SYSTEMATIC INVESTMENT PLAN (SIP)

Mulla House, Ground Floor, M. G. Road, Fort, Mumbai - 400 001

TATA mutual fund

To

Date: _____

The Trustee, TATA MUTUAL FUND, Mumbai

Having read and understood the contents of the Scheme Information Document and the instructions and information contained therein, I/We hereby apply for the Systematic Investment Plan (SIP) and agree to abide by the terms and conditions mentioned in the plan.

Folio No.	Application No.: (for new investors)

Broker/Agent Code	Sub-Broker/Bank Branch Code	Sub-Broker/ARN Code	EUIN Code

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.

I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this is an "execution-only" transaction without any interaction or advice by the employee/relationship manager/sales person of the above distributor or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor & the distributor has not charged any advisory fees on this transaction.

Sole / 1st Unitholder Signature / Thumb Impression	2nd Unitholder Signature / Thumb Impression	3rd Unitholder Signature / Thumb Impression

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

First Applicant/Guardian*	PAN	KYC Compliant Status (please attach proof) ☐ YES
Second Applicant	PAN	KYC Compliant Status (please attach proof) ☐ YES
Third Applicant	PAN	KYC Compliant Status (please attach proof) ☐ YES

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

Scheme	
Option	
Option	(in words)

Frequency ☐ Monthly ☐ Quarterly SIP Dates: Please mention the date ☐☐ in words _____ day of the month.

e.g. for SIP on 10th please mention 1 0 Tenth day of the month

Cheque No(s).	Dated	Amount (₹)	
		in figures	in words
1.	/ /		
2.	/ /		
3.	/ /		
4.	/ /		
5.	/ /		
6.	/ /		
7.	/ /		
8.	/ /		
9.	/ /		
10.	/ /		
11.	/ /		
12.	/ /		
Drawn on Bank : Branch :			

SIGNATURES **Sole/First Applicant** **Second Applicant** **Third Applicant**

** In case of new application/s, kindly attach duly filled in application form.*

SIP Load Structure as on date of 1st SIP Instalment date (In case of Direct Debit) / Cheque would be applicable.

N.B. Investment under Systematic Investment Plan can be made at Authorised Investor Service Centres only.

Instructions

Important Note: KYC is mandatory for purchases and switches of units and STP/DTP registrations for all investors irrespective of the amount of investment and such transactions must be accompanied with a documentary proof of KYC compliance. Unit holders of these transactions should quote the KYC compliance status of all the applicants (guardian incase of minor) in the application for subscription & attach proof of KYC compliance.

1) There should be a minimum of 15 days between the 1st & 2nd SIP cheque. In case of lesser difference of minimum required days the 1st SIP cheque will be deposited on the subsequent month. (For e.g. - The first application cheque dated 25th December & the investor opting for SIP date as 1st January will be taken into the account on 1st February).

2) Cancellation of SIP request should be submitted before 15 days from the processing date of SIP. For example - The request to be forwarded on or before 9th of October 2013 for the cancellation of SIP on 24th October 2013. If not then it will be considered only for the next month SIP Date.

3) Loads as Prevailing from time to time will be applicable.

4) The first SIP cheque needs to be from the same bank account as the PDCs for your future SIPs.

5) Value of each installment should be the same in all PDCs issued.

6) All PDCs should be given in a sequential order from the same bank account and from the same cheque book.

7) 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.

   In pursuance to Best Practice Guidelines issued by Association of Mutual Funds in India [AMFI] Vide Circular No.135/BP/16/10 dated August 16th 2010 for acceptance of Third party cheques, Tata Asset Management Ltd has decided henceforth not to accept subscriptions with Third-Party cheques* except in the following exceptional situations:

   a) Payment by Parents/Grand-Parents/related persons on behalf of a minor in consideration of natural love & affection or as gift for a value not exceeding ₹ 50,000/- (for each regular purchase or per SIP installment). b) Payment by Employer on behalf of employee under Systematic Investment Plans through Payroll deductions. c) Custodian on behalf of an FII or a client.

   * Third Party Cheque means:

   a) When payment is made through instruments issued from an account other than that of the beneficiary investor, the same is referred to as Third-Party payment.

   b) In case of payments from a joint bank account, the first holder of the mutual fund folio has to be one of the joint holders of the bank account from which payment is made, other wise it will be treated as third party cheque.

   c) Investments from the investor's account with a different bank i.e., the pay-in & payout banks are different, if the pay-in bank mandate could not be established to be that of the investor, it will also be treated as third party investment.

8) **PAN and KYC details:** PAN is mandatory for investments in Mutual Funds. KYC is mandatory for purchases, switch of units for all investors irrespective of the amount of investment and such transactions must be accompanied with a documentary proof of KYC compliance. In case of a minor, PAN and KYC details of the Guardian must be submitted. Application without this would be rejected by the Mutual Fund without any reference to the investor.

   Investors shall note that KYC is mandatory and they need to comply with the 'Know Your Client' requirements, by submitting requisite documents to KYC Registration Agency. For more information on KYC, please log on to www.tatamutualfund.com before investing. Applications are liable to be rejected without any intimation to the applicants, if required KYC compliance is not complied by all the unit holders.

9) **Employee Unique Identification Number (EUIN):** Further, SEBI has made it compulsory for every employee/ relationship manager/ sales person of the distributor of mutual fund products to quote the EUIN obtained by him/her from AMFI in the Application Form. EUIN would assist in addressing any instance of mis-selling even if the employee/ relationship manager/sales person later leaves the employment of the distributor. Hence, if your investments are routed through a distributor please ensure that the EUIN is correctly filled up in the Application Form.

   However, if your distributor has not given you any advice pertaining to the investment, the EUIN box may be left blank. In this case you are required to tick (P) the declaration to this effect as given in the form.

   Overseas Distributors: Overseas Distributors are exempt from obtaining NISM certification and AMFI registration as per AMFI circular No. CIR/ ARN-14/12-13 dated July 13, 2012 and the EUIN requirement as per AMFI Circular No.135/BP/33/2012-13 dated December 31, 2012. However, such Overseas Distributors are required to comply with the guidelines/ requirements as may be issued by AMFI /SEBI from time to time and also comply with the laws, rules and regulations of jurisdictions where they carry out their operations in the capacity of distributors.

10) The Email ID provided will be updated and already exiting email ID, if any, will be overreurn For faster dissemination of information, Unitholders are requested to provide their E-mail IDs. Delivering service through the internet & web-based services such as e-mail is a more efficient delivery channel. Annual report, Account statements & other communication will be sent via email, by default, to investors who have provided their email ID, unless specified otherwise. In such cases, the Mutual Fund / Registrars are not responsible for email not reaching the investor & for all consequences thereof. The Investor shall from time to time intimate the Mutual Fund / its transfer agents about any changes in the email address. In case of a large document, a suitable link would be provided & investor can download, save & print these documents. However, the investor always has a right to demand a physical copy of any or all the service deliverables, & the Fund would arrange to send the same to the investor. It is deemed that the Unitholder is aware of all the security risks associated with online communication, including the possibility of third party interception of the documents sent via email. Mutual Fund / registrar shall not be responsible for e-mail not reaching to the investors and for all consequences thereof.