SYSTEMATIC TRANSFER PLAN FORM

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

TATA mutual fund

1. ADVISOR DETAILS

Refer Instruction 2.

ARN / RIA ^ Code	Sub-Broker ARN Code	Sub-Broker / Bank Branch Code	EUIN Code

Internal Code	OR ☐ Declaration for "execution-only" transaction – 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 and the distributor has not charged any advisory fees on this transaction. ^ By mentioning RIA code, I / we authorize you to share with the SEBI Registered Investment Adviser (RIA) the details of my / our transactions in the schemes(s) of Tata Mutual Fund.

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

2. INVESTOR DETAILS

Folio No.

1st Holder Name			PAN
C-KYC	Date of Birth D D / M M / Y Y Y Y	Mobile No.	Mobile belongs to ☐ Self ☐ Parent ☐ Spouse ☐ Child
2nd Holder Name			PAN
C-KYC	Date of Birth D D / M M / Y Y Y Y	Mobile No.	Mobile belongs to ☐ Self ☐ Parent ☐ Spouse ☐ Child
3rd Holder Name			PAN
C-KYC	Date of Birth D D / M M / Y Y Y Y	Mobile No.	Mobile belongs to ☐ Self ☐ Parent ☐ Spouse ☐ Child

3. PURPOSE OF FORM (tick any one) ☐ Fresh Registration ☐ Cancellation

4. SYSTEMATIC TRANSFER DETAILS

Transferor Scheme / Plan / Option

Transferee Scheme	TATA RETIREMENT SAVINGS FUND	
Transferee Scheme Plan (Select any one)	Please tick the appropriate option (any one per plan)	
☐ Progressive Plan - Regular Plan ☐ Progressive Plan - Direct Plan	☐ Auto Switch Option 1 (Progressive to Moderate @ age 45; Moderate to Conservative @age 60), ☐ Auto Switch Option 2 (Progressive to Conservative @ age 60) ☐ No Auto Switch	
☐ Moderate Plan - Regular Plan ☐ Moderate Plan - Direct Plan	☐ Auto Switch Option 3 (Moderate to Conservative @ age 60)	☐ No Auto Switch
☐ Conservative Plan - Regular Plan ☐ Conservative Plan - Direct Plan	------	

Auto SWP Facility : (Please ✓ any one) Applicable after the age of 60 of the 1st unit holder.

☐ No Auto SWP ☐ Fixed SWP (Select Frequency) ☐ Monthly or ☐ Quarterly (Default) ☐ Fixed Amount (Frequency Monthly only) Rs.

Transfer Plan Details (Select any one)

☐ Fixed Amount Transfer Plan (FATP)	Amount in Rs. ₹	Amount in Words
☐ Fixed Units Transfer Plan (FUTP)	Number of Units	
☐ Capital Appreciation Transfer Plan (CATP)		
☐ Dividend Transfer Plan (DTP)		

Transfer Frequency (Select any one - Not Applicable for Dividend Transfer Plan)

☐ Daily	Only from Monday to Friday [In case any day is a non-business day for any one of the schemes (either STP from or STP to scheme) the STP will be processed as per the matrix provided on our website www.tatamutualfund.com.]	
☐ Weekly	☐ Monday ☐ Tuesday ☐ Wednesday *(Default)* ☐ Thursday ☐ Friday	**In case the day of STP is a non business day the request will be considered for the next business day.**
☐ Monthly	Days of the Month (Select any one)	
☐ Quarterly	☐ 1st ☐ 7th ☐ 10th ☐ 20th ☐ 28th	

Enrolment Period (Not Applicable for Dividend Transfer Plan)

Start Date	End Date		Number of Installments / Transfers
D D / M M / Y Y Y Y	D D / M M / Y Y Y Y	OR	

5. DECLARATION AND SIGNATURES

I/We have read, understood and hereby agree to comply with the terms and conditions of the scheme related documents including the key information Memorandum and apply for allotment of Units of the Scheme(s) of Tata Mutual Fund ("Fund") indicated in this application form. I/We will indemnify the Fund, AMC, Trustee, RTA and other inermediates in case of any disputes regarding the eligibility, validity and authorization of my/our transactions. The ARN holder (AMFI registered Distributor) has disclosed to me / us all the commissions (in the form of trail commission or any other mode), payable to him /them for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us. Date _____.

1st Applicant Signature / Thumb Impression	2nd Applicant Signature / Thumb Impression	3rd Applicant Signature / Thumb Impression

Acknowledgement Slip

TATA mutual fund

Received from Mr./Ms./M/s. _____ Folio No. _____ STP request from Scheme _____ to Schemes _____ for ☐ FATP ☐ FUTP ☐ CATP ☐ DTP for Amount (₹) / Units _____ Subject to verifaction.

INSTRUCTIONS FOR FILLING SYSTEMATIC TRANSFER PLAN FORM

TATA mutual fund

General Instructions

1. This enrolment form should be completed in ENGLISH and in BLOCK LETTERS only. Please tick in the appropriate box for relevant options wherever applicable. Please do not overwrite. For any correction / changes (if any) made on the application form, the sole/all applicants are requested to authenticate the same by canceling and re-writing the correct details and counter-signing the same. This enrolment form, complete in all respects, should be submitted at any of the Official Points of Acceptance of Tata Mutual Fund. Incomplete enrolment form is liable to be rejected.
2. Unitholders are advised to read the Scheme information Document of the respective Scheme(s) i.e. Transferor and Transferee and Statement of Additional Information carefully.
3. Unitholders must use separate enrolment forms for different Schemes/Plans/ Options.
4. The form should be signed as per the mode of holding in the folio.
5. The STP Facility is available only for units held / to be held in Non - demat Mode.

Instructions for Systematic Transfer Plan (STP)

1. There are four OPTIONS:

a. Fixed amount: Fixed amount will be transferred to any Transferee scheme of Tata MF, on the days mentioned under Transfer Frequency below, subject to the terms and conditions of the schemes.

b. Fixed units - Fixed units will be transferred to any other scheme of Tata MF, on the days mentioned under Transfer Frequency below, subject to the terms of the scheme.

c. Capital appreciation: The capital appreciation amount as on the dates mentioned below will be transferred to any other scheme of Tata MF, subject to the terms of the scheme.

d. Dividend amount / Dividend sweep: Dividend sweep is possible only if the investor has opted for Dividend reinvestment. Dividend sweep is not possible if the investor has opted for dividend payout.

i. Dividend declared will be automatically invested into scheme/plan of Tata Mutual Fund, mentioned by the unit holder. E.g. Mr. X has units in TATA Dynamic Bond Fund – Dividend reinvestment option and has opted for Dividend sweep to Tata Retirement Savings Fund – Conservative Plan. As and when dividend is declared in TATA Dynamic Bond Fund, the dividend will be directly transferred to Tata Retirement Savings Fund – Conservative Plan.

ii. Please note that there will be no entry of dividend reinvestment in the scheme where the dividend has been declared and the description in the scheme where the investor has opted dividend sweep will be Dividend Sweep Out.

iii. The frequency of transfer will be dependent on the dividends declared in the scheme where the investment has been made.

iv. The total dividend amount will be automatically invested on the ex-dividend date into another scheme of TATA MF at the NAV of that scheme and accordingly equivalent units will be allotted, subject to the terms of the schemes e.g. If the dividend record date is 9th September 2016 (Friday) and the ex-dividend date is 12th September 2016(Monday), the investor will be allotted units at NAV of the same day i.e. 12th September 2016 (Monday).

v. There is no minimum and maximum amount under this option.

vi. Investor need not mention the STP start date and the END date for Dividend Transfer Plan. The same will be registered on receipt of the application at the registrar back office. Also, the investor should send an intimation in case the ceasure of the DTP is required.

2. Transfer frequency:

a. Monthly and Quarterly:

i. This facility is available under fixed Amount/Units and Capital Appreciation.

ii. The STP dates are 1st / 7th / 10th / 20th and 28th of every month.

iii. The STP dates for quarterly STP are 1st / 7th / 10th / 20th and 28th. The quarter will be taken in to consideration from the first STP month i.e. if the first STP date is 10th Aug 2016, then the next STP will take place on 10th Nov 2016 and then on after every 3 months.

iv. If any of the selected days is a non-business day, then the request will be processed immediately on the next Business Day.

b. Weekly:

i. This facility is available under fixed Amount/Units/Capital Appreciation.

ii. The facility is available on every Friday (if Friday is a non-business day, then the request will be processed immediately on the next Business Day).

c. Daily (Business Days):

i. This facility is available under fixed Amount.

d. If STP date/day is a non-Business Day, then the next Business Day shall be the STP Date/ Day and the same will be considered for the purpose of determining the applicability of NAV.

e. The Unitholder should submit the duly filled in STP Enrolment Form at least 7 days prior to the first STP date.

3. Transfer Amount:

In the fixed amount option, the minimum amount to be transferred would as follows:

a. For Monthly STP: A minimum of Rs. 500/- and in multiples of Re. 1/- thereof.

b. For Quarterly STP: A minimum of Rs. 1000/- and in multiples of Re. 1/- thereof.

c. For Daily STP: A minimum of Rs. 500/- and in multiples of Re. 1/- thereof.

d. For Weekly STP: A minimum of Rs. 500/- and in multiples of Re. 1/- thereof.

4. Minimum Installments:

a. For fixed amount:

i. For amount greater than or equal to ₹ 2000/-: The minimum number of installments would be 3.

ii. For amount greater than or equal to ₹1000/- however less than ₹ 2000/-: The minimum number of installments would be 6.

iii. For amount greater than or equal to ₹ 500/- however less than ₹ 1000/-: The minimum number of installments would be 12.

b. For fixed Units the minimum number of installments should be 3.

c. The investor has an option to select the number of installments for transfer. In case the investor has selected the 'from date' and 'to date' the number of installments will be ignored.

d. In case, the Enrolment Period has been filled, but the STP Date and/or Frequency (Monthly/ Quarterly) has not been indicated, Monthly frequency shall be treated as Default frequency and 10th shall be treated as Default Date.

e. Investor should mention the STP Start date & End date (not applicable in case of dividend transfer plan).

i. In case the Start Date is mentioned but End Date is not mentioned and if the number of installments are not mentioned then,

- For Daily STP, the default end date will be 5 years.
- For Weekly Monthly and Quarterly STP, the default end date will be December 2099.

ii. In case the End Date is mentioned but Start Date is not mentioned, the application will be registered as follows:

- Daily STP: After expiry of 7 days from submission of the application from
- Weekly STP: The next Friday after expiry of 7 days from submission of the application from.
- For Monthly and Quarterly: The date selected or the default date i.e. 10th of each month / quarter (or the immediately succeeding Business Day), after expiry of 7 days from submission of the application form, provided the minimum number of installments are met.

f. There will be no maximum duration for STP enrolment. However, STPs will be registered in a folio held by a minor, only till the date of the minor attaining majority, even though the instructions may be for a period beyond that date.

5. Cancellation of STP:

a. Cancellation of STP request should be submitted before 7 days from the processing date of STP. For example - The request to be forwarded on or before 13th October 2016 for the cancellation of STP on 20th October 2016. If not then it will be considered only for the next month STP Date.

b. In case there is no minimum fixed amount or fixed units (as selected by the investor) available in the unit holder's account the residual amount will be transferred to the Transfer to scheme and the STP will be ceased.

c. STP will be automatically terminated if all units are liquidated or withdrawn from the Transferor Scheme or pledged or upon receipt of intimation of death of the unit holder.

6. Loads: Since STP is a Systematic Withdrawal Plan from one scheme (SWP) and Systematic Investment Plan (SIP) in other scheme the prevailing SIP Load structure will be applicable.

7. The units under lien and schemes under lock in period will not be eligible for STP.

8. For NAV applicability please refer our website www.tatamutualfund.com. In case any day is a non-business day for any one of the schemes (either STP from or STP to scheme) the STP will be processed as per the matrix provided on our website www.tatamutualfund.com.

9. Permanent Account Number SEBI has made it mandatory for all applicants (in the case of application in joint names, each of the applicants) to mention his/her permanent account number (PAN) {Except as mentioned below} irrespective of the amount of investment. Where the applicant is a minor, and does not possess his / her own PAN, he / she shall quote the PAN of his/ her father or mother or the guardian, as the case may be. Applications not complying with the above requirement may not be accepted/ processed. PAN card copy is not required separately if KYC acknowledgement letter is made available. For further details, please refer Section 'Permanent Account Number' under Statement of Additional Information available on our website www.tatamutualfund.com

   PAN Exempt Investments: PAN Exempt KYC Reference Number (PEKRN) holders may enroll for this facility. For further details on PAN exempt Investments, refer Instructions of Scheme Application Form or Statement of Additional Information. However, if the amount per installment is ₹ 50,000 or more, in accordance with the extant Income Tax rules, investors will be required to furnish a copy of PAN to the Mutual Fund.

10. Know Your Customer (KYC) Compliance: Investors should note that it is mandatory for all registrations for Systematic Transfer Plan (STP) to quote the KYC Compliance Status of each applicant (guardian in case of minor) in the application and attach proof of KYC Compliance viz. KYC Acknowledgement Letter. For more details, please refer to the Statement of Additional Information available on our website www.tatamutualfund.com

11. In case there is any change in your KYC information, please update the same by using the prescribed 'KYC Change Request Form' and submit the same at the Point of Service of any KYC Registration Agency.

12. Investors with existing STP enrolment, who wish to invest under the Direct Plan of the Transferee Scheme must cancel their existing enrollment and register afresh for the facility.

    Investment through Distributors / Agents are not entitled to distribute units of mutual funds unless they are registered with Association of Mutual Funds in India (AMFI). Every employee/ relationship manager/ sales person of the distributor of mutual fund products to quote the Employee Unique Identification Number (EUIN) obtained by him/her from AMFI in the Application Form. Individual ARN holders including senior citizens distributing mutual fund products are also required to obtain and quote EUIN in the Application Form. Hence, if your investments are routed through a distributor, please ensure that the EUIN is correctly filled up in the Application Form. However, in case of any exceptional cases where there is no interaction by the employee/ sales person/relationship manager of the distributor/sub broker with respect to the transaction and EUIN box is left blank, you are required to provide the duly signed declaration to the effect as given in the form. For further details on EUIN you may kindly refer to the instructions of the Scheme Application Form or Statement of Additional Information. These requirements do not apply to Overseas Distributors. New cadre distributors: New cadre distributors are permitted to sell eligible schemes of the Fund (details of eligible scheme is available on They also hold an EUIN which must be quoted in the application form. In case your application through such distributor is not for an eligible scheme, it is liable to be rejected.

    Direct Investments: Investors applying under Direct Plan must mention "Direct" in ARN column. In case Distributor code is mentioned in the application form, but "Direct Plan" is indicated against the Transferee Scheme name, the Distributor code will be ignored and the application will be processed under Direct Plan.

    Tata Mutual Fund reserves the right to reject any application without assigning any reason thereof.