

SYSTEMATIC WITHDRAWAL PLAN (SWP)

To,
The Trustee, Tata Mutual Fund, Mumbai
Having read & understood the contents of the SAI / SID / KIM & the Instructions, I/we here by apply to the Trustee of Tata Mutual Fund for the SWP Enrolment for the following Schemes & agree to abide by the terms & conditions of the Plan.

Folio No.:

Broker /
Agent Code **94466**

Sub-Broker /
Bank Branch Code

Sub-Broker /
ARN Code

EUIN
Code **E100406**

Name :

Email :

Scheme

Option

☐ Fixed Amount ₹ (in words)

) ☐ Capital Appreciation

Period of Enrolment (MM/YY)

From : / To : Frequency ☐ Monthly ☐ Quarterly

Date: 1st / 7th / 10th / 20th / 28th of the month (in case of holiday, next business day)
(in case the date is not mentioned, the 1st day of the month will be taken as the default date)

First payout Date: (that is the first payment date)
(in case the first payout date is not mentioned, the 1st day of the following month will be taken as the default date)

Last Payout Date: (that is the last payment date)
(in case the last payout date is not mentioned, the payout will continue until the balance units are reduced to zero.)

SIGNATURES

Sole/First Applicant

Second Applicant

Third Applicant

Loads as applicable from time to time.

INCORRECTLY / INCOMPLETELY FILLED APPLICATIONS ARE LIABLE FOR REJECTION.

Note: SWP should reach AMC offices / Registrar offices before 7 working days from the start of first SWP date.

SYSTEMATIC TRANSFER PLAN (STP)

To,
The Trustee, Tata Mutual Fund, Mumbai
Having read & understood the contents of the SAI / SID / KIM of the relevant schemes & the Instructions, I/we here by apply to the Trustee of Tata Mutual Fund for the STP Enrolment under the following Schemes & agree to abide by the terms & conditions of the Plan. The ARN holder has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me / us.

Broker /
Agent Code

Sub-Broker /
Bank Branch Code

Sub-Broker /
ARN Code

EUIN
Code

Upfront commission shall be paid directly by the investor to the AMFI registered Distributors based on the investors' assessment of various factors including the service rendered by the distributor.

☐ I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this transaction is executed without any interaction or advice by the employee/relationship manager/sales person of the above distributor/sub broker or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor/sub broker.

Sole / 1st Unitholder Signature / Thumb Impression

2nd Unitholder Signature / Thumb Impression

3rd Unitholder Signature / Thumb Impression

Folio No. Name:

Transfer from (Scheme): Option:

Transfer to (Scheme): Option:

No of Units: or Amount (₹): Amount (in words):

or Dividend ☐ or Capital Appreciation ☐

STP period from: (dd) (mm) (yy) To : (dd) (mm) (yy)

Transfer Frequency:

☐ Daily
Only from Monday to Friday*

☐ Weekly
(Only on Fridays)

☐ Monthly
☐ 1st ☐ 7th ☐ 10th ☐ 20th ☐ 28th
Days of the month

Select any one

In case the day of STP is a non business day the request will be considered for the next business day.

Email (mandatory for Daily STP):
(please refer notes overleaf)

SIGNATURES

Sole/First Applicant

Second Applicant

Third Applicant

Loads as applicable from time to time.

INCORRECTLY / INCOMPLETELY FILLED APPLICATIONS ARE LIABLE FOR REJECTION.

Note: STP should reach AMC offices / Registrar offices before 7 workings days from the start of first STP date.

* In case any day is a non business day for any one of the schemes (either STP from or STP to scheme) the STP will be processed as per the matrix provided in the instructions no. '9'. Our website www.tatamutualfund.com

SYSTEMATIC INVESTMENT PLAN (SIP THROUGH PDCs)

- 1) There should be a minimum of 15 days between the 1st & 2nd SIP cheque. In case of lesser difference of minimum required days the 1st SIP cheque will be deposited on the subsequent month. (For e.g. - The first application cheque dated 25th December & the investor opting for SIP date as 1st January will be taken into the account on 1st February).
- 2) Cancellation of SIP request should be submitted before 15 days from the processing date of SIP. For example - The request to be forwarded on or before 9th of October 2014 for the cancellation of SIP on 24th October 2014. If not then it will be considered only for the next month SIP Date.
- 3) Loads as Prevailing from time to time will be applicable.
- 4) The first SIP cheque needs to be from the same bank account as the PDCs for your future SIPs.
- 5) Value of each installment should be the same in all PDCs issued.
- 6) **All PDCs should be given in a sequential order from the same bank account and from the same cheque book.**

SYSTEMATIC WITHDRAWAL PLAN (SWP)

- 1) There are two options available: **a) Fixed Amount b) Capital Appreciation**
- 2) Minimum withdrawal for fixed option is ₹ 500/- and for investors availing of withdrawal of capital appreciation where in any month or quarter, there is no appreciation or the appreciation is less than ₹ 500/-, SWP will not be carried out.
- 3) The dates for SWP are 1st / 7th / 10th / 20th and 28th of every Month / Quarter.
- 4) Exit load will be charged as per the schemes applicable load structure.
- 5) Cancellation of SWP request should be submitted before 15 days from the processing date of SWP. For example - The request to be forwarded on or before 9th of October 2014 for the cancellation of SWP on 24th October 2014. If not then it will be considered only for the next month SWP Date.

SYSTEMATIC TRANSFER PLAN (STP)

- 1) There are four **OPTIONS**:
 - a. **Fixed amount:** Fixed amount will be transferred to any other scheme of Tata MF, on the days mentioned under Transfer Frequency below, subject to the terms and conditions of the schemes.
 - b. **Fixed units** - Redemption amount of the units will be transferred to any other scheme of Tata MF, on the days mentioned under Transfer Frequency below, subject to the terms of the scheme.
 - c. **Capital appreciation:** The capital appreciation as on the dates mentioned below will be transferred to any other scheme of Tata MF, subject to the terms of the scheme. For investors availing of the transfer of capital appreciation, where in any week, month or quarter, there is no appreciation or the appreciation is less than ₹ 500/- switch as mentioned above will not be carried out.
 - d. **Dividend amount / Dividend sweep:** Dividend sweep is possible only if the investor has opted for Dividend reinvestment. Dividend sweep is not possible if the investor has opted for dividend payout.
 - i) Dividend declared will be automatically invested into scheme/plan of Tata Mutual Fund, mentioned by the unit holder. E.g. Mr. X has units in TATA Dynamic Bond Fund – Dividend reinvestment option and has opted for Dividend sweep to Tata Income Fund - Growth Option. As and when dividend is declared in TATA Dynamic Bond Fund, the dividend will be directly transferred to Tata Income Fund - Growth option.
 - ii) Please note that there will be no entry of dividend reinvestment in the scheme where the dividend has been declared and the description in the scheme where the investor has opted dividend sweep will be Dividend Reinvestment.
 - iii) The frequency of transfer will be dependent on the dividends declared in the scheme where the investment has been made.
 - iv) The total dividend amount will be automatically invested on the ex dividend date into another scheme of TATA MF at the NAV of that scheme and accordingly equivalent units will be allotted, subject to the terms of the schemes e.g. If the dividend record date is 19th September 2014 (Friday) and the ex dividend date is 22nd September 2014 (Monday), the investor will be allotted units at NAV of the same day i.e. 22nd September 2014 (Monday).
 - v) There is no minimum and maximum amount under this option.
 - vi) Investor need not mention the start date. The same will be registered on receipt of the application at the registrar back office.
- 2) **Transfer frequency:**
 - a. Monthly and Quarterly:
 - i) This facility is available under fixed Amount/Units and Capital Appreciation.
 - ii) The STP dates are 1st / 7th / 10th / 20th and 28th of every month.
 - iii) The STP dates for quarterly STP are 1st / 7th / 10th / 20th and 28th. The quarter will be taken in to consideration from the first STP month i.e. if the first STP date is 7th Aug. 2014, then the next STP will take place on 7th Nov. 2014 and then on after every 3 months.
 - iv) If any of the selected days is a non business day, then the request will be processed immediately on the next Business Day.
 - b. Weekly:
 - i) This facility is available under fixed Amount/Units/Capital Appreciation.
 - ii) The facility is available on every Friday (if Friday is a non business day, then the request will be processed immediately on the next Business Day).
 - c. Daily:
 - i) This facility is available under fixed Amount.
- 3) **Transfer Amount:** In the **fixed amount** option, the minimum amount to be transferred would as follows:
 - a. **For Monthly STP:** Where the Transfer to scheme is any other than scheme than Tata Tax Saving Fund a minimum of ₹ 500/- and in multiples of ₹ 1/- Where the Transfer to scheme is Tata Tax Saving Fund (*) the minimum amount to be transferred would be a minimum of ₹ 500/- and in multiples of ₹ 500/- there of.
 - b. **For Quarterly STP:** Where the Transfer to scheme is any other than scheme than Tata Tax Saving Fund a minimum of ₹ 1000/- and in multiples of ₹ 1/- Where the Transfer to scheme is Tata Tax Saving Fund(*) the minimum amount to be transferred would be a minimum of ₹ 500/- and in multiples of ₹ 500/- there of.
 - c. **For Daily STP:** Where the Transfer to scheme is any other than scheme than Tata Tax Saving Fund a minimum of ₹ 500/- and in multiples of ₹ 1/- Where the Transfer to scheme is Tata Tax Saving Fund (*) the minimum amount to be transferred would be a minimum of ₹ 500/- and in multiples of ₹ 500/- there of.
 - d. **For Weekly STP:** Where the Transfer to scheme is any other than scheme than Tata Tax Saving Fund a minimum of ₹ 500/- and in multiples of ₹ 1/- Where the Transfer to scheme is Tata Tax Saving Fund (*) the minimum amount to be transferred would be a minimum of ₹ 500/- and in multiples of ₹ 500/- there of.
- 4) **Minimum Installments:**
 - a. **For fixed amount:**
 - i) For amount greater than or equal to ₹ 2000/-: The minimum number of installments would be 3.
 - ii) For amount greater than or equal to ₹ 1000/- however less than ₹ 2000/-: The minimum number of installments would be 6.
 - iii) For amount greater than or equal to ₹ 500/- however less than ₹ 1000/-: The minimum number of installments would be 12.
 - b. **For fixed Units** the minimum number of installments should be 3.
- 5) **Cancellation of STP:**
 - a. Cancellation of STP request should be submitted before 15 days from the processing date of STP. For example - The request to be forwarded on or before 9th of October 2014 for the cancellation of STP on 24th October 2014. If not then it will be considered only for the next month STP Date.
 - b. In case there is no minimum fixed amount or fixed units (as selected by the investor) available in the unit holder's account the residual amount will be transferred to the Transfer to scheme and the STP will be ceased.
- 6) **Loads:** Since STP is a Systematic Withdrawal Plan from one scheme (SWP) and Systematic Investment Plan (SIP) in other scheme the prevailing SIP Load structure will be applicable. Transactions without broker code will be treated as Direct Investments.
- 7) STP request should reach the AMC offices / Registrar offices before 7 working days, from the start of the first STP date. Investor should mandatorily mention the STP start date & end date (not applicable in case of dividend transfer plan).
- 8) The units under lien and schemes under lock in period will not be eligible for STP.
- 9) For NAV applicability please refer our website www.tatamutualfund.com.
- 10) Tata Mutual Fund reserves the right to reject any application without assigning any reason thereof.