is true to the best of my knowledge and belief.

Verified today, theday of

Date :Place : Signature of the declarant

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