

## ADDENDUM

**This addendum sets out changes to be made in the Statement of Additional Information of Tata Mutual Fund.**

### **Additional mode of payment through Applications Supported by Blocked Amount (ASBA) facility:**

Pursuant to SEBI Circular dated SEBI/MD/CIR No 18/198647 /2010 March 15, 2010 and CIR/IMD/DF/6/2010 dated 28th July'2010, an investor can subscribe to the New Fund Offer (NFO) launched on or after October 01, 2010 through ASBA facility by applying for the units offered under the Option(s)/Plan(s) of the Scheme(s) in the ASBA\* Application Form and following the procedure as prescribed in the form.

**\*Application Supported by Blocked Amount or ASBA** - An application containing an authorization given by the Investor to block the Amount” or “ASBA” application money in his specified bank account towards the subscription of Units offered during the NFO of the Scheme. If an investor is applying through ASBA facility, the application money towards the subscription of Units shall be debited from his specified bank account only if his/her application is selected for allotment of units.

### **Benefits of Applying through ASBA facility**

- I. Writing cheques and demand drafts is not required, as investor needs to submit ASBA application Form accompanying an authorization to block the account to the extent of application money towards subscription of Units. The balance money, if any, in the account can be used for other purposes by the investors.
- II. Release/Unblocking of blocked funds after allotment is done instantaneously.
- III. Unlike other modes of payment, ASBA facility prevents the loss of interest income on the application money towards subscription of Units as it remains in the bank account of the investor till the allotment is made.
- IV. Refunds of money to the investors do not arise as the application money towards subscription of Units gets blocked only on the allotment of Units.
- V. The investor deals with the known intermediary i.e. his/her own bank.
- VI. The application form is simpler as the application form for ASBA will be different from the NFO application form.

### **ASBA Procedure**

(a) An Investor intending to subscribe to the Units of the NFO through ASBA, shall submit a duly completed ASBA Application Form to a Self Certified Syndicate Bank (SCSB), with whom his/her bank account is maintained.

**Note: Self Certified Syndicate Bank (SCSB):** Self Certified Syndicate Bank(SCSB) means a bank registered with SEBI to offer the facility of applying through the ASBA process. ASBAs can be accepted only by SCSBs, whose name appears in the list of SCSBs as displayed by SEBI on its website at [www.sebi.gov.in](http://www.sebi.gov.in).

(b) The ASBA Application Form towards the subscription of Units can be submitted through one of the following Modes:

i) Submit the form physically with the Designated Branches (DBs) of the SCSB (“Physical ASBA”); or

**Note: Designated Branches (DBs) of the SCSB:** Designated Branches (DBs) of the SCSBs are the branches of the SCSBs which shall collect the ASBA Application form duly filled by the Investors towards the subscription to the Units of the Scheme offered during the NFO. The list of these Designated Branches shall be available at [www.sebi.gov.in/pmd/scsb.pdf](http://www.sebi.gov.in/pmd/scsb.pdf).

ii) Submit the form electronically through the internet banking facility offered by the SCSB (“Electronic ASBA”).

(c) An acknowledgement will be given by the SCSB in the form of the counter foil or specifying the application number for reference. Such acknowledgement does not guarantee, in any manner that the investors will be allotted the Units applied for.

**Note:** if the bank account specified in the ASBA Application Form does not have sufficient credit balance to meet the application money towards the subscription of Units, the Bank shall reject the ASBA application form.

(d) On acceptance of Physical or Electronic ASBA, the SCSB shall block funds available in the bank account specified to the extent of the application money specified in the ASBA Application Form.

(e) The application money towards the Subscription of Units shall be blocked in the account until

(i) Allotment of Units is made or (ii) Rejection of the application or (iii) Winding up of the Scheme, as the case may be.

(f) SCSBs shall unblock the bank accounts for (i) Transfer of requisite money to the Mutual Fund / Scheme bank account against each valid application on allotment or (ii) in case the application is rejected.

(g) The list of SCSBs and their DBs where ASBA application form can be submitted is available on the websites of BSE ([www.bseindia.com](http://www.bseindia.com)), NSE ([www.nseindia.com](http://www.nseindia.com)) and SEBI ([www.sebi.gov.in](http://www.sebi.gov.in)) and shall also be given in the ASBA application form.

**Note:** No request for withdrawal of ASBA application form made during the NFO Period will be allowed.

### **Grounds for Technical Rejections of ASBA application forms**

ASBA Application Forms can be rejected, at the discretion of Registrar and Transfer Agent of Tata Mutual Fund or SCSBs including but not limited on the following grounds:-

1. Applications by persons not competent to contract under the Indian Contract Act, 1872, including but not limited to minors, insane persons etc.
2. Mode of ASBA i.e. either Physical ASBA or Electronic ASBA, not selected or ticked.
3. ASBA Application Form without the stamp of the SCSB.
4. Application by any person outside India if not in compliance with applicable foreign and Indian laws.
5. Bank account details not given/incorrect details given.
6. Duly certified Power of Attorney, if applicable, not submitted alongwith the ASBA application form.
7. No corresponding records available with the Depositories matching the parameters namely (a) Names of the ASBA applicants (including the order of names of joint

holders) (b) DP ID (c) Beneficiary account number or any other relevant details pertaining to the Depository Account.

**Notes:-**

- This addendum will form an integral part of the Statement of Additional Information.
- All other terms and conditions of the Statement of Additional Information read with other addendums if any remain unchanged.

**Statutory Details** - Constitution: Tata Mutual Fund (TMF) has been set up as a Trust under the India Trusts Act 1882. Sponsors: Tata Sons Limited and Tata Investment Corporation Limited. Trustee: Tata Trustee Company Ltd. Investment Manager: Tata Asset Management Ltd. **Risk Factors** - **All investments in Mutual Fund and securities are subject to market risks and the NAV of the schemes may go up or down depending upon the factors and forces affecting the capital market. Mutual Funds and securities investments are subject to market risks and there can be no assurance and no guarantee that the scheme will achieve its objective.** Past performance of the previous schemes, the sponsor or its group affiliates is not indicative of and does not guarantee the future performance of the schemes. **The names of the scheme do not in any manner indicate either the quality of the schemes or their future prospects or the returns.** The sponsors are not responsible or liable for any loss resulting from the operations resulting from the scheme beyond the initial contribution of Rs. 1 lac made by them towards setting up the Mutual Fund. Investment by the schemes in debt instruments are subject to interest rate risk, credit risk and investment risk. **For schemes specific risk factors and other details please read the SID / SAI / KIM of the schemes carefully before investing.**