TATA mutual fund

# NOTICE CUM ADDENDUM

This notice cum addendum sets out changes to be made in the Scheme Information Document (SID) and Key Information Memorandum (KIM) of select schemes of Tata Mutual Fund.

**Effective Date: 25th September, 2026**

Unitholders / Investors are requested to note the change in the scheme reopening date of the below mentioned scheme:

| Scheme(s) (Including all options / plans) | Existing | Revised |
|---|---|---|
| Tata CRISIL-IBX Financial Servies 3-6 Months Debt Index Fund | Scheme Re-Opens for Continuous Sale & Repurchase on 29.09.2026 | Scheme Re-Opens for Continuous Sale & Repurchase on 25.09.2026 |

**Addendum Date: 24th September, 2026**

**Notes:**

- This notice cum addendum will form an integral part of the SID/KIM cum Application Form, wherever applicable.
- All other terms and conditions along with risk o meter of schemes, PRC Matrix of the SID & KIM cum Application Form read with other addendums if any remain unchanged.

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

**Corporate Identity Number: TAMPL – U65990-MH1994-PTC-077090**

# KEY INFORMATION MEMORANDUM

Applicable for Passively Managed schemes of Mutual Funds under MF Lite Framework

TATA mutual fund

TATA

# CRISIL-IBX FINANCIAL SERVICES 3-6 MONTHS DEBT INDEX FUND

(An open-ended scheme replicating / tracking CRISIL-IBX Financial Services 3-6 Months Debt Index. A relatively low interest rate risk and relatively low credit risk.)

**(SCHEME CODE - TATA/O/O/OIN/26/08/0081)**

| Potential Risk Class | | | |
|---|---|---|---|
| Credit Risk → / Interest Rate Risk ↓ | Relatively Low (Class A) | Moderate (Class B) | Relatively High (Class C) |
| Relatively Low (Class I) | A-I | | |
| Moderate (Class II) | | | |
| Relatively High (Class III) | | | |

Category of Scheme: Other Schemes - Index Fund

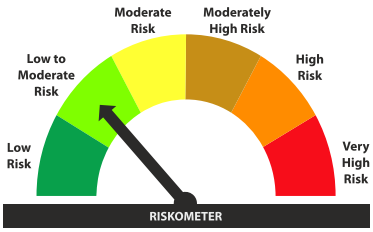
**Investment Objective**

The investment objective of the scheme is to track the CRISIL-IBX Financial Services 3-6 Months Debt Index, subject to tracking errors.

However, there can be no assurance or guarantee that the investment objective of the Scheme will be achieved and the scheme does not assure or guarantee any returns.

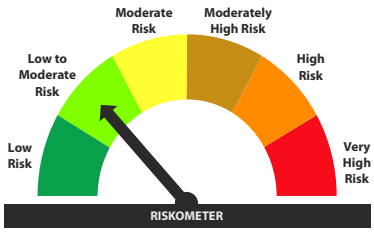
**Investors should consult their financial advisers if in doubt about whether the product is suitable for them.**

**Scheme Riskometer**




*The risk of the scheme is Low to Moderate*

**Benchmark Riskometer**




*The risk of the benchmark is Low to Moderate*

(The above product labelling assigned during NFO is based on internal assessment of the scheme characteristics and the same may vary post NFO when the actual investments are made. The same shall be updated as per provision no. 6.16.1.j of SEBI Master Circular on Mutual Fund dated March 20, 2026, on Product labelling in mutual fund schemes on ongoing basis.)

Offer of Units at Rs. 10/- each for cash during the New Fund Offer & Continuous offer for units at NAV based prices, subject to applicable load.

| | |
|---|---|
| **New Fund Offer Opens On** | **15.09.2026** |
| **New Fund Offer Closes On** | **22.09.2026** |
| **Scheme Re-Opens For Continuous Sale & Repurchase On** | **29.09.2026** |

| Name of Mutual Fund | Name of Trustee Company | Name of Asset Management Company |
|---|---|---|
| **Tata Mutual Fund**<br>1903, B-Wing, Parinee Crescenzo, G-Block, BKC, Bandra (East), Mumbai - 400 051 | **Tata Trustee Co. Pvt Ltd.**<br>1903, B-Wing, Parinee Crescenzo, G-Block, BKC, Bandra (East), Mumbai - 400 051<br>**CIN:** U65991-MH-1995-PTC-087722 | **Tata Asset Management Pvt Ltd.**<br>1903, B-Wing, Parinee Crescenzo, G-Block, BKC, Bandra (East), Mumbai - 400 051<br>**CIN:** U65990-MH-1994-PTC-077090 |

This Key Information Memorandum (KIM) sets forth the information which a prospective investor ought to know before investing. **For further details of the scheme/Mutual Fund, due diligence certificate by the AMC, Key Personnel, investors' rights & services, risk factors, penalties & pending litigations etc. investors should, before investment, refer to the Scheme Information Document and Statement of Additional Information available free of cost at any of the Investor Service Centres or distributors or from the website www.tatamutualfund.com.**

**The Scheme particulars have been prepared in accordance with Securities and Exchange Board of India (Mutual Funds) Regulations 2026, as amended till date, and filed with Securities and Exchange Board of India (SEBI). The units offered for public subscription have not been approved or disapproved by SEBI, nor has SEBI certified the accuracy or adequacy of this KIM.**

This Key Information Memorandum is dated 8th September, 2026

**Corporate Office:** 1903, B Wing, Parinee Crescenzo, G Block, BKC, Bandra East, Mumbai – 400 051
**Call:** (022) 6282 7777 *(Monday to Saturday 9:00 am to 5:30 pm)* **Fax:** (022) 22613782
**E-mail:** service@tataamc.com **Website:** www.tatamutualfund.com

| | |
|---|---|
| Investment Objective | The investment objective of the scheme is to track the CRISIL-IBX Financial Services 3-6 Months Debt Index, subject to tracking errors.<br>However, there can be no assurance or guarantee that the investment objective of the Scheme will be achieved and the scheme does not assure or guarantee any returns. |
| Asset Allocation Pattern of the scheme | Under normal circumstances, the investment range would be as follows: |

| Instruments | Indicative Allocation (% of Total Assets) | |
|---|---|---|
| | Minimum | Maximum |
| Securities forming part of CRISIL-IBX Financial Services 3-6 Months Debt Index^ | 95 | 100 |
| Debt & Money Market instruments* including Triparty Repo | 0 | 5 |

^Including Instruments not forming part of the Index, invested in compliance with the replication norms prescribed under Para 4.4.5 of SEBI Master Circular dated March 20, 2026, as amended from time to time.

*Money market instruments includes commercial papers, commercial bills, treasury bills, Government securities having an unexpired maturity up to one year, call or notice money, certificate of deposit, usance bills, Bills Rediscounting, Repos in government securities and treasury bills, , any other such short-term instruments as may be allowed under the regulations prevailing from time to time having residual maturity up to 91 days, any other like instruments as specified by the Reserve Bank of India and Investment in liquid and / or overnight category schemes of own Mutual Fund or Other Mutual funds.

The scheme will comply with the provision no. 13.18.1 of SEBI Master Circular on Mutual Fund dated March 20, 2026 which specifies that the cumulative gross exposure through debt, money market instruments including Triparty Repo, units of mutual fund schemes, other permitted securities/ assets and such other securities/assets as may be permitted by the Board from time to time shall not exceed 100% of the net assets of the scheme. As per provision no. 13.18.6 (a) of SEBI Master Circular on Mutual Fund dated March 20, 2026, cash or cash equivalents with residual maturity of less than 91 days shall not be treated as creating any exposure.

The Margin may be placed in the form of such securities / instruments / deposits as may be permitted/eligible to be placed as margin from the assets of the Scheme. The securities / instruments / deposits so placed as margin shall be classified under the applicable category of assets for the purposes of asset allocation.

Post closure of NFO period/ Pending deployment of funds of the Scheme in securities in terms of the investment objective of the scheme as stated above, the funds of the Scheme may be invested in short term deposits of scheduled commercial banks in accordance with provision no. 13.7 of SEBI Master Circular on Mutual Fund dated March 20, 2026.

**Indicative Table (Actual instrument / percentages may vary subject to applicable SEBI circulars):**

| Sr. No. | Type of Instrument | Percentage of Exposure | SEBI Master Circular on Mutual Fund dated March 20, 2026 Reference |
|---|---|---|---|
| 1 | Securities Lending | Will not invest | Provision no. 13.6 |
| 2 | Equity Derivatives for non-hedging Purposes | Will not invest | Provision no. 13.15 |
| 3 | Securitized Debt | Will not invest | Provision no. 13.1.2 |
| 4 | Overseas Securities | Will not invest | Provision no. 13.11 |
| 5 | InvITS | Will not invest | Provision no. 13.13 |
| 6 | AT1 and AT2 Bonds | Will not invest | Provision no. 13.1.9 |
| 7 | Any other instrument<br>a) Credit Default Swaps (CDS)<br>b) Repo in corporate debt securities and corporate reverse repo<br>c) Debt instruments having Structured Obligations (SO) / Credit | a) Will not invest.<br>b) Will not invest.<br>c) Will not invest. | a) Provision no. 13.17<br>b) Provision no. 13.8<br>c) Provision no. 13.1.10 |

| | | | |
|---|---|---|---|
| | Enhancements (CE) | | |
| d) | Short Selling | d) Will not invest. | d) Provision no. 13.6 |
| e) | Unrated debt instruments | e) Will not invest | e) Provision no. 13.1.4 |
| f) | Covered Call Option | f) Will not invest | f) Provision no. 13.15 |
| g) | Derivatives | g) Will not invest | g) Provision no. 13.15 |

**Change in Investment Pattern / Portfolio Rebalancing**

**Portfolio Rebalancing due to Passive Breach:**

Pursuant to para 4.4.5 (i) of SEBI Master Circular on Mutual Funds dated March 20, 2026, rebalancing the portfolio of the Scheme shall be as follows:

1) In case of change in constituents of the index due to periodic review, the portfolio of the Scheme will be rebalanced within 7 calendar days.
2) In case the rating of any security is downgraded to below the rating mandated in the index methodology (including downgrade to below investment grade), the portfolio will be rebalanced within 30 calendar days.
3) In case the rating of any security is downgraded to below investment grade, the said security may be segregated in accordance with para 5.5.3 and 5.5.4 of SEBI Master Circular on Mutual Funds dated March 20, 2026 on "Segregated portfolio in mutual fund schemes"

**Rebalancing due to Short Term Defensive Consideration**

As per provision no. 1.9.1.b of SEBI Master Circular on Mutual Fund dated March 20, 2026, the asset allocation pattern indicated above may be changed for a short-term period on defensive considerations, keeping in view market conditions, unavailability of issuers within the index constituents, market opportunities, applicable regulations and political and economic factors. These proportions may vary depending upon the perception of the Fund Manager, the intention being at all times to seek to protect the interests of the Unit holders. If the exposure falls outside the above-mentioned asset allocation pattern, the portfolio will be rebalanced within 7 calendar days.

**Deployment of NFO Proceeds in Triparty Repo or any other instrument as may be permitted by SEBI:**

In accordance with provision no. 1.7.3 of SEBI Master Circular on Mutual Fund dated March 20, 2026, the scheme may deploy NFO proceeds, before closure of NFO period, in in triparty repo on Government securities or treasury bill. AMCs will not charge any investment management and advisory fees on funds deployed in Triparty repo on Government Securities. The appreciation received from such investments shall be passed on to investors. Further, in case the minimum subscription amount is not garnered by the scheme's during the NFO period, the interest earned upon investment of NFO proceeds in such instruments shall be returned to investors, in proportion of their investments, along-with the refund of the subscription amount.

**Deployment of funds collected in NFO:**
As per provision no. 7.24.1.b of of SEBI Master Circular on Mutual Fund dated March 20, 2026, the scheme will deploy the funds garnered in an NFO within 30 business days from the date of allotment of units.

In an exceptional case, if the AMC is not able to deploy the funds in 30 business days, reasons in writing, including details of efforts taken to deploy the funds, shall be placed before the Investment Committee of the AMC.

The Investment Committee may extend the timeline by 30 business days, while also making recommendations on how to ensure deployment within 30 business days going forward and monitoring the same.

In case the funds are not deployed as per the asset allocation mentioned in the SID as per the aforesaid mandated plus extended timelines, AMC shall:

i. not be permitted to receive fresh flows in the same scheme till the time the funds are deployed as per the asset allocation mentioned in the SID.
ii. not be permitted to levy exit load, if any, on the investors exiting such scheme(s) after 60 business days of not complying with the asset allocation of the scheme.
iii. inform all investors of the NFO, about the option of an exit from the concerned scheme without exit load, via email, SMS or other similar mode of communication.
ii. iv. report deviation, if any, to Trustees at each of the above stages

| | |
|---|---|
| Investment Strategy | Tata CRISIL-IBX Financial Services 3-6 Months Debt Index Fund is a passively managed debt index fund which will employ an investment approach designed to track the performance of CRISIL-IBX Financial Services 3-6 Months Debt Index. The |

| | |
|---|---|
| | Scheme seeks to achieve this goal by investing in securities constituting the underlying Index in same proportion as in the Index.<br><br>Unlike other funds, the scheme will not try to "beat" the market it tracks and do not seek temporary defensive positions when market decline or appear overvalued. The AMC does not make any judgments about the investment merit of a particular security, nor will it attempt to apply any economic, financial or market analysis. Indexing / Passive approach reduces active management risks regarding over/ underperformance vis-à-vis a benchmark.<br><br>Under certain circumstances the scheme may temporarily hold securities which are not part of the Index for a short-term period on defensive considerations as specified above.<br><br>The fund manager's endeavour would be to rebalance the portfolio in order to mirror the index; however, there may be a short period where the constituents of the portfolio may differ from that of the underlying index.<br><br>**Though every endeavour will be made to achieve the objective of the Scheme, the AMC/Sponsor/Trustee do not guarantee that the investment objective of the Scheme will be achieved. No guaranteed returns are being offered under the Scheme.** |
| Risk Profile of the Scheme | Mutual Fund Units involve investment risks including the possible loss of principal. Please read the SID carefully for details on risk factors before investment.<br><br>**Scheme specific Risk Factors are summarized below:**<br><br>**1) Passive Investments:**<br>The Scheme is a passively managed scheme. The Scheme shall endeavour to invest in the securities included in its Underlying Index regardless of their investment merit. The AMC does not attempt to individually select securities or to take defensive positions in declining markets.<br><br>**2) Portfolio Concentration Risk:**<br>To the extent that the Scheme may concentrate its investments in the securities of certain companies/ sectors, the Scheme will therefore be subject to the risks associated with such concentration. In addition, the Scheme may be exposed to higher levels of volatility and risk than would generally be the case in a more diverse fund portfolio of debt securities. Such risks may impact the Scheme to the extent that it invests in particular companies/ sectors even in cases where the investment objective is more generic.<br><br>3) **Risks associated with Debt / Money Markets Instruments:**<br><br>**Interest Rate Risk**<br><br>As with debt/money instruments, changes in interest rate may affect the price of the money market instrument(s) and ultimately Scheme's net asset value. Generally, the prices of instruments increase as interest rates decline and decrease as interest rates rise. Prices of long-term securities fluctuate more in response to such interest rate changes than short-term securities. Indian debt and government securities markets can be volatile leading to the possibility of price movements up or down in fixed income securities and thereby to possible movements in the NAV.<br><br>**Credit Risk**<br><br>Credit risk or Default risk refers to the risk that an issuer of a fixed income security may default (i.e. the issuer will be unable to make timely principal and interest payments on the security). Because of this risk corporate debentures are sold at a higher yield above those offered on Government Securities which are sovereign obligations and free of credit risk. Normally, the value of fixed income securities will fluctuate depending upon the changes in the perceived level of credit risk as well as any actual event of default. The greater the credit risk, the greater the yield required for someone to be compensated for the increased risk.<br><br>**Reinvestment Risk**<br><br>This risk refers to the difference in the interest rate levels at which cash flows received from the securities in the scheme is reinvested. The additional income from reinvestment is the "interest on interest" component. The risk is that the rate at which interim cash flows are reinvested may be lower than that originally assumed.<br><br>**Liquidity or Marketability Risk**<br><br>This refers to the ease with which a security can be sold at or near to its valuation yield-to-maturity (YTM). The primary measure of liquidity risk is the spread between the bid price and the offer price quoted by a dealer. Liquidity risk is today's characteristic of the Indian fixed income market. |

**Pre-payment Risk**

Certain fixed income securities give an issuer the right to call back its securities before their maturity date, in periods of declining interest rates. The possibility of such prepayment may force the fund to reinvest the proceeds of such investments in securities offering lower yields, resulting in lower interest income for the fund.

**Tracking Error and Tracking Difference Risk**

The Fund Manager would not be able to invest the entire corpus exactly in the same proportion as in the Underlying Index due to certain factors such as the fees and expenses of the Scheme, changes to the Underlying Index and regulatory policies which may affect AMC's ability to achieve close correlation with the Underlying Index of the Scheme. The Scheme's returns may therefore deviate from those of its Underlying Index. Tracking Error/Tracking Difference may arise including but not limited to the following reasons: -

• Delay in the purchase or non- availability of securities which are part of the Index.

• Due to timing of transactions either on RFQ platforms or in open market.

• Due to investment in out of index constituents or where available funds may not be invested at all times as the Scheme may keep a portion of the funds in cash to meet Redemptions, or corporate actions or otherwise.

• Expenditure incurred by the Fund.

• Due to over-weight / under-weight investment in issuances which are part of the Index.

• Due to mismatch in the weight of the issuers forming part of the Index and the Scheme throughout life of the Scheme. As permitted under the Asset Allocation pattern upto 5% of the Total Assets may be invested in money market instruments.

• Difference in valuation of underlying securities by the Index Provider and AMC's valuation providers.

• Due to lack of availability of commensurate quantity /trading volumes of the securities qualifying for the Underlying Index, the fund may face higher impact cost while deploying inflows /generating cashflows.

The AMC would monitor the tracking difference of the Scheme on an ongoing basis and would seek to minimize tracking difference to the maximum extent possible. The annualized tracking difference averaged over one year period shall not exceed 1.25%.

**Risk associated with potential change in Tax structure**

This summary of tax implications given in the taxation section (Units and Offer Section III) is based on the current provisions of the applicable tax laws. This information is provided for general purpose only. The current taxation laws may change due to change in the 'Income Tax Act 2025' or any subsequent changes/amendments in Finance Act/Rules/Regulations. Any change may entail a higher outgo to the scheme or to the investors by way of securities transaction taxes, fees, taxes etc. thus adversely impacting the scheme and its returns.

**Risk associated with Transaction in Units through Stock Exchange**

In respect of transactions in Units of the Scheme through NSE and/or BSE or any other recognized stock exchange, allotment and redemption of Units on any Business Day will depend upon the order processing/settlement by NSE, BSE or such other exchange and their respective clearing corporations on which the Fund has no control. Further, transactions conducted through the stock exchange mechanism shall be governed by the operating guidelines and directives issued by NSE, BSE or such other recognized exchange in this regard.

**Risks associated with Segregated Portfolio**

• Investor holding units of segregated portfolio may not be able to liquidate their holding till the time recovery of money from the issuer. Security comprises of segregated portfolio may not realise any value.

• Listing of units of segregated portfolio in recognized stock exchange does not necessarily guarantee their liquidity. There may not be active trading of units in the stock market. Further trading price of units on the stock market may be significantly lower than the prevailing NAV.

**Risks associated with investing in Securities Segment and Tri-party Repo trade settlement:**

The mutual fund is a member of securities segment and Tri-party Repo trade settlement of the Clearing Corporation of India (CCIL). All transactions of the mutual fund in government securities and in Tri-party Repo trades are settled centrally through the infrastructure and settlement systems provided by CCIL; thus, reducing the settlement and counterparty risks considerably for transactions in the said segments. The members are required to contribute an amount as communicated by CCIL from time to time to the default fund maintained by CCIL as a part of the default waterfall (a loss mitigating measure of CCIL in case of default by any member in settling transactions routed through CCIL). CCIL shall maintain two separate Default Funds in respect of its Securities Segment, one with a view to meet losses arising out of any default by its members from outright and repo trades and the other for meeting losses arising out of any default by its members from Triparty Repo trades. The mutual fund is exposed to the extent of its contribution to the default fund of CCIL, in the event that the contribution of the mutual fund is called upon to absorb settlement/default losses of another member by CCIL, as a result the scheme may lose an amount equivalent to its contribution to the default fund.

**Risks associated with investment in units of domestic mutual fund:**

Investment in Mutual Fund Units involves investment risks, including but not limited to risks such as liquidity risk, volatility risk, default risk including the possible loss of principal.

Liquidity risk – The liquidity of the scheme's investments is inherently restricted by trading volumes and settlement periods. In the event of an inordinately large number of redemption requests, or of a restructuring of the scheme's investment portfolio, these periods may become significant. In view of the same, the right to limit redemptions will be in accordance with provision 5.3 of SEBI Master Circular on Mutual Funds dated March 20, 2026 on Restriction on Redemption in Mutual Funds.

Volatility risks: There is the risk of volatility in markets due to external factors like liquidity flows, changes in the business environment, economic policy etc. The scheme will manage volatility risk through diversification across companies and sectors.

Default risk - Credit risk is risk resulting from uncertainty in counterparty's ability or willingness to meet its contractual obligations. This risk pertains to the risk of default of payment of principal and interest. Government Securities have zero credit risk while other debt instruments are rated according to the issuer's ability to meet the obligations.

**Credit Evaluation Process for the investments in Debt Securities**

In-house credit evaluation team has the necessary capability of conducting independent due diligences of credit risk. From credit evaluation perspective, companies are broadly classified under two sectors - Industrials and Financial Institutions. Industrials include Manufacturing and trading companies, while Financial Institutions include Banks and Non-Banking Financial Companies (NBFCs). The set of parameters for evaluation of credits for these sectors are different.

Broad guidelines for the appraisal of Industrials for short-term and long-term exposure include, but are not restricted to:

External Ratings threshold: Investment is made only if the issuer credit rating is at least 'investment grade' (BBB- or above) for Long-term debt by a credit rating agency recognized by SEBI. In the short-term, investment is made in top notch (A1+ or equivalent) rated debt instruments. However, this is subject to review from time to time and investment committee / Board of AMC approval is required for any exception.

Each company is internally appraised based on various parameters including, but not restricted to:

1. Business Fundamentals: Product/Service offerings, Market Position, Competitive Landscape, and Product cycle etc.

2. Regulatory environment: Support/intervention, developmental stage of industry, level of regulation

3. Financial Analysis: Margins, Profitability, Leverage, Working Capital requirement & cycle, Cash-flows etc. This is also seen in light of historic trend Management Track Record:

4. Management track record, performance of company through economic cycle, promoters' background, other group companies.

5. Macro-Economic Environment: Economic cycle, Credit cycle

The credit evaluation policy is subject to review from time to time. Any material change in the credit evaluation policy will be updated by way of an addendum to the scheme information document.

The asset allocation among the various debt securities will be decided based upon the prevailing market conditions, macroeconomic environment and the performance of corporate sector, the debt market and other considerations.

The investment policies mentioned in this SID are in conformity with the provisions of various constitutional documents VIZ.MOA/AOA of the TAMPL/Trustee Company, IMA and the Trust Deed. Any change in the asset allocation affecting the investment profile of the scheme shall be effected only in accordance with the provisions of regulations 22 (9) (c) of SEBI (Mutual Funds) Regulations, 2026.

**For details on risk factors and risk mitigation measures, please refer SID.**

Plans/Options

The Scheme has the following Plans across a common portfolio:

**Regular Plan:** This Plan is for investors who wish to route their investment through any distributor.

**Direct Plan:** This Plan is only for investors who purchase /subscribe units in a scheme directly with the Fund and is not available for investors who route their investments through a Distributor.

Both the Plans under the Scheme offer Growth & Income Distribution cum capital withdrawal Option. Income Distribution cum capital withdrawal option under each Plan further offers of choice of Payout of Income Distribution cum capital withdrawal Option, Reinvestment of Income Distribution cum capital withdrawal Option.

**Compulsory Reinvestment of Income distribution cum Capital Withdrawal:**

To reduce the expenses of the scheme and for the convenience of the investors/- the income distribution cum capital withdrawal shall be compulsorily reinvested (for investors of non-electronic mode) within the scheme at the applicable ex-dividend NAV if the payout amount is lower than or equal to Rs. 100/- in the same option of the respective plans of the scheme at the ex- dividend rate.

Investor shall note that when units are sold, and sale price (NAV) is higher than face value of the unit, a portion of sale price that represents realized gains shall be credited to an Equalization Reserve Account and which can be used to pay income distribution cum capital withdrawal. Hence payout amounts can be distributed out of investors capital (Equalization Reserve), which is part of sale price that represents realized gains.

**Please note that the income distribution cum capital withdrawal shall be distributed at the discretion of the Trustees subject to availability of distributable surplus.**

Investors subscribing under Direct Plan of the Scheme will have to indicate “Direct Plan” against the scheme name in the application form.

**Default Plan:**

Investors are requested to note the following scenarios for the applicability of “Direct Plan (application not routed through distributor) or Regular Plan (application routed through distributor)” for valid applications received under the scheme.

| Scenario | Broker Code mentioned by the investor | Plan mentioned by the investor | Default Plan to be captured |
|---|---|---|---|
| 1 | Not mentioned | Not mentioned | Direct Plan |
| 2 | Not mentioned | Direct Plan | Direct Plan |
| 3 | Not mentioned | Regular Plan | Direct Plan |
| 4 | Mentioned | Direct Plan | Direct Plan |
| 5 | Direct Plan | Not Mentioned | Direct Plan |
| 6 | Direct Plan | Regular Plan | Direct Plan |
| 7 | Mentioned | Regular Plan | Regular Plan |
| 8 | Mentioned | Not Mentioned | Regular Plan |

**Default Option:**

Investor should appropriately tick the ‘option’ (Growth or Income distribution cum capital withdrawal) in the application form while investing in the Scheme. If no option is mentioned / indicated in the application form by the investor then the units will, **by default, be allotted under the Direct Plan - Growth Option**.

**Default Sub – Option:**

If no sub-option for Income distribution cum capital withdrawal option is mentioned / indicated in the application form by the investor then the units will, **by default, be allotted under the Reinvestment of Income Distribution cum capital withdrawal option**.

In cases of wrong/ invalid/ incomplete ARN codes mentioned on the application form, the application shall be processed under Regular Plan. The AMC shall contact and obtain the correct ARN code within 30 calendar days of the receipt of the application form from the investor/ distributor. In case the correct code is not received within 30 calendar days, the AMC

shall reprocess the transaction under Direct Plan from the date of application without any exit load.

**Treatment of Business Received Through Suspended Distributors:**

The financial transactions of an investor where his distributor's AMFI Registration Number (ARN) has been suspended temporarily or terminated permanently by Association of Mutual Funds in India (AMFI) shall be processed as follows:

1. All purchase and switch transactions including SIP/STP registered prior to the date of suspension and fresh SIP/STP registrations received under the ARN code of a suspended distributor during the period of suspension, shall be processed under 'Direct Plan' and shall be continued under Direct Plan perpetually except in case where TAMPL receives any written request/ instructions from the unitholder/s to shift back to Regular Plan under the ARN of the distributor post the revocation of suspension of ARN.

2. All Purchase and Switch Transactions including SIP/STP transactions received through the stock exchange platform through a distributor whose ARN is suspended shall be rejected.

**Applicable NAV (after the scheme opens for subscriptions and redemptions)**

**Applicable NAV for Subscription / Switch-in: Cut Off Timing 3.00 pm**

| Particulars | Applicable NAV |
|---|---|
| Valid applications received (time-stamped) upto 3.00 p.m. and where the funds for the entire amount are available for utilization before the cut-off time i.e., credited to the bank account of the scheme before the cut-off time. | The closing NAV of the same day. |
| Valid applications received (time-stamped) after 3.00 p.m. and where the funds for the entire amount are credited to the bank account of the scheme either on the same day or before the cut-off time of the next Business Day i.e., available for utilization before the cut-off time of the next Business Day. | The closing NAV of the next Business Day. |
| Valid applications received (time-stamped) upto 3.00 p.m. and where the funds for the entire amount are credited to the bank account of the scheme after the cut-off time on the same day i.e., available for utilization after the cut-off time of the Day. | The closing NAV of the next Business Day. |
| Where the application is time stamped any day before the credit of the funds to the scheme but the funds for the entire amount are credited to the bank account of the scheme before the cut-off time on any subsequent Business Day i.e., available for utilization before the cut-off time on that Business Day. | The closing NAV of such subsequent Business Day on which funds are available for utilization. |

Realisation of funds means funds available to the AMC Scheme and not date and time of debit from Investor's account.

In case application is time stamped after cut off timing on any day, the same will be considered as deemed to be received on the next business day.

In case funds are realised after cut-off timing on any day, the same will be considered as deemed to be realised / available for utilisation on the next business day.

For Switch-ins including Systematic Investment Plan (SIP), Systematic Transfer Plan (STP) of any amount:

For determining the applicable NAV, the following shall be ensured:

- Application for switch-in is received before the applicable cut-off time.
- Funds for the entire amount of subscription / purchase as per the switch-in request are credited to the bank account of the Scheme before the cut-off time, and the funds are available for utilization before the cut-off time.
- In case of switch/STP transactions, funds will be made available for utilization in the switch-in-scheme based on the redemption payout cycle of the switch out

Scheme Redemption /Switch Out: In respect of application received upto 3 p.m., closing NAV of the day of receipt of application shall be applicable and in respect of application received after 3 p.m. closing NAV of next business day.

Outstation cheques/demand drafts will not be accepted.

**Valid application for "switch out" shall be treated as redemption and for "switch in" shall be treated as purchases and the relevant NAV of "Switch in" and "Switch Out" shall be applicable accordingly.**

**Minimum Application Amount/**

**Minimum subscription amount**

Rs 5,000/- and in multiple of Re.1/- thereafter.

| | |
|---|---|
| Number of Units | There is no minimum amount requirement, in case of investors opting to switch "all units" from any existing schemes of Tata Mutual Fund to this Scheme.<br>**Minimum Additional Purchase Amount**<br>Rs.1,000/- and in multiples of Re.1/- thereafter.<br>There is no minimum amount requirement, in case of investors opting to switch "all units" from any existing schemes of Tata Mutual Fund to this Scheme.<br>**Minimum Redemption Amount**<br>Rs. 500 or 50 units or folio balance whichever is lower. |
| Despatch of Redemption Request | The redemption proceeds will be dispatched to the unit holders within three working days from the date of redemption or repurchase, subject to exceptional circumstances as mentioned further in this document. |
| Benchmark Index | CRISIL-IBX Financial Services 3-6 Months Debt Index (TRI) |
| Dividend Policy | Income Distribution if any, declared under the scheme shall be subject to available surplus. All unit holders whose names appear in the Register of the Scheme as on the Record Date will be entitled to the income distribution cum capital withdrawal. Income Distribution cum capital withdrawal declaration under the scheme is subject to the availability of distributable surplus and at the discretion of the Fund Manager, subject to approval of the trustees and no returns is assured under the scheme.<br>All the income distribution cum capital withdrawal payments shall be in accordance and compliance with SEBI and Stock Exchange Regulations, as applicable from time to time |
| Name of the Fund Manager | Mr. Dhawal Joshi and Mr. Amit Somani (Co-Fund Manager) |
| Name of the Trustee Company | Tata Trustee Co. Pvt Ltd. |
| Performance of the scheme | This scheme is a new scheme and does not have any performance track record. |
| Additional Scheme Related Disclosures | **i) Schemes Portfolios Top 10 Holdings by issuer & fund allocation towards various sectors:**<br>Functional Weblink for Top 10 Holdings by issuer & fund allocation towards various sector: This scheme is a new scheme and does not have any track record. Kindly visit https://www.tatamutualfund.com/statutory-disclosures/other-statutory-disclosures.<br>**ii) Disclosure of name & exposure Top 7 Issuers, Stocks, Groups & Sectors as a percentage of NAV of the scheme in case of debt and equity ETF / Index Funds**<br>Functional Weblink: This scheme is a new scheme and does not have any track record. Kindly visit https://www.tatamutualfund.com/statutory-disclosures/other-statutory-disclosures.<br>**iii) Portfolio Disclosure - Fortnightly / Monthly/ Half Yearly**<br>For portfolio disclosure of schemes of Tata Mutual Fund in a user-friendly and downloadable format, kindly visit functional weblink: https://www.tatamutualfund.com/schemes-related.<br>**iv) Functional website link to the addendums to the SID:**<br>For all notice & addendums of Tata Mutual Fund, kindly visit functional weblink: https://www.tatamutualfund.com/notice-addendum/tmf<br>**v) Portfolio Turnover Rate**<br>Being Index Fund, the fund Manager will follow passive strategy while investing. The portfolio turnover is expected to be in line with the volume of subscription and redemption in the scheme daily. Consequently, it is difficult to estimate with any reasonable measure of accuracy, the likely turnover in the portfolio.<br>**vi) Aggregate investment in the Scheme as on 31.08.2026 by** |

| Sr No. | Category of Persons | Net Value | | Market Value (in Rs.) |
|---|---|---|---|---|
| | | Units | NAV per unit | |
| This scheme is a new scheme and does not have any track record. | | | | |

| | |
|---|---|
| | Mandatory compensation by designated employee(s) (herein refers to Fund Manager(s)) to be invested in the scheme in which he / she has a role / oversight shall not apply to Index Funds.<br><br>For any other disclosure w.r.t investments by key personnel and AMC directors including regulatory provisions in this regard kindly refer SAI.<br><br>**vii) Investments of AMC in the Scheme**<br><br>TAMPL (the AMC) may invest in the scheme(s) on an ongoing basis, such amount, as they deem appropriate. The AMC shall not be entitled to charge any management fees on this investment in the scheme(s). Investments by the AMC will be in accordance with the SEBI (MF) Regulations, 2026.<br><br>As per the amended regulations i.e., sub-regulation 3 (a) in Regulation 22 of SEBI (Mutual Funds) Regulations,2026 ('MF Regulations'), asset management companies ('AMCs') are required to invest such amount in such scheme(s) of the mutual fund, based on the risk associated with the scheme. The AMC will comply with provision no. 7.13 of SEBI Master Circular on Mutual Fund dated March 20, 2026.<br><br>Functional weblink: For Investments by AMC in schemes of Tata Mutual Fund, kindly visit https://www.tatamutualfund.com/statutory-disclosures/other-statutory-disclosures. |
| Expenses of the Scheme<br><br>Load Structure<br><br>Recurring expenses | **New Fund Offer Period & Continuous Offer**<br><br>**Entry load:**<br>Not Applicable (Pursuant to provision no. 11.7 of SEBI Master Circular on Mutual Fund dated March 20, 2026, no entry load will be charged by the Scheme to the investor)<br><br>**Exit load:**<br>1. On or before 30 days from the date of allotment: 0.25%<br>2. After 30 days from the date of allotment: NIL<br><br>Goods & Service Tax on exit load, if any, will be paid out of the exit load proceeds and exit load net of Goods & Service Tax, if any, will be credited to the scheme.<br><br>Units issued on reinvestment of income Distribution shall not be subject to exit load.<br><br>Pursuant to AMFI's communication dated 09th April 2025, Exit Load will not be charged on any Switch/Systematic transfer transaction from Regular plan to Direct plan of the same scheme.<br><br>**Slab wise break up depending on the assets under management:**<br><br>As per provision no.66 (7)(b)(i) of SEBI (Mutual Funds) Regulations, 2026 in case of open ended index fund scheme, the base expense ratio of the scheme shall not exceed 0.90 per cent of the daily net assets of the scheme. The AMC has estimated that upto 0.90% of the daily net assets of the scheme will be charged to the scheme as expenses.<br>For the actual current expenses being charged, the investor should refer to functional Weblink: https://www.tatamutualfund.com/expense-ratio/total-expense-ratio.<br><br>**For Actual current expenses** being charged, the investor should refer to the website of the mutual fund. This scheme is a new scheme and does not have any track record.<br><br>**Actual expenses for the previous financial year**: This scheme is a new scheme and does not have any track record.<br><br>The maximum limit of recurring expenses that can be charged to the Scheme would be as per Regulation 66 of the SEBI (MF) Regulation, 2026. Investors are requested to read "Section- Annual Scheme Recurring Expenses" in the SID. |
| Tax treatment for the Investors (Unitholders) | Investor will be advised to refer to the details in the Statement of Additional Information and also independently refer to his tax advisor. |
| Daily Net Asset Value (NAV) Publication | The AMC will calculate and disclose the first NAV within a period of 5 Business Days from the date of allotment of Units of the Scheme.<br><br>Thereafter, the NAVs will be calculated and disclosed on every Business Day. The AMC shall prominently disclose the NAVs under a separate head on the website of the Fund (www.tatamutualfund.com) and of the Association of Mutual Funds in India- AMFI (www.amfiindia.com) before 11:00 P.M. on every Business Day^. However, due to the inability in capturing same day valuation of underlying investments, the NAV shall be disclosed by 11 P.M. of the next business day^. |

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| | ^ If the NAVs are not available before the commencement of Business Hours on the following day (i.e., next day after the respective business day) due to any reason, the Mutual Fund shall issue a press release giving reasons for the delay and explain by when the Mutual Fund would be able to publish the NAV.<br><br>Investor may write to AMC for availing facility of receiving the latest NAVs through SMS. |
| For Investor Grievances please contact | **Contact details for general service requests:**<br><br>Telephone: (022) 6282 7777, Email: service@tataamc.com, WhatsApp: 70457 48282, SMS: TMF to 57575<br><br>**Contact details for complaint resolution:**<br><br>The AMC has designated an Investor Relations Officer, **Ms. Vaishali Koppiker,** who looks into investor grievances regarding deficiencies, if any, in the services provided by the Registrars or the Investor Service Centres.<br><br>Investor can reach out to the above-mentioned Investor Relation Officer at: Tata Asset Management Pvt Ltd. (Investment Manager for Tata Mutual Fund) 1903 B Wing Parinee Crescenzo G Block BKC Bandra East, Mumbai – 400 051. Call: (022) 6282 7777 (Monday to Saturday 9:00 am to 5:30 pm), Fax: 22613782, Email: service@tataamc.com, Website: www.tatamutualfund.com. **Email:** service@tataamc.com.<br><br>**The AMC will have the discretion to change the Investor Relations' Officer depending on operational necessities and in the overall interest of the fund.**<br><br>**Details of R&T are as under:**<br><br>**Computer Age Management Services (Private) Limited (CAMS),** SEBI registration number INR000002813, Unit: Tata Mutual Fund. 178/10 Kodambakkam High Road, Opp. Hotel Palm grove Nungambakkam,Chennai-600 034, Website: www.camsonline.com, Email: service@tataamc.com (Tata Mutual Fund Email Address), Telephone : (022) 6282 7777 (Monday to Saturday 9:00am to 5:30pm)<br><br>The Registrar has set up a special Investor service cell for quick redressal of Unitholder grievances (if any). All correspondence, including change in the name, address, designated bank account number and bank branch, Account Statement, should be addressed to:<br><br>**Computer Age Management Services (Private) Limited (CAMS),** 148, OLD Mahabalipuram Road, Okkiyam Thuraipakkam, Chennai - 600 097. Email: service@tataamc.com (Tata Mutual Fund Email Address), Telephone (022) 6282 7777 (Monday to Saturday 9:00am to 5:30pm). |
| Unitholders' Information | **Account Statement**<br><br>The AMC will send an allotment confirmation specifying the units allotted by way of email and/or SMS within 5 working days of receipt of valid application/transaction to the Unit holders registered e-mail address and/ or mobile number (whether units are held in demat mode or in account statement form).<br><br>A Consolidated Account Statement (CAS) detailing all the transactions across all mutual funds (including transaction charges paid to the distributor) and holding at the end of the month shall be sent to the Unit holders in whose folio(s) transaction(s) have taken place during the month by mail or email on or before 15th of the succeeding month.<br><br>Half-yearly CAS shall be issued at the end of every six months (i.e. September/ March) on or before 21st day of succeeding month, to all investors providing the prescribed details across all schemes of mutual funds and securities held in dematerialized form across demat accounts, if applicable<br><br>As per SEBI Circular no SEBI/HO/MRD/PoD1/CIR/P/2025/16 dated February 14, 2025, the following timelines will be applicable for sending of CAS with effect from May 14th, 2025:<br><br>1. The CAS shall be dispatched to investors who have opted for delivery via electronic mode, within twelve (12) days from the month end and to investors who have opted for delivery via physical mode, within fifteen (15) days from the month end.<br><br>2. If there is any transaction in any of the demat accounts of the investor or in any of his mutual fund folios, then CAS shall be sent to that investor through email on monthly basis. In case there is no transaction in any of the mutual fund and demat accounts then CAS with holding details shall be sent to the investors by email on half yearly basis. In such cases, the CAS shall be dispatched to those investors who have opted for delivery via electronic mode, on or before the eighteenth (18th) day of April and October and to investors who have opted for delivery via physical mode, on or before the twenty-first (21st) day of April and October. However, where an investor does not wish to receive CAS through email, option shall be given to the investor to receive the CAS in physical form at the address registered with the Depositories and the AMCs/MF-RTAs.<br><br>For further details, refer SAI.<br><br>**Portfolio Disclosure:**<br><br>Tata Mutual Fund shall disclose portfolio (along with ISIN) in user friendly and downloadable spreadsheet format, as on the last day of the month for all its schemes on its website www.tatamutualfund.com and on the website of AMFI www.amfiindia.com within 10 days from the close of each month in a user-friendly and downloadable spreadsheet format. |

| | |
|---|---|
| | For debt schemes, such disclosure, including the yield of the instrument, shall be disclosed on fortnightly basis within 5 calendar days of every fortnight.<br><br>In case of unitholders whose email addresses are registered, Tata Mutual Fund will send via email both the monthly and fortnightly statement of scheme portfolio to such unitholders within the timelines prescribed above.<br><br>Tata Mutual Fund will declare on its website the hosting of the monthly/fortnightly statement of its schemes portfolio on its respective website and on the website of AMFI and the modes such as SMS, telephone, email or written request (letter) through which a unit holder can submit a request for a physical or electronic copy of the statement of scheme portfolio.<br><br>Tata Mutual Fund will provide physical copy of the statement of scheme portfolio without any cost, on specific request received from a unitholder.<br><br>For portfolio disclosure of schemes of Tata Mutual Fund, kindly visit functional Weblink: https://www.tatamutualfund.com/schemes-related/portfolio.<br><br>**Unaudited Financial Results:**<br><br>Tata Mutual Fund/ Tata Asset Management Pvt Ltd shall within one month from the close of each half year, that is on 31st March & on 30th September, host a soft copy of its unaudited financial results on its website in the format specified by SEBI from time to time.<br><br>Tata Mutual Fund / Tata Asset Management Pvt Ltd shall send written communication (including digital modes such as email/SMS etc.) to unitholders about the availability of unaudited financial results of its schemes.<br><br>For Unaudited Financial Results of Tata Mutual Fund, kindly visit functional Weblink: https://www.tatamutualfund.com/about-us.<br><br>**Annual report**<br><br>Annual report or Abridged Summary, in the format prescribed by SEBI, will be hosted on AMC's website, functional Weblink: https://www.tatamutualfund.com/about-us and on the website of AMFI www.amfiindia.com.<br><br>The scheme wise annual report or an abridged summary thereof, in the format prescribed, shall be sent by way of e-mail to the investor's registered e-mail address not later than four months from the date of closure of the relevant financial year.<br><br>Tata Mutual Fund will provide a physical copy of the abridged summary of the Annual Report, without charging any cost, on specific request received from a unitholder. Physical copies of the report will also be available to the unitholders at the registered offices at all times.<br><br>TAMPL shall e-mail the scheme annual reports or abridged summary thereof, in machine readable formats, to all such unit holders, whose email addresses are registered with the Mutual Fund, within 4 months from the date of closure of the relevant financial year. The said communication shall also include details of modes such as SMS, telephone, email or written request (letter), etc. through which unit holders can submit a request for a physical copy of the scheme wise annual report or abridged summary thereof. |

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TATA mutual fund

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

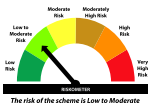
# Application Form For Tata CRISIL-IBX Financial Services 3-6 Months Debt Index Fund

**(An open-ended scheme replicating / tracking CRISIL-IBX Financial Services 3-6 Months Debt Index.**
**A relatively low interest rate risk and relatively low credit risk.)**

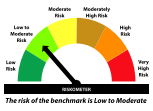
**Scheme Code: TATA/O/O/OIN/26/08/0081**

**Investment Objective**
The investment objective of the scheme is to track the CRISIL-IBX Financial Services 3-6 Months Debt Index, subject to tracking errors. However, there can be no assurance or guarantee that the investment objective of the Scheme will be achieved and the scheme does not assure or guarantee any returns.
**Investors should consult their financial advisers if in doubt about whether the product is suitable for them.**

**Scheme Riskometer**




**Benchmark Risk-O-Meter**




(The above product labelling assigned during NFO is based on internal assessment of the scheme characteris_cs and the same may vary post NFO when the actual investments are made.

The same shall be updated as per provision no. 6.16.1.j of SEBI Master Circular on Mutual Fund dated March 20, 2026, on Product labelling in mutual fund schemes on ongoing basis.)

**ALL THE DETAILS REQUESTED IN THE FORM ARE MANDATORY FOR EACH OF THE APPLICANTS**

## 1. Advisor / Distributor Information

*Refer Sec. B*

| 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. | | |

**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. ^ 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. Applicant's Information

*Refer Sec. A, C & J*

The Name of the Applicants should be as mentioned in the PAN and the KYC acknowledgement. There can be upto 3 holders. No joint holders allowed with 1st applicant as a minor. Any applicants should not be a resident of Canada or a person who falls within the definition of the term "U.S. Person" under the US Securities Act of 1933 and corporations or other entities organised under the laws of the U.S. For Investors New to Tata Mutual Fund, mention the C-KYC No. Incase C-KYC No. is not available kindly complete the Know Your Client (KYC) form attached herewith.

### Ist Applicant's Details

Folio No.

The first applicant will be the primary holder and all correspondence will be sent to him/her. Only the first holder can be a minor. Existing Investors may mention the Folio no. and proceed to Sec. 4. Investors to ensure that PAN is linked to Aadhaar.

| | | |
|---|---|---|
| ☐ Mr. ☐ Ms. ☐ M/s. | C-KYC | PAN / PEKRN |
| Name | | |
| Date of Birth (DOB) D D / M M / Y Y Y Y | In case of Minor: Proof of DOB: ☐ Birth certificate ☐ School leaving certificate ☐ Passport ☐ Others ..... | |
| Residence Phone (prefix STD Code) | Office Phone (prefix STD Code) Extn | |
| Mobile No. | Mobile belongs to ☐ Self ☐ Parent ☐ Sibling ☐ Custodian ☐ Spouse ☐ Child ☐ Guardian ☐ PMS ☐ POA | |
| Email | Email belongs to ☐ Self ☐ Parent ☐ Sibling ☐ Custodian ☐ Spouse ☐ Child ☐ Guardian ☐ PMS ☐ POA | |

☐ I/we hereby give my/our consent to AMC /Fund or its authorised agents or third party service providers or affiliates to collect, receive, utilize, possess, store, share, transfer, disclose and handle my/ our personal information/data provided by me/us and to communicate on scheme related matters, promotional information / materials on financial and investment products or offering of other services to me/us through any communication channel (overriding any NDNC registration).

On providing email-id investors shall receive the scheme wise annual report or an abridged summary thereof/ account statements/ statutory and other documents by email. However, if the investors wish to receive physical copy of the scheme wise annual report or an abridged summary thereof [Please tick (Tick Mark)] ☐ Yes ☐ No

### Contact Person - Designation (Non Individual Investors) / Power of Attorney (POA) / Proprietor / Guardian details (minor applicant)

| | | |
|---|---|---|
| POA / Proprietor / Guardian Details | ☐ Mr. ☐ Ms. | PAN / PEKRN |
| | Name | |
| For Non Individual | Entity Identifier (LEI) Number Mandatory for Transaction Value of INR 50 crore and above | Date of expiry D D / M M / Y Y Y Y |
| To be filled by Guardian | Relationship with the Minor Applicant ☐ Mother ☐ Father ☐ Legal Guardian | Proof of Relationship ☐ Birth certificate ☐ School leaving certificate ☐ Passport ☐ Others ..... |
| | Mobile No. | Date of Birth D D / M M / Y Y Y Y — C-KYC |

### Tax Status

| | | | | |
|---|---|---|---|---|
| ☐ Resident Individual | ☐ Sole Proprietorship | ☐ Public Limited Company | ☐ Limited Liability Partnership | ☐ Overseas Citizen of India |
| ☐ NRI-Repatriation | ☐ Hindu Undivided Family | ☐ Trust | ☐ Body of Individuals | ☐ Foreign National Resident in India |
| ☐ NRI-Non-Repatriation | ☐ Partnership | ☐ Body Corporate | ☐ Society / Club / NGO | ☐ Person of Indian Origin |
| ☐ Minor - Resident Individual | ☐ Private Limited Company | ☐ Non Profit Organization | ☐ Others (Please specify) ..... ..... | |
| ☐ Minor - NRI | | | | |

## 3. Contact Details

*Refer Sec. D*

Mailing address is required for initial communication. We will overwrite this address with the 1st Applicants address as per the KRA records

| | | |
|---|---|---|
| | | |
| | | City |
| PIN | State | Country |

TATA mutual fund

Sr. No.:

**Acknowledgement Slip**

Received from Mr./Ms./M/s. _____ PAN _____ ₹ _____

for purchase in Tata CRISIL-IBX Financial Services 3-6 Months Debt Index Fund : Plan: ☐ Regular ☐ Direct

Subject to verification and realisation.

Option: ☐ Growth ☐ IDCW Reinvestment ☐ IDCW Payout

## Overseas address

Mandatory for Non-Resident Individuals and Overseas Investors in addition to the mailing address.

| | | |
|---|---|---|
| | | |
| | | City |
| State | ZIP Code | Country |

## 4. Payout Bank Account Details

*Refer Sec. E*

The bank account details provided below will be held on record and considered as default bank mandate to pay redemption proceeds and IDCW payouts (if applicable).

This must be an Indian account. The 1st applicant should be a holder in this account.

| | | |
|---|---|---|
| Account number | | A/C type ☐ Savings ☐ Current ☐ NRO ☐ NRNR ☐ NRE |
| MICR | IFSC for RTGS | IFSC for NEFT |
| Bank Name and Branch | | |
| Branch City | PIN | State |

## 5. Investment Scheme Details

*Refer Sec. F & Product Labels*

**Amount Allocation** ☐ Lumpsum ☐ Lumpsum + SIP

| | | | |
|---|---|---|---|
| **Scheme Name** » | **Tata CRISIL-IBX Financial Services 3-6 Months Debt Index Fund** | **Plan** (select any one) » | ☐ Regular ☐ Direct |
| **Option** » | ☐ Growth ☐ IDCW Reinvest ☐ IDCW Payout | IDCW) » | Income Distribution cum Capital Withdrawal. |

## 6. Investment Instrument Details

*Refer Sec. G*

Mode of Payment: ☐ Cheque ☐ Funds Transfer ☐ RTGS ☐ NEFT

The name of the first applicant should be available on the investment Cheque.

Cheque/ DD to be drawn in favour of 'Tata CRISIL-IBX Financial Services 3-6 Months Debt Index Fund'

| | | |
|---|---|---|
| Amount (₹) (A) | Dated D D / M M / Y Y Y Y | Cheque / DD No. |
| Account Number | A/C type ☐ Savings ☐ Current ☐ NRO ☐ NRNR ☐ NRE | |
| Bank Details ☐ Same as above [Please (✓) if yes] ☐ Different from above [Please (✓) if it is different from above and fill in the Bank details below] | | |
| Name of Bank and Branch | | |
| Branch City | Mandatory Enclosures *(Please tick (✓) (if the first instalment is not through cheque)* ○ Cheque copy ○ Bank Statement ○ Banker's Attestation _____ | |

## 7. Joint Applicant's Details

*Refer Sec. H & I*

Mode of Holding: ☐ Single ☐ Joint ☐ Any one or Survivor (Default)

**IInd Applicant's Details** Investors to ensure that PAN is linked to Aadhaar.

| | | | |
|---|---|---|---|
| ☐ Mr. ☐ Ms. | Status ☐ Resident Individual ☐ NRI | C-KYC | PAN / PEKRN |
| Name | | | Date of Birth D D / M M / Y Y Y Y |
| Mobile No. | | Mobile belongs to ☐ Self ☐ Parent ☐ Sibling ☐ Custodian ☐ Spouse ☐ Child ☐ Guardian ☐ PMS ☐ POA | |
| Email | | Email belongs to ☐ Self ☐ Parent ☐ Sibling ☐ Custodian ☐ Spouse ☐ Child ☐ Guardian ☐ PMS ☐ POA | |

**Cheque Details**

Cheque/DD No. _____ dated _____ A/c. No. _____ Bank _____

**Acknowledgement Slip**

Subject to realisation.

**Call (022) 6282 7777** *(Monday to Saturday 9:00 am to 5:30 pm)*

**III[rd] Applicant's Details** Investors to ensure that PAN is linked to Aadhaar.

| ☐ Mr. ☐ Ms. | Status ☐ Resident Individual ☐ NRI | C-KYC | PAN / PEKRN |
|---|---|---|---|
| Name | | | Date of Birth D D / M M / Y Y Y Y |
| Mobile No. | | Mobile belongs to ☐ Self ☐ Parent ☐ Sibling ☐ Custodian ☐ Spouse ☐ Child ☐ Guardian ☐ PMS ☐ POA | |
| Email | | Email belongs to ☐ Self ☐ Parent ☐ Sibling ☐ Custodian ☐ Spouse ☐ Child ☐ Guardian ☐ PMS ☐ POA | |

## 8. Know Your Customer (KYC) Details

*Refer Sec. J*

| CATEGORIES | FIRST APPLICANT (Including Minor) | SECOND APPLICANT / GUARDIAN | THIRD APPLICANT |
|---|---|---|---|
| Occupation » | ☐ Private Sector Service ☐ Retired<br>☐ Public Sector Service ☐ Business<br>☐ Government Sector ☐ Agriculturist<br>☐ Professional ☐ Forex Dealer<br>☐ Housewife ☐ Student<br>☐ Others (please specify) ..... | ☐ Private Sector Service ☐ Retired<br>☐ Public Sector Service ☐ Business<br>☐ Government Sector ☐ Agriculturist<br>☐ Professional ☐ Forex Dealer<br>☐ Housewife ☐ Student<br>☐ Others (please specify) ..... | ☐ Private Sector Service ☐ Retired<br>☐ Public Sector Service ☐ Business<br>☐ Government Sector ☐ Agriculturist<br>☐ Professional ☐ Forex Dealer<br>☐ Housewife ☐ Student<br>☐ Others (please specify) ..... |
| Gross Annual Income » | ☐ Below 1 Lac ☐ 1-5 Lacs<br>☐ 5-10 Lacs ☐ 10-25 Lacs<br>☐ >25 Lacs-1 crore ☐ >1 crore<br>Networth in (Mandatory for Non-individual)<br>₹ ..... as on D D / M M / Y Y Y Y<br>(not older than 1 year) | ☐ Below 1 Lac ☐ 1-5 Lacs<br>☐ 5-10 Lacs ☐ 10-25 Lacs<br>☐ >25 Lacs-1 crore ☐ >1 crore<br>Networth in<br>₹ ..... as on D D / M M / Y Y Y Y<br>(not older than 1 year) | ☐ Below 1 Lac ☐ 1-5 Lacs<br>☐ 5-10 Lacs ☐ 10-25 Lacs<br>☐ >25 Lacs-1 crore ☐ >1 crore<br>Networth in<br>₹ ..... as on D D / M M / Y Y Y Y<br>(not older than 1 year) |
| Others » | ☐ Not Applicable<br>☐ Politically Exposed Person<br>☐ Related to Politically Exposed Person | ☐ Not Applicable<br>☐ Politically Exposed Person<br>☐ Related to Politically Exposed Person | ☐ Not Applicable<br>☐ Politically Exposed Person<br>☐ Related to Politically Exposed Person |

### Additional KYC Details for Non - Individuals

| | |
|---|---|
| For Non Individuals only (Companies, Trust, Partnership etc.) » | Is the company a Listed Company or Subsidiary of Listed Company or Controlled by a Listed Company: ☐ Yes ☐ No<br>(if No, mandatory to attach the UBO declaration) |
| | Non Individual investors involved/providing any of the mentioned services<br>☐ Foreign Exchange / Money Changer Services ☐ Gaming / Gambling / Lottery / Casino Services<br>☐ Money Lending / Pawning ☐ None of the above |

**Trusts/Societies/Section 8 companies (under Companies Act, 2013) constituted for religious or charitable purposes to attach Non-Profit Organization (NPO) declaration form**

## 9. Foreign Account Tax Compliance Act (FATCA) & CRS Details

*Refer Sec. K*

| For Individuals | FIRST APPLICANT (including Minor) | SECOND APPLICANT / GUARDIAN | THIRD APPLICANT |
|---|---|---|---|
| Country of Birth » | | | |
| Place of Birth » | | | |
| Nationality » | ☐ Indian ☐ U. S.<br>☐ Others (Please specify) _____ | ☐ Indian ☐ U. S.<br>☐ Others (Please specify) _____ | ☐ Indian ☐ U. S.<br>☐ Others (Please specify) _____ |
| Type of address given at KRA » | ☐ Residential or Business ☐ Residential<br>☐ Registered Office ☐ Business | ☐ Residential or Business ☐ Residential<br>☐ Registered Office ☐ Business | ☐ Residential or Business ☐ Residential<br>☐ Registered Office ☐ Business |
| Are you also a resident in any other country(ies) for tax purposes? » | ☐ No ☐ Yes | ☐ No ☐ Yes | ☐ No ☐ Yes |
| | **If yes, complete section below.** | | |
| Country of Tax Residency 1 » | | | |
| Tax Identification Number 1 » | | | |
| Identification Type 1 » | | | |
| If TIN is not available please tick the reason A, B or C * » | Reason ☐ A ☐ B ☐ C | Reason ☐ A ☐ B ☐ C | Reason ☐ A ☐ B ☐ C |
| Country of Tax Residency 2 » | | | |
| Tax Identification Number 2 » | | | |
| Identification Type 2 » | | | |
| If TIN is not available please tick the reason A, B or C * » | Reason ☐ A ☐ B ☐ C | Reason ☐ A ☐ B ☐ C | Reason ☐ A ☐ B ☐ C |

* Reason A: The country where the Account Holder is liable to pay tax does not issue Tax Identification Numbers to its residents; Reason B: No TIN required (Select this reason only if the authorities of the respective country of tax residence do not require the TIN to be collected); Reason C: Others- Please state the reasons thereof

**FATCA & CRS Related Details for Non Individuals: Please submit Form W8 BEN-E / Specified declaration (Enclosed)**

## 10. Nomination Details (All fields are Mandatory)

*Refer Sec. L*

**Select any one**

☐ **I do not wish to nominate.** I / We hereby confirm that I / We do not wish to appoint any nominee(s) for my mutual fund units held in my / our mutual fund folio and understand the issues involved in non appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents issued by Court or other such competent authority, based on the value of assets held in the mutual fund folio.

☐ **Register nomination as below:** I / We want the details of my / our nominee with % to be printed in the statement of holding, provided to me/ us by the AMC / DP : ☐ **Yes** ☐ **No (Default)**

| | | | |
|---|---|---|---|
| 1st Nominee | Name | PAN / PEKRN | Date of Birth<br>D D / M M / Y Y Y Y |
| | Relationship with Sole/1st Holder | Allocation (%) | Signature of Nominee / Guardian |
| | Identity Type<br>☐ PAN ☐ Driving Licence ☐ Aadhaar ☐ Passport | Identity Number (Only last 4 digits in case the Identity Type is Aadhaar) | |
| | Mobile | Email | |
| | Address of Nominee / Guardian (in case of Minor Nominee) | | |
| | State | PIN | Country |
| | Guardian Name in case of Minor Nominee | Guardian PAN | Relationship of Guardian with Nominee |
| 2nd Nominee | Name | PAN / PEKRN | Date of Birth<br>D D / M M / Y Y Y Y |
| | Relationship with Sole/1st Holder | Allocation (%) | Signature of Nominee / Guardian |
| | Identity Type<br>☐ PAN ☐ Driving Licence ☐ Aadhaar ☐ Passport | Identity Number (Only last 4 digits in case the Identity Type is Aadhaar) | |
| | Mobile | Email | |
| | Address of Nominee / Guardian (in case of Minor Nominee) | | |
| | State | PIN | Country |
| | Guardian Name in case of Minor Nominee | Guardian PAN | Relationship of Guardian with Nominee |
| 3rd Nominee | Name | PAN / PEKRN | Date of Birth<br>D D / M M / Y Y Y Y |
| | Relationship with Sole/1st Holder | Allocation (%) | Signature of Nominee / Guardian |
| | Identity Type<br>☐ PAN ☐ Driving Licence ☐ Aadhaar ☐ Passport | Identity Number<br>(Only last 4 digits in case the Identity Type is Aadhaar) | |
| | Mobile | Email | |
| | Address of Nominee / Guardian (in case of Minor Nominee) | | |
| | State | PIN | Country |
| | Guardian Name in case of Minor Nominee | Guardian PAN | Relationship of Guardian with Nominee |
| Sign here | 1st Applicant Signature / Thumb Impression | 2nd Applicant Signature / Thumb Impression | 3rd Applicant Signature / Thumb Impression |

## 11. Demat Account Details

*Refer Sec. M*

Ensure that the sequence of names as mentioned in the application form matches with that of the account held with the Depository Participant. In case the details are found to be incorrect, Units will be allotted in physical mode.

Fill these details only if you wish to have your units in Demat mode.

| | |
|---|---|
| Depository participant Name | |
| Central Depository Securities Limited<br>Target ID No. | National Securities Depository Limited<br>DP ID No.<br>I N<br>Beneficiary Account No. |

## 12. Declaration and Signatures

*Refer Sec. N*

I/We am/are not prohibited from accessing capital markets under any order/ruling/judgment etc., of any regulation, including SEBI. I/We confirm that my application is in compliance with applicable Indian and foreign laws. I / We hereby confirm and declare as under:- (1) I / We have read, understood and hereby agree to comply with the terms and conditions of the scheme, related documents and apply for allotment of Units of the Scheme(s) of Tata Mutual Fund ('Fund') indicated in this application form. (2) I/We am/are eligible Investor(s) as per the scheme related documents and am/are authorised to make this investment. The amount invested in the Scheme(s) is through legitimate sources only and is not for the purpose of contravention and/or evasion of any act, rules, regulations, notifications or directions issued by any regulatory authority in India. (3) The information given in / with this application form is true and correct and further agree to furnish such other further/additional information as may be required by the Tata Asset Management Private Limited (TAMPL)/ Fund and undertake to inform the AMC / Fund/Registrars and Transfer Agent (RTA) in writing about any change in the information furnished from time to time. (4) That in the event, the above information and/or any part of it is/are found to be false/ untrue/misleading, I/We will be liable for the consequences arising therefrom. (5) I/We hereby authorize you to disclose, share, remit in any form/manner/mode the above information and/or any part of it including the changes/updates that may be provided by me/us to the Mutual Fund, its Sponsor/s, Trustees, Asset Management Company, its employees, agents and third party service providers, SEBI registered intermediaries for single updation/ submission, any Indian or foreign statutory, regulatory, judicial, quasi- judicial authorities/agencies including but not limited to Financial Intelligence Unit-India (FIU-IND) etc without any intimation/advice to me/us. I/We hereby authorize you to share the account statement of the folio with the distributor /broker / advisor on record. (6) I/We will indemnify the Fund, AMC, Trustee, RTA and other intermediaries in case of any dispute regarding the eligibility, validity and authorization of my/our transactions. (7) 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. (8) I/We hereby confirm that I/We have not been offered/ communicated any indicative portfolio and/ or any indicative yield by the Fund/AMC/its distributor for this investment. (9) I / We agree that the unit balance(s) reflecting in the account statement is subject to realisation of Cheque accompanying the purchase request, PAN validation and KYC compliance. (10) For Foreign Nationals Resident in India only: I/We will redeem my/our entire investment/s before I/We change my/our Indian residency status. I/We shall be fully liable for all consequences (including taxation) arising out of the failure to redeem on account of change in residential status. (11) For NRIs/ PIO/OCIs only: I/We confirm that my application is in compliance with applicable Indian and Foreign laws. (12) I/We hereby accord my/our consent to TATA AMC for receiving the promotional information/ material via email, SMS, telemarketing calls, etc. on the mobile number and email provided by me/us in this Application Form.

**Date:** _____

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

TATA mutual fund

# Debit Mandate Form NACH (One Time Mandate - OTM)

[Applicable for Lumpsum Additional Purchases as well as SIP Registrations]

Date D D M M Y Y Y Y

UMRN Office use only

Choose (✓)
☑ CREATE
☒ MODIFY
☒ CANCEL

Sponsor Bank Code Office use only | Utility Code Office use only

I/We hereby authorize **TATA MUTUAL FUND** to debit (✓) ☐ SB ☐ CA ☐ CC ☐ SB-NRE ☐ SB-NRO ☐ Other

Bank A/c No.:

With Bank: Bank Name & Branch | IFSC | MICR

an amount of Rupees Amount in Words ₹

FREQUENCY (preselected) ☒ Monthly ☒ Quarterly ☒ Half Yearly ☑ As when presented (default) | DEBIT TYPE ☒ Fixed Amount ☑ Maximum Amount

Reference / Folio No. | Email Id

Scheme / Plan reference No. **All Schemes of Tata Mutual Fund** | Mobile

I agree for the debit of mandate processing charges by the bank whom I am authorising to debit my account as per latest schedule of charges of the bank.

PERIOD
From D D M M Y Y Y Y
to D D M M Y Y Y Y
Max Validity: 40 years only.

Sign Signature of First Account Holder | Sign Signature of Second Account Holder | Sign Signature of Third Account Holder

1. Name as in Bank Records | 2. Name as in Bank Records | 3. Name as in Bank Records

- This is to confirm that the declaration has been carefully read, understood & made by me/us. I am authorising the user Entity / Corporate to debit my account, based on the instructions as agreed and signed by me.
- I have understood that I am authorised to cancel / amend this mandate by appropriately communicating the cancellation / amendment request to the user entity / corporate or the bank where I have authorised the debit.

## SIP Registration (For OTM Registered Investors only)

Please tick (✓) as applicable: ☐ Registration of SIP ☐ Registration of MICRO SIP

**Advisor Details** (Transaction Charges for Applications routed through distributor/agents only (Kindly refer Instruction 8 overleaf)

| 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. |
|---|---|

| Sign here | Sole / 1st Unitholder Signature / Thumb Impression | 2nd Unitholder Signature / Thumb Impression | 3rd Unitholder Signature / Thumb Impression |
|---|---|---|---|

**Investor Details** Application No. | Folio No.

| 1st Holder Name | PAN |
|---|---|
| 2nd Holder Name | PAN |
| 3rd Holder Name | PAN |

**First SIP Cheque Details**

| Cheque No. | Cheque Amount in Rs. | Cheque Date D D / M M / Y Y Y Y |
|---|---|---|
| Bank Name | Branch | City |

| SIP Scheme/Option/ Sub Option | Plan: ☐ Regular ☐ Direct | SIP Instalment Amount (₹) | Frequency (*Default) | SIP Start Date | SIP End Date (Default: OTM Mandate End Date) |
|---|---|---|---|---|---|
| **Tata CRISIL-IBX Financial Services 3-6 Months Debt Index Fund** | | | ☐ Daily ^ ☐ Weekly ☐ Monthly * ☐ Quarterly | D D / M M / Y Y Y Y | D D / M M / Y Y Y Y |
| ***Option:*** | ☐ Growth ☐ IDCW | | | ^ **Daily SIP - Monday to Friday - On Business Days only SIP Transactions will start from 04th October 2026** | |
| ***IDCW Option:*** | ☐ IDCW Reinvest ☐ IDCW Payout | | | | |

Day of the week for weekly frequency : ☐ Monday ☐ Tuesday ☐ Wednesday *(Default)* ☐ Thursday ☐ Friday

| ☐ **SIP Top-up (Optional)** | **Top-up Amount (Rs.)** (In multiples of Rs. 500/- only) | **OR** | **Percentage (%)** | **SIP Top Up Frequency** ☐ Half Yearly ☐ Yearly (default) | **Upper SIP Amount (Rs.)** |
|---|---|---|---|---|---|

**Declaration and Signatures** : To - The Trustee, Tata Mutual Fund, Mumbai. Having read & understood the contents of SAI/SID/KIM of Tata CRISIL-IBX Financial Services 3-6 Months Debt Index Fund and terms and conditions overleaf, I/We hereby apply for the respective Units of Tata Mutual Fund Scheme/s at NAV based resale price & agree to abide by terms, conditions, rules & regulations of scheme/s. I/We hereby declare that the particulars given are correct & complete & express my willingness to make payments towards SIP installments referred above through participation in ECS/Direct Debit/Standing Instruction. The ARN Holder, where applicable, has disclosed to me/us all the commissions (trail commission or any other mode), payable to him for the different cometing Schemes of various Mutual Funds from amoungs which the Scheme is being recommended to me /us.

| Sign here | Sole / 1st Unitholder Signature / Thumb Impression | 2nd Unitholder Signature / Thumb Impression | 3rd Unitholder Signature / Thumb Impression |
|---|---|---|---|

Received for Folio No. / Application No. in **Tata CRISIL-IBX Financial Services 3-6 Months Debt Index Fund** ☐ OTM Debit Mandate Form ☐ SIP Form

**A. Instructions to fill one-time mandate (OTM)**

1. Investors who have already submitted a One Time Mandate (OTM) form or already registered for OTM facility should not submit OTM form again as OTM registration is a one-time process only for each bank account. However, if such investors wish to add a new bank account towards OTM facility may fill the form.

2. Investors, who have not registered for OTM facility, may fill the OTM form and submit duly signed with their name mentioned.

3. Mobile Number and Email Id: Unit holder(s) should mandatorily provide their mobile number and email id on the mandate form. Where the mobile number and email id mentioned on the mandate form differs from the ones as already existing in the folio, the details provided on the mandate will be updated in the folio. All future communication whatsoever would be, thereafter, sent to the updated mobile number and email id. TMF / TAMPL reserves the right to use Electronic Mail (email) as a default mode to send various communication which include account statements for transactions done by the investor(s). The Investor/(s) agree/s and acknowledge, irrespective of their registration of the above mobile number in the 'DO NOT DISTURB (DND)', 'or in any similar register maintained under applicable laws, at the time of application or subsequent to the date hereof, they consent to the Bank/AMC communicating with them in any manner whatsoever on the registered mobile number with respect to the transactions carried out in their bank account(s).

4. Investors are required to provide an original cancelled cheque (or a copy) with name and account number pre-printed of the bank account to be registered or bank account verification letter for registration of the mandate failing which registration may not be accepted. The Investors cheque/ bank account details are subject to third party verification. The investors cheque/ bank account details are subject to third party verification. In case the investor is not able to submit the Original cancelled cheque or do not have the name of the investor on the face of the cheque. Then submit any one of the following:

   a. Copy of the bank passbook attested by bank / Original bank statement with name, address and bank account number of the investor.

   b. A letter from the bank on its letter head certifying that the investor maintains an account with the bank, along with the information like the bank account number, bank branch, account type, the MICR code of the branch and the IFSC code.

5. Investors are deemed to have read and understood the terms and conditions of OTM Facility, SIP registration through OTM facility, the Scheme Information Document, Statement of Additional Information, Key Information Memorandum, Instructions and Addenda issued from time to time of the respective Scheme(s) of Tata Mutual Fund.

6. Date and the validity of the mandate should be mentioned in DD/ MM/YYYY format. The maximum mandate validity period is 40 years only.

7. Utility Code of the Service Provider will be mentioned by Tata Mutual Fund.

8. Tick (✓) on the respective option to select your choice of action and instruction.

9. The numeric data like Bank account number, Investors account number should be left padded with zeroes.

10. Please mention the Name of Bank and Branch, IFSC / MICR Code also provide An Original Cancelled copy of the cheque of the same bank account registered in One Time Mandate.

11. Amount payable for service or maximum amount per transaction that could be processed in words. The amount in figures should be same as the amount mentioned in words, in case of ambiguity the mandate will be rejected.

12. For the convenience of the investors the frequency of the mandate will be "As and When Presented"

13. Please affix the Names of customer/s and signature/s as well as seal of Company (where required) and sign the undertaking.

14. Investors agree and acknowledge that they will not hold the AMC responsible for any delay and/or failure in debiting his bank account for reasons not attributable to the negligence and/or misconduct on the part of the AMC.

15. Investors agree to abide by the terms and conditions that may be intimated to them by the AMC/Bank with respect to the NACH/ Direct Debit/SI from time to time.

16. The investors hereby authorize the representatives of Tata Asset Management Private Limited, Investment Manager to Tata Mutual Fund carrying this mandate form to get it verified and executed.

17. The investors authorize the Bank to debit their bank account for any charges towards mandate verification, registration, transactions, returns, etc, as applicable for participation in NACH/Direct Debit/ SI. The maximum amount for the OTM is Rs.1 Crore.

18. Note: Accordingly, with effect from November 15, 2010 TMF will not accept applications for subscriptions accompanied with third party payment instruments except in exceptional situations. Third Party Payment is defined as:

    a. Payment made through an instrument issued from an account other than that of the beneficiary investor.

    b. In case of payments from a joint bank account, the 1st holder of the mutual fund folio has to be one of the joint holders of the Bank Account from which payment is made.

    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.

    The exceptional situations where the same will not be applicable are as follows:

    a. Payment by Parents/Grandparents/related persons on behalf of a minor in consideration of natural love and affection or as gift for a value not exceeding Rs. 50,000/- (each regular purchase or per SIP installment);

    b. Payment by employer on behalf of employee under Systematic Investment Plan (SIP) facility through payroll deductions;

19. In case SIP/ Micro SIP investments are made through "Third Party Payments" i.e. payment made through an instrument issued from a bank account other than that of the first named applicant/ investor mentioned in the application form, Investors are required to additionally fill up and submit the "Third Party Declaration Form" (available at our ISCs and website www.tatamutualfund.com) along with the SIP enrollment form.

20. The investor agrees to abide by the terms and conditions of NACH facility of NPCI, Direct Debit facility of Banks, and facilities of RBI. Tata Mutual Fund (TMF) / TAMPL, its registrars and other service providers shall not be held responsible or will not be liable for any damages and will not compensate for any loss, damage etc. incurred to the investor. The investor assumes the entire risk of using this facility and takes full responsibility. Investor will not hold TMF / TAMPL, its registrars and other service providers responsible if the transaction is delayed or not effected or the investor bank account is debited in advance or after the specific SIP date due to various clearing cycles of Auto Debit / local holidays. TMF shall endeavors to register the one-time mandate and SIPs through NACH however if for any reason what so ever the registrations of OTM is unsuccessful; TMF shall endeavor to register the SIP through other debit modes like Direct Debit, Standing Instructions etc.

**B. Instructions for SIP Registration form (OTM already registered)**

1. SIP Registration form should be completed in English and in Block Letters only. Please tick (✓) in the appropriate box () where boxes have been provided. Registration form complete in all respects, should be submitted at any of the Official Point of Acceptance of Tata Mutual Fund.

2. New Investors who wish to enroll are required to fill (i) OTM Mandate Form (ii) SIP Registration Form and (iii) Tata CRISIL-IBX Financial Services 3-6 Months Debt Index Fund Application form (included in the Key Information Memorandum). New Investors can apply for SIP into respective Scheme / Plans / Option without any existing investment /folio.

3. This SIP registration form has to be filled where a onetime mandate is already registered in a folio for a bank account, and there is no need of a separate cheque to be given along with the SIP Registration Form.

4. Where the mandate form and the SIP registration form are submitted together, debits for the SIP may happen only on successful

registration of the mandate by the Unit holder(s) bank. The Fund / AMC would present the SIP transactions or lumpsum purchase transactions without waiting for the confirmation of the successful registration from the Unit holder(s)' bank.

5. In case the onetime mandate is successfully registered, new SIP registration will take upto five days. The first debit may happen any time thereafter, based on the dates opted by the Unit holder(s).

6. W.e.f 1st January 2011, KYC is mandatory for all investors including SIP investments. This is a one-time KYC compliance process; a copy of the KYC compliance letter is mandatory to be submitted while investing the amount for the first time. Existing investors need to comply and submit KYC during Renewal of SIP if not submitted earlier. Applications for subscriptions without a valid KYC compliance may be rejected. In the event of non-compliance of KYC requirements, the Trustees/AMC reserves the right to freeze the folio of the investor(s) and effect mandatory redemption of unit holdings of the investors at the applicable NAV, subject to payment of exit load (as applicable) and recovery of unamortized NFO expenses. KYC is required for Micro SIP as well. Please refer to SAI for more details.

7. Investments through distributors: As per directions of Securities and Exchange Board of India (SEBI), Investors can route their application forms directly and /or through the distributors /employees of the distributor who hold a valid certification from the National Institute of Securities Markets (NISM) and ARN provided by Association of Mutual Funds in India (AMFI). Further, no agents / distributors are entitled to sell units of mutual funds unless the intermediary is registered with AMFI.

   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 the transaction is executed without any interaction or advice of the employee/ relationship manager / sales person of the distributor the EUIN box may be left blank. In this case you are required to provide a duly signed declaration to this effect 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.

   New cadre distributors: Postal agents, retired government and semi-government officials (class III and above or equivalent), retired teachers and retired bank officers (all such retired persons with at least 10 years of service) and other similar persons (such as Bank correspondents) as may be notified by AMFI/ the AMC from time to time as new cadre distributors are permitted to sell eligible schemes of the Fund. However these schemes are not eligible to be sold by such distributors. In case your application for subscription is receive through such distributor, it is liable to be rejected.

8. In case there are more than one OTM mandates registered for the folio, investor has to specify the Bank Name and the account number which needs to be debited for the SIP. In case the bank name and the account numbers are not mentioned, or there is any ambiguity, the SIP request is liable for rejection.

9. Investors should indicate the Plan (viz. Direct Plan/ Regular Plan) for which the subscription is made by indicating the complete Tata CRISIL-IBX Financial Services 3-6 Months Debt Index Fund with the Plan, option and sub option in the appropriate box provided for the purpose in the application form. Default options: If Growth or IDCW Option is not mentioned: Growth; Default Sub-Option: IDCW re-investment option. In case of valid applications received without indicating any choice of Plan, the application with be processed for the Plan as under:

   Default under Direct / Regular Plan:

| Scenario | Broker Code mentioned by the investor | Plan mentioned by the investor | Default Plan to be captured |
|---|---|---|---|
| 1 | Not mentioned | Not mentioned | Direct Plan |
| 2 | Not mentioned | Direct Plan | Direct Plan |
| 3 | Not mentioned | Regular Plan | Direct Plan |
| 4 | Mentioned | Direct Plan | Direct Plan |
| 5 | Direct Plan | Not Mentioned | Direct Plan |
| 6 | Direct Plan | Regular Plan | Direct Plan |
| 7 | Mentioned | Regular Plan | Regular Plan |
| 8 | Mentioned | Not Mentioned | Regular Plan |

10. In cases of wrong/ invalid/ incomplete ARN codes mentioned on the application form, the application shall be processed under Regular Plan. TAMPL shall contact and obtain the correct ARN code within 30 calendar days of the receipt of the application form from the investor/ distributor. In case, the correct code is not received within 30 calendar days, the TAMPL shall reprocess the transaction under Direct Plan from the date of application without any exit load.

11. The provisions mentioned in the respective SID regarding Applicable NAV, Risk Factors, Load etc. shall be applicable. The provision for "Minimum Application Amount" as specified in the respective SID will not be applicable for SIP Investments. e.g. the minimum application amount for new investor in Tata CRISIL-IBX Financial Services 3-6 Months Debt Index Fund is Rs.5000/-. However, in case of SIP investments, an investor can enter the Scheme with minimum amount of Rs.500/-.

12. Minimum application amount for Daily, Weekly or Monthly SIP Option –12 instalments of Rs. 500/- each and in multiples of Re. 1 thereafter. For Quarterly SIP option – 4 instalments of Rs. 1,500/- each and in multiples of Re. 1 thereafter. For MICRO SIP maximum SIP amount can be Rs.4000/- Per Month or Rs. 12000/- Per Quarter across all his folios.

13. Daily SIP will be processed on all business days from Monday to Friday. It is mandatory to mention the SIP start date and SIP end date, in case the form is received after the SIP start date the SIP will start as per the following business rules:

    i. Daily SIP: From the date of confirmation of registration

    ii. Weekly SIP: from the SIP Day as required post the confirmation of registration (default: Wednesday).

    iii. Monthly and Quarterly: From the same date as the SIP start date however from following month.

    If the frequency is not mentioned, then the default frequency is Monthly. If the SIP period for monthly and Quarterly Frequency is not specified, SIP will be registered to start after 22nd October 2026, subject to mandate being registered. If the investor has a pre-registered OTM Mandates then SIP can start from 04th October 2026. If the end date is not specified, SIP will be registered till end date of mandate, whichever is earlier.

14. If any time during the SIP period, the onetime mandate is to be modified to reduce the validity period which is more than SIP end period registered through OTM, investor should first cancel the SIP and thereafter modify the OTM end period.

15. While the Tata Mutual Fund (Fund) and Registrar and Transfer Agent (RTA, CAMS) reserve the right to enhance the SIP period to ensure minimum installments as per respective scheme offer documents, even if the investor has submitted the form late or requested for a period less than minimum installments, they may reject the applications for less than minimum installments.

16. In case of Micro SIP application without PAN, the investor/s hereby declare that they do not have any existing Micro SIPs with Tata Mutual Fund which together with the current application will result in aggregate investments exceeding Rs. 50,000 in a year.

17. An investor can opt for Monthly or Quarterly frequency. The default frequency is monthly.

18. The default option in a case end date for enrolment period will be mandate end date. In case an investor, subsequently intends to discontinue the same, a written communication thereof will be required to be furnished. In case the SIP end date is not mentioned while submitting the application, the SIP mandate will be construed to be same as mandate end date, till instruction to the contrary is received from the investor.

19. Instructions for Any day SIP:

    a. In case of ambiguity of SIP date, the default date will be considered as 10th of every month/quarter.

    b. Investors should take note that despite the date of debit of the bank account as mentioned the NAV applicability will be on the basis of the provision of NAV applicability as mentioned in the SID of the respective scheme.

    c. If the date of debit to our account happens to be a non-business day as per the Mutual Fund, execution of the SIP will

happen on the day of holiday & allotment of units will happen as per the Terms & Conditions listed in the KIM/SID/SAI of the Mutual Fund.

20. Allotment of units would be subject to realisation of credit.

21. In case there are three consecutive SIP transaction reversals, the subsequent SIP instalments will be automatically ceased.

22. Top-up SIP is a facility whereby an investor has an option to increase the amount of the SIP Installment by a fixed amount at pre-defined intervals. This will enhance the flexibility of the investor to invest higher amounts during the tenure of the SIP. There are two types sof SIP TOP-UP: (1) Fixed TOP-UP. (2) Variable TOP-UP. Terms and conditions of top-up SIP are as follows:

(a) Fixed TOP-UP:

i. The Top-up option must be specified by the investors while enrolling for the SIP facility.

ii. The minimum SIP Top-up amount is ₹500 and in multiples of ₹500.

iii. The Top-up details cannot be modified once enrolled. In order to make any changes, the investor must cancel the existing SIP and enroll for a fresh SIP with Top-up option.

iv. In case of Monthly SIP, Half-yearly as well as Yearly frequency are available under SIP Top-up. If the investor does not specify the frequency, the default frequency for Top-up will be considered as Yearly.

v. In case of Quarterly SIP, only the Yearly frequency is available under SIP Top-up.

vi. Top-up SIP will be allowed in all schemes in which SIP facility is being offered.

vii. Investors can opt for an upper limit for the SIP with top up facility. Maximum amount of debit (SIP+Top-Up) per instalment should not exceed the upper limit of the OTM mandate registered. The investment SIP Top up will be discontinued once the SIP upper limit is reached. However, the SIP will continue till the entire enrolment period as opted by the investor.

e.g.

SIP enrollment period: 26- Nov-26 to 26-May-29;

Monthly SIP amount: Rs. 2000

Top Up Amount: Rs. 500;

Top Up frequency: Half yearly.

Upper SIP Amount: Rs. 3000

| From date | To date | Monthly SIP Installment (₹) | SIP Top Up Amount (₹) | Total Amount of SIP (₹) |
|---|---|---|---|---|
| 26-Nov-26 | 26-Apr-27 | 2000 | NA | 2000 |
| 26-May-27 | 26-Oct-27 | 2000 | 500 | 2500 |
| 26-Nov-28 | 26-Apr-28 | 2500 | 500 | 3000 |
| 26-May-28 | 26-Oct-28 | 3000 | - | 3000 |

23. Procedure for Cancellation of Existing SIP: Investor needs to submit a letter from the investor OR the prescribed SIP Discontinuity form, duly completed and signed by all the unit holders. This request should be received to us at least 15 business days prior to the next due date of SIP.

24. TAMPL reserves the right to reject any application without assigning any reason thereof. TAMPL in consultation with Trustees reserves the right to withdraw these offerings, modify the procedure, frequency, dates, load structure in accordance with the SEBI Regulations and any such change will be applicable only to units transacted pursuant to such change on a prospective basis.

## C. TERMS AND CONDITIONS FOR ONE TIME MANDATE

### C. I. General

1. One Time Mandate (OTM) is a facility (herein after referred as 'facility') whereby the Unit holder(s) can register a onetime mandate to debit their bank account up to a certain limit per transaction, as per their choice, with Tata Mutual Fund ('Fund') and authorizing the Fund or Tata Asset Management Private Limited ('TAMPL') and the bank to debit their bank account for payment towards various purchases or SIP instalments submitted through various modes offered or as may be offered from time to time by TAMPL.

2. This facility is an authorization to the bank, as indicated by the Unit holder(s) in the OTM form, to debit their bank account up to a certain limit in a particular folio per registration per transaction, based on their instruction to the Fund, whenever they choose to invest or start a SIP.

3. Unless otherwise specified, the term 'mandate' in these terms and conditions refers to the specific bank and bank account number of the investor/s or unit holder/s as mentioned by them in the OTM form (mandate form) to be used for debits for payment towards lump sum purchases or SIP instalments.

4. This facility is available to all categories of investors who are eligible to invest in the schemes of the Fund from time to time. TAMPL reserves the right to restrict or withdraw or discontinue the OTM facility to certain categories of investors or to any specific investor anytime at its discretion without assigning any prior reason thereof.

5. To avail of this Facility, the investors/Unit holder(s) of the Fund shall be required to submit the onetime mandate, complete with all the details in the designated mandate form. TAMPL may in its absolute discretion and in the Unit holder(s) interest, request the Unit holder(s) for a verbal, fax or written confirmation of any registration request or subsequent transaction request and/or any additional information with respect to the mandate or Unit holder(s) authorization.

6. When a mandate is successfully registered with unit holders' bank and upon confirmation from the Fund, the Unit holder(s) shall have the flexibility to make lump sum purchases or register new SIPs in any of the schemes through various modes not limited to physical mode without a cheque, or any other mode introduced in future or to any other mode to which this facility is extended in future; up to the maximum amount of the mandate so registered. There is no requirement of filling a mandate form every time for a new SIP, as long as the amount of the instalments for the SIPs registered are within the mandate amount.

7. In a folio, the Unit holder(s) can register only a single onetime mandate with a particular bank account number. In other words, for the same bank account number, the unit holder(s) cannot submit more than one mandate in a folio. However, the Unit holder(s) can register multiple mandates of different bank account numbers maintained with the same bank or different banks.

8. Mobile Number and Email Id: Unit holder(s) should mandatorily provide their mobile number and email id on the mandate form. Where the mobile number and email id mentioned on the mandate form differs from the ones as already existing in the folio, the details provided on the mandate will be updated in the folio. All future communication whatsoever would be, thereafter, sent to the updated mobile number and email id.

9. Default Mandate: Where unit holder/s register more than one mandate in a folio various periods of time. The last updated successfully registered mandate would be treated as the Default Mandate. In the absence of any specific bank account number mentioned for lump sum purchases or new SIP registrations, default mandate and it's bank account will be considering for debiting towards payment of additional purchases and SIPs.

10. Modification of the Mandate: Unit Holder(s) have the option to modify the mandate to a higher amount by submitting the OTM - NACH Update/ Cancellation form by ticking on the provision in the form "AMEND" and providing all details on the mandate, duly signed by all the Unit holder(s) and the bank account holder(s) and submit it to TAMPL/RTA. Request on any other forms or paper will not be accepted/ processed and will be rejected. The new higher amount will be applicable only after confirmation of successful registration from the Unit holder(s) bank. In case where the unit holder chooses to reduce the existing mandate amount, he should discontinue the existing SIPs (covered under the higher mandate amount) to avoid failed transaction or reversals.

11. Cancellation of the Mandate: Unit holder(s) will have to submit the OTM - NACH Update/ Cancellation form by ticking on the provision in the form "CANCEL" and providing all details on the mandate, duly signed by all the Unit holder(s) and the bank account holder(s) and submit it to TAMPL/RTA. Request on any other forms or paper will be not be accepted or processed and will be rejected. In case of cancellation, future instalments of all SIPs registered under the said mandate will also stand to be ceased. Unit holders are requested to send mandate cancellation request at least 15 days in advance duly signed. Any debit towards purchase or SIP instalments during the intervening period may be processed and Unit holder(s) account would be debited. The unit holders' agree that the cancellation/ termination/ withdrawal request is an authority to TAMPL/Registrar to instruct the debit bank on discontinuation of onetime mandate and Customer will not hold Bank responsible for any Standing Instruction cancellation based on TAMPL instruction.

12. Expiry of the Mandate: The mandate will expire on the end date as mentioned on the Mandate. As a result of the expiry of the mandate, future instalments after expiry date of all SIPs registered under the said mandate may also automatically cease.

13. TAMPL reserve the right to reject any application without assigning any reason thereof.

14. The investor thereby declares that the particulars in one time mandate and any subsequent transactions provided will be correct and complete.

15. Please refer the SID, SAI and Key information Memorandum, all Instructions, Addenda issued from time to time and available on Fund's website towards Applicable NAV, Risk Factors, Loads and all other information related to various requirements of the respective Scheme/ Plan before investing. It is deemed that the investor has agreed to all the terms and conditions of the scheme, as prevailing on the date of the application and investment.

16. Unit holder(s) hereby confirms, acknowledges and undertakes to make payments for subscription of units from their respective bank account(s) only in compliance with applicable provisions relating restriction on third party payments as detailed in the SID/ SAI and that the payment will be through legitimate sources only.

17. The Mutual Fund, its Registrars, Banks and other service providers shall not be liable for, nor be in default by reason of, any failure or delay in completion of its obligation under this facility, where such failure or delay is caused, in whole or in part, by any acts of God, civil war, civil commotion, riots, strike, mutiny, resolution, fire, flood, fog, war, lightening, earthquake, change of Government policies, unavailability of bank's computer system, force majeure events, or any other cause of peril which is beyond their reasonable control and which has the effect of preventing the performance of contract by them.

**C.II. Mandate Registration Related**

1. Banks and the branches which are available for the facility of onetime mandate registration may change from time to time. Please note that the list of banks and branches may be modified/ updated/changed/removed at any time in future at the sole discretion of TAMPL without assigning any reason or prior notice. Some banks and branches may levy charges (in whatsoever manner) for mandate registration and /or transactions to their bank account holders, which will be borne by the account holder only and will not be borne by TAMPL or the Fund.

2. The onetime mandate form signed by the Unit holder(s) and the account holder(s) will be lodged by TAMPL /RTA at its discretion, depending on the availability of the facility with different banks either under NACH (Debits) or where TAMPL may have a specific Direct Debit tie-up with the bank. Unit holder(s) agree to have authorized TAMPL or its representatives to register the mandate under any of the available facility of NACH (Debits). The mandates would be lodged by TAMPL /RTA within a period of ten to thirty days based on NACH processing timelines, without any responsibility on the part of TAMPL.

3. The responsibility of providing correct bank account information the onetime mandate or any other application form for this facility solely rests with the Unit holder(s) and TAMPL / Fund/ RTA/ Banks/ Service Providers will not be responsible or liable for any loss, claims, liability that may arise on account of any incorrect and / or erroneous data/ information supplies by the Unit holder(s).

4. Unit holder(s) need to provide along with the mandate form an original cancelled cheque (or a copy) with name and account number pre-printed of the bank account to be registered or bank account verification letter for registration of the mandate failing which registration may not be accepted. The Unit holder(s) cheque/ bank account details are subject to third party verification.

5. In case of folios where the mode of holding is 'Joint', the mandate has to be signed by all the joint account holders and it would be expressly understood that the signatories to the mandate have granted an express instruction to TAMPL /RTA to treat the mode of holding to 'Anyone or Survivor' for availing this facility only specifically through SMS or any other mode as may be offered by TAMPL, so that these facilities can be availed by any of the joint Holders.

   In case of unit holder(s) other than the individuals, it is expressly understood that the signatories to the mandates are authorized and empowered to do so and transact using the said facility.

   The Fund/TAMPL/RTA would purely act based on the valid mandate as well as transactions submitted, and all the Unit holder(s) would be bound by all the terms and conditions and would not hold the Fund/ TAMPL /RTA for any loss or potential loss, in whatsoever manner.

6. It will be the sole responsibility of the unit holder(s)' bank and its branch to ensure proper registration of the Mandate and confirm registration. It is expressly clarified that TAMPL /RTA/Service providers only act as a unit holder's messenger to unit holders' bank to register the mandate and will not be responsible for any action or inaction on part of the unit holders' bank. By signing the onetime mandate form, Unit holder(s) and the bank account holders hereby agree to the authorized TAMPL/RTA to register the mandate and process any transactions received thereafter.

7. If no confirmation of registration or rejection is received from the unit holders' bank, TAMPL /RTA/it's agents will deem the mandate to be as registered. The Fund will endeavor to inform the Unit holder(s) through email/SMS for cases where confirmation on successful registration/ rejection of the mandate is received from the Unit holder(s) bank.

8. The Unit holder(s) agree that the Fund/ TAMPL /RTA and their agents shall not be held liable for any unsuccessful registration and or transaction due to any action or inaction of the Unit holder(s) bank including but not limited to reasons mentioned below and agree to indemnify the Fund/ TAMPL /RTA for all liabilities, losses, damages and expenses which they may consequent sustain or incur either directly or indirectly:

   a. Loss of the mandate forms in transit from point of acceptance of the form to RTA head office and further to the Unit holder(s)' bank branch;

   b. Non-acceptance or rejection of the mandate for whatsoever reason by the Unit holder(s)' bank branch, with or without any reason assigned by the Unit holder(s) bank;

   c. Non-registration of the Debit Mandate by the Unit holder(s)' bank and branch;

   d. Deemed registration due to non-confirmation of registration or rejection by the bank and any subsequent rejection of debit of bank account for funds;

   e. Non availability of funds in the bank account of the Unit holder(s) at the time of debit;

   f. Rejection of registration or transaction debit for any reason or without assigning any reason whatsoever.

   g. Signatories to the mandates or transaction debit for any reason or without assigning any reason whatsoever.

   h. Any late registration of the onetime mandate with the bank for whatsoever reason or rejection of lump sum purchases or SIP registration or instalments with or without any reason, and will not be liable for any transactions not processed or reversed or rejected or any late debits to the bank account, till the mandate registration is successful.

9. The Investor agrees to abide by the terms and conditions of NACH facility of National Payment Corporation of India (NPCI), facilities of Reserve Bank of India (RBI) as applicable at the time of investment and as may be modified or amended from time to time.

**C.III. Transaction Related**

1. Unit holder(s) of the Fund can start investing using this Facility only after successful registration of the onetime mandate with their bankers and receipt of confirmation letter/SMS/email from TAMPL.

2. Unitholder/s or Investors can make additional purchases; start new SIPs in any of the schemes of Tata Mutual Fund using this facility and through physical forms or any facility added in future.

3. Where multiple mandates with different bank account numbers are registered in a folio, the Unit holders(s) will have to specify the bank account from which the debit towards lump sum purchases, SIP registration should happen. In the absence of any such instruction, default mandate would be used for debiting towards lump sum purchases, new SIP registration subject to the mandate amount being sufficient to process such transactions.

4. The Unit holder(s) hereby agrees and confirms that the Fund is authorized to rely on any instruction received or purported to have been received from the Unit holder(s) through physical mode or through any other facility, as offered/ introduced by Fund/ TAMPL from time to time and such instructions shall be conclusive and binding on the Unit holder(s).

5. Applicable NAV for the transactions will be dependent upon the time of receipt of the transaction through physical mode into TAMPL or

RTA offices or server, electronically time-stamped and other factors like scheme, type of transaction, amount of transaction, date and time of realization of clear fund through banking channels, as per detailed provisions mentioned in Scheme Information documents and will be treated on par transactions received through other modes. For the purpose of this Facility, such TAMPL/RTA offices/ servers would be considered as an Official Point of Acceptance of the transaction.

6. It may happen that some transaction may be rejected by the Unit holder(s) bank. The Bank may charge the Unit holder(s) for any failed transactions and it will have to be borne by the Unit holder(s) and not by the Fund or TAMPL. The Fund may endeavor to give preference to the SIP instalments and the lump sum purchases may be debited on the following days.

7. The bank account of the customer may be debited towards purchases either on the same day of due date or within one to seven business days depending on NACH settlement cycles. TAMPL/ RTA shall attempt to settle the transaction and debit the bank account by requesting the registered bank for release of funds generally within a period of one to seven banking working days. The investor undertakes to keep sufficient funds in their bank accounts till the date of debit. However, in case of non-receipt of the funds, for whatsoever reasons, the transaction shall stand cancelled/null and void and the units allotted, if any would be reversed. If the date of debit to the investor's account happens to be a non-Business Day as per the Mutual Fund, execution of the Direct Debit / SI may happen on non-business day however the allotment of Units will happen as per the terms and conditions listed in the SID, SAI, KIM and all relevant Addenda of the scheme concerned.

8. The Unit holder(s) shall check their bank account records carefully and promptly. The Unit holder(s) will promptly inform the Fund in case of any erroneous or unauthorized transaction/s being processed, any erroneous debits. The Unit holder(s) should inform the Fund for such discrepancy within a period of ten days. Failing which it will be deemed that there is no any discrepancy in the transactions which were processed.

9. If the transaction is delayed or not effected at all for reason of incomplete or incorrect information or due to any reason by the investor's banker, the investor would not hold the Mutual Fund or the Bank responsible.

10. For the purpose of lump sum purchases, SIP instalments, the investor and/or bank account holders authorizes TAMPL, its registrars, bankers, correspondent bankers and service providers, to raise a debit on the mentioned account with the bank branch. The investor and/or bank account holders hereby authorizes the bank to honor all such requests received through TAMPL, its registrars, bankers and service providers to debit their Account with the amount requested, for due remittance of the proceeds to TAMPL as per the mandate. The investor/s or the bank account holders shall not dispute or challenge any valid debit, raised under this facility, on any ground whatsoever. Investors will not have any claim against TAMPL, service providers, bankers, correspondent bankers and other service providers jointly and or severally indemnified, from time to time, against all claims, actions suits, for any loss, damage, costs, charges and expenses incurred by them, by reason of their acting upon the instructions issued by the named authorized signatories/beneficiaries.

    Investors agree that TAMPL may discontinue OTM facility as well as any SIP registrations for any investor/ folio entirely at its discretion and advice banks for cancellation of Standing Instruction in case one or more debits are rejected and funds not received for any reason.

    The unit holder shall always abide by the aforesaid terms and conditions while availing the facility and hereby undertake not to misuse the same and in the event of any damage shall indemnify TAMPL/RTA for any loss arising there from.

    TAMPL may amend the above terms and conditions, at any time without prior notice to the unit holders and such amended terms and conditions will there upon apply to and will be binding on the unit holders.

# Thank you for your Interest in Tata Mutual Fund

## 5 simple steps to open your Investment Account

| | |
|---|---|
| Step 1 | Complete the relevant sections of this Application Form in English and In CAPITAL. |
| Step 2 | Sign and date this Application Form. |
| Step 3 | Enclose your Investment Cheque/DD drawn in favour of **"Tata CRISIL-IBX Financial Services 3-6 Months Debt Index Fund"**, dated, signed and crossed 'A/c Payee only.' |
| Step 4 | Attach the relevant documents as per the list below. |
| Step 5 | Submit your application form to the Nearest Collection Centre. List of the Centre available on our website www.tatamutualfund.com. |

| | Documents | Companies / Trusts / Societies/ Partnership Firms / LLP | NRI/ OCI/ PIO | Minor | Investments through Constituted Attorney |
|---|---|---|---|---|---|
| 1. | Board/ Committee Resolution/ Authority Letter | ✓ | | | |
| 2. | List of Authorised Signatories with Specimen Signature(s) @ | ✓ | | | ✓ |
| 3. | Notarised Power of Attorney | | | | ✓ |
| 4. | Account Debit Certificate in case payment is made by DD from NRE / FCNR A/c. where applicable | | ✓ | | ✓ |
| 5. | PAN Proof | ✓ | ✓ | ✓ | ✓ |
| 6. | KYC Acknowledgement Letter / Print out of KYC Compliance Status | ✓ | ✓ | ✓ | ✓ |
| 7. | Proof of Date of Birth | | | ✓ | |
| 8. | Proof of Relationship with Guardian | | | ✓ | |
| 9. | PIO / OCI Card (as applicable) | | ✓ | | |
| 10. | Ultimate Beneficial Owner | ✓ | | | ✓ |
| 11. | FATCA & CRS | ✓ | ✓ | ✓ | ✓ |

@ Should be original or true copy certified by the Director / Trustee / Company Secretary / Authorised Signatory / Notary Public, as applicable.

# If PAN/PEKRN/KYC proof of Minor is not available, PAN/PEKRN/KYC proof of Guardian should be provided.

## INSTRUCTIONS FOR FILLING UP THE APPLICATION FORM

**A. General Instructions:**

i. Please read the Key Information Memorandum (KIM)/ Scheme Information Document(s) (SID) of the Scheme and Statement of Additional Information (SAI) and addenda issued from time to time (Scheme Documents) carefully before investing in the Scheme.

ii. The Application Form should be completed in ENGLISH and in BLOCK LETTERS only.

iii. Please tick in the appropriate box for relevant options wherever applicable. Do not overwrite. For any correction / changes in the Application Form, the Applicant(s) shall enter the correct details pursuant to cancellation of incorrect details and authenticate the corrected details by counter-signing against the changes. The AMC reserves the right to reject the application forms, in case the investor(s) has/have not countersigned in every place where such corrections/overwriting has/have been made.

iv. Investors/Unitholders already having a folio with the Fund should fill in folio number, section 1, section 5, and section 6 only. The personal and the Bank Account details as they feature in the existing folio would apply to this investment and would prevail over any conflicting information, if any, furnished in this form. In case the name of the Unit holder as provided in this application does not correspond with the name appearing in the existing folio, the application form may be rejected, at the discretion of the AMC/ Fund. New investors wishing to make SIP investment will need to complete and submit both the Application Form and the SIP Registration Form.

v. Applications complete in all respects, may be submitted at the Official Points of Acceptance (OPAs) of Tata Mutual Fund (TMF, the Fund).

vi. The Application form number, PAN and Name of the Applicant should be written by the Applicants on the reverse of the cheques and bank drafts accompanying the Application Form.

vii. Copies of the supporting documents submitted should be accompanied by originals for verification. In case the original of any document is not produced for verification, Mutual Fund/ AMC reserves the right to seek attested copies of the supporting documents.

viii. Non-individual investors (Corporate, Societies, Trusts, etc.) are required to submit specified documents such as bylaws, trust deed, board resolutions, Authorized Signatory List and other similar documents along with the subscription application. Units allotted to the non-individual investors are subject to receipt and confirmation of correctness of such statutory documents. If required document(s) provided by the non-individual investors are inaccurate, then the transactions are liable to be reversed with all costs and consequences to the investor. It is the responsibility of the Non-individual investors to inform TAMPL /TMF about any change to the Authorized Signatory List or Board resolution.

ix. Upon signing and submitting the Application Form and tendering payment it will be deemed that the investors have accepted, agreed to and shall comply with the terms and conditions detailed in the Scheme Documents.

x. Applications incomplete in any respect are liable to be rejected. Tata Asset Management Private Limited (the AMC) / Tata Trustee Company Private Limited (Trustee) have absolute discretion to reject any such Application Forms.

xi. Units will be allotted subject to realization of payment proceeds.

xii. Despatch of Account Statement:

a. On acceptance of application, a confirmation specifying the number of Units allotted will be sent by way of e-mail and/ or SMS to the applicant's registered e-mail address and/or mobile number within five business days from NFO closure and the date of transaction for ongoing scheme. The unit balance(s) in the account statement is subject to realisation of Cheque accompanying the purchase request, PAN validation and KYC compliance.

b. Tata Mutual Fund shall send first account statement for a new folio separately with all details registered in the folio by way of a physical account statement and/or an e-mail to the investor's registered address/email address not later than five business days from the date of subscription.

c. Thereafter a Single Consolidated Account Statement (CAS) on basis of PAN (PAN of the first holder & pattern of holding, in case of multiple holding) will be dispatched to unitholders having Mutual Fund investments & holding Demat accounts by Depositories within ten days from the end of the month in which transaction (the word 'transaction' shall include all financial transactions in demat accounts/Mutual Fund folios of the investor) takes place. In case there is no transaction in any of the mutual fund folios & demat accounts then CAS with holding details will be sent to the Unitholders on half yearly basis.

d. In other cases, i.e. where unitholders having no Demat account & only MF units holding, Tata Mutual Fund shall continue to send the CAS as is being send presently within ten days from the end of the month in which financial transaction takes place & on half yearly basis in case there is no financial transaction in any of the mutual fund folios.

e. In case statements are presently being dispatched by e-mail either by the Fund or the Depository then CAS will be sent through email. However, the Unitholders have an option to

receive CAS in physical format the address registered in the Depository system.

f. Investors are requested to check contents of the account statement on receipt. Any discrepancy should be reported to the AMC / Registrar within 7 calendar days of the receipt of the statement; else contents of the statement would be presumed to be correct and binding.

xiii. Investors will be sent Account Statements & Cheques by courier/ UCP /registered post. The courier and the postal department as the case may be shall be treated as agents of the investor. Delivery of the statement and cheques to the courier / postal department shall be treated as delivered to the investor. The mutual fund / registrars are not responsible for any delayed delivery or non-delivery or any consequences thereof.

xiv. The Fund will disclose details of the investor's account and all his transactions to the intermediary whose stamp appears on the application form. In addition, the Fund will disclose details as necessary, to Fund's and Investor's bankers to the Mutual Fund, its Sponsor/s, Trustees, Asset Management Company, its employees, agents and third party service providers, SEBI registered intermediaries for single updation/ submission, any Indian or foreign statutory, regulatory, judicial, quasi- judicial authorities/ agencies including but not limited to Financial Intelligence Unit-India (FIU-IND) etc without any intimation/advice to the investor.

xv. Where an application is rejected in full or in part, application money will accordingly be refunded to the applicant. No interest will be paid on the amount so refunded. Letters of regret together with Refund Cheques/Orders if any will be despatched to the applicant. Refund will be made by cheques or pay order drawn on the Bankers of Tata Mutual Fund.

xvi. As per the RBI circular "Introduction of Legal Entity Identifier for Large Value Transactions in Centralised Payment Systems" vide notification RBI/2020-21/82 DPSS.CO.OD No.901/06.24.001/2020-21 dated 5th January 2021. RBI vide this notification has decided to introduce the LEI system for all payment transactions of value INR 50 crore and above undertaken by entities (non-individuals) using Reserve Bank-run Centralised Payment Systems viz. Real Time Gross Settlement (RTGS) and National Electronic Funds Transfer (NEFT). From April 1, 2021, it will be mandatory to include 20-digit Legal Entity Identifier (LEI) information while initiating any transaction of value INR 50 crore and above by entities (non-Individual).

**B. Advisor / Distributor Information**

i. Investments through distributors:

As per directions of Securities and Exchange Board of India (SEBI), Investors can route their application forms directly and /or through the distributors /employees of the distributor who hold a valid certification from the National Institute of Securities Markets (NISM) and ARN provided by Association of Mutual Funds in India (AMFI). Further, no agents / distributors are entitled to sell units of mutual funds unless the intermediary is registered with AMFI.

ii. Employee Unique Identification Number (EUIN):

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. Investors are requested to verify the AMFI registration details from their Distributor. 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.

iii. New cadre distributors:

Postal agents, retired government and semi-government officials (class III and above or equivalent), retired teachers and retired bank officers (all such retired persons with at least 10 years of service) and other similar persons (such as Bank correspondents) as may be notified by AMFI/ the AMC from time to time as new cadre distributors are permitted to sell eligible schemes of the Fund. However these schemes are not eligible to be sold by such distributors. In case your application for subscription is receive through such distributor, it is liable to be rejected.

iv. Overseas Distributors:

For, overseas Distributors, the ARN Code provided by AMFI is required to be incorporated in the space provided. However, such 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 laws, rules and regulations of jurisdictions where they carry out their operations in the capacity of distributors.

v. Direct Investment:

Investors subscribing under Direct Plan of the scheme will have to indicate "Direct Plan" in the "Broker / ARN –Code" field and against the scheme plan in the application form. Investors should also indicate "Direct" in the ARN column of the application form. However, in case Distributor code is mentioned in the application form, but "Direct Plan" is indicated against the scheme name, the application will be processed under Direct Plan. Further, where application is received for Regular Plan without Distributor code or "Direct" mentioned in the ARN Column, the application will be processed under Direct Plan.

**C. Account Holder's Information:**

i. The Name of the Applicants should be as mentioned in the PAN and the KYC acknowledgement.

ii. To enable electronic credits the Name of the 1st applicant should match in the bank account.

iii. All communication and payments shall be made by the fund in the name of and favoring the First/ sole applicant. In case of applications made in joint names without indicating the Mode of Holding, Mode of Holding will be deemed as 'Anyone or Survivor' and processed accordingly.

iv. Applicants who cannot Invest:

- A person who falls within the definition of the term "U.S. Person" under the US Securities Act of 1933, and corporations or other entities organized under the laws of the U.S.
- A person who is resident of Canada
- OCB (Overseas Corporate Bodies) as defined under Income Tax Act, 1961 and under Foreign Exchange Management Act, 1999.
- NRIs residing in any Financial Action Task Force (FATF) declared non-compliant country or Territory.
- The Fund reserves the right to include / exclude new / existing categories of investors to invest in the scheme from time to time, subject to SEBI Regulations and other than prevailing statutory regulations, if any.

v. Applications in the name of minors:

a. The minor shall be the first and the sole holder in an account.

b. No Joint holders will be allowed in case the first holder is a minor. In case investor provides joint holder/s details in the application, those details will not be captured.

c. Guardian in the account / folio on behalf of the minor should be either a natural guardian (i.e. father or mother) or a court appointed legal guardian.

d. Guardian should mention the relationship with minor on the application

e. A document evidencing the relationship should be submitted along with application for the first time during the opening of account. Guardian should submit any one of the following documents:

- Birth certificate of the minor or
- School leaving certificate / mark sheet of Higher Secondary Board of respective states, ICSE, CBSE etc. or
- Passport of the minor or
- Any other suitable proof evidencing the relationship

f. Date of birth of the minor should be mentioned on the application and as a proof, following supporting documents to be furnished:

- Birth certificate of the minor or
- School leaving certificate / mark sheet of Higher Secondary Board of respective states, ICSE, CBSE etc. or
- Passport of the minor or
- Any other suitable proof evidencing the date of birth of the minor.

g. The folio(s) held on behalf of a minor Unit holder shall be frozen for operation by the natural parent/legal guardian on the day the minor attains majority and no transactions henceforth shall be permitted till requisite documents evidencing change of status from 'minor' Unit holder are received.

h. Further, in case of SIP/STP/SWP registration requests, the Mutual Fund/ the AMC will register SIP/STP/SWP in the folio held by a minor and the SIP/STP/SWP will continue till the request for change of Tax Status to Major is received and processed in the folio.

vi. Applications under a power of attorney or by a limited company or a body corporate or an Eligible institution or a registered society or a trust or limited liability partnership (LLP) or Partnership must be accompanied by the original power of attorney/ board resolution or a Certified true copy/duly notarized copy of the same. Authorized officials should sign the Application form under their official designation. A list of specimen signatures of the Authorized officials duly certified / attested should also be attached to the application form. As per the PML Rules, 2023, rule (2)(1)(cf), Investors who are Trusts/Societies/Section 8 companies (under Companies Act, 2013) constituted for religious or charitable purposes have to declare their status as NPO to AMCs. Investors who declare themselves as NPO should also mention their Darpan Portal registration number in the form. Failure to get confirmation or registration with the portal as mandated, wherever applicable will force MF / AMC to register your entity name in the above portal and may report to the relevant authorities as applicable.

The applicant may be liable for it for any fines or consequences as required under the respective statutory requirements and authorize TMF to deduct such fines/charges under intimation to them or collect such fines/charges in any other manner as might be applicable.

vii. Investors agree that in case required, transactions will be processed by AMC/Registrar based on the signature as available in KRA records.

**D. Contact Details:**

i. Address and contact details like telephone, mobile and email address must be written in full.

ii. On successful validation of the investor's PAN for KYC, the 1st Applicants address provided in the KYC form / KRA records will override the address mentioned in this form.

iii. Overseas address is mandatory for Non- Resident Individuals and Overseas Investors in addition to the mailing address.

iv. E-mail Communication: Investors should ensure that the email id provided is that of First /Sole holder or of their Family member. Family means spouse, dependent children or dependent parents. This email address and mobile no. provided shall be registered in the folio for all communications. In case, this section is left blank, the email id and mobile no. of the First / Sole Holder available in the KYC records shall be registered in the folio. First / Sole Holder in the folio must provide their own email address and mobile number for speed and ease of communication in a convenient and cost-effective manner, and to help prevent fraudulent transactions. If the investor has provided an email address, the same will be registered in our records and will be treated as your consent to receive, Allotment confirmations, consolidated account statement/account statement, annual report/abridged summary and any statutory / other information as permitted via electronic mode /email. These documents shall be sent physically in case the Unit holder opts/request for the same.

v. The scheme wise annual reports are available on our website and on the website of AMFI. The physical copies are available at our registered offices at all times.

Investor who has not registered the email address need to 'Opt-in' to receive facility to receive physical copy of the scheme-wise annual report or abridged summary thereof. Even if the investor has not selected the 'Opt-in' facility can submit a request for a physical or electronic copy of the scheme wise annual report or abridged summary thereof.

vi. Should the Unit holder experience any difficulty in accessing the electronically delivered documents, the Unit holder shall promptly intimate the Fund about the same to enable the Fund to make the delivery through alternate means. It is deemed that the Unit holder is aware of all security risks including possible third-party interception of the documents and contents of the documents becoming known to third parties.

vii. CONSENT FOR TELEMARKETING: TAMPL shall treat this as an explicit consent by the Unit Holder/(s) to send promotional information/ material to the mobile number(s)/ email id provided by the Unit Holder/(s) in this Application Form and such consent shall supersede all the previous consents/ registrations by the Unit Holder/(s) in this regard. If you do not wish to receive such promotional information/ materials, please write to us at service@tataamc.com or submit a written application at any of the Investor Service Centres (ISC) of the Fund. Please quote your PAN and folio number(s) while communicating with us to help you serve better.

viii. WHATSAPP SERVICE:

The user is subscribing to the WhatsApp service & promotional alerts from Tata Mutual Fund. The user can unsubscribe to the channel at any time by sending an email to us at service@tataamc.com. Please note this channel cannot be used for grievance redressal or reporting fraud as of now, Tata Mutual Fund will have no liability if any such incidents are reported on this channel. It is advisable for customers who have subscribed to this service to delete WhatsApp when changing their device. These terms and conditions may be withdrawn/ superseded/ modified at any time whatsoever, by Tata Mutual Fund without any prior notice. Customers shall not submit or transmit any content through this service that is: Obscene, Vulgar, Pornographic, Political, Religious, etc. Encourages the commission of a crime or violation of any law Violates any state or Central law in India and/or the jurisdiction in which you reside and/or any applicable law. Infringes the intellectual or copyrights of a third party. Under no circumstances shall Tata Mutual Fund, or its agents, affiliated companies, officers, directors, employees, and contractors be liable for any direct, indirect, punitive, incidental, special, or consequential damages that result from the use of, or inability to use, this service or for receipt of any answer provided by the program running at the back-end. The customer understands that using WhatsApp application may carry extra risks and may not be secured. Further any message and information exchanged is subject to the risk of being read, interrupted, intercepted, or defrauded by third party or otherwise subject to manipulation by third party or involve delay in transmission. Tata Mutual Fund shall not be responsible or liable to the customer or any third party for the consequences arising out of or in connection with using of this service.

The customer is responsible for keeping security safeguard of his WhatsApp account linked to the registered mobile number. Tata Mutual Fund has the right to retract the service anytime it deems fit. The customer agrees that he shall not have any claim against Tata Mutual Fund on account of any suspension, interruption, non-availability or malfunctioning of the service due to any link/ mobile/system failure at Tata Mutual Fund 's end for any reason thereof. These terms and conditions are subject to change at any time and will be updated at Tata Mutual Fund 's discretion without notice.

ix. The AMC / Trustee reserves the right to send any communication in physical mode.

**E. Payout Bank Account Details**

i. Investors have to provide their bank details viz. name of bank, branch, address, account type and number, bank's Indian Financial System Code (IFSC), Real Time Gross Settlement (RTGS) or National Electronic Fund Transfer (NEFT) / Magnetic Ink Character Recognition (MICR) code(s). etc. to the Mutual Fund to receive redemption / IDCW proceeds. In order to protect the interest of Unit holders from fraudulent encashment of redemption / IDCW cheques, SEBI has made it mandatory for investors to provide their bank details. Applications without complete bank details are liable for rejection.

ii. In case the bank account provided for encashment of redemption / IDCW proceeds is different from the bank account from which the investment is made, applicants need to mandatorily provide an unsigned cancelled cheque leaf/ bank statement/any other documentary proof or banker's confirmation (where the name of the First /Sole investor and the bank account number are mentioned) to ascertain the ownership of the bank account mentioned. Note: The above documents shall be submitted in Original. If copies are furnished, the same must be submitted at the Official Point of Acceptance (OPAs) of the Fund where they will be verified with the original documents to the satisfaction of the Fund. The original documents will be returned across the counter to the applicant after due verification. In case the original of any document is not produced for verification, then the copies should be attested by the bank manager with his / her full signature, name, employee code, bank seal and contact number.

iii. Further, in exceptional cases where Third Party Payments as mentioned in Section E (vii) are accepted, the investor is required to submit any one of the documentary proofs for the payout bank account.

iv. Investors are requested to note that applications for new folio creation submitted (wherein pay-out bank details is different from pay-in bank details) without any of the above mentioned documents relating to pay-out bank account details, the pay-in bank details will be captured for redemption/ IDCW payouts

v. DIRECT CREDIT FACILITY FOR REDEMPTION / IDCW / REFUND PAYOUTS:

a. Real Time Gross Settlement (RTGS)/National Electronic Funds Transfer (NEFT):

1. The AMC provides the facility of 'Real Time Gross Settlement (RTGS)' and 'National Electronic Funds Transfer (NEFT)' offered by Reserve Bank of India (RBI), which aims to provide credit of redemption and IDCW payouts (if any) directly into the bank account of the Unit holder maintained with the banks (participating in the RTGS/ NEFT System).

2. NEFT is electronic fund transfer mode that operate on a deferred net settlement (DNS) basis which settles transactions in batches. Contrary to this, in RTGS, transactions are processed continuously throughout the RTGS business hours. The minimum amount to be remitted through RTGS is Rs. 2 lakhs. There is no upper ceiling for RTGS transactions. No minimum or maximum stipulation has been fixed for NEFT transactions.

3. Unit holders can check the list of banks participating in the RTGS / NEFT System from the RBI website i.e. www.rbi.org.in or contact any of our Investor Service Centres. However, in the event of the name of Unit holder's bank not appearing in the 'List of Banks participating in RTGS/ NEFT updated on RBI website www.rbi.org.in, from time to time, the instructions of the Unit holder for remittance of redemption/ IDCW (if any) proceeds via RTGS / NEFT System will be discontinued by Fund / AMC without prior notice to the Unit holder and the payouts of redemption / IDCW (if any) proceeds shall be effected by sending the Unit holder(s) a cheque / demand draft.

b. Direct Credit: Tata Mutual Fund have arrangement with the following banks to directly credit the redemption/IDCW/ Refund payout into the investor's Bank account: ICICI Bank Ltd.; HDFC Bank Ltd.; Axis Bank; IDBI Bank; Standard Chartered Bank; Kotak Mahindra Bank; HSBC Bank; Deutsche Bank; Citi Bank; State Bank of India (Core banking centers only - subject to validation) to directly credit the redemption/ IDCW/Refund payout into the investor's Bank account. Investors need to provide a cancelled cheque leaf having core banking account number and name of the investor printed on it for verification. The list of banks is subject to change from time to time.

c. In the absence of a specific request from the Unit holder exercising their choice of the mode of payment offered by the Fund from time to time, the payment of redemption /IDCW proceeds shall be affected via the RTGS / NEFT mechanism only. Where this payment mode is not feasible / available, the payment of such proceeds will be made by DC / DD as may be feasible.

d. Any charges levied by the investor's bank for receiving payment through RTGS/NEFT will be borne by the investor. The Mutual Fund / AMC will not accept any request for refund of such bank charges.

e. Investors to note that the instruction to the bank for Direct Credit/NEFT will be given by the Mutual Fund & such instruction will be adequate discharge of Mutual Fund towards redemption/IDCW/refund proceeds. Tata Mutual Fund will not be responsible in case the bank does not credit the investor's bank account with/without assigning any reason thereof or if the transaction is delayed or not effected at all for reasons of incomplete or incorrect information. Tata Mutual Fund will not be liable for any losses/claims, etc. arising on account of processing the direct credit of redemption / IDCW proceeds on the basis of the Bank Account details as provided by the investor in the application form.

f. A separate advice regarding credit of amount(s) via electronic mode will be sent to the Unitholder. It should be noted that while the Fund will make all efforts, there is no commitment that the electronic payment facility will be made available to all desirous investors. Applicants in cities not covered under ECS facility or in case the NEFT/RTGS details are not available will receive redemption/ IDCW payments, if any by cheques or demand drafts and the same will be mailed to the Unit holders.

g. The AMC will not be responsible for any loss arising out of fraudulent encashment of cheques / warrants and / or any delay / loss in transit.

vi. Multiple Bank Account Registration: An investor may register multiple bank accounts (currently up to 5 for Individuals and 10 for Non – Individuals) for receiving redemption/ IDCW proceeds etc. by providing necessary documents and filing up of Multiple Bank Accounts Registration form.

vii. Mode of Payment for Unit holders holding Units in Demat form Investors will receive their redemption payout/ IDCW proceeds directly into their bank accounts linked to the demat accounts. Please ensure to furnish the Bank Account details. For investors, who have invested through the offline mode and subsequently dematerialized the units, Investors will receive their redemption/ IDCW payouts directly into the bank account registered with their demat account ONLY irrespective of the account registered with us at the time of offline application.

**F. Investment Details**

i. For the minimum Application amount is Rs.5000/- and in multiples of Re.1/- thereafter.

ii. Investors are required to indicate their choice of Plan, Option available are Growth and Income Distribution cum capital withdrawal (IDCW) Option and IDCW Sub options are IDCW Reinvestment and IDCW Payout for which subscription is made at the time of filling up the Application Form.

iii. Investors subscribing under Direct Plan of a Scheme/Plan will have to indicate "Direct Plan" in the application form by ticking the appropriate box.

iv. Direct Plan is only for investors who purchase /subscribe Units in a Scheme directly with the Fund & is not available for investors who route their investments through a Distributor. Direct Plan shall have a lower expense ratio excluding distribution expenses, commission, etc. & no commission for distribution of Units will be paid / charged under Direct Plan.

v. Default under Direct / Regular Plan:

| Scenario | Broker Code mentioned by the investor | Plan mentioned by the investor | Default Plan to be captured |
|---|---|---|---|
| 1 | Not mentioned | Not mentioned | Direct Plan |
| 2 | Not mentioned | Direct Plan | Direct Plan |
| 3 | Not mentioned | Regular Plan | Direct Plan |
| 4 | Mentioned | Direct Plan | Direct Plan |
| 5 | Direct Plan | Not Mentioned | Direct Plan |
| 6 | Direct Plan | Regular Plan | Direct Plan |
| 7 | Mentioned | Regular Plan | Regular Plan |
| 8 | Mentioned | Not Mentioned | Regular Plan |

vi. In cases of wrong/ invalid/ incomplete ARN codes mentioned on the application form, the application shall be processed under Regular Plan. TAMPL shall contact and obtain the correct ARN code within 30 calendar days of the receipt of the application form from the investor/ distributor. In case, the correct code is not received within 30 calendar days, the TAMPL shall reprocess the transaction under Direct Plan from the date of application without any exit load.

vii. In case of discrepancies in the amount received from the investor and the amount mentioned in the application, the unit will be allotted for amount received in our bank account.

viii. Default option for schemes: Growth in case Growth option or IDCW option is not mentioned. IDCW Reinvestment in case the Payout mode (Payout / Reinvestment) is not mentioned.

**G. Investment Instrument Details**

i. Payment may be made by MICR (CTS) cheques will be accepted till the end of business hours upto 21st September, 2026, RTGS and Transfer Cheques will be accepted till the end of the business hours upto 22nd September, 2026. Allotment is subject to realization of funds. Allotment will be done only where the clear funds are realized upto one day prior to the scheme allotment date.

ii. In case of investment through Lumpsum investment, a single cheque/DD amounting to the total value of investment must be drawn in favour of "Tata CRISIL-IBX Financial Services 3-6 Months Debt Index Fund" dated, signed and crossed 'A/c Payee only.',

iii. Bank charges for outstation demand drafts will be borne by the AMC and will be limited to the bank charges stipulated by the State Bank of India. Outstation Demand Draft has been defined as a demand draft issued by a bank where there is no OPA available for Investors.

The AMC will not accept any request for refund of demand draft charges

iv. Payments received from NRIs, PIOs, FIIs, OCIs, FPI:

a. In the case of NRIs/PIOs/OCIs, payment may be made either by inward remittance through normal banking channels or out of funds held in the NRE / FCNR in the case of purchases on a repatriation basis or out of funds held in the NRE / FCNR / NRO account, in the case of Purchases on a non-repatriation basis. In case Indian rupee drafts are purchased abroad or payments from FCNR or NRE accounts, an account debit certificate from the Bank issuing the draft confirming the debit and/or foreign inward remittance certificate (FIRC) by Investor's banker shall also be enclosed.

b. FIIs shall pay their subscription either by inward remittance through normal banking channels or out of funds held in Foreign Currency Account or Non-Resident Rupee Account maintained by the FII with a designated branch of an authorised dealer.

c. FPIs shall pay their subscription either by inward remittance through normal banking channels or out of funds held in Foreign Currency Account or Special Non-Resident Rupee Account maintained by the FII with a designated branch of an authorised dealer.

v. Stock invests, Outstation Cheques, Post Dated Cheques, Money Orders and Postal Orders will not be accepted, and such applications will not be considered for allotment. All investment cheques should be current dated.

vi. Cheques once returned in clearing will not be represented and the accompanying applications may not be considered for allotment.

vii. Third Party payments: TAMPL / TMF will not accept applications for subscriptions of units accompanied with Third Party Payments except in exceptional cases as mentioned below. "Third Party Payment" means

a. Payment made through an instrument issued from a bank account other than that of the first named applicant / investor mentioned in the application form.

b. In case of payment instruments issued from a joint bank account, the first named applicant / investor must be one of the joint holders of the bank account from which the payment instrument is issued.

c. For Example:

1. Illustration 1: An Application submitted in joint names of A, B & C along with cheque issued from a bank account in names of C, A & B. This is a valid application.

2. Illustration 2: An Application submitted in joint names of A & B & C along with cheque issued from a bank account in names of B, C & Y. This is an invalid application.

3. Illustration 3: An Application submitted in joint names of A, B & C along with cheque issued from a bank account in name of A. This is a valid application.

d. Following are the exceptional cases where third party payments will be accepted subject to submission of requisite documentation / declarations.

1. Payment by employer on behalf of employee under Systematic Investment Plan (SIP) facility through payroll deductions;

2. Custodian on behalf of an FII or a Client.

e. Investors submitting their applications through the above-mentioned 'exceptional cases' are required to comply with the following, without which applications for subscriptions for units will be rejected / not processed / refunded.

f. Mandatory KYC for all investors (guardian in case of minor) and the person making the payment i.e. third party. In order for an application to be considered as valid, investors and the person making the payment should attach their valid KYC Acknowledgement Letter to the application form.

Submission of a separate, complete and valid 'Third Party Payment Declaration Form' available on at our OPAs and website www.tatamutualfund.com from the investors and the person making the payment i.e. third party. The said Declaration Form shall, inter-alia, contain the details of the bank account from which the payment is made and the relationship with the investor(s).

The Mutual Fund shall adopt operational procedures to ascertain whether payments are Third Party Payments.

**H. Joint Applicants**

i. If there is more than one applicant, please fill in all details as requested in the relevant section.

ii. Applicants should specify the mode of holding. If the mode of holding is not specified or is ambiguous, the default option for such applications will be 'Any one or Survivor'.

iii. PAN / KYC compliance and other KYC details are mandatory for all applicants, irrespective of mode of holding.

iv FATCA and supplementary KYC details are mandatory for all applicants, irrespective of mode of holding

v. In the case of joint holders and irrespective of mode of holding, the sole/first-named Applicant/unit holder will receive all account statements, IDCW or redemption/ Refund payments, and all other relevant correspondences.

**I. Permanent Account Number (PAN)**

i. SEBI has made it mandatory for all applicants except PAN Exempt KYC applicants (in the case of application in joint names, each of the applicants) to mention his/her Permanent Account Number (PAN) irrespective of the amount of purchase. 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. However, PAN is not mandatory in the case of Central Government, State Government entities and the officials appointed by the courts e.g. Official liquidator, Court receiver etc. (under the category of Government) for transacting in the securities market. PAN card copy is not required separately if KYC acknowledgement letter is made available. Tata Mutual Fund reserves the right to ascertain the status of such entities with adequate supporting documents. Applications not complying with the above requirement may not be accepted/processed. Additionally, in the event of any application form being subsequently rejected for mismatch of applicant's PAN details with the details on the website of the Income Tax Department, the investment transaction will be cancelled & the amount may be redeemed at the applicable NAV, subject to payment of exit load, if any, please contact any of the Investor Service Centres / CAMS / Distributors or visit our website www.tatamutualfund.com for further details.

ii. PAN Exempt Investments

SEBI vide its circular dated July 24, 2012 has clarified that investments in mutual funds schemes (including investments in SIPs) of up to Rs. 50,000 per investor per year across all schemes of the Fund shall be exempt from the requirement of PAN. Accordingly, individuals (including Joint Holders who are individuals, NRIs but not PIOs, Minors) & Sole proprietary firms who do not possess a PAN ("Eligible Investors") * are exempt from submission of PAN for investments up to Rs. 50,000 in a rolling 12-month period or in a financial year i.e. April to March. However, Eligible Investors are required to undergo Know Your Customer (KYC) procedure with any of the SEBI registered KYC Registration Authorities (KRA). Eligible Investors must quote PAN Exempt KYC Reference Number (PEKRN) issued by the KRA under the KYC acknowledgement letter in the application form & submit a copy thereof along with the application form. In case the applicant is a minor, PAN/PEKRN details of the Guardian shall be submitted, as applicable. Eligible Investors (i.e. the First Holder) must not possess a PAN at the time of submission of application form. Eligible investors must hold only one PEKRN issued by any one of the KRAs. If an application for investment together within investments made in a financial year exceeds Rs. 50,000, such an application will be rejected. Fresh/ Additional Purchase & Systematic Investment Plans will be covered in the limit of Rs. 50,000. Investors may switch their investments to other Schemes. However, if the amount per switch transaction is Rs. 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. The detailed procedures/requirements for accepting applications shall be as specified by the AMC/Trustee from time to time & their decision in this behalf will be final & binding.

* HUFs and other categories are not eligible for such investments.

**J. Know Your Customer (KYC) Compliance:**

i. KYC registered under KYC Registration Agency (KRA):

a. Units held in account statement (non-demat) form: It is mandatory for the Investors 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 all purchases/ switches/ registrations for Systematic Investment Plan (SIP)/ Systematic Transfer Plan (STP)/ IDCW Transfer Plan (DTP). Applicants intending to apply for units through a Power of Attorney (PoA) must ensure that the issuer of the PoA and the holder of the PoA must mention their KYC Compliance Status and attach proof of KYC Compliance at the time of investment. SEBI has introduced a common KYC Application Form for all the SEBI registered intermediary. New investors are therefore requested to use the common KYC Application Form and carry out the KYC process including In-Person Verification (IPV) with any SEBI registered intermediaries including mutual funds. The KYC Application Forms are also available on our website www. tatamutualfund.com. Existing KYC compliant investors of the Fund can continue the practice of providing KYC Acknowledgement Letter/ Printout of KYC Compliance Status downloaded from KRA website using the PAN at the time of investment. Once the investor has done KYC with any SEBI registered intermediary, the investor need not undergo the same process again with the Fund. However, the Fund reserves the right to carry out fresh KYC of the investor in its discretion.

Units held in electronic (demat) form: For units held in demat form, the KYC performed by the Depository Participant of the applicants will be considered as KYC verification done by the Trustee / AMC. In the event of non-compliance of KYC requirements, the Trustee/AMC reserves the right to freeze the folio of the investor(s) and effect mandatory redemption of unit holdings of the investors at the applicable NAV, subject to payment of exit load, if any. For further details, please refer Section 'Know Your Customer (KYC) Compliance' under Statement of Additional Information available on our website www.tatamutualfund.com

ii. Central KYC Records Registry (CKYCR): The Government of India vide their Notification dated November 26, 2015 authorized the Central Registry of Securitization Asset Reconstruction and Security Interest of India (CERSAI) to act as and to perform the functions of the Central KYC Records Registry under the said rules, including receiving, storing, safeguarding and retrieving the KYC records under the Prevention of Money Laundering Act, 2002. SEBI required all the market intermediaries to update/upload KYC details of the new customer/investors (not KYC-KRA compliant) on CERSAI's online platform. CERSAI is a centralized repository of KYC records of customers/investors in the financial sector with uniform KYC norms and inter-usability of the KYC records across the sector with an objective to reduce the burden of producing KYC documents and getting those verified every time when the customer/ investors creates a new relationship with a financial entity. Central KYC (CKYC) will store all the customer/investor information at one central server that is accessible to all the financial institutions. After opening a KYC account under the CKYC, customer/investor will get a 14-digit identification number ("KYC Number") and that the same may be quoted by the investor wanting to invest in mutual funds. Further, the Mutual Fund/AMC is required to check whether the PAN of the investor has been updated in CKYCR. In case the PAN has not been updated, the Mutual Fund/AMC shall collect a self-certified copy of the investor's PAN card and update/upload the same in CKYCR. In case the Investor uses the old KRA KYC form for updating of any KYC information, such investor shall be required to provide additional/missing information only by using the supplementary CKYC form or fill the new "CKYC form".

**iii. IMPORTANT NOTE:**

As per SEBI regulations the following attributes are being validated for all new and existing KYCs. In case any of the following validation fails, the KYC status may change to 'Registered' or 'On Hold'.

- Name as Per Income Tax Records: If the name is not as per income tax records the investor will not be allowed to create any new folios. The investor will have to submit a modification of KYC request* to get the name changed in KYC records.
- Address is validated via AADHAAR (Digilocker based/ XML based / Via UIDAI): In this case the KYC status will be set to KYC registered. Financial transactions will be allowed only if the investor already has an investment with Tata Mutual Fund. To get the KYC status validated, Investor needs to submit a modification of KYC request * and validate the address using AADHAAR via Digilocker/ AADHAAR XML/UIDAI
- Mobile number and e-mail ID:
- This is applicable only in case mobile number and e-mail ID are available in KYC records and the KYC Registration Authority (KRA) was unable to successfully deliver a message to either of the contact details. This can be rectified by validating the contact details via the link provided by your KYC registration Authority. Kindly visit the respective KRA to to Validate contact details.

  https://validate.cvlindia.com/CVLKRAVerification_V1/

  https://www.karvykra.com/KYC_Validation/Default.aspx

  https://kra.ndml.in/ClientInitiatedKYC-webApp/#/ClientinitiatedKYC

  https://www.nsekra.com/

  https://camskra.com/PanDetailsUpdate.aspx
- In case the KYC records have an incorrect email address or mobile number please proceed with modification of KYC. *

  *Modification / Updation of KYC can be given online https://online.tatamutualfund.com/transactions/modify-kyc/select-folio

iv. For Resident Indian Investors Existing with Tata Mutual Fund

- KYC Validated - Investor can invest seamlessly.
- KYC Registered - All financial transactions are allowed.
- KYC On hold - Such investors will be able to transact only after remediating the reason for KYC on hold

For Resident Indian Investors New to Tata Mutual Fund

- KYC Validated - Investor can transact seamlessly.
- KYC Registered - Investor needs to submit the set of KYC documents. #
- KYC On hold - Such investors will be able to transact only after remediating the reason for KYC on hold

# New investors to Tata Mutual Fund – you may invest by providing the KYC form with valid documents again. It is advised to use the Aadhar card as the Officially valid document and validate the KYC. This may avoid the need to submit KYC form and OVD documents again. Here is a list of OVDs:

- Passport
- Driving license
- Proof of possession of Aadhaar (as issued by UIDAI)
- Voter's Identity Card issued by the Election Commission of India
- Job card issued by NREGA duly signed by an officer of the State Government
- Letter issued by the National Population Register containing details of name and address.

v. For NRI Investors and Foreign National Investors i.e. the PAN is NRI: (allowed to trade subject to RBI and FEMA guidelines), copy of passport / Persons of Indian Origin (PIO) Card/Overseas Citizenship of India (OCI) Card and overseas address proof is mandatory. In case the OVD presented by a foreign national does not contain the details of address, the documents issued by the Government departments of foreign jurisdictions and letter issued by the Foreign Embassy or Mission in India shall be accepted as proof of address. If any proof of address is in a foreign language, then translation into English shall be required. For such investors the KYC status as KYC Registered is acceptable for investments.

o In case the OVD presented by a foreign national does not contain the details of address, the documents issued by the Government departments of foreign jurisdictions and letter issued by the Foreign Embassy or Mission in India shall be accepted as proof of address. While there is no specific mention about acceptance of bank statements as POA but in exceptional circumstances if Foreign Embassy or Mission in India attest the bank statements might be accepted as proof of address.

For HUF Investors: can submit bank statement/bank passbook containing the name of HUF and their address as address proof.

**K. Foreign Account Tax Compliance Act (FATCA) Details**

i. The Central Board of Direct Taxes (CBDT) has notified Rules 114F to 114H, as part of the Income Tax Rules, 1962, which require Indian financial institutions to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all account holders and/or applicants.

ii. Applicants/Unit holders are required to mandatorily provide the relevant information for FATCA and CRS, including Ultimate Beneficial Ownership (UBO) details in case of Non-Individual investors. In case of any change in any information provided, Unit holders should ensure to advise the Fund/RTA promptly i.e. within a period of 30 days.

iii. All Applicants/Unit holders, individuals and non-individuals, must be aware that the failure to providing all relevant details in relevant section and/or relevant forms will result in rejection of their investment application form, refund of application money, reversal of units allotted and the Fund will not be liable for any consequent loss to the Applicants/Unit holders.

iv. Applicants like Individuals (including in the name of sole proprietorship firm), joint applicants, HUF, are required to provide details, as mentioned in this section, like Place and Country of birth, Country of Citizenship/Nationality mandatorily. If the applicant/s have any countries of tax residency other than India, details of all such countries and relevant tax identification number needs to be provided. If the space in the form is not adequate, applicants are required to attach additional sheets with information duly signed.

v. All Non-Individuals should fill and submit a separate form for FATCA and CRS declaration. Non-Individual entities, including partnerships, (other than those listed on a recognized stock exchange in India or is a subsidiary or related or controlled by such listed company) should also fill and submit a form for Ultimate Beneficial Ownership (UBO) details. As per the PML Rules, 2023, rule (2)(1)(cf), Investors who are Trusts/Societies/ Section 8 companies (under Companies Act, 2013) constituted for religious or charitable purposes have to declare their status as NPO to AMCs. Investors who declare themselves as NPO should also mention their Darpan Portal registration number in the form. Failure to get confirmation or registration with the portal as mandated, wherever applicable will force MF / AMC to register your entity name in the above portal and may report to the relevant authorities as applicable. The applicant may be liable for it for any fines or consequences as required under the respective statutory requirements and authorize TMF to deduct such fines/ charges under intimation to them or collect such fines/charges in any other manner as might be applicable.

vi. For any questions about the tax residency or other definitions or terms used, Investors should contact their tax advisor. US citizen should include United States in the foreign country information field along with the US Tax Identification Number (TIN).

vii. It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach to the form.

viii. Applicants should note that they also specifically authorize to disclose, share, remit in any form, mode or manner, all or any of the information provided by, including all changes, updates to such information as and when provided, to the Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / associated parties / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India and other investigation agencies without any obligation of advising the applicant of the same. Further, applicant also authorizes to share the given information to other SEBI Registered Intermediaries to facilitate single submission / updation and for other relevant purposes.

ix. Applicant undertakes to keep the Mutual Fund informed in writing about any changes / modification to the above information in future and also undertake to provide any other additional information / documentary proof as may be required.

x. Please note that applicants/unit holders may receive more than one request for information if they have multiple relationships/ accounts/folios. Therefore, it is important that the applicant responds to each of our request, even if they believe, they have already supplied any previously requested information.

xi. In case any of the specified information provided by the applicant/ unit holder is found to be false or untrue or misleading or misrepresenting, applicant/unit holder will be solely liable and will indemnify the Mutual Fund, it's Sponsor, Asset Management Company, Trustees, their employees / associated parties and the RTAs.

xii. In case applicant/unit holder has any of the Indicia, pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, customer to provide relevant details as may be asked for.

**L. Nomination Details**

As per SEBI regulations, you can assign a nominee to the investments, to whom the amounts will be payable on death of the some or all Unit holders as the case may be. It is mandatory for investors having single holding to fill this section and sign in the specified place; even if you do not wish to nominate anybody it is mandatory for you to select the option for the same.

i. The nomination can be made only by individuals applying for/ holding units on their own behalf singly or jointly. Non-Individuals including society, trust, body corporate, partnership firm, Karta of Hindu Undivided Family, holder of Power of Attorney cannot nominate. If the units are held jointly, all joint holders will sign the nomination form if the purchase application is received through a PoA holder, the nomination section should be separately signed by the unitholder.

ii. Minor(s) can be nominated & in that event, the name, address & signature of the guardian of the minor nominee(s) along with Proof of Date of Birth of the nominee(s) and Proof of relationship with Guardian shall be provided by the unit holder.

iii. The nominee shall not be a trust (other than religious and charitable trust), society, body corporate, partnership firm, and member of Hindu undivided Family or a Power of Attorney holder. A non-resident Indian can be a Nominee subject to the policy of exchange control for the time being in force.

iv. Nomination in respect of the units stands rescinded upon the transfer of units.

v. Transfer of units in favour of Nominee(s) shall be valid discharge by the Asset Management Company (AMC) against the legal heirs, executors, administrators, etc.

vi. The cancellation of nomination can be made only by those individuals who hold units in their own name, either solely or jointly and who have originally made the nomination.

vii. On cancellation of the nomination, the nomination shall stand rescinded & the Asset Management Company (AMC) shall not be under any obligation to transfer the units in favour of the Nominee(s).

viii. Nomination can be made for maximum number of three nominees. In case of multiple nominees, the percentage of the allocation/ share should be in whole numbers without any decimals making a total of 100% (in the event of the unitholders not indicating the percentage of allocation/share for each of the nominees, the AMC, by invoking default option shall settle the claims equally amongst all the nominees). In absence of such specification, the asset shall

be apportioned equally among all the nominees. In case of demise of the investor and any one of the nominees, the asset entities shall distributed in pro rata to the remaining nominees.

ix. Nomination will not be allowed in a folio held on behalf of a Minor.

x. Nomination by a unit holder shall be applicable for investments in all schemes in the folio or account.

xi. Nomination form can be signed by the holder(s) as per the mode of holding in the Folio

xii. Every new nomination for a folio/account will overwrite the existing nomination.

xiii. Investors who do not wish to nominate must sign separately confirming their non-intention to nominate.

xiv. Nomination by a unit holder shall be applicable for investments in all schemes in the folio.

xv. In case of joint accounts / holdings, upon demise of one or more joint holder(s), the regulated entity shall transmit the assets to the surviving holder(s) vide name deletion. However, surviving joint holder(s) shall have the option to transmit the assets held, into a new account / folio. If specifically mentioned in the transmission form, we need to transfer to the existing folio or create new folio with revised combination. In the combination of FH+JH1+JH2 and mode of holding is JOINT, assume JH1 expires. Folio combination will become FH+JH1 (with JH2 becoming as JH1) and mode of holding would still be JOINT, or new folio can be created for new combination. If any folio exists with the new combination and if the claimant wants to move to that folio, that can be allowed. In case of FH expires, it would be mandatorily moved to new folios for ease of clarity and reporting purpose.

xvi. Surviving joint holders/owners shall be entitled to continue with, change or cancel the nominations made previously.

xvii. The surviving member(s) (i.e., surviving Joint Holder) shall receive the assets as owner(s) and not as a trustee.

xviii. In case of joint accounts when all joint holders FH+JH1+JH2 expires) simultaneously pass away, the regulated entity shall transmit the assets in the account / folio to the registered nominee(s) for effecting its due discharge. In absence of nomination, the regulated entity shall transmit the assets in the account / folio to either: (a) the legal heir(s) or legal representative(s) of the youngest of the joint holders** as per the rules of intestate succession or (b) as per the Will of the latter, as the case may be, after following the prescribed procedure.

xix. In case of accounts / folio held by Hindu Undivided Family (HUF), upon the death of the Karta as recorded, the new Karta as constituted under applicable law, would be entitled to operate such an account/folio. In the absence of new Karta, the regulated entity shall effect transmission of account / folio as per dissolution deed and other criteria defined by the respective SRO / industry body in consultation with the SEBI.

xx. Legal heir(s) of nominee shall not be eligible to inherit the assets of the investor if the nominee predeceases the investor.

xxi. Upon demise of one of the nominees prior to the demise of the investor (if any such intimation is received) and if no change is made in the nomination, then the assets shall be distributed to the surviving nominees on pro rata basis upon demise of the investor.

xxii. In case of any subsisting credit facilities secured by a duly created pledge, the regulated entity shall obtain due discharge from the creditors prior to transmission of assets to the nominee(s) or legal heir/s / legal representative/s, as the case may be. i.e., transmission request would be treated as NIGO and claimant should connect with the Financier and get Lien/Pledge removal request for transmission of assets to the claimant (Joint Holder(s)/ Nominee/Legal Heirs).

xxiii. Nomination shall be mandatory for single holding only. The requirement of nomination shall be optional for jointly held accounts / folios.

**M. Demat Account**

i. Investors have an option to hold the units in dematerialized form for all schemes except for the funds where the units are offered under the Daily / Weekly/ Fortnightly IDCW Options.

ii. Applicants must ensure that the sequence of names as mentioned in the application form matches that of the account held with the Depository Participant. Client ID, Names, Address and PAN details, other KYC norms mentioned in the application form will be verified against the Depository data which will be downloaded from Depository master.

iii. To capture correct depository account details, investors are required to submit Client Master.

iv. Only those applications where the details are matched with the depository data will be treated as valid applications for allotment of units in dematerialised form.

v. If the details mentioned in the application are incomplete / incorrect, not matched with the depository data, the application shall be treated as invalid and shall be liable to be rejected / units will be issued / allotted by issuing physical account statements.

vi. For units held in demat form, the KYC performed by the Depository Participant of the applicants will be considered as KYC verification done by the Trustee/AMC.

vii. Please note that where the applicant has furnished the details of their depository accounts in the Application Form, it will be assumed that the investor has opted for allotment in electronic form & the allotment will be made only in electronic form as default.

viii. For purchase in an Ongoing Scheme, the units will be allotted in demat form based on the applicable NAV as per the terms of the respective SID and will be credited to the Investors' demat account on weekly basis on realization of funds. For e.g. Units will be credited to Investor's Demat Account every Monday on the basis of realization status received during the last week (Monday to Friday).

ix. All details such as address, bank details, nomination etc. will be applicable as available in the depositories' records. For effecting any subsequent changes to such information, Investors should approach their DP. Redemption requests for units held in demat mode must be submitted to DP or through Stock Exchange Platform, as applicable. Account statement (CAS) for units held in demat mode will be issued only by NSDL / CDSL.

x. Holding / transacting of units held in demat mode shall be in accordance with the procedures / requirements laid down by the Depositories, viz. NSDL/ CDSL in accordance with the provisions under the Depositories Act, 1996 and the regulations thereunder.

**N. Declarations and Signatures**

i. Signature(s) should be in English or in any of the Indian languages specified in the Eighth Schedule of the Constitution of India.

ii. Thumb impressions and signatures in languages not specified in the Eighth Schedule of the Constitution of India should be attested by a magistrate or a Notary Public or a special Executive Magistrate under his/her official seal.

iii. Applications by minors should be signed by their guardians.

iv. In the case of an HUF, the Karta should sign on behalf of the HUF.

v. Authorized officials should sign the form under their official designation and company seal. A list of specimen signatures of the authorized officials, duly certified and attested, should also be attached to the application form.

vi. In the case of a trust fund, a resolution from the trustee(s) authorizing such purchase or investment should be submitted.

# COMMON TRANSACTION FORM - TATA CRISIL-IBX FINANCIAL SERVICES 3-6 MONTHS DEBT INDEX FUND

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. | | |

| Sign here | Sole / 1st Unitholder Signature / Thumb Impression | 2nd Unitholder Signature / Thumb Impression | 3rd Unitholder 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 ☐ Sibling ☐ Custodian ☐ Spouse ☐ Child ☐ Guardian ☐ PMS ☐ POA |
| Legal Entity Identifier (LEI) Number | | | Date of expiry D D / M M / Y Y Y Y |
| 2nd Holder Name | | | PAN |
| C-KYC | Date of Birth D D / M M / Y Y Y Y | Mobile No. | Mobile belongs to ☐ Self ☐ Parent ☐ Sibling ☐ Custodian ☐ Spouse ☐ Child ☐ Guardian ☐ PMS ☐ POA |
| 3rd Holder Name | | | PAN |
| C-KYC | Date of Birth D D / M M / Y Y Y Y | Mobile No. | Mobile belongs to ☐ Self ☐ Parent ☐ Sibling ☐ Custodian ☐ Spouse ☐ Child ☐ Guardian ☐ PMS ☐ POA |

## 3. ADDITIONAL PURCHASE DETAILS

*Refer Instruction 3.*

| Payment Mode : | ☐ Cheque | ☐ Fund Transfer | ☐ NEFT / RTGS | ☐ OTM Facility (Registered in folio) |
|---|---|---|---|---|
| **Scheme Name** | **Tata CRISIL-IBX Financial Services 3-6 Months Debt Index Fund** | | **Plan** | ☐ Regular ☐ Direct |
| **Option** (select any one) | ☐ Growth | ☐ IDCW Reinvestment | | ☐ IDCW Payout |
| Gross Amount (A) ₹ | | | | |
| Account Number | | Account Type | | Dated D D / M M / Y Y Y Y |
| Drawn on Bank | | | | Cheque / UTR No. |

## 4. SWITCH OUT DETAILS

*For NAV applicability of of the switch out scheme Refer instruction 4..*

| From Scheme / Plan / Option | | | |
|---|---|---|---|
| To Scheme Name | **Tata CRISIL-IBX Financial Services 3-6 Months Debt Index Fund** | **Plan** | ☐ Regular ☐ Direct |
| **Option** (select any one) | ☐ Growth | ☐ IDCW Reinvestment | ☐ IDCW Payout |

☐ Amount (in figure) ₹ _____ OR ☐ Units (in figure) _____ OR ☐ All Units

**Important Note:** Switch Out from an existing scheme to the NFO scheme during the NFO period on business days during business hours will be processed at the NAV applicable on the date of acceptance of switch request for all existing schemes **except** Tata Liquid Fund (Growth option), Tata Overnight Fund (Growth option), and Tata Ultra Short Term Fund (Growth option).

For Tata Liquid Fund (Growth option), Tata Overnight Fund (Growth option) and Tata Ultra Short-Term Fund (Growth option) the switch out will happen at the applicable source scheme cut-off timing on 22nd September 2026.

## 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. I/We hereby confirm that I/We have not been offered /communicated any indicative portfolio and/ or any indicative yield by the Fund/AMC/its distributor for this investment. I/We hereby accord my/our consent to TATA AMC for receiving the promotional information/ material via email, SMS, telemarketing calls, etc. on the mobile number and email provided by me/us in this Application form. Date _____.

| Sign here | Sole / 1st Unitholder Signature / Thumb Impression | 2nd Unitholder Signature / Thumb Impression | 3rd Unitholder Signature / Thumb Impression |
|---|---|---|---|

**Acknowledgement Slip**

TATA mutual fund

Folio No. _____ ☐ Purchase ☐ Switch in **Tata CRISIL-IBX Financial Services 3-6 Months Debt Index Fund**

For Amount of ₹_____ or Units _____ (details overleaf)

# INSTRUCTIONS FOR FILLING UP THE EXISTING INVESTOR APPLICATION FORM

TATA mutual fund

1. The Statement of Additional Information (SAI), Scheme Information Document (SID) and Key Information Memorandum (KIM) of the Tata CRISIL-IBX Financial Services 3-6 Months Debt Index Fund. Investors having read and understood the terms of SAI, SID and KIM of the Tata CRISIL-IBX Financial Services 3-6 Months Debt Index Fund must refer SID/KIM for default values and minimum subscription / redemption values.
2. Advisor / Distributor Information
   i. Investments through distributors: As per directions of Securities and Exchange Board of India (SEBI), Investors can route their application forms directly and /or through the distributors / employees of the distributor who hold a valid certification from the National Institute of Securities Markets (NISM) and ARN provided by Association of Mutual Funds in India (AMFI). Further, no agents / distributors are entitled to sell units of mutual funds unless the intermediary is registered with AMFI.
   ii. Employee Unique Identification Number (EUIN): 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. Investors are requested to verify the AMFI registration details from their Distributor. 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.
   iii. Transaction Charges:

   In accordance with SEBI circular No. Cir/ IMD/ DF/13/ 2011 dated August 22, 2011, Tata Asset Management Private Limited/ Mutual Fund will deduct transaction Charges from the purchase/ subscription amount received from the investors investing through a valid ARN Holder i.e. AMFI registered Distributor (provided the Distributor has opted to receive the transaction Charges). transaction Charge of Rs. 100 per purchase / subscription of Rs. 10,000 and above are deductible (per Scheme Plan - Option) from the purchase / subscription amount and payable to the Distributor. the balance amount shall be invested.

   Transaction Charges shall not be deducted:

   a. where the Distributor of the investor has not opted to receive any Transaction Charges
   b. for purchases / subscriptions / total commitment amount in case of SIP of an amount less than Rs. 10,000/-;
   c. for transactions other than purchases / subscriptions relating to new inflows i.e. through Switches / Systematic Transfers / IDCW Transfers/ IDCW Reinvestment, etc.;
   d. for purchases / subscriptions made directly with the Fund (i.e. not through any Distributor); and
   e. for purchases / subscriptions routed through Stock Exchange(s).

   iv. Direct Investment:

   Investors subscribing under Direct Plan of the scheme will have to indicate "Direct" in the "Broker/ ARN –Code" field and against the scheme plan in the application form. Investors should also indicate "Direct" in the ARN column of the application form. However, in case Distributor code is mentioned in the application form, but "Direct Plan" is indicated against the Tata CRISIL-IBX Financial Services 3-6 Months Debt Index Fund, the application will be processed under Direct Plan. Further, where application is received for Regular Plan without Distributor code or "Direct" mentioned in the ARN Column, the application will be processed under Direct Plan.
3. Investment Information
   i. It is mandatory to provide the folio number.
   ii. The Application form number / Folio number / PAN and Name of the Applicant should be written by the Applicants on the reverse of the cheques and bank drafts accompanying the Application Form.
   iii. For investment a cheque/DD amounting to the value of investment must be drawn in favour of "Tata CRISIL-IBX Financial Services 3-6 Months Debt Index Fund" dated, signed and crossed 'A/c Payee only.' MICR (CTS) cheques will be accepted till the end of business hours upto 21st September, 2026, RTGS and Transfer Cheques will be accepted till the end of the business hours upto 22nd September, 2026. Any application for purchase through existing OTM will be accepted only till 17th September, 2026. Allotment is subject to realization of funds. Allotment will be done only where the clear funds are realized upto one day prior to the scheme allotment date.
   iv. Bank charges for outstation demand drafts will be borne by the AMC and will be limited to the bank charges stipulated by the State Bank of India. Outstation Demand Draft has been defined as a demand draft issued by a bank where there is no Official Point of Acceptance available for Investors.

   The AMC will not accept any request for refund of demand draft charges

   v. Cash, Stock invests, Outstation Cheques/DD, Post Dated Cheques, Money Orders and Postal Orders will not be accepted and such applications will not be considered for allotment. All investment cheques should be current dated.
   vi. Cheques once returned in clearing will not be represented and the accompanying applications may not be considered for allotment.
   vii. Third Party payments: TAMPL / TMF will not accept applications for subscriptions of units accompanied with Third Party Payments except in exceptional cases as mentioned below. "Third Party Payment" means
   a. Payment made through an instrument issued from a bank account other than that of the first named applicant / investor mentioned in the application form.
   b. In case of payment instruments issued from a joint bank account, the first named applicant/ investor must be one of the joint holders of the bank account from which the payment instrument is issued.
   c. Following are the exceptional cases where third party payments will be accepted subject to submission of requisite documentation / declarations.
   1. Payment by employer on behalf of employee under Systematic Investment Plan (SIP) facility through payroll deductions;
   2. Custodian on behalf of a Client.

   viii. Investors are required to indicate their choice of Plan, Option for which subscription is made at the time of filling up the Application Form.
   ix. Investors subscribing under Direct Plan of a Scheme/Plan will have to indicate "Direct Plan" in the application form by ticking the appropriate box.
   x. Direct Plan is only for investors who purchase /subscribe Units in a Scheme directly with the Fund & is not available for investors who route their investments through a Distributor. Direct Plan shall have a lower expense ratio excluding distribution expenses, commission, etc & no commission for distribution of Units will be paid / charged under Direct Plan.
   xi. Default under Direct / Regular Plan:

| Sn. | Broker Code mentioned by the Investor | Plan mentioned by the investor | Default Plan to be captured |
|---|---|---|---|
| 1 | Not mentioned | Not mentioned | Direct Plan |
| 2 | Not mentioned | Direct Plan | Direct Plan |
| 3 | Not mentioned | Regular Plan | Direct Plan |
| 4 | Mentioned | Direct Plan | Direct Plan |
| 5 | Direct | Not mentioned | Direct Plan |
| 6 | Direct | Regular Plan | Direct Plan |
| 7 | Mentioned | Regular Plan | Regular Plan |
| 8 | Mentioned | Not mentioned | Regular Plan |

   xii. Default options: Growth in case Growth option or IDCW option is not mentioned. IDCW Reinvestment in case the Payout mode (Payout / Reinvestment) is not mentioned.
   xiii. In cases of wrong/ invalid/ incomplete ARN codes mentioned on the application form, the application shall be processed under Regular Plan. TAMPL shall contact and obtain the correct ARN code within 30 calendar days of the receipt of the application form from the investor/ distributor. In case, the correct code is not received within 30 calendar days, the TAMPL shall reprocess the transaction under Direct Plan from the date of application without any exit load.
   xiv. In case of discrepancies in the amount received from the investor and the amount mentioned in the application form the units will be allotted for amount received in our bank account.
   xv. ADDITIONAL PURCHASE THROUGH OTM FACILITY: If you are making payment through OTM facility registered in your folio, please tick the relevant box and do not attach any cheque. If more than one bank account is registered in your folio under OTM facility, please mention the bank account number and bank name where you wish the debit to happen. If the same is not mentioned or is not registered, default bank mandate under OTM facility will be considered to debit the purchase amount. Any application for purchase through existing OTM will be accepted only till 02nd July 2026 end of business hours.
   xvi. Units will be allotted subject to realization of payment proceeds. Allotment is subject to realization of funds.
   xvii. As per the RBI circular "Introduction of Legal Entity Identifier for Large Value Transactions in Centralised Payment Systems" vide notification RBI/2020-21/82 DPSS.CO.OD No.901/06.24.001/2020-21 dated 5th January 2021. RBI vide this notification has decided to introduce the LEI system for all payment transactions of value INR 50 crore and above undertaken by entities (non-individuals) using Reserve Bank-run Centralised Payment Systems viz. Real Time Gross Settlement (RTGS) and National Electronic Funds Transfer (NEFT). From April 1, 2021, it will be mandatory to include 20-digit Legal Entity Identifier (LEI) information while initiating any transaction of value INR 50 crore and above by entities (non-Individual).
4. Instructions for Switch
   i. Investors can switch-out amount /units, subject to meeting the minimum amount criterion of the switch-in schemes.
   ii. The condition for minimum amount in the switch-in schemes is not applicable for "ALL UNITS" switch out.
   iii. a. The request for Switches from the following schemes to Tata CRISIL-IBX Financial Services 3-6 Months Debt Index Fund will be accepted till 3 PM on 21st Sept 2026.

   Equity Schemes

   Tata Gold ETF Fund of Fund

   Tata Silver ETF Fund of Fund

   b. The request for Switches from the following schemes to Tata CRISIL-IBX Financial Services 3-6 Months Debt Index Fund will be accepted till 3 PM on 18th Sept 2026.

   Tata Income Plus Arbitrage Fund of Fund

   Tata Multi Sector Passive Fund of Fund

   Tata Nifty India Digital ETF Fund of Fund

   c. Switch Out from an existing scheme to the NFO scheme during the NFO period on business days during business hours will be processed at the NAV applicable on the date of acceptance of switch request for all existing schemes except Tata Liquid Fund (Growth option), Tata Overnight Fund (Growth option) and Tata Ultra Short-Term Fund (Growth option). For Tata Liquid Fund (Growth option), Tata Overnight Fund (Growth option) and Tata Ultra Short-Term Fund (Growth option) the switch out will happen at the applicable source scheme cut-off timing on 22nd September 2026.

   iv. Separate Switch-out request is required for Regular Plan and Direct Plan. Switch-out request is required to clearly contain the name of the Plan / option failing which the below mentioned business rule will apply:
   a. If the folio has both the Plans / option and Both plans have unit balance under same option then switch-out will be processed in Regular Plan.
   b. If the folio has both the Plans / option and One plan has NIL balance and other has unit balance under same option, switch-out will be processed from Plan / option which has unit balance
   c. If the Folio has only one Plan / option then switch-out will be processed from that Plan/ option
   d. Folio has both the Plans and Both plans have unit balance under different options then the switch request will be rejected
   ix. REGISTRAR:

   Computer Age Management Services Ltd.: New No. 10 (Old No. 178), M. G. R. Salai, Nungambakkam, Chennai - 600 034. E-mail: service@tataamc.com

   x. IMP NOTE: 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.
6. Applications incomplete in any respect are liable to be rejected. Tata Asset Management Private Limited (the AMC) / Tata Trustee Company Private Limited (Trustee) have absolute discretion to reject any such Application Forms.
7. 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.

## Acknowledgement Slip

Cheque Details

Cheque No._____ Dated _____ A/c. No. _____ Bank_____

Call (022) 6282 7777 (Monday to Saturday 9:00 am to 5:30 pm) Subject to realisation.

TATA mutual fund
Mulla House, Ground Floor, M. G. Road, Fort, Mumbai - 400 001
Call: (022) 6282 7777 Fax: (022) 22613782
Website: www.tatamutualfund.com Email: service@tataamc.com

# ASBA FORM

## NEW FUND OFFER (NFO)

| TATA CRISIL-IBX FINANCIAL SERVICES 3-6 MONTHS DEBT INDEX FUND | **Opens On :** 15th September, 2026<br>**Closes On :** 22nd September, 2026 |
|---|---|
| | Application No. |
| | Date: |

## DISTRIBUTOR INFORMATION

| SUB-BROKER ARN CODE | BROKER / AGENT CODE | SUB-BROKER / BANK BRANCH 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.

Signature for Sole/First Applicant (Mandatory)

## APPLICANT DETAILS (Please fill in BLOCK LETTERS with black/blue ink, use one box for one alphabet leaving one box blank between two words)

**NAME OF FIRST / SOLE APPLICANT** ☐ Mr. ☐ Ms

**(For existing unitholder(s) please furnish your Common Account / Folio No.)**

F I R S T N A M E M I D D L E N A M E L A S T N A M E

**PAN** **Common Account / Folio No.**

## INVESTOR CATEGORY (Please ✓ as applicable; Refer Instruction No. 4)

| | | | | | | |
|---|---|---|---|---|---|---|
| IND | HUF | NRI | FI | IC | MF | MINOR |
| BANK | TRUST | AOP | SOCTY | BOI | CO | OTH Please Specify |

## DETAILS OF BANK ACCOUNT FOR BLOCKING OF FUNDS

Bank Name (Do not abbreviate)

Account No. Branch Name

(Please provide the full account number)

City

| Account Type (Please ✓) | For Residents | For Non-Residents |
|---|---|---|
| | ☐ Savings ☐ Current | ☐ NRO ☐ NRE ☐ Repatriable ☐ Non-Repatriable ☐ Others _____ |

Amount to be blocked (₹)

Amount in words

## INVESTMENT DETAILS

| Option(s) | Please (✓) the Option selected in the NFO application form | ISIN Number |
|---|---|---|
| Tata CRISIL-IBX Financial Services 3-6 Months Debt Index Fund - Direct Plan - Growth Option | | INF277KA1FB5 |
| Tata CRISIL-IBX Financial Services 3-6 Months Debt Index Fund - Direct Plan - IDCW Reinvestment | | INF277KA1FD1 |
| Tata CRISIL-IBX Financial Services 3-6 Months Debt Index Fund - Direct Plan - IDCW Payout | | INF277KA1FC3 |
| Tata CRISIL-IBX Financial Services 3-6 Months Debt Index Fund - Regular Plan - Growth Option | | INF277KA1EY0 |
| Tata CRISIL-IBX Financial Services 3-6 Months Debt Index Fund - Regular Plan - IDCW Reinvestment | | INF277KA1FA7 |
| Tata CRISIL-IBX Financial Services 3-6 Months Debt Index Fund - Regular Plan - IDCW Payout | | INF277KA1EZ7 |

## DEMAT ACCOUNT DETAILS

**National Securities Depository Limited**
Depository Participant (DP) ID

Beneficiary Account Number

**Central Depository Services (India) Limited**
Depository Participant (DP) ID

Beneficiary Account Number

## ACKNOWLEDGEMENT SLIP (To be filled and attached by the Applicant with the NFO Application Form)

| TATA CRISIL-IBX FINANCIAL SERVICES 3-6 MONTHS DEBT INDEX FUND | **Opens On :** 15th September, 2026<br>**Closes On :** 22nd September, 2026 |
|---|---|

Received from _____ (sole / first applicant) ASBA Form dated _____ details of which are as follows:

| | |
|---|---|
| Application No. _____ | Amount Blocked (₹) _____ |
| SCSB (Bank and Branch) _____ | Bank Account No. _____ |
| Date of Submission _____ | |

## UNDERTAKING BY ASBA INVESTOR AND ACCOUNT HOLDER

(1) I/ We hereby undertake that, I/ we have read and understood the instructions contained in this Form and Terms and Conditions concerning ASBA as contained in the Scheme Information Document (SID) / Key Information Memorandum (KIM) of the above mentioned Scheme and Statement of Additional Information (SAI) of Tata Mutual Fund. Further, I/we understand that if the details as provided by me/us in this Form are different from those in the NFO Application Form, then in such a case; the application is liable to be rejected. I/we further confirm and undertake that I am/ we are eligible ASBA applicants(s) as per the relevant provisions of the SEBI (Issue of Capital and Disclosure Requirement) Regulations, 2009.

(2) In accordance with provisions of ASBA in the SEBI ICDR Regulations, 2009 and as disclosed in the SAI, I/We authorize

(a) the SCSB to do all acts as are necessary to make an application in the New Fund Offer of above mentioned Scheme, including uploading of application details, blocking the amount to the extent mentioned above under "DETAILS OF BANK ACCOUNT FOR BLOCKING OF FUNDS" or unblocking of funds in the bank account maintained with the SCSB specified above, transfer of funds to the Tata Mutual Fund's account on receipt of instructions from the Registrar to Tata Mutual Fund after finalisation of the basis of allotment, entitling me/us to receive mutual fund units on such transfer of funds, etc.

(b) Registrar to issue instructions to the SCSB to unblock the funds in the bank account specified above upon finalisation of the basis of allotment and to transfer the requisite money to the Tata Mutual Fund's account.

(3) In case the amount available in the bank account specified above is insufficient, the SCSB shall reject the application.

(4) If the DP ID, Beneficiary or PAN is not provided by me/us or the details on the same as furnished in the form are incorrect or incomplete or not matching with the depository records, my/ our application is liable to be rejected and Tata Mutual Fund or SCSB shall not be liable for losses, if any.

| SIGNATURES | 1ST APPLICANT / POA HOLDER / GUARDIAN SIGNATURE | 2ND APPLICANT / POA HOLDER SIGNATURE | 3RD APPLICANT / POA HOLDER SIGNATURE |
|---|---|---|---|
| | SCSB BANK - 1ST ACCOUNT HOLDER SIGNATURE | SCSB BANK - 2ND ACCOUNT HOLDER SIGNATURE | SCSB BANK - 3RD ACCOUNT HOLDER SIGNATURE |

## INSTRUCTIONS FOR INVESTORS

1. SCSB means Self Certified Syndicate Bank registered with the SEBI, which offers the facility of ASBA. The current list of SCSBs as available on SEBI website is as follows: **1.** Allahabad Bank **2.** Andhra Bank **3.** Axis Bank **4.** Bank of Maharashtra **5.** Bank of Baroda **6.** Bank of India **7.** Canara Bank **8.** Central Bank of India **9.** Citi Bank **10.** Corporation Bank **11.** Deutsche Bank **12.** Federal Bank **13.** HDFC Bank **14.** HSBC Bank **15.** ICICI Bank Ltd **16.** IDBI Bank Limited **17.** Indian Bank **18.** Indusind Bank **19.** Indian Overseas Bank **20.** J P Morgan Chase Bank, N.A. **21.** Karur Vysya Bank **22.** Kotak Mahindra Bank **23.** Nutan Nagrik Sahakari Bank Ltd. **24.** Oriental Bank of Commerce **25.** Punjab National Bank **26.** South Indian Bank **27.** Standard Chartered Bank **28.** State Bank of Travancore **29.** State Bank of Bikaner & Jaipur **30.** State Bank of India **31.** State Bank of Hyderabad **32.** Syndicate Bank **33.** UCO Bank **34.** Union Bank of India **35.** United Bank of India **36.** Vijaya Bank **37.** Yes Bank Limited.

   For the complete list of controlling / designated branches of above mentioned SCSBs, please refer to websites - www.sebi.gov.in, www.bseindia.com and www.nseindia.com

2. Eligible investors for ASBA maintaining their account in any of the above SCSBs may use ASBA facility subject to fulfilling all the terms and conditions stipulated in this regard.

3. The investor is required to submit a copy of the acknowledgment receipt of the ASBA Form (as submitted with SCSB) along with the NFO application form to be furnished to Tata Mutual Fund.

4. Investors shall tick the applicable category in the form, please note the various categories below:

| Code | Category | Code | Category | Code | Category |
|---|---|---|---|---|---|
| IND | Individual | MF | Mutual Funds | SOCTY | Society |
| HUF | Hindu Undivided Family | MINOR | Minor (Through Guardian) | BOI | Board of Individuals |
| NRI | Non-Resident Indian | BANK | Bank | CO | Bodies Corporate |
| FI | Banks & Financial Institutions | TRUST | Trust | OTH | Others |
| IC | Insurance Companies | AOP | Association of Persons | | |

TATA mutual fund

Mulla House, Ground Floor, M.G. Road, Fort, Mumbai - 400 001
Tel: (022) 66578282 Fax: (022) 22613782
Website: www.tatamutualfund.com Email: service@tataamc.com

**Registrar:** Computer Age Management Services Ltd., No. 178/10,
Kodambakkam High Road, Opp. Hotel Palmgrove, Nungambakkam, Chennai 600 034.
Venkatesh Pai Tel. No. 044 - 6109 5563, 6109 5565, 6109 5567
Fax 28283 613 camslb1@camsonline.com

# FATCA / FOREIGN TAX LAWS INFORMATION NON INDIVIDUAL FORM

(Please consult your professional tax advisor for further guidance on FATCA & CRS classification)

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

TATA mutual fund

## 1. Entity Details

| | | | |
|---|---|---|---|
| **Name of the Entity** | | | |
| Type of address given at KRA | ☐ Residential or Business ☐ Residential ☐ Business ☐ Registered Office | | |
| | Address of tax residence would be taken as available in KRA database. In case of any change, please approach KRA & notify the changes | | |
| Application No. | | Folio No. | |
| PAN Number | | Date of Incorporation | D D / M M / Y Y Y Y |
| City of Incorporation | | Country of Incorporation | |
| Entity Constitution Type | ☐ Partnership Firm ☐ HUF ☐ Private Limited Company ☐ Public Limited Company ☐ Society ☐ AOP/BOI<br>☐ Trust ☐ Liquidator ☐ Limited Liability Partnership ☐ Artificial Juridical Person ☐ Others specify | | |
| Please tick the applicable tax resident declaration | Is "Entity" a tax resident of any country other than India: ☐ Yes ☐ No<br>*(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)* | | |

| Country | Tax Identification Number% | Identification Type (TIN or Other, please specify) |
|---|---|---|
| | | |
| | | |
| | | |

%In case Tax Identification Number is not available, kindly provide its functional equivalent.
In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc.

In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here _____

Please refer to para 3(vii) exemption code for U.S. persons in FATCA Instructions & Definitions

## 2. FATCA & CRS Declaration

**PART A** *(to be Filled by Financial Institutions or Direct Reporting NFEs)*

| | | |
|---|---|---|
| 1 | We are a,<br>☐ Financial institution[3]<br>or<br>☐ Direct reporting NFE[4]<br>(please tick as appropriate) | GIIN<br>**Note:** If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below<br>Name of sponsoring entity |
| | **GIIN not available** (please tick as applicable)<br>If the entity is a Financial institution, | ☐ **Applied for**<br>☐ Not required to apply for - please specify 2 digits sub-category[10]<br>☐ Not obtained – Non-participating FI |

**PART B** *(please fill any one as appropriate "to be filled by NFEs other than Direct Reporting NFEs")*

| | | |
|---|---|---|
| 1 | Is the Entity a listed company (that is, a company whose shares are regularly traded on an established stock exchanges) | ☐ Yes (If yes, please specify any one stock exchange on which the stock is regularly traded)<br>Name of stock exchange _____ |
| 2 | Is the Entity a related entity of a listed company (a company whose shares are regularly traded on an established stock exchanges) | ☐ Yes (If yes, please specify name of the listed company name of and one stock exchange(s) on where this stock is regularly traded) ☐ No<br>Name of listed company _____<br>Nature of relation: ☐ Subsidiary of the Listed Company ☐ Controlled by a Listed Company<br>Name of stock exchange _____ |
| 3 | Is the Entity an active[1] NFE | ☐ Yes ☐ No<br>Nature of Business _____<br>Please specify the sub-category of Active NFE |
| 4 | Is the Entity a passive[2] NFE | ☐ Yes ☐ No (If yes, please fill UBO declaration in the next section.)<br>Nature of Business _____ |

[1] Refer 2 of Part D | [2] Refer 3(ii) of Part D | [3] Refer 1(i) of Part D | [4] Refer 3(vi) of Part D | [10] Refer 1A of Part D

## 3. Ultimate Beneficial Ownership (UBO) Details for Passive NFE

# If passive NFE, please provide below additional details for each of controlling persons. (Please attach additional sheets if necessary)

| **Name**<br>**PAN / Any other Identification Number**<br>*(PAN, Aadhar, Passport, Election ID, Govt. ID, Driving Licence, NREGA Job Card, Others)*<br>**City of Birth - Country of Birth** | **Occupation Type** -<br>Service, Business, Others<br>**Nationality**<br>**Father's Name** -<br>Mandatory if PAN is not available | **DOB** - Date of Birth<br>**Gender** - Male, Female, Other |
|---|---|---|
| 1. Name _____<br>PAN _____<br>City of Birth _____<br>Country of Birth _____ | Occupation Type _____<br>Nationality _____<br>Father's Name _____ | DOB D D / M M / Y Y Y Y<br>Gender ☐ Male ☐ Female ☐ Other |
| 2. Name _____<br>PAN _____<br>City of Birth _____<br>Country of Birth _____ | Occupation Type _____<br>Nationality _____<br>Father's Name _____ | DOB D D / M M / Y Y Y Y<br>Gender ☐ Male ☐ Female ☐ Other |
| 3. Name _____<br>PAN _____<br>City of Birth _____<br>Country of Birth _____ | Occupation Type _____<br>Nationality _____<br>Father's Name _____ | DOB D D / M M / Y Y Y Y<br>Gender ☐ Male ☐ Female ☐ Other |

# Additional details to be filled by controlling persons with tax residency / permanent residency / citizenship / Green Card in any country other than India: * To include US, where controlling person is a US citizen or green card holder.

% In case Tax Identification Number is not available, kindly provide functional equivalent.

## 4. FATCA - CRS Terms and Conditions

The Central Board of Direct Taxes has notified Rules 114F & 114H, as part of the Income Tax Rules- 1962, which rules required Indian financial Institution such as the bank to seek additional personal, tax and beneficial owner information and certain certifications & documentation from all our accounts holders. In relevant cases, information will have to be reported to Tax authorities/appointed agencies. Towards compliance, we may also be requested to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

Should there be any change any information provided by you, please insure your advice us promptly, i.e. within 30 days.

If any controlling person of any utility is US citizen or Green card holder, please include United States in the foreign country information field along with the US Tax Identification number.

It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issued such identification. If no, TIN is yet available or has not been issued, please provide an explanation and attach this to the form.

## 5. Declaration and Signatures

I/We have understood the information requirements of this Form (Read along with FATCA & CRS Instructions) and hereby confirm that information provided by me / us on this Form is true, correct & complete. I/We also confirm that I/We have understood the FATCA & CRS Terms & Conditions below and thereby accept the same.

Name _____

Designation _____

| Authorized Signatory | Authorized Signatory | Authorized Signatory |
|---|---|---|

Place: _____

Date: D D / M M / Y Y Y Y

(Note: The Guidance Note/notification issued by the CBDT shall prevail in respect to interpretation of the terms specified in the form)

1 (i) Financial Institution (FI) - The term FI means any financial institution that is a Depository Institution, Custodial Institution, Investment Entity or Specified Insurance company, as defined.

(ii) Depository institution: is an entity that accepts deposits in the ordinary course of banking or similar business.

(iii) Custodial institution: is an entity that holds as a substantial portion of its business, holds financial assets for the account of others and where it's income attributable to holding financial assets and related financial services equals or exceeds 20 percent of the entity's gross income during the shorter of-

(i) The three financial years preceding the year in which determination is made; or

(ii) The period, during which the entity has been in existence, whichever is less.

(iv) Investment entity is any entity:

(a) That primarily conducts a business or operates for or on behalf of a customer for any of the following activities or operations for or on behalf of a customer

(i) Trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading; or

(ii) Individual and collective portfolio management; or

(iii) Investing, administering or managing funds, money or financial asset or money on behalf of other persons;

or

(b) The gross income of which is primarily attributable to investing, reinvesting, or trading in fi nancial assets, if the entity is managed by another entity that is a depository institution, a custodial institution, a specifi ed insurance company, or an investment entity described above. An entity is treated as primarily conducting as a business one or more of the 3 activities described above, or an entity's gross income is primar-ily attributable to investing, reinvesting, or trading in financial assets of the entity's gross income attributable to the relevant activities equals or exceeds 50 percent of the entity's gross income during the shorter of :

(i) The three-year period ending on 31 March of the year preceding the year in which the determination is made; or

(ii) The period during which the entity has been in existence.

The term "Investment Entity" does not include an entity that is an active non-financial entity as per codes 04, 05, 06 and 07 - refer point 2c.)

(v) Specified Insurance Company: Entity that is an insurance company (or the holding company of an insurance company) that issues, or is obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract.

| 1 (vi) FI not required to apply for GIIN: Refer Rule 114F(5) of Income Tax Rules, 1962 for the conditions to be satisfied as "Non- Reporting Financial Institution and Guidance issued by CBDT in this regard | |
|---|---|
| *A. Reasons why FI not required to apply for GIIN:* | |
| Code | Sub-category |
| 01 | Governmental Entity, International Organization or Central Bank |
| 02 | Treaty Qualified Retirement Fund; a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; or a Pension Fund of a Governmental Entity, International Organization or Central Bank |
| 03 | Non-public fund of the armed forces, an employees' state insurance fund, a gratuity fund or a provident fund |
| 04 | Entity is an Indian FI solely because it is an investment entity |
| 05 | Qualified credit card issuer |
| 06 | Investment Advisors, Investment Managers & Executing Brokers |
| 07 | Exempt collective investment vehicle |
| 08 | Trust |
| 09 | Non-registering local banks |
| 10 | FFI with only Low-Value Accounts |
| 11 | Sponsored investment entity and controlled foreign corporation |
| 12 | Sponsored, Closely Held Investment Vehicle |

| 2. Active Non-financial entity (NFE) : (any one of the following): Refer Explanation (A) to 114F (6) of Income Tax Rules, 1962 for details | |
|---|---|
| *Code* | *Sub-category* |
| 01 | Less than 50 percent of the NFE's gross income for the preceding financial year is passive income and less than 50 percent of the assets held by the NFE during the preceding financial year are assets that produce or are held for the production of passive income; |
| 02 | The stock of the entity is regularly traded on an established securities market or the non-financial entity is a related entity of an entity, the stock of which is regularly traded on an established securities market. |
| 03 | The NFE is a Governmental Entity, an International Organization, a Central Bank, or an entity wholly owned by one or more of the foregoing; |
| 04 | Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an entity shall not qualify for this status if the entity functions as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes; |
| 05 | The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFE; |
| 06 | The NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution; |
| 07 | The NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution; |
| 08 | Any NFE that fulfills all of the following requirements:<br>• It is established and operated in India exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in India and it is a professional organization, business league, chamber of commerce, labor organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare;<br>• It is exempt from income tax in India;<br>• It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;<br>The applicable laws of the NFE's country or territory of residence or the NFE's formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and<br>The applicable laws of the NFE's country or territory of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of the NFE's country or territory of residence or any political subdivision thereof.<br>Explanation.- For the purpose of this sub-clause, the following shall be treated as fulfilling the criteria provided in the said sub-clause, namely:-<br>(i) an Investor Protection Fund referred to in clause (23EA);<br>(ii) a Credit Guarantee Fund Trust for Small Industries referred to in clause 23EB; and<br>(iii) an Investor Protection Fund referred to in clause (23EC), of section 10 of the Act; |

3. Other definitions

(i) Related entity

An entity is a 'related entity' of another entity if either entity controls the other entity, or the two entities are under common control For this purpose, control includes direct or indirect ownership of more than 50% of the votes and value in an entity

(ii) Passive NFE

The term passive NFE means

(i) any non-financial entity which is not an active non-financial entity; or

(ii) an investment entity defined in clause 1(iv)(b) of these instructions

(iii) a withholding foreign partnership or withholding foreign trust;

(iii) Passive income

The term passive income includes income by way of:

(1) IDCW,

(2) Interest

(3) Income equivalent to interest,

(4) Rents and royalties, other than rents and royalties derived in the active conduct of a trade or business conducted, at least in part, by employees of the NFE

(5) Annuities

(6) The excess of gains over losses from the sale or exchange of financial assets that gives rise to passive income

(7) The excess of gains over losses from transactions (including futures, forwards, and similar transactions) in any financial assets,

(8) The excess of foreign currency gains over foreign currency losses

(9) Net income from swaps

(10) Amounts received under cash value insurance contracts

But passive income will not include in case of a non-financial entity that regularly acts as a dealer in financial assets, any income from any transaction entered into in the ordinary course of such dealer's business as a such dealer.

(iv) Controlling persons are natural persons who exercise control over an entity and includes a beneficial owner under sub-rule (3) of rule 9 of the Prevention of Money-Laundering (Maintenance of Records) Rules, 2005.

In determining the Beneficial Owner, the procedure specified in the following circular as amended from time to time shall be applied, namely:-

(i) DBOD.AML.BC. NO.71/14.01.001/2012-13, issued on the 18th January, 2013 by the Reserve Bank of India; or

(ii) CIR/MIRSD/2/2013, issued on the 24th January, 2013by the Securities and Exchange Board of India; or

(iii) IRDA/SDD/GDL/CIR/019/02/2013, issued on the 4th February, 2013 by the Insurance Regulatory and Development Authority.

In the case of a trust, the controlling person means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust. In the case of a legal arrangement other than a trust, the said expression means the person in equivalent or similar positions

| (A) Controlling Person Type: | |
|---|---|
| Code | Sub-category |
| 01 | CP of legal person - ownership |
| 02 | CP of legal person - other means |
| 03 | CP of legal person - senior managing official |
| 04 | CP of legal arrangement - trust - settlor |
| 05 | CP of legal arrangement - trust - trustee |
| 06 | CP of legal arrangement - trust - protector |
| 07 | CP of legal arrangement - trust - beneficiary |
| 08 | CP of legal arrangement--trust-other |
| 09 | CP of legal arrangement - Other - settlor equivalent |
| 10 | CP of legal arrangement - Other - trustee equivalent |
| 11 | CP of legal arrangement - Other - protector equivalent |
| 12 | CP of legal arrangement - Other - beneficiary equivalent |
| 13 | CP of legal arrangement - Other - other equivalent |
| 14 | Unknown |

(v) Specified U.S. person – A U.S person other than the following:

(i) a corporation the stock of which is regularly traded on one or more established securities markets;

(ii) any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described in clause (i);

(iii) the United States or any wholly owned agency or instrumentality thereof;

(iv) any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing;

(v) any organization exempt from taxation under section 501(a) of the U.S. Internal Revenue Code or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code;

(vi) any bank as defined in section 581 of the U.S. Internal Revenue Code;

(vii) any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code;

(viii) any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64);

(ix) any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code;

(x) any trust that is exempt from tax under section 664(c) of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code;

(xi) a dealer in securities, commodities, or derivative □nancial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State;

(xii) a broker as defined in section 6045(c) of the U.S. Internal Revenue Code; or

(xiii) any tax-exempt trust under a plan that is described in section 403(b) or section 457(g) of the U.S. Internal Revenue Code.

(vi) Direct reporting NFE

A direct reporting NFE means a NFE that elects to report information about its direct or indirect substantial U.S. owners to the IRS.

| Exemption code for U.S. persons (Refer 114(9) of Income Tax Rules, 1962 for details | |
|---|---|
| Code | Sub-category |
| A | An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37) |
| B | The United States or any of its agencies or instrumentalities |
| C | A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities |
| D | A corporation the stock of which is regularly traded on one or more established securities markets, as described in Reg. section 1.1472-1(c)(1)(i) |
| E | A corporation that is a member of the same expanded affiliated group as a corporation described in Reg. section 1.1472-1(c)(1)(i) |
| F | A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state |
| G | A real estate investment trust |
| H | A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940 |
| I | A common trust fund as defined in section 584(a) |
| J | A bank as defined in section 581 |
| K | A broker |
| L | A trust exempt from tax under section 664 or described in section 4947(a)(1) |
| M | A tax exempt trust under a section 403(b) plan or section 457(g) plan |

# Declaration for Ultimate Beneficial Ownership (UBO) / Controlling Persons
**(Mandatory for Non-Individual Investors)**

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

TATA mutual fund

## 1. Entity Details

| | |
|---|---|
| Name of the Entity | |
| PAN Number | |

## 2. Applicable for Listed Company / Subsidiary Company

(i) I We Hereby declare that-

☐ Our Company is a Listed Company listed on recogised stock exchange in India ☐ Our Company is a Subsidary of a Listed Company

☐ Our Company is Controlled by a Listed Company

(ii) Details of the Listed Company ^ _____

Stock Exchange on which it is listed _____ Security ISIN _____

^ The Details of holding/parent company to be provided in case the applicant / investor is a subsidary company

## 3. Applicable for Non Individuals other than Listed Company / its Subsidiary Company

**Category** (Please tick applicable category):

☐ Unlisted Company ☐ Partnership Firm ☐ Limited Liability Partnership Company

☐ Unincorporated association / body of individuals ☐ Public Charitable Trust ☐ Religious Trust ☐ Private Trust

☐ Others (please specify _____ )

**UBO / Controlling Person(s) details.**

**Does your company/entity have any individual person(s) who holds direct / indirect controlling ownership above the prescribed threshold limit?** ☐ **Yes** ☐ **No**

If 'YES' - We hereby declare that the following individual person holds directly / indirectly controlling ownership in our entity above the prescribed threshold limit. Details of such individual(s) are given below.

If 'NO' - declare that no individual person (directly / indirectly) holds controlling ownership in our entity above the prescribed threshold limit. Details of the individual who holds the position of Senior Managing Official (SMO) are provided below.

| | **UBO-1 / Senior Managing Official (SMO)** | **UBO-2** | **UBO-3** |
|---|---|---|---|
| Name of the UBO/SMO#. | | | |
| UBO / SMO PAN#. For Foreign National, TIN to be provided] | | | |
| % of beneficial interest#. | >10% controlling interest. ☐<br>>15% controlling interest. ☐<br>>25% controlling interest. ☐<br>NA. (for SMO) ☐ | >10% controlling interest. ☐<br>>15% controlling interest. ☐<br>>25% controlling interest. ☐<br>NA. (for SMO) ☐ | >10% controlling interest. ☐<br>>15% controlling interest. ☐<br>>25% controlling interest. ☐<br>NA. (for SMO) ☐ |
| UBO / SMO Country of Tax Residency#. | | | |
| UBO / SMO Taxpayer Identification Number / Equivalent ID Number#. | | | |
| UBO / SMO Identity Type | | | |
| UBO / SMO Place of Birth# | | | |
| UBO / SMO Country of Birth# | | | |
| UBO / SMO Nationality | | | |
| UBO / SMO Date of Birth *[dd-mmm-yyyy]* # | | | |
| UBO / SMO PEP# | Yes – PEP. ☐<br>Yes – Related to PEP. ☐<br>N – Not a PEP. ☐ | Yes – PEP. ☐<br>Yes – Related to PEP. ☐<br>N – Not a PEP. ☐ | Yes – PEP. ☐<br>Yes – Related to PEP. ☐<br>N – Not a PEP. ☐ |
| UBO / SMO Address *[include City, Pincode, State, Country]* | Address | Address | Address |
| | | | |
| | City | City | City |
| | Pincode | Pincode | Pincode |
| | State | State | State |
| | Country | Country | Country |
| UBO / SMO Address Type | Residence ☐<br>Business ☐<br>Registered Office. ☐ | Residence ☐<br>Business ☐<br>Registered Office. ☐ | Residence ☐<br>Business ☐<br>Registered Office. ☐ |

| | | | |
|---|---|---|---|
| UBO / SMO Email | | | |
| UBO / SMO Mobile | | | |
| UBO / SMO Gender | Male ☐<br>Female ☐<br>Others ☐ | Male ☐<br>Female ☐<br>Others ☐ | Male ☐<br>Female ☐<br>Others ☐ |
| UBO / SMO Father's Name | | | |
| UBO / SMO Occupation | Public Service ☐<br>Private Service ☐<br>Business ☐<br>Others ☐ | Public Service ☐<br>Private Service ☐<br>Business ☐<br>Others ☐ | Public Service ☐<br>Private Service ☐<br>Business ☐<br>Others ☐ |
| SMO Designation# | | | |
| UBO / SMO KYC Complied? | Yes ☐ No. ☐<br>If 'Yes,' please attach the KYC acknowledgement.<br>If 'No,' complete the KYC and confirm the status. | Yes ☐ No. ☐<br>If 'Yes,' please attach the KYC acknowledgement.<br>If No, complete the KYC and confirm the status. | Yes ☐ No. ☐<br>If 'Yes,' please attach the KYC acknowledgement.<br>If No, complete the KYC and confirm the status. |

# Mandatory column. Note: If the given columns are not sufficient, required information in the given format can be enclosed as additional sheet(s) duly signed by Authorized Signatory.

* Participating Mutual Fund(s) / RTA may call for additional information/documentation wherever required or if the given information is not clear / incomplete / correct and you may provide the same as and when solicited.

## 4. Declaration and Signatures

I/We acknowledge and confirm that the information provided above is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false, untrue, misleading, or misrepresenting, I/We am/are aware that I/We may be liable for it including any penalty levied by the statutory/legal/regulatory authority. I/We hereby confirm the above beneficial interest after perusing all applicable shareholding pattern and MF/RTA/other registered intermediaries can make reliance on the same. I/We hereby authorize you [RTA/Fund/AMC/Other participating entities] to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to any of the Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me/us of the same. Further, I/We authorize to share the given information to other SEBI Registered Intermediaries /or any regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant purposes. I/We also undertake to keep you informed in writing about any changes / modification to the above information in future within 30 days of such changes and undertake to provide any other additional information as may be required at your / Fund's end or by domestic or overseas regulators/ tax authorities.

Signature with relevant seal:

| | | |
|---|---|---|
| Authorised Signatory<br>Name:<br>Designation: | Authorised Signatory<br>Name:<br>Designation: | Authorised Signatory<br>Name:<br>Designation: |

Place: _____ Date: D D / M M / Y Y Y Y

## INSTRUCTIONS

Pursuant to SEBI master circular vide ref. no. CIR/ISD/AML/3/2010 dated December 31, 2010 on anti money laundering standards and guidelines on identification of Beneficial Ownership issued by SEBI vide its circular ref. no. CIR/MIRSD/2/2013 dated January 24, 2013, investors (other than Individuals) are required to provide details of Ultimate Beneficial Owner(s) ("UBO(s)") and submit proof of identity (viz. PAN with photograph or any other acceptable proof of identity prescribed in common KYC form) of UBO(s)). Attached Documents should be self-certified by the UBO and certified by the Applicant/Investor Authorised Signatory/ies.

**(1) The Ultimate Beneficial Owner means:**

- **For Investor other than Trust:**

A 'Natural Person', who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest.

Controlling ownership interest means ownership of / entitlements to:

i. more than 10% of shares or capital or profits of the juridical person, where the juridical person is a company;

ii. more than 15% of the capital or profits of the juridical person, where the juridical person is a partnership; or

iii. more than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.

iv. In cases where there exists doubt as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity details should be provided of the natural person who is exercising control over the juridical person through other means (i.e. control exercised through voting rights, agreement, arrangements or in any other manner).

v. However, where no natural person is identified, the identity of the relevant natural person who holds the position of senior managing official should be provided.

- **For Trust :**

The settler of the trust, the trustees, the protector, the beneficiaries with 10% or more of interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

**(2) Documents to be provided:**

Provide copy of PAN with photograph or valid KYC Compliance proof or any other acceptable identity proof of UBO as below

i. UID (Adhar)

ii. Passport

iii. Voter ID

iv. Driving Licence

If UBO is not KYC compliant, request to complete KYC formalities and send the intimation to CAMS /Fund. Attach valid address proof.

Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory / Company Secretary.

Note: Attached documents should be self-certified by the UBO and certified by the Applicant/Investor Authorized Signatory/ies

**(3)** If the BO is minor proof of date of birth (i.e. birth certificate) and proof of relationship with the guardian and the copy of PAN with photograph of the guardian is mandatory.

**(4) Exemption in case of listed companies:**

The provisions w.r.t. Identification of UBO are not applicable to the investor or the owner of the controlling interest is a company listed on a stock exchange, or is a majority-owned subsidiary of such a company.

**(5) Applicability for foreign investors:**

The identification of beneficial ownership in case of Foreign Institutional Investors (FIIs), their sub-accounts and Multilateral Funding Agencies / Bodies Corporate incorporated outside India with the permission of Government of India / Reserve Bank of India may be guided by the clarifications issued vide SEBI circular CIR/MIRSD/11/2012 dated September 5, 2012.

**(6)** In case the information is not provided, it will be presumed that applicant is the ultimate beneficial owner, with no declaration to submit. In such case, the concerned SEBI registered intermediary reserves the right to reject the application or reverse the allotment of units, if subsequently it is found that applicant has concealed the facts of beneficial ownership.

**(7) UBO - Type Codes**

| | |
|---|---|
| **UBO - 01** | Ownership of / entitlement to more than 10% of shares of capital or profits of the juridical person, where the juridical person is a company |
| **UBO - 02** | Ownership of / entitlement to more than 15% of the capital or profits of the juridical person, where the juridical person is a partnerhip |
| **UBO - 03** | Ownership of / entitlement to more than 15% of the property or capital or profits or the juridical person, where the juridical person is an unicorporated association or body of individuals |
| **UBO - 04** | Natural person who is exercising control over the juridical person through other means i.e. control exercised through voting rights, agreement, arrangements or in any other manner. (In case where there exist doubt as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests) |
| **UBO - 05** | Person who holds the position of senior managing official like CEO, MD, Managing Partner etc. (In case any Ultimate Beneficial Owner/s does not own over 10% or 15%). |
| **UBO - 06** | The settlor(s) of the Trust |
| **UBO - 07** | Trustee(s) of the Trust. |
| **UBO - 08** | The Protector(s) of the Trust (if applicable). |
| **UBO - 09** | The beneficiaries with 10% or more interest in the trust if they are natural person(s) |
| **UBO - 10** | Natural person(s) exercising ultimate effective control over the trust through a chain of control or ownership. |

# Declaration Form of Non-Profit Organisation (NPO) (Mandatory for Trusts/Society)

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

TATA mutual fund

## 1. Entity Details

| | |
|---|---|
| Name of Trust/Society | |
| PAN Number | |

## 2. Applicable for Trusts/Societies/Section 8 companies (under Companies Act, 2013) constituted for religious or charitable purposes

☐ I/We hereby confirm that above stated entity / Organisation is falling under "Non-profit Organisation" [NPO] which has been constituted for religious or charitable purposes referred to in clause (15) of section 2 of the Income-tax Act, 1961 (43 of 1961), and is registered as a trust or a society under the Societies Registration Act, 1860 (21 of 1860) or any similar State legislation or a Company registered under the section 8 of the Companies Act, 2013 (18 of 2013).

☐ Enclosed relevant documentary proof evidencing the above definition.

We further confirm that we have registered with DARPAN Portal of NITI Aayog as NPO and registration details are as follows:

| | |
|---|---|
| Registration Number of DARPAN Portal | |

*(If not, please register immediately and confirm with the above information. In absence of receipt of the Darpan portal registration details, MF/AMC/RTA will be required to register your entity on the said portal and/or report to the relevant authorities as applicable.)*

☐ I/We hereby confirm that the above stated entity / Organisation is NOT falling under Non-profit Organisation as defined above or in PMLA Act/Rules thereof.

## 3. Declaration and Signatures

I/We acknowledge and confirm that the information provided above is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/We may be liable for it for any fines or consequences as required under the respective statutory requirements and authorize you to deduct such fines/charges under intimation to me/us or collect such fines/charges in any other manner as might be applicable. I/We hereby authorize you [RTA/Fund/AMC/Other participating entities] to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to any of the Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me/us of the same. Further, I/We authorize to share the given information to other SEBI Registered Intermediaries or any other statutory authorities to facilitate single submission / update & for regulatory purposes. I/We also undertake to keep you informed in writing about any changes / modification to the above information in future within 30 days of such changes and undertake to provide any other additional information as may be required at your / Fund's end or by domestic or overseas regulators/ tax authorities.

Signature with relevant seal:

| | | |
|---|---|---|
| Authorised Signatory | Authorised Signatory | Authorised Signatory |

Place: _____

Date: D D / M M / Y Y Y Y

# Transaction Acceptance Points - Computer Age Management Services Ltd.

**Agartala:** Nibedita, 1st Floor, J B Road, Palace Compound, Agartala Near Babuana Tea and Snacks, Tripura West – 799001. Tel: (0381) 2323009, 9436761695. Email: camsaga@camsonline.com **Agra:** No. 8, 2nd Floor, Maruti Tower Sanjay Place, Agra, Uttarpradesh – 282002, Uttarpradesh, Email: camsagr@camsonline.com Tel: 0562-4304088, Fax: 2521170. **Ahmedabad:** 303-304, 3rd Floor, Mercado, Opp. Municipal Market, Near President Hotel, C G Road, Ahmedabad - 380009. Tel: (079) 69435600. **Ahmednagar:** Office No. 3, 1st Floor, Shree Parvati, Plot No. 1/175, Opp. Mauli Sabhagruh, Zopadi Canteen, Savedi, Ahmednagar - 414 003 Email: camsamn@camsonline.com Tel: 8380050226, Fax: 2320325 **Ajmer:** AMC No. 423/30, Near Church Opp. TB Hospital, Jaipur Road, Ajmer, Rajasthan – 305001, Email: camsajm@camsonline.com Tel: (145) 2425814, 9829272605, Fax: 2425814 **Akola:** Opp. RLT Science College, Civil Lines, Akola – 444001, Maharashtra Email: camsako@camsonline.com Tel: (724) 6450233, Fax: 2431702 **Aligarh:** City Enclave, Opp. Kumar Nursing Home, Ramghat Road, Aligarh – 202001, Uttarpradesh, Email: camsalg@camsonline.com Tel: 0571-2970066, Fax: 2402089 **Allahabad:** 30/2, A&B, Civil Lines Station, Besides Vishal Mega Mart, Strachey Road, Allahabad – 211001, Uttarpradesh, Email: camsall@camsonline.com Tel: 9554800010, Fax: 2404055 **Alleppey:** Doctor's Tower Building, Door No. 14/2562, 1st Floor, North of Iron Bridge, Near Hotel Arcadia Regency, Alleppey – 688001, Kerala, Email: camsalp@camsonline.com Tel: (0477) 2237664 **Alwar:** 256A, Scheme No: 1, Arya Nagar, Alwar – 301001, Rajasthan, Email: camsalw@camsonline.com Tel: 9214245820, Fax: 2702324 **Amaravati:** 81, Gulsham Tower, 2nd Floor, Near Panchsheel Talkies, Amaravati – 444601, Maharashtra, Email: camsama@camsonline.com Tel: (0721) 6450006, Fax: 2564304 **Ambala:** Computer Age Management Services Ltd., Shop No.4250, Near B D Senior Secondary School, Ambala Cantt, Ambala, Haryana - 133001. 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Tel: (022) 62490300, Email: camsbor@camsonline.com **Bhubaneswar:** Plot No -111, Varaha Complex Building, 3rd Floor, Station Square, Kharvel Nagar, Unit 3, Bhubaneswar – 751001, Orissa, Email: camsbhr@camsonline.com Tel: (0674) 2390999, Fax: 2534909 **Bhuj:** Tirthkala, First Floor, Opp BMCB Bank, New Station Road, Bhuj - Kachchh - 370 001. Tel: (02832) 450315, Email: camsbuj@camsonline.com **Bhusawal:** 3, Adelade Apartment, Christian Mohala, Behind Gulshan-E-Iran Hotel, Amardeep Talkies Road, Bhusawal – 425201, Maharashtra **Bikaner:** Behind Rajasthan Patrika, In front of Vijaya Bank, 1404, Amar Singhpura, Bikaner – 334001, Rajasthan, Email: camsbkn@camsonline.com Tel: 0151-2970602, Fax: 2205499 **Bilaspur:** Shop No.B-104, 1st Floor, Narayan Plaza, Link Road, Bilaspur – 495001, Chattisgarh, Email: camsbil@camsonline.com Tel: 07752490706 **Bokaro:** 1st Floor, Plot No. HE-7, City Centre, Sector 4, Bokaro Steel City, Bokaro - 827004. Jharkhand. 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Tel: 7066316616, Email: camssgi@camsonline.com **Satara:** 117 / A / 3 / 22, Shukrawar Peth, Sargam Apartment, Satara – 415002, Maharashtra, Email: camssat@camsonline.com Tel: (2162) 645297, Fax: 281706 **Shahjahanpur:** Bijlipura, Near Old Dist. Hospital, Jail Road, Shahjahanpur – 242001, Uttar Pradesh, Email: camsspn@camsonline.com Tel: 9235405751 **Shillong:** 03rd Floor, RPG Complex, Keating Road, Shillong – 793001, Meghalaya, Email: camsslg@camsonline.com Tel: 0364-3560860 **Shimla:** 01st Floor, Opp. Panchayat Bhawan Main Gate Bus Stand, Shimla – 171001, Himachal Pradesh, Email: camssml@camsonline.com Tel: (177) 2656161, Fax: 6190997 **Shimoga:** No.65 1st Floor, Kishnappa Compound, 01st Cross, Hosmane Extn., Shimoga – 577201, Karnataka, Email: camsshi@camsonline.com Tel: (08182) 222706, Fax: 271706 **Siliguri:** 17B, Swamiji Sarani, Siliguri – 734001, West Bengal, Email: camssil@camsonline.com Tel: 9735316555, Fax: 2531024 **Sirsa:** M. G. Complex, Bhawna Marg, Beside Over Bridge, Sirsa – 125055, Haryana, Email: camssrs@camsonline.com Tel: (1666) 233593, 9254303806 **Sitapur:** Arya Nagar, Near Arya Kanya School, Sitapur – 261001, Uttar Pradesh, Email: camsstp@camsonline.com Tel: 05862-271399 **Solan:** 01st Floor, Above Sharma General Store, Near Sanki Rest House, The Mall, Solan – 173212, Himachal Pradesh, Email: camssol@camsonline.com Tel: (1792) 640621, 220705 **Solapur:** Flat No. 109, 01st Floor, A Wing, Kalyani Tower, 126 Siddheshwar Peth, Near Pangal High School, Solapur – 413001, Maharashtra, Email: camsslp@camsonline.com Tel: 0217 – 2724547, Fax: 2724548 **Sri Ganganagar:** 18-L Block, Sri Ganganagar – 335001, Rajasthan, Email: camssgnr@camsonline.com Tel: 9214245818, Fax: (0154) 2476742 **Srikakulam:** Door No. 10-5-65, 1st Floor, Dhanwanthri Complex, Kalinga Road, Opp Chandramouli Departmental Store, Near Seven Roads Junction, Srikakulam - 532 001. Tel: (08942) 228288, Email: camssrk@camsonline.com **Sultanpur:** 967, Civil Lines, Near Pant Stadium, Sultanpur – 228001, Uttar Pradesh, Email: camssln@camsonline.com Tel: 05362-227562. **Surat:** Shop No. G-5, International Commerce Center, Near Kadiwala School, Majura Gate, Ring Road, Surat - 395 002. Email: camssur@camsonline.com Tel: (0261) 6540128, 6540731, Fax: 6541930 **Surendranagar:** Shop No. 12, M.D. Residency, Swastik Cross Road, Surendranagar - 363001. Tel: (02752) 232599. Email: camssgnr@camsonline.com **Tambaram:** 3rd Floor, B R Complex, No. 66, Door No. 11A, Ramakrishna Iyer Street, Opp. National Cinema Theatre, West Tambaram, Chennai - 600 045, Tel: (044) 22267030 / 29850030 Email: camstam@camsonline.com **Thane:** Dev Corpora, 1st floor, Office no. 102, Cadbury Junction, Eastern Express way, Thane (West) – 400 601. Email id: camsthn@camsonline.com, Tel. No: 022-62791000. **Thiruvalla:** 1st Floor, Room No - 61(63), International Shopping Mall, Opp. St. Thomas Evangelical Church, Above Thomson Bakery, Manjady, Thiruvalla - 689105. Email: camstvl@camsonline.com **Tiruppur:** 1 (1), Binny Compound 2nd Street, Kumaran Road, Tiruppur - 641 601, Tel: (0421) 4242134 **Tinsukia:** Bangiya Vidyalaya Road, Near Old Post Office, Durgabari, Tinsukia, Assam - 786125. Tel: 7896502265. Email: camstin@camsonline.com **Tirunelveli:** No. F4, Magnem Suraksaa Apartments, Tiruvananthapuram Road, Tirunelveli - 627 002. Email: camstrv@camsonline.com Tel: (0462) 6455081, Fax: 2333688 **Tirupati:** Shop No. 6, Door No. 19-10-8, (Opposite Passport Office), AIR Bypass Road, Tirupati – 517501, Andhra Pradesh, Email: camstpt@camsonline.com Tel: (0877) 6561003, Fax: 2225056 **Thiruvalla:** 24/590-14, C.V.P Parliament Square Building Cross Junction, Thiruvalla, Kerala - 689 101, Tel: (0469) 2707999 **Tirupur:** 1 (1), Binny Compound, II Street, Kumaran Road, Tirupur – 641601,

Tamilnadu, Email: camstrp@camsonline.com Tel: (0421) 6455232, Fax: 4242134 **Tiruvalla:** 24/590-14, C.V.P Parliament Square Building, Cross Junction, Tiruvalla – 689101, Kerala, Email: camstvl@camsonline.com Tel: (469) 6061004 **Trichur:** Room No. 26 & 27, Dee Pee Plaza, Kokkalai, Trichur – 680001, Kerala, Email: camstur@camsonline.com Tel: (0487) 6060019, Fax: 245002 **Trichy:** No. 8, 01st Floor, 8th Cross West Extn, Thillainagar, Trichy – 620018, Tamilnadu, Email: camstri@camsonline.com Tel: (0431) 4220862, Fax: 2741717 **Trivandrum:** TC NO: 22/902, 1st Floor, Blossom Building, Opp. NSS Karayogam, Sasthamangalam Village P.O, Thiruvananthapuram, Trivandrum – 695010. Tel: (0471) 4617690, Email: camstvm@camsonline.com **Tuticorin:** 4B/A16, Mangal Mall Complex, Ground Floor, Mani Nagar, Tuticorin – 628003, Tamilnadu, Email: camstcn@camsonline.com Tel: (461) 6455770 **Udaipur:** 32, Ahinsapuri, Fatehpura Circle, Udaipur - 313 001. Email: camsudp@camsonline.com Tel: 0294-2461066, Fax: 2454567 **Ujjain:** 1st Floor, Siddhi Vinayak Trade Center, Adjacent to our existing Office at 109, Shahid Park, Madhya Pradesh, Ujjain - 456010. Tel: (0734) 4030019. Email: camsujn@camsonline.com **Unjha (Parent: Mehsana):** 10/11, Maruti Complex, Opp. B. R. Marbles, Highway Road, Unjha – 384170, Gujarat, Email: camsunj@camsonline.com **Vadodara:** 103 Aries Complex, Bpc Road, Off R. C. Dutt Road, Alkapuri, Vadodara – 390007, Gujarat, Email: camsvad@camsonline.com Tel: (0265) 3018032, 8031, Fax: 3018030 **Valsad:** 03rd Floor, Gita Nivas, Opp. Head Post Office, Halar Cross Lane, Valsad – 396001, Gujarat, Email: camsval@camsonline.com Tel: 9228000239 **Vapi:** 208, 02nd Floor, Heena Arcade, Opp. Tirupati Tower, Near G.I.D.C. Char Rasta, Vapi – 396195, Gujarat, Email: camsvap@camsonline.com Tel: 9104883239 **Varanasi:** Office No. 1, 02nd Floor, Bhawani Market, Building No. D-58/2-A1, Rathyatra, Beside Kuber Complex, Varanasi – 221010, Uttar Pradesh, Email: camsvar@camsonline.com Tel: 9235405922, Fax: 2202126. **Vashi:** BSEL Tech Park, B-505, Plot no 39/5 & 39/5A, Sector 30A, Opp. Vashi Railway Station, Vashi, Navi Mumbai – 400705. Email id: camsvsh@camsonline.com. **Vasco (Parent Goa):** No. DU 8, Upper Ground Floor, Behind Techoclean Clinic, Suvidha Complex, Near ICICI Bank, Vasco – 403802, Goa, Tel: (0832) 3251755 **Vellore:** Door No 86, BA Complex, 1st Floor, Shop No 3, Anna Salai (Officer Line), Tollgate, Vellore - 632 001. Tel: (0416) 2900062, Email: camsvel@camsonline.com **Vijayawada:** 40-1-68, Rao & Ratnam Complex, Near Chennupati Petrol Pump, M. G. Road, Labbipet, Vijayawada – 520010, Andhra Pradesh, Email: camsvij@ camsonline.com Tel: 0866-2488047, Fax: 6695657 **Visakhapatnam:** Flat No GF2, D NO 47-3-2/2, Vigneswara Plaza, 5th Lane, Dwarakanagar, Andhra Pradesh, Visakhapatnam - 530 016, Tel: (0891) 2791940 **Warangal:** Hno. 2-4-641, F-7, 01st Floor, A.B.K Mall, Old Bus Depot Road, Ramnagar, Hanamkonda, Warangal - 506001, Telengana, Email: camswgl@camsonline.com Tel: (0870) 6560141, Fax: 2554888 **Yamuna Nagar:** 124-B/R, Model Town Yamunanagar - 135001, Haryana, Email: camsynr@camsonline.com Tel: 01732-796099, Fax: 225339 **Yavatmal:** Pushpam, Tilakwadi, Opp. Dr. Shrotri Hospital, Yavatmal – 445001, Maharashtra, Email: camsyav@camsonline.com Tel: (07232) 237045, Fax: 237045.

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**OFFICIAL POINT OF ACCEPTANCE FOR TRANSACTIONS IN ELECTRONIC FORM**

Eligible investors can undertake any transaction, including purchase / redemption / switch and avail of any services as may be provided by Tata Asset Management Private Limited (AMC) from time to time through the online / electronic modes via various sources like its official website - www.tatamutualfund.com, mobile handsets, designated email-id(s), etc. Additionally, this will also cover transactions submitted in electronic mode by specified banks, financial institutions, distributors etc., on behalf of investors, with whom AMC has entered or may enter specific arrangements or directly by investors through secured internet sites operated by CAMS. The servers including email servers (maintained at various locations) of AMC and CAMS will be the official point of acceptance for all such online / electronic transaction facilities offered by the AMC to eligible investors.

**POINTS OF SERVICE ("POS") OF MF UTILITIES INDIA PRIVATE LIMITED ('MFUI') AS OFFICIAL POINTS OF ACCEPTANCE (OPA) FOR TRANSACTIONS THROUGH MF UTILITY ("MFU")**

Both financial and non-financial transactions pertaining to scheme(s) of Tata Mutual Fund ('the Fund') can be done through MFU at the authorized POS of MFUI. The details of POS published on MFU website at www.mfuindia.com will be considered as Official Point of Acceptance (OPA) for transactions in the Scheme.

**AMFI CERTIFIED STOCK EXCHANGE BROKERS/ CLEARING MEMBERS / DEPOSITORY PARTICIPANTS# AS OFFICIAL POINTS OF ACCEPTANCE FOR TRANSACTIONS (PURCHASE/ REDEMPTION) OF UNITS OF TATA MUTUAL FUND SCHEMES THROUGH THE STOCK EXCHANGE(S) INFRASTRUCTURE (DURING NFO PERIOD)**

# For Processing only Redemption Request of Units Held in Demat Form. The eligible AMFI certified stock exchange Brokers/ Clearing Members/ Depository Participants who have complied with the conditions stipulated in clause 16.2.4.8 of Master Circular for stockbrokers viz. AMFI/ NISM certification, code of conduct prescribed by SEBI for Intermediaries of Mutual Fund will be considered as Official Points of Acceptance (OPA) of the Mutual Fund.

**LIST OF SELF CERTIFIED SYNDICATE BANKS (SCSBS) TO ACCEPT ASBA APPLICATION FORMS (DURING NFO PERIOD)**

**Name of the Bank (SCSB)**

Ahmedabad Mercantile Co-Op Bank Ltd, AU Small Finance Bank Limited, Axis Bank, Bandhan Bank, Bank of Baroda, Bank of India, Bank of Maharashtra, Barclays Plc., BNP Paribas, Canara Bank, Catholic Syrian Bank Limited, Central Bank of India, CITI Bank NA, City Union Bank Ltd., DBS Bank Ltd., DCB Bank Ltd., Deutsche Bank, Dhanlaxmi Bank Limited, Equitas Small Finance Bank, GP Parsik Sahakari Bank Limited, HDFC Bank Ltd., HSBC Ltd., ICICI Bank Ltd., IDBI Bank Ltd., IDFC First Bank, Indian Bank, Indian Overseas Bank Ltd., Indusind Bank Ltd., J. P. Morgan Chase Bank NA., Jammu and Kashmir bank, Bank, Janata Sahakari Bank Ltd, Karnataka Bank, Karur Vasya Bank Ltd., Kotak Mahindra Bank Ltd., Mehsana Urban Co-operative Bank Limited, Nutan Nagarik Sahakari Bank Ltd, Punjab & Sind Bank, Punjab National Bank, Rajkot Nagarik Sahakari Bank Ltd, RBL Bank Limited, South Indian Bank, Standard Chartered Bank, State Bank of Bikaner & Jaipur, State Bank of Hyderabad, State Bank of India, State Bank of Mysore, State Bank of Patiala, State Bank of Travancore, SVC Co-operative Bank Ltd., Syndicate Bank, Tamilnadu Mercantile Bank Ltd., The Ahmedabad Mercantile Co-Op. Bank Ltd, The Federal Bank, The Jammu &Kashmir Bank Limited, The Kalupur Commercial Co-operative Bank Ltd., The Lakshmi Vilas Bank Ltd., The Saraswat Co-operative Bank Ltd., The Surat Peoples Co-op Bank, TJSB Sahakari Bank Ltd, UCO Bank, Union Bank of India, YES Bank Ltd.

Investors may approach any of the above banks to submit their ASBA Application forms during this NFO. The above list is subject to change from time to time. For the updated list of Self Certified Syndicate Banks (SCSBs) and their Designated Branches (DBs) and their details, please refer to the website of SEBI, BSE, NSE.

**COLLECTING BANKER (DURING NFO PERIOD)**

HDFC Bank Ltd.

**MF CENTRAL AS OFFICIAL POINTS OF ACCEPTANCE (OPA) FOR TRANSACTIONS**

As per clause 16.6 of Master Circular, Kfin Technologies Private Limited ("KFintech") and Computer Age Management Services Limited ("CAMS") have jointly developed MFCentral - A digital platform for transactions/ service requests by Mutual Fund investors. Accordingly, MF Central will be considered as an Official Point of Acceptance (OPA) for transactions in the Scheme.

**WEST ZONE:**

**Aurangabad:** Plot No 66, Bhagya Nagar, Near S T Office, Kranti Chowk Police Station to Employment Office Road, Aurangabad - 431001. Tel: (0240) 2351591/90. **Ahmedabad:** 201 - 2nd Floor, Capital One, Near HDFC Bank Ltd., Mithakhali Six Road, Navrangpura, Ahmedabad - 380009. Tel: (079) 35217721. **Anand:** 103, First Floor, Ashwamegh Complex, Opp. Vyayam Shala, Sardar Gunj Road, Anand - 388 001. Tel.: (02692) 360330. **Bhopal:** 131/8 MP Nagar, Zone 2, Near Jhoomerwala Pragati Petrol Pump, Bhopal - 462011. Tel.: 0755 - 2574198 / 4209752. **Borivali:** Shop No. 1 and 2, Ground Floor, Ganjawalla Residency, Ganjawalla Lane, Borivali West, Mumbai - 400092. Tel.: 022-28945923 / 8655421234. **Goa:** F-7, 1st Floor, Edcon Tower, Next to Hotel Salida Del Sol, Near Apple Corner, Menezes Braganza Road, Panaji, Goa - 403001. Tel.: 7888051135, Fax: 0832-2422135. **Jabalpur:** Office No. 4, 1178, Napier Town, Home Science College Road, Jabalpur - 482 001(M.P.). Tel.: 0761-4074263 **Kolhapur:** Gemstone Building, Ground Floor, Opposite Parikh Pool North Side, Near Central Bus Stand, Kolhapur - 416001, Maharashtra. **Kota:** A-6 Vallabh Bari, 1st Floor, In front of Seven Wonders Main Gate, Kota, Rajasthan - 324007. **Mumbai:** Mulla House, Ground Floor, 51, M. G. Road, Near Flora Fountain, Mumbai - 400 001. Tel: 022- 66505243 / 66505201, Fax: 022-66315194. **Nagpur:** 104, Shivaji Complex, Near Times of India, Dharampeth, WHC Road, Nagpur - 440 010, Tel.: 0712 - 6630425 / 6502885. **Nashik:** 5, Samriddhi Residency, Opp Hotel City Pride, Tilakwadi, Nashik - 422 002. Tel.: (0253) 2959098, Fax: 0253-2579098. **Navsari:** Shop No.1, Swiss Cottage, Ashanagar Main Road, Navsari - 396 445. Tel: 02637 - 281991. **Pune:** Kohinoor B-Zone, Shop no. 110, 1st Floor, Old Mumbai-Pune Highway, Near Pimple Petroleum, Above Maharashtra Electronics, Pimpri, Pune - 411 017. Tel.: 020-41204949 / 950. **Rajkot:** 402, The Imperia, Opp. Shastri Maidan, Limda Chowk, Rajkot - 360 001. Tel: (0281) 2964848 / 849 **Surat:** G-18, Ground Floor, ITC Building, Near Majuragate, Ring Road, Surat – 395 002. Tel.: 0261 - 4012140, Fax: 0261-2470326. **Thane:** Shop No. 9, Konark Tower, Ghantali Devi Road, Thane (West) - 400 602. Tel.: 022 – 25300912. **Vadodara:** Emerald One, 314, 3rd Floor, Jetalpur Main Road, Before Jetalpur Bridge, Jetalpur, Vadodara - 390 007. Tel.: (0265) 2991037, Fax: 0265-6641999. **Vashi:** Shop No. 16, Vardhaman Chambers, Plot No. 84, Sector 17, Near Babubhai Jagjivan Das, Vashi, Navi Mumbai - 400 703. Tel: (022) 45118998.

**EAST ZONE:**

**Bhubaneswar:** Room-309, 3rd Floor, Janpath Tower, Ashok Nagar, Bhubaneswar - 751009. Tel.: 0674 -2533818/ 7064678888. **Chhattisgarh:** B06 Ground floor, Narayan Plaza, Link Road, Bilaspur Chhattisgarh 495001, Tel.: 07752454333**. Dhanbad:** Shri Ram Plaza, 2nd Floor, Room No. 202-B, Bank More, Dhanbad - 826001. Tel.: 0326-2300304 / 9234302478. **Durgapur:** 8C, 8th Floor, Pushpanjali, C-71/A, Saheed Khudiram Sarani, City Centre, Durgapur - 713 216. Tel: (0343) 2544463/65. **Guwahati:** Jain Complex, 4th Floor, Beside Axis Bank, G. S. Road, Guwahati - 781005. Tel: (0361) 2343084. **Jamshedpur:** Voltas House, Mezzanine Floor, Main Road Bistupur, Jamshedpur - 831001. Tel.: 0657-2321302 / 363 / 6576911. **Kolkata:** Apeejay House, Ground Floor, 15, Park Street, Kolkata - 700016. Tel.: (033) 44063300/3301/3331/3319. Fax: 033-4406 3315. **Patna:** 301, 3rd Floor, Grand Plaza, Frazer Road, Patna - 800 001. Tel.: (0612) 2216994. **Raipur:** Shop No. S-10, 2nd Floor, Raheja Tower, Near Fafadhi Chowk, Jail Road, Raipur (Chhattisgarh) 492001. Tel.: 0771-4040069 / 6537340. **Ranchi:** 406 - A, 4th Floor, Satya Ganga Arcade, Sarjana Chowk, Lalji Hirji Road, Ranchi - 834001. Tel.: 0651-2210226 / 8235050200. **Siliguri:** Shop No. 10, 1st Floor, Block-C, Shelcon Plaza, Kartar Market, Sevoke Road, Siliguri, Darjeeling - 734001.

**NORTH ZONE:**

**Ajmer:** 02 Floor, Agra Gate Circle, P. R. Marg, Behind Chandak Eye Hospital, Ajmer - 305 001. Tel: (0145) 2625316. **Agra:** G-10, 20/4, Near Shaheed Smarak, Maruti Tower, Sanjay Place, Agra - 282002. Tel: (0562) 2525195. **Allahabad:** Shop No. 10, Upper Ground Floor, Vashistha Vinayak Tower, Tashkand Marg, Civil Lines, Allahabad -211 001. Tel.:- 0532-2260974. **Amritsar:** Mezzanine Floor, S.C.O – 25, B Block, District Shopping Complex, Ranjit Avenue, Amritsar – 143 001. Tel.: 0183-5011181/5011190. **Chandigarh:** SCO - 2473-74, 1st Floor, Sector- 22C, Chandigarh - 160 022. Tel.: 0172-5037205/5087322, Fax: 0172 - 2603770. **Dehradun:** Shop No. 19, Ground Floor, Shree Radha Palace, 78, Rajpur Road, Dehradun – 248 001, Uttarakhand. Tel.: 0135-2740877 / 2741877. **Gorakhpur:** Shop No. 4, Cross Road Mall, First Floor, A.D. Chowk, Bank Road, Gorakhpur - 273001 (UP). Tel: (0551) 4051010, Mob: 91 8924951944. **Ghaziabad:** Office No. 7, Second Floor, Astoria Boulevard, RDC, Ghaziabad - 201 002 U.P. Tel: (0120) 3592835 **Gurgaon:** Unit No. 209, 2nd Floor, Vipul Agora Mall, Sector 28, M. G. Road, Gurgaon - 122 001. **Indore:** 204, D.M. Tower, Race Course Road, Near Zanjeerwala Chourha, Indore - 452 003. Tel.: 0731-4201806, Fax 0731-4201807. **Jaipur:** Office Number 52-53, 1 Floor, Laxmi Complex, Subhash Marg, M.I. Road Corner, C Scheme, Jaipur - 302 001. Tel.: 0141 - 5105177 / 78 / 2389387, Fax: 5105178. **Jalandhar:** Office No-36, Second Floor, One Park Side Building, Guru Nanak Mission Chowk adjoining Care Max Hospital. Jalandhar- 144001. Tel: (0181) 5001025 **Jammu:** Hall No. - 312/A2, South Block, Bahu Plaza, Jammu - 180 012. Tel.: (0191) 4504744. **Jodhpur:** Satyam, 26-C, 11th A, Pal Road, Sardarpura, Jodhpur, Rajasthan Pincode – 342003, Tel – 0291-2631257. **Kanpur:** 4th Floor, Office No. 412 - 413, KAN Chambers, 14 / 113, Civil Lines, Kanpur - 208 001. Tel.: 0512-2306065 / 6066, Fax: 0512 - 2306065. **Lucknow:** 11 B & 12, Ground Floor, Saran Chamber II, Vikramaditya Marg, 5 Park Road, Lucknow - 226001. Tel: (0522) 4001731 / 4308904 **Ludhiana:** Cabin No. 201, 2nd. Floor, SCO 18, Opp Ludhiana Stock Exchange, Feroze Gandhi Market, Ludhiana - 141 001. Tel.: 0161-5089667 / 668, Fax: 0161-2413498. **Meerut:** G-13, Rama Plaza, Near Bachha Park, Western Kutchery Road, Meerut (U.P.) – 250 001. Tel.: 0121-4035585. **Moradabad:** Ground Floor, Near Hotel Rajmahal, Civil Lines, Moradabad – 244 001, Tel.: 0591-2410667. **New Delhi:** Flat No. 506 - 507, Kailash Building, 26, Kasturba Gandhi Marg, Connaught Place, New Delhi - 110001. Tel.: 011-66324101/102/103/104/105, Fax: 011-66303202. **Noida:** Shop No - 2, First Floor, Wave Silver Tower, Noida, Sector 18, Noida - 201301 U.P. Tel.: (0120) 6662083. **Panipat:** 0298A, Ground Floor, Shree Ji Tower, Behind Hotel Hive, Near Kishore Cinema, Vrinda Market, Panipat, Haryana - 132 103. **Udaipur:** 222/16, First Floor, Mumal Tower, Above IDBI Bank, Saheli Marg, Udaipur- 313001. Tel: (0294) 2429371 / 7230029371, Fax: 011-66303202. **Varanasi:** D-64/127, 2nd Floor, C-H Arihant Complex, Sigra, Varanasi - 221010 Tel.: 0542-2222179 / 2221822.

**SOUTH ZONE:**

**Bengaluru:** 91, Springboard Business Hub Private Ltd. Gopala Krishna Complex, 45/3, Residency Road, MG Road, Shanthala Nagar, Ashok Nagar, Bengaluru, Karnataka 560025. Tel.: 080 45570100. Fax: 080-22370512. **Chennai:** 3rd Floor, Sri Bala Vinayagar Square, No.2, North Boag Road, Near AGS Complex, T Nagar, Chennai - 600 017. Tel.: 044 - 48641878 / 48631868 / 48676454. Fax: 044-43546313. **Cochin:** 2nd Floor, Ajay Vihar, Near Hotel Avenue Regent, M. G. Road, Cochin - 682 016. Tel.: 0484-4865813 / 814 / 815. Fax: 0484 - 2377581. **Coimbatore:** Tulsi Chambers, 195-F, Ground Floor, West T V Swamy Road, R S Puram, Coimbatore – 641002. Tel.: 0422-4365635, Fax: 2546585. **Hyderabad:** 1st Floor, Nerella House, Nagarjuna Hills, Above Kotak Mahindra Bank, Punjagutta, Hyderabad - 500082. Tel.: 040-67308989 / 8901 / 8902. Fax: 040-67308990. **Hubli:** No 19 & 20, 1st Floor, Eureka Junction, T B Road, Hubli – 580029. Tel.: 0836 - 4251510 Fax: 4251510. **Kottayam:** CSI Ascention Square, Logos Junction, Collectorate P. O., Kottayam - 686 002. Tel.: 0481 2568450. **Mangalore:** Essel Towers, 1st Floor, Bunts Hostel Circle, Above UTI Bank, Mangalore - 575 003. Tel.: 0824 - 4260308. **Madurai:** 1st Floor, Old No. 11B, Opp. Sethupathy Higher Secondary School, North Veli Street, Madurai – 625 001. Tel.: 0452-4246315 Fax: 0452-4246315. **Mysore:** CH-16, 1st Floor, Prashanth Plaza, 4th Main, 5th Cross, Saraswathipuram, Mysore - 570009. Tel.: 0821 - 4246676 Fax: 4246676. **Salem:** Kandaswarna Shopping Mall, First Floor, 1/194/4, Saradha College Main Road, Fairlands, Salem - 636016, Tamil Nadu. Tel: (0427) 4042028. **Thrissur:** 4th Floor, Pathayappura Buildings, Round South, Thrissur - 680 001. Tel.: 0487 - 2423330. **Trivandrum:** Ground Floor, Sai Kripa Building, TC-1956/3, Ganapthi Temple Road, Vazhuthacaud, Trivandrum – 695 014. Tel.: 0471 - 4851431. **Trichy:** C-53/4, Sky Tower, 4th Floor, 5th Cross, Thillai Nagar, North East, Trichy - 620018. Tel.: (0431) 4024060. **Vijaywada:** D No: 38-8-42, Plot No - 303, White House Complex, 3rd Floor, M G Road, Vijayawada - 520010, Tel: (0891) 2503292. **Visakhapatnam:** Door No: 47-15-13/35, Navaratna Jewel Square, Shop No. 7, 3rd Floor, Near Khajana to Jyothi Book Depot Station Road, Dwarakanagar, Visakhapatnam - 530016, Tel: (0891) 2503292.

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