



## **NOTICE CUM ADDENDUM**

Notice cum addendum to the Scheme Information Document (SID) & Key Information Memorandum (KIM) of all schemes of Tata Mutual Fund & Statement of Additional Information (SAI) of Tata Mutual Fund.

### **Implementation of the Prevention of Money-laundering (Maintenance of Records) Second Amendment Rules, 2017 with respect to seeding of Aadhaar number:**

Investors are requested to note that the Ministry of Finance (Department of Revenue) in consultation with the Reserve Bank of India has made certain amendments to the Prevention of Money-laundering (Maintenance of Records) Rules, 2005, namely, the Prevention of Money-laundering (Maintenance of Records) Second Amendment Rules, 2017. These Rules have come into force with effect from June 1, 2017. These Rules, inter alia, make it mandatory for investors to submit Aadhaar number issued by the Unique Identification Authority of India (UIDAI) in respect of their investments.

Accordingly, investors are requested to note the following requirements in relation to submission of Aadhaar number and other prescribed details to Tata Mutual Fund (TMF)/Tata Asset Management Limited ("the AMC")/Computer Age Management Services Limited (CAMS) its Registrar and Transfer Agent:

i. Where the investor is an individual, who is eligible to be enrolled for Aadhaar number, the investor is required to submit the Aadhaar number issued by UIDAI. If such an individual investor is not eligible to be enrolled for Aadhaar number, and in case the Permanent Account Number (PAN) is not submitted, the investor shall submit the PAN or one certified copy of an officially valid document containing details of his identity and address and one recent photograph along with such other details as may be required by the Mutual Fund.

The investor is required to submit PAN as defined in the Income Tax Rules, 1962.

ii. **Where the investor is a non-individual, Aadhaar numbers and PANs (as defined in Income-tax Rules, 1962)** of managers, officers or employees or persons holding an attorney to transact on the investor's behalf is required to be submitted, apart from the constitution documents. In case PAN is not submitted, an officially valid document is required to be submitted. If a person holding an authority to transact on behalf of such an entity is not eligible to be enrolled for Aadhaar and does not submit the PAN, certified copy of an officially valid document containing details of identity, address, photograph and such other documents as prescribed is required to be submitted.

The timelines for submission of the Aadhaar numbers, as per the requirements stated above, are as follows:

#### **i. Requirements for all folios prior to June 01, 2017:**

For folios existing prior to June 01, 2017, investors are required to submit the requisite details/documents, as stated above, by December 31, 2017. In case of failure by such investors, to submit the above details by December 31, 2017, the folios of such investors shall cease to be operational till the time the above details are submitted by the investors.

#### **ii. Requirements for folios opened between June 01, 2017 and October 15, 2017:**

For folios opened between June 01, 2017 and October 15, 2017, investors are required to submit the requisite details/documents, as stated above, by December 31, 2017. In case of failure by such investors, to submit the above details by December 31, 2017, the folios of such investors shall cease to be operational till the time the above details are submitted by the investors.

#### **iii. Requirements for folios opened from October 16, 2017 to December 31, 2017:**

For all folios opened from October 16, 2017 to December 31, 2017, investors are required to submit the requisite details/documents, as stated above, at the time of account opening. In case of failure by such investors, to submit the above details at the time of account opening, the AMC may, at its sole discretion, open the account pending receipt of the requisite details/documents. In such cases where the AMC decides to open the account, if the investors fail to submit the requisite details/documents by December 31, 2017, the folios of such investors shall cease to be operational till the time the above details are submitted by the investors.

#### **iv. Requirements for folios opened from January 01, 2018:**

For all folios opened from January 01, 2018, investors are required to submit the requisite details/documents, as stated above, at the time of account opening. No new folios shall be opened from January 01, 2018, if the requisite details/documents, as stated, are not submitted at the time of account opening.

Where the investors who are individuals or in the case of investors who are non-individuals, managers, officers or employees or persons holding an attorney to transact on the investor's behalf, as the case may be, do not have an Aadhaar number, the proof of enrolment for Aadhaar can be submitted. However, in such cases, the Aadhaar number shall be required to be provided for eventual authentication within the prescribed timeframe of 6 months as aforesaid, failing which the account/folio shall cease to be operational.

Kindly note that all Joint holders, Parents/Guardian/Donor in case of Minor, Karta in case of HUF, Sole Proprietors, Partners in case of Partnership, Directors/Manager etc in case of Companies, POA holder's, Third party investment with proper documentation and verification are covered for seeding of Aadhaar number.

It may also be noted that the requirement of submitting Form 60 as prescribed in the aforesaid notification is not applicable for investment in mutual fund units.

#### **Notes :-**

- The above revision will be implemented prospectively & shall remain in force till further notice.
- This notice cum addendum will form an integral part of the SID/KIM/SAI.
- All other terms & conditions of the SID/KIM/SAI read with other addendums if any remain unchanged.

**Mutual Fund Investments are subject to market risks, read all scheme related documents carefully.**