

## Addendum

### **Addendum to Scheme Information Document(s) / Key Information Memorandum(s) of certain Scheme(s) & Statement of Additional Information of Tata Mutual Fund.**

Following schemes of Tata Mutual Fund have been admitted on the order routing platform of Bombay Stock Exchange Limited ("BSE") & National Stock Exchange of India Limited ("NSE"). Under this facility investors can submit the application for subscription & redemption of units of following schemes of Tata Mutual Fund through the Stock Exchange platform. The introduction of this facility is pursuant to guidelines issued by SEBI vide circular SEBI/IMD/CIR No.11/183204/2209 dated November 13, 2009 & the Stock Exchanges viz. BSE & NSE.

#### **List of eligible Scheme(s):**

No.	Scheme Name	Available on BSE Platform – BSE StAR MF	Available on NSE Platform – MFSS
1	Tata Balanced Fund	Yes	Yes
2	Tata Capital Builder Fund	Yes	Yes
3	Tata Dividend Yield Fund	Yes	Yes
4	Tata Dynamic Bond Fund Option A *	Yes	Yes
5	Tata Dynamic Bond Fund Option B *	Yes	Yes
6	Tata Equity Management Fund	Yes	Yes
7	Tata Equity Opportunities Fund	Yes	Yes
8	Tata Equity PE Fund	Yes	Yes
9	Tata Floater Fund *	Yes	Yes
10	Tata Floating Rate Fund Long Term*	Yes	Yes
11	Tata Gilt Securities Fund – Appreciation*	Yes	Yes
12	Tata Gilt Securities Fund – Bonus*	Yes	Yes
13	Tata Gilt Securities Fund - Regular Income*	Yes	Yes
14	Tata Gilt Securities High Investment Plan – Appreciation*	Yes	Yes
15	Tata Gilt Securities High Investment Plan - Regular Income*	Yes	Yes
16	Tata Gilt Securities Short Maturity Fund – Appreciation*	Yes	Yes
17	Tata Gilt Securities Short Maturity Fund - Regular Income*	Yes	Yes
18	Tata Growing Economies Infrastructure Fund Plan A	Yes	Yes
19	Tata Growing Economies Infrastructure Fund Plan B	Yes	Yes
20	Tata Growth Fund	Yes	Yes
21	Tata Income Fund*	Yes	Yes
22	Tata Income Plus Fund Option A*	Yes	Yes
23	Tata Income Plus Fund Option B*	Yes	Yes
24	Tata Infrastructure Fund	Yes	Yes
25	Tata Life Sciences & Technology Fund	Yes	Yes
26	Tata Mid Cap Fund	Yes	Yes
27	Tata MIP Plus Fund *	Yes	Yes
28	Tata Monthly Income Fund *	Yes	Yes
29	Tata Pure Equity Fund	Yes	Yes
30	Tata Select Equity Fund	Yes	Yes
31	Tata Short Term Bond Fund *	Yes	Yes
32	Tata Tax Saving Fund	Yes	Yes
33	Tata Treasury Manager Fund *	Yes	Yes
34	Tata Services Industries Fund	Yes	No
35	Tata Contra Fund	Yes	No

\*Only Purchase application below Rs 1 Crore will be allowed in these schemes

**The following are the salient features of the new facility introduced for the benefit of investors:**

- 1) This facility i.e. purchase/redemption of units will be available to both existing & new investors. Switching of units will not be permitted through stock exchange platform.
- 2) The investors will be eligible to only purchase /redeem units of the aforesaid schemes. The list of eligible schemes is subject to change from time to time.
- 3) All trading members of BSE & NSE who are registered with AMFI as Mutual Fund Advisors & who have signed up with Tata Asset Management Limited & also registered with BSE & NSE as Participants ("AMFI certified stock exchange brokers") will be eligible to offer this facility to investors. In order to facilitate transactions in mutual fund units through the stock exchange infrastructure, BSE has introduced BSE StAR MF Platform & NSE has introduced Mutual Fund Service System (MFSS).
- 4) The units of eligible Schemes are not listed on BSE & NSE & the same cannot be traded on the Stock Exchange like shares. The window for submission of application for purchase/redemption of units on BSE & NSE will be available between 9 a.m. & 3 p.m. or such other timings as may be decided by the Stock Exchanges.
- 5) Tata Mutual Fund has currently entered into an arrangement with BSE & NSE for facilitating transactions in select Tata Mutual Fund schemes through the AMFI certified stock exchange brokers. Investors who are interested in transacting in eligible schemes of Tata Mutual Fund should register themselves with AMFI certified stock exchange brokers.
- 6) The eligible AMFI certified stock exchange brokers will be considered as Official Points of Acceptance (OPA) of Tata Mutual Fund as per SEBI circular No. SEBI/IMD/CIR No/11/78450/06 dated October 11, 2006.
- 7) Investors have an option to subscribe/redeem units in physical or dematerialized form on BSE StAR MF system. Presently maximum redemption request for physical units will be limited to Rs 1 lakh per transaction per day on BSE StAR MF Platform.
- 8) At present facility to subscribe / redeem units on MFSS is available only in respect of units held in dematerialized mode.
- 9) Investors will be able to purchase/redeem units in eligible schemes in the following manner:

**(i.) Purchase of Units:**

**a. Physical Form (currently available only on BSE StAR MF Platform)**

- The investor who chooses the physical mode is required to submit all requisite documents along with the purchase application (subject to applicable limits prescribed by BSE) to the AMFI certified stock exchange brokers.
- The AMFI certified stock exchange broker shall verify the application for mandatory details & KYC compliance.
- After completion of the verification, the purchase order will be entered in the Stock Exchange system & an order confirmation slip will be issued to investor.
- The investor will transfer the funds to the AMFI certified stock exchange brokers.
- Allotment details will be provided by the AMFI certified stock exchange brokers to the investor.

**b. Dematerialized Form (Available on both platforms i.e. NSE MFSS & BSE StAR MF)**

- The investors who intend to deal in depository mode are required to have a demat account with Central Depository Services (India) Limited ("CDSL") / National Securities Depository Ltd. ("NSDL").
- The investor who chooses the depository mode is required to place an order for purchase of units (subject to applicable limits prescribed by BSE/NSE) with the AMFI certified stock exchange brokers.
- The investor should provide their depository account details to the AMFI certified stock exchange brokers.
- The purchase order will be entered in the Stock Exchange system & an order confirmation slip will be issued to investor.
- The investor will transfer the funds to the AMFI certified stock exchange brokers.

**(ii.) Redemption of Units:**

**a. Physical Form (currently available only on BSE StAR MF Platform)**

- The investor who chooses the physical mode is required to submit all requisite documents along with the redemption application (subject to applicable limits prescribed by BSE, if any) to the AMFI certified stock exchange brokers. Presently maximum redemption request will be limited to Rs 1 lakh per transaction per day on BSE StAR MF Platform. The facility of redemption of units in physical form is currently not available for MFSS system
- The redemption order will be entered in the Stock Exchange system & an order confirmation slip will be issued to investor.
- The redemption proceeds will be credited to the bank account of the investor, as per the bank account mandate recorded with Tata Mutual Fund & within the timelines as per SEBI regulations as applicable from time to time or it will be sent to the investor in the mode selected by the investor.
- Redemption request may also be submitted to any of the Investor service centers.
- In case investors desire to convert the physical units into dematerialized form, the dematerialized request will have to be submitted with the Registrar.

**b. Dematerialized Form (Available on both platforms i.e. NSE MFSS & BSE StAR MF)**

- The investors who intend to deal in depository mode are required to have a demat account with CDSL/ NSDL & units converted from physical mode to demat mode prior to placing of redemption order.
- The investor who chooses the depository mode is required to place an order for redemption (subject to applicable limits prescribed by BSE/NSE) with the AMFI certified stock exchange brokers. The investors should provide their Depository Participant with Depository Instruction Slip with relevant units to be credited to Clearing Corporation pool account.
- The redemption order will be entered in the system & an order confirmation slip will be issued to investor.
- Presently no limit is applicable for the redemption of units.
- The redemption proceeds will be credited to the bank account of the investor, as per the bank account details recorded with the Depository Participant.

- 10) Applications for purchase/redemption of units which are incomplete /invalid are liable to be rejected.
- 11) In case of non-financial requests/ applications such as change of address, change of bank details, etc. investors should approach Investor Service Centres (ISCs) of Tata Mutual Fund if units are held in physical mode & the respective Depository Participant(s) if units are held in demat mode.
- 12) An account statement will be issued by Tata Mutual Fund to investors who purchase/ redeem their units under this facility in physical mode. In case of investors who intend to deal in units in depository mode, a demat statement will be sent by Depository Participant showing the credit/debit of units to their account.
- 13) The applicability of NAV will be subject to guidelines issued by SEBI on Uniform cut-off timings for applicability of NAV of Mutual Fund Scheme(s)/Plan(s) as per SEBI circular No. SEBI/IMD/CIR No.11/78450/06 dated October 11, 2006 currently, the cut-off time is 3.00 p.m. for above mentioned schemes.
- 14) Investors will have to comply with Know Your Customer (KYC) norms as prescribed by BSE/NSE/CDSL/ NSDL & Tata Mutual Fund to participate in this facility.
- 15) Investors should get in touch with Investor Service Centres (ISCs) of Tata Mutual Fund for further details.

All other terms & conditions of the Schemes will remain unchanged.

The Trustee reserves the right to change/modify the features of this facility at a later date.

This addendum shall form an integral part of the Scheme Information Document(s) / Key Information Memorandum(s) of the aforesaid Scheme(s) & Statement of Additional Information of Tata Mutual Fund as amended from time to time.

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**Statutory Details: Constitution:** Tata Mutual Fund (TMF) has been set up as a Trust under the Indian Trust Act, 1882. **Sponsors & Settlers:** Tata Sons Ltd. & Tata Investment Corporation Ltd. **Trustee:** Tata Trustee Co. Pvt. Ltd. **Investment Manager:** Tata Asset Management Ltd., Fort House, 221, Dr. D. N. Rd, Mumbai 400 001 • Tel: 66578282 **E-mail:** kiran@tataamc.com **Website:** www.tatamutualfund.com

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**Risk Factors** • All investments in Mutual Fund & securities are subject to market risks & the NAV of the units issued under the schemes can go up or down depending on the factors & forces affecting the capital markets • Mutual Fund & securities investments are subject to market risks & there can be no assurance & no guarantee that the objectives of the scheme will be achieved • Past performance of the previous scheme, the Sponsors or its group affiliates is not indicative of & does not guarantee the future performance of the schemes • The above are only the names of the schemes & does not in any manner indicate either the quality of the scheme, its future prospects or the returns • The Sponsors are not responsible or liable for any loss resulting from the operations of the Mutual Fund beyond the contribution of an amount of Rs.1 lac made by them towards setting up of the Mutual Fund. Investments in debt securities are subject to interest rate risk, credit risk & liquidity risk • The present schemes are not guaranteed or assured return schemes • Investment in mutual fund units involves investment risk such as trading volumes, settlement risk, liquidity risk, default risk including the possible loss of capital • **Kindly refer Scheme Information Document (SID), Statement of Additional Information (SAI) & Key Information Memorandum (KIM) of the scheme for applicable loads. For scheme specific risk factors & other details please read the SID/SAI/KIM of the scheme carefully before investing.**