

Name of the Mutual Fund : **Tata Mutual Fund**

Name of the AMC : **Tata Asset Management Ltd.**



Expertise that's trusted

KEY INFORMATION MEMORANDUM

TATA **FIXED MATURITY PLAN** **Series 30 Scheme B** (A CLOSE ENDED DEBT SCHEME)

Issue of Units of Tata Fixed Maturity Plan Series 30 Scheme B
(372 days maturity) at Face Value of ₹ 10/- Per Unit during the New Fund Offer Period

NEW FUND OFFER OPENS ON: 20th January, 2011
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NEW FUND OFFER CLOSSES ON: 24th January, 2011
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BSE Disclaimer Clause: "It is to be distinctly understood that the permission given by Bombay Stock Exchange Ltd. Should not in any way be deemed or construed that the scheme information document has been cleared or approved by Bombay Stock Exchange Ltd. Nor does it certify the correctness or completeness of any of the contents of the scheme information document. The investors are advised to refer to the scheme information document for the full text of the Disclaimer clause of the Bombay Stock Exchange Ltd."

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 and pending litigations, etc. investors should, before investment, refer to the Scheme Information Document (SID) and Statement of Additional Information (SAI) 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 1996, as amended till date, and filed with Securities and Exchange Board of India (SEBI). The units being offered for public subscription have not been approved or disapproved by SEBI, nor has SEBI certified the accuracy or adequacy of this KIM.

9th floor, Mafatlal Centre, Nariman Point, Mumbai – 400 021. **Tel:** (022) 66578282 **Fax:** (022) 22613782
Email: kiran@tataamc.com **Website:** www.tatamutualfund.com

Investment Objective	The investment objective of the scheme is to generate income and / or capital appreciation by investing in wide range of Debt and Money Market instruments having maturity in line with the maturity of the scheme. The maturity of all investments shall be equal to or less than the maturity of respective scheme.													
Asset Allocation	Types of Instruments	Indicative allocations (% of total assets)		Risk profile										
		Maximum	Minimum	High/Medium/Low										
	Debt & Money Market Instruments	100	0	Medium to Low										
	<p>No investments would be made in domestic and foreign securitised debt.</p> <p>Not more than 25% of the net assets of the scheme shall be deployed in securities lending. The Scheme would limit its exposure, with regards to securities lending, for a single intermediary, to the extent of 5% of the total net assets of the Scheme Bt the time of lending.</p> <p>The Scheme will have maximum derivative gross notional position of 50% of the net assets of the scheme. Investment in derivative instrument may be done for hedging and portfolio balancing.</p> <p>Exposure limits related to investments in Derivatives, as per SEBI circular no Cir/ IMD/ DF/ 11/ 2010 dated August 18, 2010 shall be applicable. The cumulative gross exposure through debt and derivative positions shall not exceed 100% of the net assets of the scheme.</p> <p>For calculation of Gross Derivative Exposure, all types of derivative exposure i.e. long and short term will be aggregated. The aggregate exposure to Debt Instruments, Gross Derivative Exposure and Money Market instruments (excluding CBLO, REPO and others cash equivalents instruments) will not exceed 100% of the net assets of scheme.</p> <p>The asset allocation among the various debt securities will be decided based upon the prevailing market conditions, macro economic environment and the performance of corporate sector, the debt market and other considerations.</p> <p>The investment policies mentioned in this SID are in conformity with the provisions of various constitutional documents VIZ.MOA/AOA of the TAML/Trustee Company, IMA and the Trust Deed.</p> <p>Any change in the asset allocation affecting the investment profile of the scheme shall be effected only in accordance with the provisions of regulations 18-15A of SEBI (Mutual Funds) Regulations, 1996.</p>													
Risk Profile of the Scheme	<p>Mutual Fund Units involve investments risks including the possible loss of principal. Please read the SID carefully for details on risk factors before investment. Scheme specific risk factors summarised below:</p> <ul style="list-style-type: none"> Investments in debt securities are subject to interest rate risk, credit risk & liquidity risk The present scheme is not guaranteed or assured return scheme There are no assured or guaranteed returns under the scheme. Under no circumstances investors can claim/demand minimum returns under the scheme from Tata Asset Management Limited or Tata Trustee Company Limited or any of its directors or employees or agents/distributors of Tata Mutual fund. The returns of the investors will be depending upon the yield of the underlying portfolio which is subject to various risks mentioned in the Scheme Information Document. <p>Investment strategy, associated risk and steps for mitigation of risks:</p> <p>The investment strategy of the scheme has been to generate income and / or capital appreciation by investing in portfolio of Debt and Money Market instruments normally matures on or before the date of the maturity of the scheme.For the purpose of achieving the investment objective, scheme under the fund will invest in a portfolio of securities normally having maturity on or before the date of the maturity of the scheme.</p> <p>Mitigation technique: The risk can be mitigated by investing in debt securities of companies based on various criteria like sound professional management, Sound track record, industry scenario, growth prospects, liquidity of the securities, etc. The Scheme will emphasise on well managed, good quality companies with above average growth prospects whose securities can be purchased at a good yield and whose debt securities are rated above the Investment grade by a recognised authority like The Credit Rating and Information Services of India Limited (CRISIL), ICRA Limited, Credit Analysis and Research Limited (CARE) etc. In case of investments in debt instruments that are not rated, specific approval of the Board will be taken except in case of Government Securities being sovereign bonds. However, in case of investment in unrated securities prior board approval is not necessary if investment in within the parameters as stipulated by the board. The use of derivatives will be done for hedging and portfolio balancing in accordance with the SEBI (Mutual Funds) Regulations & within the parameters approved by the Trustee Company</p> <p>Risk Mitigation measures for Debt and related Investments:</p> <table border="1" data-bbox="300 1464 1513 1832"> <thead> <tr> <th>Type of Risk</th> <th>Measures to mitigate risk</th> </tr> </thead> <tbody> <tr> <td>Liquidity Risk</td> <td> <ul style="list-style-type: none"> Focus on good quality paper at the time of portfolio construction Portfolio exposure spread over various maturity buckets to inline with maturity of a scheme. </td> </tr> <tr> <td>Credit Risk</td> <td> <ul style="list-style-type: none"> In house dedicated team for credit appraisal Issuer wise exposure limit Rating grade wise exposure limit Independent rating of scheme portfolio by recognized rating agency. Periodical portfolio review by the Board of AMC </td> </tr> <tr> <td>Interest Rate Risk</td> <td> <ul style="list-style-type: none"> Close watch on the market events Active duration management Cap on Average Portfolio maturity depending upon the scheme objective and Strategy. Portfolio exposure spread over various maturities </td> </tr> <tr> <td>Regulatory Risk</td> <td>Online monitoring of various exposure limits by the Front Office System also as a back up, manual control are implemented.</td> </tr> </tbody> </table>				Type of Risk	Measures to mitigate risk	Liquidity Risk	<ul style="list-style-type: none"> Focus on good quality paper at the time of portfolio construction Portfolio exposure spread over various maturity buckets to inline with maturity of a scheme. 	Credit Risk	<ul style="list-style-type: none"> In house dedicated team for credit appraisal Issuer wise exposure limit Rating grade wise exposure limit Independent rating of scheme portfolio by recognized rating agency. Periodical portfolio review by the Board of AMC 	Interest Rate Risk	<ul style="list-style-type: none"> Close watch on the market events Active duration management Cap on Average Portfolio maturity depending upon the scheme objective and Strategy. Portfolio exposure spread over various maturities 	Regulatory Risk	Online monitoring of various exposure limits by the Front Office System also as a back up, manual control are implemented.
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Plans and Options	Duration: 372 days maturity from the date of allotment In case the maturity date or payout date happens to be a non-business day then the immediate next business day shall be considered as the maturity date.		The scheme has Growth Option & Dividend Option. Dividend Option has Periodic Dividend Payout facility.											
	<p>Roll Over Facility</p> <p>At the time of maturity, if it is perceived that the market outlook for the similar securities/ instruments is positive and investment in the similar kind of instruments would likely to fetch better returns for the investors, then in the interest of the Investor, the Trustees may decide to roll-over the Plan under the scheme. This would be based on demand/ request of the investors for the same. All other material details of the plan including the likely composition of assets immediately before the roll over, the net assets and net asset value of the scheme, will be disclosed to the unitholders and a copy of the same filed with the SEBI. Such rollover will always be permitted only in case of those unitholders who express their consent in writing.</p>													

Applicable NAV (after the scheme opens for repurchase)	<p>Subscription: Being a close ended scheme, units of the scheme cannot be subscribed after the closure of NFO</p> <p>Redemption: Being a scheme to be listed on the exchange, the fund will not accept any redemption / repurchase and switch-out application till the maturity of the scheme.</p> <p>However, after the closure of the NFO, Investors can buy the units of the scheme in dematerialized form or sell the units of the scheme from / to the recognised Stock Exchanges in India i.e. BSE where the units of the Scheme are proposed to be listed.</p> <p>In view of the above, the provision of NAV applicability is not applicable to this scheme</p>	
Minimum Application Amount / Number of Units	Purchase	Additional Purchase
	<p>Growth Option – ₹ 10, 000/- .</p> <p>Periodic Dividend Option (Payout) – ₹ 10,000/-.</p>	Being a close ended scheme units of the scheme can not be subscribed after the closure of NFO.
Despatch of Redemption cheque	No redemption/ switch request will be accepted by the fund before maturity of the scheme. The redemption proceeds on the maturity of the scheme will be dispatched to the unit holders within 10 business days from the date of maturity.	
Benchmark Index	CRISIL Short Term Bond Fund Index	
Dividend Policy	<p>In case of Growth Option the income / profits received / earned would be accumulated by the Fund as capital accretion, aimed at achieving medium to long term and also short term capital growth as reflected in the NAV. In case of a Dividend Option the profits received / earned and so retained and reinvested may be distributed as Income at appropriate rates (after providing for all relevant ongoing expenses, etc.) and at appropriate intervals as may be decided by the AMC and/or Trustee Company will be distributed to the unitholders who hold the units on the record date of declaration of the Income. The Trustee Company reserves the right to change the frequency for income distribution at its discretion. Guided by the philosophy of value-oriented returns, the intent being to protect the Net Asset Value of the Scheme and Unitholders' interests.</p> <p>Please note that the dividend distribution and its frequency is subject to availability of distributable surplus and at the discretion of the trustees</p> <p>The Fund reserves a right to modify the periodicity and manner of payout of such dividend as they deem fit without giving any further notice to unitholders.</p> <p>The Fund does not assure any targeted annual return / income nor any capitalisation ratio. Accumulation of earnings and / or capitalisation of bonus units and the consequent determination of NAV, may be suspended temporarily or indefinitely under any of the circumstances as stated in the clause "Suspension of Ongoing Sale, Repurchase or Switch out of Units"</p> <p>Periodic Dividend payout: Atleast once during the tenure of the Scheme at the discretion of the trustees from time to time, subject to availability of distributable surplus.</p> <p>Book Closure: Please note that whenever any dividend is declared by the scheme, there will be a book closure and during that period units of the scheme will not be traded on the stock exchange.</p> <p>Default Option: Please note that if no Option is mentioned / indicated in the Application form, the units will, by default, be allotted under the Growth Option.</p>	
Name of the Fund Manager	Mr. Murthy Nagarajan	
Name of the Trustee Company	Tata Trustee Co. Ltd.	
Performance of the scheme	This scheme does not have any performance track record.	
Expenses of the Scheme		
(i) Load Structure	Entry Load: Nil Exit Load: Nil	
(ii) Recurring expenses	<p>The recurring expenses of the schemes shall be as per the limits prescribed under sub- regulation (6) of Regulation 52 of the regulations and shall not exceed the limits prescribed there under.</p> <p>As per the Regulations, the maximum recurring expenses that can be charged to the Scheme shall be subject to a percentage limit of weekly net assets as in the table below:</p> <p>First ₹ 100 crores : 2.25%; Next ₹ 300 crores: 2.00%; Next ₹ 300 crores: 1.75%; Balance: 1.50%</p>	

Tax Treatment for Investor of Investments in Mutual Funds

Certain tax benefits as described below are available, under present taxation laws to the Unitholders holding Units of Mutual Fund Scheme as an investment. The information set out below is included for general information purposes only and does not constitute legal or tax advice. In view of the individual nature of the tax consequences, **each investor is advised to consult his or her own tax consultant with respect to specific tax implications arising out of their participation in the Scheme.** Income Tax benefits to the mutual fund and to the unitholder is in accordance with the prevailing tax law as certified by the mutual funds tax consultant.

Investments in Debt Oriented Funds

Dividend Distribution Tax (DDT) – Payable by the scheme		
Scheme Category	Dividend paid to resident Individuals & HUFs	Dividend paid to other Resident Investors
Debt Funds	12.50%*	20.00%*

Tax on Capital Gains – Payable by the investors			
	All Resident Investors	Domestic Companies	Mutual Fund
Short Term Capital Gain	As per relevant slab rate of Total Income chargeable to Tax	30.00%*	N.A.
Long Term Capital Gain:			

With Indexation	20.00%*	20.00%*	N.A.
Without Indexation	10.00%*	10.00%*	N.A.

* The above mentioned Tax rates shall be increased by Surcharge @ 7.5% (only in case of domestic companies if their taxable income exceeds ₹ 1 crore) and, for all assesseees, the tax and surcharge would be further increased by Education Cess @ 2% and secondary and higher education cess @ 1%. In case of FIIs, Surcharge would be payable @ 2.5% of the tax if the taxable income exceeds ₹ 1 crore.

PLEASE NOTE - If any tax liability arising post redemption on account of change in tax treatment with respect to Dividend Distribution Tax / Capital Gain Tax, by the tax authorities, shall be solely borne by the investors and not by the AMC or Trustee Company.

Kindly refer Statement of Additional Information (SAI) for further details on Taxation.

Daily Net Asset Value (NAV):

The first NAV of the scheme shall be declared not later than five business/working days from the closure of New Fund Offer period of a scheme. Thereafter the fund will endeavour to declare and publish the scheme NAV on all business days in atleast 2 daily newspapers. Nav can also be viewed on www.tatamutualfund.com or www.amfindia.com. you can also call us at the **Toll free no: 1800-209-0101**

For Investor Grievances:**Please contact****Name and Address of Registrar:**

Computer Age Management Services (CAMS), Unit: Tata Mutual Fund, Old No. 178, New No. 10, Kodambakkam High Road, Nungambakkam, Chennai – 600 034.

Investment Manager:**Tata Asset Management Ltd.**

9th floor, Mafatlal Centre, Nariman Point, Mumbai – 400001. Toll Free: 1800 - 209 - 0101, Fax: (022) 66315194. **Email:** kiran@tataamc.com

Unitholders' Information

How to Apply: Please refer to the Scheme Additional Information and Application form for the instructions.

Units will be allotted within five working/business days from the date of closure of the NFO.

Allotment of Units: Subject to the Scheme receiving the minimum subscription & compliance with the requirement of minimum number of investors in the scheme, full allotment will be made to all valid applications received during the NFO period.

Allotment of Units on Application shall be made in the following manner: As the scheme will be listed on Bombay Stock Exchange Limited. Units issued under the Scheme shall be allotted in electronic (dematerialized) form. For this purpose, the investors need to furnish the details of their depository account in the Application Form. The Units allotted in electronic form will be credited to the investor's Beneficiary Account with a Depository Participant (DP) of CDSL or NSDL as per the details furnished by the investor in the Application Form within five business/working days from the close of the New Fund Offer. An intimation / allotment advice specifying the number of units allotted to the investor will be dispatched within five business/working days from the closure of the NFO. The Account Statement of the Beneficiary Account with the DP will be sent by the respective DP's as per their service standards. In case the Unitholder does not wish to get his/her Units converted / allotted in electronic form, the AMC shall issue Account Statements specifying the Units allotted to the investor within five business/working days from the date of NFO closure. It may please be noted that trading in the Units over the stock exchange will be permitted only in electronic form & cannot be traded in physical form. Please note that where the investor 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.

Please note that the Account statement is not transferable & also cannot be dematerialised. In case unit holder wish to dematerialised the units, he/she shall comply with the procedures prescribed by the AMC / Depository from time to time.

As per SEBI circular no CIR/IMD/DF/102010 dated August 18, 2010. It is clarified that the units of mutual fund scheme held in Demat form will be freely transferable.

The allotment of units is subject to realisation of the payment instrument. The AMC/ Trustee are entitled, in its sole and absolute discretion, to reject any Application.

Rounding off Units: Stock exchanges may not allow trading of fractional units. Hence, units will be allotted only in integers by rounding off the units allotted to the lower integer and the balance amount will be refunded to the investor.

Transaction Cost: Though, there will be no entry / exit load for buying / selling the units from / to the secondary market, the investors will have to bear the other costs related to transacting in the secondary market e.g. Brokerage, Service Tax etc.

Book Closure: If any dividend is declared by the scheme (under the dividend option) then there shall be a book-closure for the scheme to identify the eligible investors to receive the dividend amount and in such case there will be no trading of the units of the scheme on the stock exchange during the book-closure period. Such book -closure, if any, shall be in line with the listing agreement of the stock exchange.

De-listing of the schemes: The units of the Scheme will be de-listed after the tenure of the scheme gets over. The AMC/Trustee will initiate the delisting procedure as per time specified by the exchange prior to the date of maturity of the scheme. The unitholders will not be able to trade in units of the scheme on the stock exchange once the schemes are delisted.

The fund will publish its unaudited financial results & Half Yearly results before the expiry of one month from the close of each half year in the prescribed format as per SEBI Circular MFD/CIR/1/200/2001 dated April 20, 2001 and scheme portfolio in the prescribed format as per SEBI Circular MFD/CIR/9/120/2000 dated November 24, 2000 in one national English daily newspaper and in a newspaper in the language of the region where the HO of the fund is situated.

Annual Report: The Fund will, not later than four months after the close of each financial year (March 31), mail to the Unitholders an abridged scheme wise annual report. Further, the full text of the Annual Report will be available for inspection at the office of the Fund. A copy of the Annual Report will be sent to Unit holders, free of cost, on specific request. The fund shall disclose the Annual Report on its website www.tatamutualfund.com.

Eligibility for Application

The following persons (subject, wherever relevant to, purchase of Units being permitted under their respective constitutions and relevant State Regulations) are eligible to apply for the purchase of the Units:

- Adult individuals, either singly or more than one (not exceeding three) on first holder basis or jointly on an either or survivor/any one basis.
- Parents, or other lawful Guardians on behalf of Minors.
- Companies, corporate bodies, public sector undertakings, trusts, wakf boards or endowments, funds, institutions, associations of persons or bodies of individuals and societies (including Co -operative Societies) registered under the Societies Registration Act, 1860 (so long as the purchase of Units is permitted under their respective constitutions).
- Mutual Funds (including any Scheme managed by AMC or any Scheme of any other Mutual Fund); (in accordance with Regulation 44(1) read with Clause 4 of Schedule VII, of the Securities & Exchange Board of India (Mutual Funds) Regulations, 1996).
- Asset Management Company (AMC); (in accordance with Regulation 24(3) of the Securities & Exchange Board of India (Mutual Funds) Regulations, 1996).
- Partnership firms, in the name of the partners.
- Hindu Undivided families (HUF) in the sole name of the Karta.
- Financial and Investment Institutions/ Banks.
- Army/ Navy / Air Force, para military Units and other eligible institutions.
- Religious and Charitable Trusts provided these are allowed to invest as per statute and their bylaws.
- Non-resident Indians/ persons of Indian origin residing abroad (NRIs) on a full repatriation basis.
- Foreign Institutional Investors registered with SEBI (FIIs).
- International Multilateral Agencies approved by the Government of India.

Applicants who cannot Invest.

- Any individual who is a Foreign national or any other entity that is not an Indian resident under the Foreign Exchange Management Act, 1999, except where registered with SEBI as a FII or FII sub account.
- Overseas Corporate Bodies (OCBs) shall not be allowed to invest in the scheme. These would be firms & societies which are held directly or indirectly but ultimately to the extent of at least 60% by NRIs & trusts in which at least 60% of the beneficial interest is similarly held irrevocably by such persons (OCBs).
- Non-Resident Indians residing in the United States of America and Canada. 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.

Date: 06/01/2011



Key Information Memorandum & Application Form

TATA FIXED MATURITY PLAN SERIES - 30 SCHEME B

Sr. No. :

Expertise that's trusted

(A close ended debt scheme.)

EXISTING FOLIO NO. (IF ANY) :

Offer of units at face value of ₹ 10 each.

Refer complete scheme details/instructions while filling in application form in English BLOCK LETTERS. Tick (✓) which ever is applicable. Strike out what is not required.

Table with 3 columns: BROKER / AGENT CODE, SUB-BROKER / BANK BRANCH CODE, M. O. 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.

DEMAT ACCOUNT DETAILS: (Please 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 Unit holders do not provide their Demat Account details, an account statement shall be sent to them. Such investors will not be able to trade on the stock exchange. (Refer Inst. - F)

Table with 2 main sections: NATIONAL SECURITIES DEPOSITORY LTD. (NSDL) and CENTRAL DEPOSITORY SERVICES (INDIA) LTD. (CDSL)

CHOOSE THE INVESTMENT PLAN
Growth
Periodic Dividend Payout
(Default Option: Growth)

MANDATORY [PLEASE TICK (✓)] (REFER INSTRUCTION - D & E)
Table with columns: Applicant Details, PAN * please attach proof, Know Your Client (KYC), STATUS

UNITHOLDER INFORMATION (Refer Instruction - C & F)
Table with columns: Name of First Applicant, Name of Guardian, Contact Person, Mailing Address, City, State, Pin Code, Country, Email ID

I/ We wish to receive A/c Statement / Annual Report / Quarterly Statement via Email instead of the physical copy Yes
Contact Particulars
Overseas Address
Occupation
Mode of Holding
Name of Second Applicant
Name of Third Applicant

Acknowledgement Slip
TATA FIXED MATURITY PLAN SERIES 30 - SCHEME B
(A close ended debt scheme.)



9th floor, Mafatlal Centre, Nariman Point, Mumbai - 400 021
Toll Free: 1800-209-0101

Subject to realisation of cheques/drafts & furnishing of mandatory document / information.

Received from Mr. / Msan application for purchase of units of
Tata Fixed Maturity Plan Series 30 - Scheme B (Gross investment amount) Rs..... (Rs. in words
.....) Cheque/DD No. dated drawn on
Bank Branch for Rs. From A/c No.
All communication should be addressed to Computer Age Management Services Pvt Ltd., 148, Old Mahabalipuram Road, Okkiyam, Thuraipakkam, Chennai - 600 097. by quoting First applicant name, application Sr. No., Name of scheme code. Registrar Business Hours: upto 3.00 p.m. on all business days.
Current Load structure is enclosed
Sr. No. :

Application Money Details (Cheque/DD to be drawn in favour of Tata Fixed Maturity Plan Series 30 - Scheme B). (Refer Instruction - B)									
Gross Amount (A)				DD Charges (if any) (B)			Net Amount (Cheque/DD Amount)		
Rs.				Rs.			Rs.		
Mode of Payment A/c No.		A/c Type		Cheque/DD No.			Dated		
							D D M M Y Y Y Y		
Drawn on Bank									
Branch									

For ASBA Applications*, please tick here (✓) (*Investors wishing to avail of ASBA facility are requested to submit the ASBA Form with SCSB. The investor is required to submit a copy of the acknowledgment receipt of the ASBA Form as submitted to the SCSB along with the NFO application form to Tata Mutual Fund. (Refer Instructions 'H'))

NOMINATION (Refer Instruction - J)					
Name and Address of the Nominee(s)	Nominee's Relationship with the 1st unitholder	Proportion (%) by which the units shared by will be shared by each nominee (% to aggregate to 100%)	Date of Birth	Name & Address of Guardian	Signature of Guardian
(to be furnished in case the nominee is minor)					
Nominee 1					
Nominee 2					
Nominee 3					

FIRST HOLDERS BANK ACCOUNT DETAILS (Mandatory) (Refer Instruction - G)									
All communication/payments will be made to first applicant or to Karta in case of HUF. Bank account details of First Unitholder required without which the application would be rejected									
Name of the Bank									
Your Account No.				Account Type		<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> NRO <input type="checkbox"/> NRRN <input type="checkbox"/> NRE			
Bank Address									
City								State	
PIN		MICR Code							
* IFSC Code for RTGS					*IFSC Code for NEFT				
* This is a 11 Digit Number, obtain it from your Bank Branch (Cancelled cheque is Mandatory)									

DIRECT CREDIT FACILITY FOR REDEMPTION / DIVIDEND / REFUND PAYOUTS (Refer Instruction - I)									
Unitholders having bank account with ICICI Bank Ltd/HDFC Bank Ltd/Axis Bank/IDBI Bank/Standard Chartered Bank/Kotak Mahindra Bank/HSBC Bank/Deutsche Bank/Royal Bank of Scotland/Oriental Bank of Commerce/State Bank of India (Core banking centers only - subject to validation) & who have provided the NEFT/RTGS/ECS code may receive their redemption/dividend proceeds (if any) directly into their bank accounts. In case you wish to receive a cheque/demand draft, please tick here <input type="checkbox"/>									

DOCUMENTS TO BE SUBMITTED (Please tick (✓) whichever is applicable)									
1) <input type="checkbox"/> Memorandum & Articles of Association (Corporate) 2) <input type="checkbox"/> Board Resolution (Corporate) 3) <input type="checkbox"/> Authorised signatories list. 4) <input type="checkbox"/> Trust Deed (in case of a trust) 5) <input type="checkbox"/> Partnership Deed (for partnership firm) 6) <input type="checkbox"/> Copy of PAN card of all unitholders. 7) <input type="checkbox"/> KYC Confirmation. 8) <input type="checkbox"/> Power of Attorney.									

DECLARATION AND SIGNATURES		Refer Instruction - 'C'
<p>The Trustee, Tata Mutual Fund</p> <p>a.) Having read & understood the contents of the Scheme Information Document of the Scheme, I/ We hereby apply for units of the scheme & agree to abide by the terms, conditions, rules & regulations governing the scheme. I/ We hereby declare that the amount invested in the scheme is through legitimate sources only & does not involve & is not designed for the purpose of the contravention of any Act, Rules, Regulations, Notifications or Directions of the provisions of the Income Tax Act, Anti Money Laundering Laws, Anti Corruption Laws or any other applicable laws enacted by the Govt. of India from time to time. I/ We have understood the details of the scheme & I/ We have not received nor have been induced by any rebate or gifts, directly or indirectly in making this investment. I/ We confirm that the funds invested in the Scheme, legally belong to me / us. In the event "Know Your Customer" process is not completed by me / us to the satisfaction of the AMC, I/ We hereby authorise the AMC, to redeem the funds invested in the Scheme, in favour of the applicant at the applicable NAV prevailing on the date of such redemption & undertaking such other action with such funds that may be required by the Law. b.) For NRIs: I/ We confirm that I am / we are Non Residents of Indian Nationality / Origin & that I/ we have remitted funds from abroad through approved banking channels or from funds in my / our Non-Resident External / Non-Resident Ordinary. I/ We confirm that details provided by me / us are true & correct. c.) I/ We are aware that there are no assured or guaranteed returns under the scheme. Investment by me/us is solely based on my/ our investment objective & assessment of prevailing market conditions. d.) I/We have read & understood the SEBI Circular no. MRD/DoP/Cir- 05/2007 dt. April 27, 2007 & SEBI Circular No. 35/MEM-COR/18/07-08 dt. June 26, 2007 regarding mandatory requirement of PAN. I/We confirm that I/we are holding valid PAN card / have applied for PAN. e.) 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.</p>		<p>Signature(s) / Thumb Impression(s)</p> <p>Ist / Sole holder</p> <p>2nd holder</p> <p>3rd holder</p> <p>Date: _____</p>

Important Notes: Please ensure that your Application Form is complete in all respects and signed by all applicants : • Name, Address and Contact Details are mentioned in full. • Bank Account Details are entered completely and correctly. • Permanent Account Number (PAN) of all Applicants is mentioned along with the copy of the PAN card and a copy of KYC acknowledgement • Appropriate Option is selected. • If units are applied for jointly, Mode of Operation of account is indicated • Your Investment Cheque / DD is drawn in favour of "Tata Fixed Maturity Plan Series 30 - Scheme B", dated and signed. • Application Number is mentioned on the reverse of the cheque. • Documents as listed below are submitted along with the Application Form (as applicable to your specific case).

CHECKLIST		
Tata Mutual Fund: Toll Free No. 1800- 209-0101 (Open on all days). Email: kiran@tataamc.com, Website: www.tatamutualfund.com.		
Checklist: Documents as listed below are submitted along with this application .		
Document List	Document List	Document List
1. PAN <input type="checkbox"/>	5. Memorandum & Articles of Association <input type="checkbox"/>	9. Overseas Auditor's Certificate <input type="checkbox"/>
2. KYC <input type="checkbox"/>	6. Trust Deed <input type="checkbox"/>	10. Notarised Power of Attorney <input type="checkbox"/>
3. Resolution / Authorisation to invest <input type="checkbox"/>	7. Bye-Laws <input type="checkbox"/>	11. Foreign Invest Remittance Certificate (FIRC) <input type="checkbox"/>
4. Authorised Signatories List with Specimen Signature <input type="checkbox"/>	8. Partnership Deed <input type="checkbox"/>	12. Others _____
All documents in 3 to 8 above should be originals / true copies certified by the Director's / Trustee / Company Secretary / Authorised Signatory / Notary Public.		

INSTRUCTIONS FOR FILLING THE APPLICATION FORM

General Instructions:

1. Please read the terms of the Scheme Information Document (SID) of the respective Scheme(s) and Statement of Additional Information carefully before filling the application.
 2. It must be understood clearly that all Applicants are deemed to have accepted the terms subject to which this offer is being made and bind themselves to the terms upon signing the Application Form and tendering payment. Investors should apprise themselves of the prevailing Load structure on the date of submitting the Application Form.
 3. The Application Form should be completed in ENGLISH and in BLOCK LETTERS only. Please tick in the appropriate box for relevant options wherever applicable.
 4. Please do not overwrite. For any correction / changes (if any) made on the application form, applicants are requested to authenticate the same by canceling and re-writing the correct details and counter-signed by the sole / all applicants.
 5. Applications complete in all respects, may be submitted at the designated Investor Service Centres (ISCs) / Official points of Acceptance.
 6. An application to the ongoing offering by an investor should be for at least a minimum amount and in multiples thereof as specified for each scheme. There is no maximum limit.
 7. Applicants who cannot Invest:
 - a. Any individual who is a foreign national or any other entity that is not an Indian resident under the Foreign Exchange Management Act, 1999, except where registered with SEBI as a FII or FII sub account.
 - b. Overseas Corporate Bodies (OCBs) shall not be allowed to invest in the scheme. These would be firms & societies which are held directly or indirectly but ultimately to the extent of at least 60% by NRI's & trusts in which at least 60% of the beneficial interest is similarly held irrevocably by such persons (OCBs).
 - c. Non-Resident Indians residing in the United States of America & Canada.
 8. Subscription by Multilateral Funding Agencies, on full repatriation basis, is subject to approval by the Foreign Investment Promotion Board.
 9. Any applications without broker code will be treated as Direct Investments
 - a. Despatch of Account Statement and Unit Certificates: An Account Statement will be despatched to Unitholders within a maximum of five days from the date of Allotment for investors who have opted for physical unit allotment.
 10. Investors will be sent Account Statements (where physical account statement is opted) and Cheques by courier/ucp/registered post.
 11. 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 delivery to the investor. The mutual fund / registrars are not responsible for any delayed delivery or non-delivery or any consequences thereof.
 12. 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, for the purpose of effecting payments to the investor.
- (A) MINIMUM Application AMOUNT: Growth option - Rs.10, 000/-, Periodic Dividend Option - Rs. 10,000/-.**
- (B) PAYMENT PROCEDURE**
1. Payment may be made by MICR cheque/DD drawn on/made payable at all those places where the Investor Service Centres are located and mail to the nearest ISC.
 2. **THE CHEQUE/DD MUST BE DRAWN IN FAVOUR OF "Tata Fixed Maturity Plan Series 30 Scheme B"** and crossed "ACCOUNT PAYEE & NOT NEGOTIABLE".
 3. In order to prevent frauds and misuse of payment instruments, the investors are mandated to make the payment instrument (cheque, demand draft, pay order, etc.) favouring either of the following (Investors are urged to follow the order of preference in making the payment instrument favouring as under)
 - a. "XYZ Scheme B/c Permanent Account Number"
 - b. "XYZ Scheme B/c First Investor Name"
 4. TAML / TMF will not accept applications for subscriptions of units accompanied with Third Party Payments. "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:
 - i. 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.
 - ii. 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.
 - iii. 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.
 5. Following are the exceptional cases where third party payments will be accepted subject to submission of requisite documentation / declarations.
 - a. Payment by Parents / Grand-Parents / 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 for each regular purchase or per SIP installment
 - b. Payment by employer on behalf of employee under Systematic Investment Plan (SIP) facility through payroll deductions;
 - c. Custodian on behalf of an FII or a Client.
 6. 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.
 - a. 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.
 - b. Submission of a separate, complete and valid 'Third Party Payment Declaration Form' available in this booklet from the investors (guardian in case of minor) 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).
 7. The Mutual Fund shall adopt the following procedures to ascertain whether payments are Third Party Payments and investors are therefore required to comply with the requirements specified herein below.
 8. (i) Source of funds - if paid by cheque
 - a. An investor at the time of his / her purchase of units must provide in the application form the details of his pay-in bank account (i.e. account from which a subscription payment is made) and his pay-out bank account (i.e. account into which redemption / dividend proceeds are to be paid)
 - b. Identification of third party cheques by the AMC / Mutual Fund / Registrar & Transfer Agent (R&TA) will be on the basis of either matching of pay-in bank account details with pay-out bank account details or by matching the bank account number / name / signature of the first named applicant / investor with the name / account number / signature available on the cheque. If the name is not pre-printed on the cheque or signature on the cheque does not match, then the first named applicant / investor should submit any one of the following documents:
 - i. A copy of the bank passbook or a statement of bank account having the name and address of the account holder and account number; (Investors should also bring the original documents along with the documents mentioned in (a) above to the ISCs / Official Points of Acceptance. The copy of such documents will be verified with the original documents to the satisfaction of the AMC/ Mutual Fund / R&TA. The original documents will be returned across the counter to the investor after due verification.)
 - ii. A letter (in original) from the bank on its letterhead certifying that the investor maintains an account with the bank, along with information like bank account number, bank branch, account type, the MICR code of the branch & IFSC Code (where available) (The letter should be certified by the bank manager with his / her full signature, name, employee code, bank seal and contact number.)
 - iii. Investors should note that where the bank account numbers have changed on account of the implementation of core banking system at their banks, any related communication from the bank towards a change in bank account number should accompany the application form for subscription of units.
 9. The Mutual Fund has also provided a facility to the investors to register multiple bank accounts. By registering multiple bank accounts, the investors can use any of the registered bank accounts to receive redemption / dividend proceeds. These account details will be used by the AMC / Mutual Fund / R&TA for verification of instrument used for subscription to ensure that third party payments are not used for mutual fund subscription, except where permitted in (paragraph 6) above. Investors are requested to avail the facility of registering multiple bank accounts by filling in the Application Form for Registration of Multiple Bank Accounts available at our Investor Service Centres (ISCs) or on our website www.tatamutualfund.com
 10. Source of funds - if funded by pre-funded instruments such as Pay Order, Demand Draft, Banker's cheque etc.
 - a. Investors should attach a Certificate (in original) from the issuing banker with the purchase application, stating the Account holder's name and the Account Number which has been debited for issue of the instrument. The said Certificate should be duly certified by the bank manager with his / her full signature, name, employee code, bank seal and contact number.
 - b. The account number mentioned in the Certificate should be a registered bank account or the first named applicant / investor should be one of the account holders to the bank account debited for issue of such instruments.
 11. Source of funds - if paid by RTGS, Bank Account-to-Account Transfer, NEFT, ECS, etc.
 - a. Investors should attach to the purchase application form, an acknowledged copy of the instruction to the bank also stating the account number debited. The account number mentioned on the transfer instruction copy should be a registered bank account or the first named applicant / investor should be one of the account holders to the bank account debited for such electronic transfer of funds.
 12. Source of funds - if paid by a pre-funded instrument issued by the Bank against Cash
 - a. The AMC / Mutual Fund / R&TA will not accept any purchase applications from investors if accompanied by a pre-funded instrument issued by a bank against cash for investments of ` 50,000 or more. The investor should submit a Certificate (in original) obtained from the bank giving name, address and PAN (if available) of the person who has requested for the payment instrument. The said Certificate should be duly certified by the bank manager with his / her full signature, name, employee code, bank seal and contact number. The AMC / Mutual Fund / R&TA will check that the name mentioned in the Certificate matches with the first named investor.
 13. The above broadly covers the various modes of payment for mutual fund subscriptions. The above list is not a complete list and is only indicative in nature and not exhaustive. Any other method of payment, as introduced by the Mutual Fund, will also be covered under these provisions.
 14. In order to prevent frauds and misuse of payment instruments, the investors are mandated to make the payment instrument (cheque, demand draft, pay order, etc.) favouring either of the following (Investors are urged to follow the order of preference in making the payment instrument favouring as under):
 - a. "XYZ Scheme B/c Permanent Account Number"
 - b. "XYZ Scheme B/c First Investor Name"
 - c. "XYZ Scheme B/c Existing folio number "
 15. In case of subscription by NRIs/FIIs, in case the payment is made through Indian Rupee draft purchased abroad or from FCNR or NRE A/c, an Account Debit Certificate from the bank issuing the draft, confirming the debit should be submitted. For subscription made by NRE/FCNR account cheques, the application forms must be accompanied with a photocopy of the cheque or Account Debit letter/Certificate from the banker.
 16. Non individual investors (Corporate, Societies, Trusts, etc.) are required to submit specified documents such as Memorandums, Articles of Association, bylaws, trust deed, board resolutions 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) are not provided within 10 business days from the date of transaction or the documents provided by the non individual investors are insufficient / 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 TAML /TMF about any change to the Authorized Signatory List or Board resolution.

17. Applications which are incomplete are liable to be rejected & the Trustee Company of Tata Mutual Fund shall not be responsible for any consequences thereof
18. 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.
19. The right to accept or reject any application in whole or in part lies with the Trustee Company.
20. Application form (duly completed), along with a cheque (drawn on nearest ISC's / transaction acceptance centres) / DD (payable at the nearest ISC's / transaction acceptance centres or DD's payable at Chennai to be sent to the Registrar viz. Computer Age Management Services Pvt. Ltd., Unit: Tata Mutual Fund, 148, Old Mahabalipuram Road, Okkiyam, Thuraipakkam, Chennai - 600 097.
21. If there is no Authorised Investor Service Centres where the investor resides, he/she may purchase a Demand Draft from any other Bank in favour of "Name of the Scheme – Folio number/ PAN number" & crossed "A/c Payee & Not Negotiable". If you are residing/located in a city/town where we don't have an official Acceptance Point, please draw a Demand Draft payable at your nearest city/town where we have a Transaction Acceptance Point, after deducting bank charges / commission after deducting bank charges / commission (not exceeding charges prescribed by State Bank of India) from the amount of investment.
22. The applicants are requested to note the following points before submitting the applications to any of the collection centres.
 - a. Separate cheque/demand draft is required for each scheme. Such Cheques/ Demand Draft should be drawn in the name of the Scheme.
 - b. Stockinvests, 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. Post dated cheques will be accepted only for SIP transactions.
 - c. Cheques once returned in clearing will not be represented and the accompanying applications may not be considered for allotment.

(C) Application Details

1. Existing unit holders: Investors already having an account in any of TATA Mutual Fund Schemes should provide their Folio Number in the space for mentioning existing folio number and Unit Holder's name. The personal details and Bank Account details as they feature in the existing folio would apply to this investment as well and would prevail over any conflicting information furnished in this form. Unitholders' name should match with the details in the existing folio number, failing which, the application is liable to be rejected
2. Please write the Applicant's Name & Application Serial Number on the reverse of the Cheque/Demand Draft
3. Please mention the Pin Code Number in the Address column. In case PIN code is not mentioned all the correspondence will be sent by registered post.
4. All communication and/or payments will be made to the sole/first applicant.
5. Signatures should be in English or in any Indian language, thumb impressions must be attested by a Magistrate/Notary Public under his/her official seal. In case of HUF, the Karta should sign on behalf of the HUF. In case of Partnership Firms, the Partner should sign on behalf of the Partnership Firm. Similarly, for the Association of Persons (AoP), Company etc. the application must be signed by the Authorised Signatory/Signatories as applicable.
6. Where the units are held in the names of two or three persons, such persons shall be deemed to hold the units on first holder basis. In case of HUF/Partnership Firm/ AoP/ Company, etc. no joint holding will be considered. All tax exemptions can be availed of only by the First holder in case of additional holdings.
7. In case of applications under Power of Attorney or by a Limited Company or by a Corporate Body or Eligible Institution or a Registered Society or a Trust or a Fund the original Power of Attorney or the certified copy thereof duly notarized and the relevant resolution or authority to make the application, as the case may be including authority granted in favour of the officials signing the application and their specimen signature etc., or duly certified copy thereof alongwith a certified copy of the Memorandum and Articles of Association and/or bye-laws and/or trust deed and/or partnership deed and certificate of registration must be lodged at the office of the Registrar, quoting the serial number of application simultaneously with the submission of the Application Form, failing which the application is liable to be rejected.
8. In case of 'Limited Liability Partnership' the investment should be in the Name of LLP and to contain 'Limited Liability Partnership' or 'LLP' as suffix. Following list of documents should be obtained for LLP accounts at the time of first purchase transaction: Limited Liability partnership agreement and certificate of registration; Resolutions or authority letter for investments in mutual funds and lien creation; Certified list of Authorised Signatories for making investment and lien creation; Copy; KYC acknowledgement.
9. For faster dissemination of information, Unitholders are requested to provide their E-mail IDs. Mutual Fund / registrar shall not be responsible for e-mail not reaching to the investors and for all consequences thereof.

(D) PAN Number Details of the Investors

SEBI has made it mandatory for all applicants except Micro SIP 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.

In order to verify that the PAN of the applicants (in case of application in joint names, each of the applicants) has been duly & correctly quoted therein, the applicants shall attach along with the purchase* application, a photocopy of the PAN card duly attested by the distributor / agent (AMFI registered) through whom the application is effected or by Bank Manager or Notary or Investor Service Centres of TATA Mutual Fund or ISCs of CAMS. Attestation will be done after verification with the original PAN card.

*includes fresh/additional purchase, Systematic Investment.

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.

(E) Prevention of Money Laundering & Know Your Customer (KYC) Compliance

In terms of the Prevention of Money Laundering Act, 2002, the RULES issued there under and the guidelines/circulars issued by SEBI regarding the Anti Money Laundering (AML Laws), all intermediaries, including Mutual Funds, have to formulate & implement a client identification programme, verify & maintain the record of identity & address(es) of investors. In order to make the data capture & document submission easy & convenient for the investors, Mutual Fund Industry has collectively entrusted the responsibility of collection of documents relating to identity & address of the investor(s) to an independent agency (presently CDSL Ventures Limited) who will act as a central record keeping agency (Central Agency). As a token of having verified the identity & address of the investor(s) & for efficient retrieval of records, the Central Agency will issue a KYC Acknowledgement Letter (previously known as Mutual Fund Identification Number-MIN Letter) to each investor who submits an application & the prescribed documents to the Central Agency. Investors are required to attach the copy of KYC Acknowledgement Letter (or the erstwhile MIN* Allotment Letter) along with the application form at the time of making investment for the first time in every Mutual Fund. In respect of any subsequent investments in the same Mutual Fund, it is not necessary to attach a copy of the KYC Acknowledgement Letter (or the erstwhile Mutual Fund Identification Number (MIN)* Allotment Letter). Investors who wish to obtain a KYC Acknowledgement Letter have to submit a completed Application Form for Know Your Customer (KYC form) along with the prescribed documents listed in the KYC form at any of the "Point Of Service". The KYC forms are available on our website www.tatamutualfund.com and AMFI website: www.amfiindia.com. KYC is mandatory for purchase & switch of units for all investors irrespective of the amount of investment & such transactions must be accompanied with a documentary proof of KYC compliance. Unit holders of these transactions should quote the KYC compliance status of all the applicants (guardian in case of minor) in the application for subscription & attach proof of KYC compliance viz. KYC Acknowledgement Letter (or the erstwhile MIN* Allotment Letter). The KYC status will be validated with the records of the Central Agency before allotting units. Tata Mutual Fund will not be held responsible and /or liable for rejection of KYC Form, if any, by the Central Agency. Applications for subscriptions without a valid KYC compliance may be rejected. Provided further, where it is not possible to verify the KYC compliance status of the investor at the time of allotment of units, the Trustee / AMC shall verify the KYC compliance status of the investor within a reasonable time after the allotment of units. In the event of non compliance of KYC requirements, the Trustee / AMC reserves the right to freeze the folio of the investor(s) & affect mandatory redemption of unit holdings of the investors at the applicable NAV, subject to payment of exit load, if any & recovery of unamortized NFO expenses. All investors (both individual and non-individual) can apply for KYC compliance. However, applicants should note that minors cannot apply for KYC compliance & any investment in the name of minors should be through a Guardian, who should be KYC compliant for the purpose of investing with a Mutual Fund. Also, applicants / unit holders intending to apply for units / currently holding units and operating their Mutual Fund folios through a Power of Attorney (PoA) must ensure that the issuer of the PoA & the holder of the PoA must mention their KYC compliance status at the time of investment, if such investment(s) are above the prescribed threshold limit. PoA holders are not permitted to apply for KYC compliance on behalf of the issuer of the PoA. Separate procedures are prescribed for change in name, address & other KYC related details, should the applicant desire to change such information. POS will extend the services of effecting such changes.

* Valid only where investors who have already obtained the erstwhile Mutual Fund Identification Number (MIN) by submitting the PAN copy as the proof of identity

(F) Demat Account

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. 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. 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.

Please note that where the investor 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.

(G) Bank Account Details

In order to protect the interest of Unit holders from fraudulent encashment of redemption / dividend cheques, SEBI has made it mandatory for investors to provide their bank details viz. name of bank, branch, address, account type and number, etc. to the Mutual Fund. Applications without complete bank details shall be rejected. The AMC will not be responsible for any loss arising out of fraudulent encashment of cheques / warrants and / or any delay / loss in transit.

Unit holders are free to change their bank details registered with the Mutual Fund subject to adherence with the following procedure:

1. Unit holders will be required to submit a valid request for a change in bank account details along with a cancelled original cheque leaf of the new bank account as well as the bank account currently registered with the Mutual Fund (where the account number and first unit holder name is printed on the face of the cheque). Unit holders should without fail cancel the cheque and write 'Cancelled' on the face of it to prevent any possible misuse.
2. Where such name is not printed on the original cheque, the Unit holder may submit a letter from the bank on its letterhead certifying that the Unit holder maintains/ maintained an account with the bank, the bank account information like bank account number, bank branch, account type, the MICR code of the branch & IFSC Code (where available).
3. In case of non-availability of any of these documents, a copy of the bank pass book or a statement of bank account having the name and address of the account holder and account number.
(In respect of (2) and (3) above, they should be certified by the bank manager with his / her full signature, name, employee code, bank seal and contact number)

4. Unit holders may also bring a copy of any of the documents mentioned in (3) above along with the original documents to the ISCs/Official Points of Acceptance of TATA Mutual Fund. The copy of such documents will be verified with the original documents to the satisfaction of TATA Mutual Fund. The originals documents will be returned across the counter to the Unit holder after due verification.
In the event of a request for change in bank account information being invalid / incomplete / not satisfactory in respect of signature mismatch/document insufficiency/ not meeting any requirements more specifically as indicated in clauses (1) - (4) above, the request for such change will not be processed. Redemptions / dividend payments, if any, will be processed and the last registered bank account information will be used for such payments to Unit holders. Unit holders may note that it is desirable to submit their requests for change in bank details at least 10 working days prior to date of redemption / dividend payment, if any. Further, in the event of a request for redemption of units being received within 10 working days of a request for change in bank account details, the normal processing time as specified in the Scheme Information Document, may not necessarily apply. The Trustee reserves the right to amend the aforesaid requirements. Investors' can also register multiple bank mandates to a single folio, the same can be done after completing the form "application form for registration of / additions to multiple bank accounts" available along with this book let or the form is also available on our website www.tatamutualfund.com. Please read the instructions and Terms and Conditions on the reverse of the form to get a complete understanding of the facility.
5. Any charges levied by the investor's bank for receiving payment through ECS/RTGS/NEFT will be borne by the investor. The Mutual Fund / AMC will not accept any request for refund of such bank charges.
6. Tata Mutual Fund directly credits the Redemption/Dividend/Refund payout into the investor's Bank Account in case the account is with ICICI Bank Ltd./HDFC Bank Ltd./ Axis Bank/IDBI Bank/Standard Chartered Bank/Kotak Mahindra Bank/HSBC Bank/ Deutsche Bank/Royal Bank of Scotland/Oriental Bank of Commerce/State Bank of India (Core banking centers only - subject to validation). The list of bank is subject to change from time to time.
7. Investors to note that the instruction to the bank for Direct Credit/NEFT/ECS will be given by the Mutual Fund & such instruction will be adequate discharge of Mutual Fund towards redemption/dividend/refund proceeds.
8. 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.
9. Tata Mutual Fund will not be liable for any losses/claims, etc. arising on account of processing the direct credit of redemption / dividend proceeds on the basis of the Bank Account details as provided by the investor in the application form.
10. Further, the Mutual Fund reserves the right to issue a demand draft/payable at par cheque in case it is not possible to make payment by DC/NEFT/ECS.

(J) Nomination Details

- 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.
- Minor(s) can be nominated & in that event, the name, address & signature of the guardian of the minor nominee(s) shall be provided by the unit holder.
- The Nominee shall not be a trust, society, body corporate, partnerships firm, 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.
- Nomination in respect of the units stands rescinded upon the transfer of units.
- 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.
- 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.
- 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).
- 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).
- The nomination details as registered with the Depository Participant shall be applicable to unitholders who have opted to hold units in Demat mode.

(K) Brokers and Marketing Associates

1. Tata Mutual Fund's Marketing Associates, Agents & Brokers (who are holding the AMFI Certificate) are eligible to mobilise subscriptions under the Fund and earn brokerage based on the amounts subscribed. Brokerage will be paid only to those Marketing Associates, Agents & Brokers whose stamp appears on the application form.
2. Code numbers / ARN No. assigned by AMFI to the Marketing Associates/Agents must be used wherever applicable and their stamps should clearly state their names and any other details as required, in English.
3. Agents are not permitted to accept CASH with Application Form. Tata Mutual Fund shall not be held responsible for any kind of wrong tenders.
4. Brokerage will be paid to only Distributors empanelled with Tata Mutual Fund.
5. Distributors / Agents should mention the ARN No. allotted by AMFI, on the application form.

(H) Instruction for ASBA Investors

- Application Supported by Blocked Amount is a facility by which an application can be made for subscribing to New Fund Offer, along with an authorisation to SCSB to block the application money in a bank account.
- SCSB means Self Certified Syndicate Bank registered with the SEBI, which offers the facility of ASBA. The list of SCSBs for accepting ASBA forms is displayed on the websites of SEBI, BSE and NSE i.e www.sebi.gov.in, www.bseindia.com and www.nseindia.com, respectively.
- Eligible applicants for ASBA maintaining their account in any of the banks as displayed on the websites of SEBI, BSE and NSE may use ASBA facility subject to fulfilling all the terms and conditions stipulated in this regard.
- Please refer the ASBA form for the list of these SCSBs, as currently available on SEBI website. These Banks are deemed to have entered into an agreement with the Mutual Fund and are required to offer the ASBA facility to all its account holders for all issues to which ASBA process is applicable.
- The investor is required to submit a copy of the acknowledgment receipt of the ASBA Form as submitted to the SCSB along with the NFO application form to Tata Mutual Fund.
- Investor to note that sufficient balance is there in the account mentioned in the ASBA form; else the application shall be rejected.
- If the DP ID, Beneficiary or PAN furnished (in NFO Application & ASBA form) is incorrect or incomplete or not provided or not matching with the depository records, the application shall be rejected and Tata Mutual Fund or SCSB shall not be liable for losses, if any, to the applicant.

(I) DIRECT CREDIT FACILITY FOR REDEMPTION / DIVIDEND / REFUND PAYOUTS

1. RTGS / NEFT / ECS are facilities offered by Reserve Bank of India (RBI), for facilitating better customer service by direct credit of dividend/redemption to an investor's bank account through electronic credit. This helps in avoiding loss of dividend/redemption warrant in transit or fraudulent encashment. Payments made through ECS/RTGS/NEFT are subject to applicable rules & policies of RBI & the working of banking system. The Mutual Fund will endeavor to arrange such facility for payment of dividend/redemption proceeds to the Unit holders. It may be noted that there is no commitment from the Mutual Fund that this facility will be made available to the Unit holders for payment of dividend/redemption proceeds.
2. Investors are requested to provide their 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).
3. Investors need to provide a cancelled cheque leaf (where the IFSC/MICR code is printed) or banker's confirmation for verification of the code.
4. RTGS & NEFT codes may be different for the same bank/branch. Please contact your bank for the details of the same.

CHECKLIST

Please ensure that your Application Form is complete in all respects and signed by all applicants : • Name, Address and Contact Details are mentioned in full. • Bank Account Details are entered completely and correctly. • Permanent Account Number (PAN) of all Applicants is mentioned along with the copy of the PAN card and a copy of KYC acknowledgement • Appropriate Option is selected. If the Dividend Option is chosen, Dividend Payout or Re-investment is indicated. • If units are applied for jointly, Mode of Operation of account is indicated • Your Investment Cheque / DD is drawn in favour of "Tata Fixed Maturity Plan Series 30 - Scheme B", dated and signed. • Application Number is mentioned on the reverse of the cheque. • Documents as listed below are submitted along with the Application Form (as applicable to your specific case). • If required document(s) are not provided within 10 business days from the date of transaction or the documents provided by the non individual investors are insufficient / inaccurate, then the transactions are liable to be reversed with all costs and consequences to the investor.

	Documents	Companies	Trusts	Societies	Partnership Firms	Fils	NRI	Investments through Constituted Attorney	LLPs
1	Resolution/Authorisation to invest	✓	✓	✓	✓	✓			✓
2	List of Authorised Signatories with Specimen Signature(s)	✓	✓	✓	✓	✓		✓	✓
3	Memorandum & Articles of Association	✓							✓
4	Trust Deed		✓						
5	Bye-Laws			✓					
6	Partnership Deed				✓				✓
7	Overseas Auditor's Certificate					✓			
8	Notarised Power of Attorney							✓	
9	Foreign Inward Remittance Certificate, in case payment is made by DD from NRE / FCNR a/c or where applicable						✓		

All documents in 1 to 6 above should be originals / true copies certified by the Director / Trustee / Company Secretary / Authorised Signatory / Notary Public

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.** Axis Bank Ltd **2.** State Bank of Hyderabad **3.** Corporation Bank **4.** State Bank of Travencore **5.** IDBI Bank Ltd. **6.** State Bank of Bikaner and Jaipur **7.** YES Bank Ltd. **8.** Punjab National Bank **9.** Deutsche Bank **10.** Union Bank of India **11.** HDFC Bank Ltd. **12.** Bank of Baroda **13.** ICICI Bank Ltd **14.** Vijaya Bank **15.** Bank of Maharashtra **16.** State Bank of India **17.** Andhra Bank **18.** HSBC Ltd. **19.** Kotak Mahindra Bank Ltd. **20.** Bank of India **21.** CITI Bank **22.** IndusInd Bank **23.** Allahabad Bank **24.** Karur Vysya Bank Ltd. **25.** The Federal Bank **26.** Indian Bank **27.** Central Bank of India **28.** Oriental Bank of Commerce **29.** Standard Chartered Bank **30.** J P Morgan Chase Bank, N.A. **31.** Nutan Nagarik Sahakari Bank Ltd. **32.** UCO Bank **33.** Canara Bank **34.** United Bank of India. **35.** Syndicate Bank **36.** South Indian Bank **37.** Indian Overseas Bank. 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	IC	Insurance Companies	AOP	Association of Persons
HUF	Hindu Undivided Family	MF	Mutual Funds	SOCTY	Society
NRI	Non-Resident Indian	MINOR	Minor (Through Guardian)	BOI	Board of Individuals
FII	Foreign Institutional Investor	BANK	Bank	CO	Bodies Corporate
FI	Banks & Financial Institutions	TRUST	Trust	OTH	Others



Expertise that's trusted

TATA MUTUAL FUND

9th floor, Mafatlal Centre, Nariman Point, Mumbai - 400 021
Tel: (022) 66578282 Fax: (022) 22613782
Website: www.tatamutualfund.com Email: kiran@tataamc.com

Registrar: Computer Age Management Services Pvt. Ltd., 148, Old Mahabalipuram Road, Okkiyam, Thuraipakkam, Chennai - 600 097.
G Sathyanarayanan / Venkatesh Pai Tel. No. 044 - 3911 5563, 3911 5565, 3911 5567 Fax 28283 613 camslbl@camsonline.com



THIRD PARTY PAYMENT DECLARATION FORM

Expertise that's trusted

Declaration Form No. _____

Third Party Payment Declaration Form should be completed in English and in **BLOCK LETTERS** only.
(Please read the Third Party Payment Rules and Instructions carefully before completing this Form)

FOR OFFICE USE ONLY

Date of Receipt	Folio No.	Branch Trans. No.

1. BENEFICIAL INVESTOR INFORMATION (Refer Instruction No. 2)

Folio No. (For existing investor) _____ Application No. _____

NAME OF FIRST/SOLE APPLICANT (BENEFICIAL INVESTOR)

Mr./Ms./M/s. _____

2. THIRD PARTY INFORMATION (Refer Instruction No. 3)

NAME OF THIRD PARTY (PERSON MAKING THE PAYMENT)

Mr./Ms./M/s. _____

Nationality _____ PAN# _____ KYC** [Please tick(✓)] Attached (Mandatory for any amount)

#Mandatory for any amount. Please attach PAN Proof. Refer instruction No. 6. ** Refer instruction No. 8.

NAME OF CONTACT PERSON & DESIGNATION (in case of non-Individual Third Party)

Mr./Ms./M/s. _____

Designation _____

MAILING ADDRESS (P.O. Box Address may not be sufficient)

CITY _____ STATE _____ PIN CODE _____

CONTACT DETAILS

Tel. : Off. _____ Tel. : Res. _____ Mobile. _____

Fax _____ Email _____

RELATIONSHIP OF THIRD PARTY WITH THE BENEFICIAL INVESTOR (Refer Instruction No. 3) [Please tick (✓) as applicable]

Status of the Beneficial Investor	<input type="checkbox"/> Minor	<input type="checkbox"/> FII <input type="checkbox"/> Client	<input type="checkbox"/> Employee (s)								
Relationship of Third Party with the Beneficial Investor	<input type="checkbox"/> Parent <input type="checkbox"/> Grand Parent <input type="checkbox"/> Related Person	Custodian SEBI Registration No. of Custodian Registration Valid Till <table border="1"> <tr> <td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> </table>	D	D	M	M	Y	Y	Y	Y	Employer
D	D	M	M	Y	Y	Y	Y				
Declaration by Third Party	I/We declare that the payment made on behalf of minor is in consideration of natural love and affection or as a gift.	I/We declare that the payment is made on behalf of FII/ Client and the source of this payment is from funds provided to us by FII/Client.	I/We declare that the payment is made on behalf of employee(s) under Systematic Investment Plans through Payroll Deductions.								

3. Third Party payment details (Refer instruction No. 4)

Mode of Payment [Please tick (✓)]	Mandatory Enclosure(s)*
Cheque <input type="checkbox"/>	In case the account number and account holder name of the third party is not pre-printed on the cheque then a copy of the bank passbook / statement of bank account or letter from the bank certifying that the third party maintains a bank account.
Pay Order <input type="checkbox"/> Demand Draft <input type="checkbox"/> Banker's Cheque <input type="checkbox"/>	Certificate from the Issuing Banker stating the Bank Account Holder's Name and Bank Account Number debited for issue of the instrument.
RTGS <input type="checkbox"/> NEFT <input type="checkbox"/> Fund Transfer <input type="checkbox"/>	Copy of the Instruction to the Bank stating the Bank Account Number which has been debited.

* Tata Mutual Fund (Tata Mutual Fund/Tata Asset Management Limited ("Tata AMC")) reserves the right to seek information and /or obtain such other additional documents/information from the Third Party for establishing the identity of the Third Party.

Amount#	in figures (₹)	_____								
	in words	_____								
Cheque/DD/PO/UTR No.	Cheque/DD/PO/RTGS Date <table border="1"> <tr> <td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> </table>		D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y			

Pay- in Bank A/c No. _____

Name of the Bank _____

Branch _____ Bank City _____

Account Type [Please tick (✓)] SAVINGS CURRENT NRE NRO FCNR OTHERS _____ (please specify)

including Demand Draft charges, if any.

4. DECLARATIONS & SIGNATURE/S (Refer Instruction 5)

THIRD PARTY DECLARATION

I/We confirm having read and understood the Third Party Payment rules, as given below and hereby agree to be bound by the same.

I/We declare that the information declared herein is true and correct, which Tata Mutual Fund is entitled to verify directly or indirectly. I agree to furnish such further information as Tata Mutual Fund may require from me/us. I/We agree that, if any such declarations made by me/us are found to be incorrect or incomplete, Tata Mutual Fund / Tata AMC is not bound to pay any interest or compensation of whatsoever nature on the said payment received from me/us and shall have absolute discretion to reject / not process the Application Form received from the Beneficial Investor(s) and refund the subscription monies.

I/We hereby declare that the amount invested in the Scheme is through legitimate sources only and does not involve and is not designed for the purpose of any contravention or evasion of any Act, Rules, Regulations, Notifications or Directions issued by any regulatory authority in India. I/We will assume personal liability for any claim, loss and/or damage of whatsoever nature that Tata Mutual Fund / Tata AMC may suffer as a result of accepting the aforesaid payment from me/us towards processing of the transaction in favour of the beneficial investor(s) as detailed in the Application Form.

Applicable to NRIs only :

I/We confirm that I am/We are Non-Resident of Indian Nationality/Origin and I/We hereby confirm that the funds for subscription have been remitted from abroad through normal banking channels or from funds in my / our Non-Resident External / Ordinary Account /FCNR Account.

Please () Yes No
If yes, () Repatriation basis
 Non-repatriation basis

DD	MM	YYYY

Signature of the Third Party

BENEFICIAL INVESTOR(S) DECLARATION

I/We certify that the information declared herein by the Third Party is true and correct.

I/We acknowledge that Tata Mutual Fund reserves the right in its sole discretion to reject/not process the Application Form and refund the payment received from the aforesaid Third Party and the declaration made by the Third Party will apply solely to my/our transaction as the beneficial investor(s) detailed in the Application Form. TATA Mutual Fund/ Tata AMC will not be liable for any damages or losses or any claims of whatsoever nature arising out of any delay or failure to process this transaction due to occurrences beyond the control of Tata Mutual Fund/Tata AMC.

Applicable to Guardian receiving funds on behalf of Minor only:

I/We confirm that I/We are the legal guardian of the Minor, registered in folio and have no objection to the funds received towards Subscription of Units in this Scheme on behalf of the minor.

DD	MM	YYYY

SIGNATURE/S

First / Sole Applicant / Guardian

Second Applicant

Third Applicant

THIRD PARTY PAYMENT RULES

1. In order to enhance compliance with Know your Customer (KYC) norms under the Prevention of Money Laundering Act, 2002 (PMLA) and to mitigate the risks associated with acceptance of third party payments, Association of Mutual Funds of India (AMFI) issued best practice guidelines on "risk mitigation process against third party instruments and other payment modes for mutual fund subscriptions". AMFI has issued the said best practice guidelines requiring mutual funds/asset management companies to ensure that Third-Party payments are not used for mutual fund subscriptions
- 2a. The following words and expressions shall have the meaning specified herein:
 - (a) **"Beneficial Investor"** is the first named applicant/ investor in whose name the application for subscription of Units is applied for with the Mutual Fund.
 - (b) **"Third Party"** means any person making payment towards subscription of Units in the name of the Beneficial Investor.
 - (c) **"Third Party payment"** is referred to as a payment made through instruments issued from a bank account other than that of the first named applicant/ investor mentioned in the application form.

Illustrations

Illustration 1: An Application submitted in joint names of A, B & C alongwith cheque issued from a bank account in names of B, C & Y. This will be considered as Third Party payment.

Illustration 2: An Application submitted in joint names of A, B & C alongwith cheque issued from a bank account in names of C, A & B. This will not be considered as Third Party payment.

Illustration 3: An Application submitted in joint names of A, B & C alongwith cheque issued from a bank account in name of A. This will not be considered as Third Party payment.
- 2b. Tata Mutual Fund / Tata Asset Management Limited ("Tata AMC") will not accept subscriptions with Third Party payments except in the following exceptional cases, which is subject to submission of requisite documentation/ declarations:
 - (i) Payment by Parents/Grand-Parents/Related Persons* on behalf of a minor in consideration of natural love and affection or as gift for a value not exceeding ₹ 50,000/- each regular Purchase or per SIP installment. (This limit of ₹ 50,000 shall not be applicable for investments in Tata Young Citizen Fund. However, the Donors will have to comply with all the requirements specified in 2c below)
 - (ii) Payment by Employer on behalf of employee(s) under Systematic Investment Plan (SIP) Payroll deductions.
 - (iii) Custodian on behalf of an FII or a Client.

* 'Related Person' means any person investing on behalf of a minor in consideration of natural love and affection or as a gift.
- 2c. Applications submitted 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.
 - (i) Mandatory KYC for all investors (guardian in case of minor) and the person making the payment i.e. third party.
 - (ii) Submission of a complete and valid 'Third Party Payment Declaration Form' from the investors (guardian in case of minor) and the person making the payment i.e. third party.
- 2d. Investor(s) are requested to note that any application for subscription of Units of the Scheme(s) of Tata Mutual Fund accompanied with Third Party payment other than the above mentioned exceptional cases as described in Rule (2b) above is liable for rejection without any recourse to Third Party or the applicant investor(s).

The above mentioned Third Party Payment Rules are subject to change from time to time. Please contact any of the Investor Service Centres of TATA AMC or visit our website www.tatamutualfund.com for any further information or updates on the same.

INSTRUCTIONS FOR THIRD PARTY PAYMENT DECLARATION FORM

I. GENERAL INSTRUCTIONS

Please read the terms of the Key Information Memorandum, the Scheme Information Document (SID) and Statement of Additional Information (SAI) carefully before filling the Third Party Payment Declaration Form (hereinafter referred to as 'Declaration Form').

The Declaration Form should be completed in ENGLISH and in BLOCK LETTERS only. **Please tick in the appropriate box for relevant declarations wherever applicable.** Please do not overwrite. For any correction / changes (if any) made in the Declaration Form, the corrections made shall be authenticated by canceling and re-writing the correct details and counter-signed by the Third Party and the Beneficial Investor(s).

Applications along with the Declaration Form completed in all respects, must be submitted at the Official Points of Acceptance / Investor Service Centres (ISCs) of Tata Mutual Fund.

In case the Declaration Form does not comply with the above requirements, Tata Mutual Fund /Tata AMC retains the sole and absolute discretion to reject / not process such Declaration Form and refund the subscription money and shall not be liable for any such rejection.

2. BENEFICIAL INVESTOR INFORMATION

The Third Party should provide the Folio Number of the Beneficial Investor already having an account in any of the Tata Mutual Fund Schemes in Section I. In case the Beneficial Investor does not have a Folio Number, the Third Party should mention the Application Number as stated in the Application Form. Name must be written in full.

3. THIRD PARTY INFORMATION

“Third Party” includes the Parent, Grand Parent, Related Person, Custodian, or Employer, making payment towards subscription of Units in the name of the Beneficial Investor(s).

Full Name and relationship of Third Party with the Beneficial Investor must be provided.

The Relationship declared by the Third Party will suggest that the payment made on behalf of Beneficial Investor(s) is:

- On behalf of a minor in consideration of natural love and affection or as gift for a value not exceeding ₹ 50,000/- (which includes each regular purchase or per SIP installment) made by Parents/Grand Parents/ Related Persons (This limit of ₹ 50,000 shall not be applicable for investments in Tata Young Citizen Fund); or
- On behalf of employee under Systematic Investment Plans through Payroll deductions made by Employer; or
- On behalf of an FII or a Client made by the Custodian.

Mailing address and contact details of Third Party must be written in full.

4. THIRD PARTY PAYMENT DETAILS

Third Party must provide in the Declaration Form the details of the Pay-in Bank Account i.e. account from which subscription payment is made in the name of the Beneficial Investor (s).

The Declaration Form with incomplete payment details shall be rejected. The following document(s) is/are required to be submitted by Third Party as per the mode of payment selected:

(i) Source of funds - if paid by cheque

In case the account number and account holder name of the third party is not pre-printed on the cheque, then the third party should provide any one of the following documents:

- a copy# of the bank passbook or a statement of bank account having the name and address of the account holder and account number;
- a letter (in original) from the bank on its letterhead certifying that the third party maintains an account with the bank, along with information like bank account number, bank branch, account type, the MICR code of the branch & IFSC Code (where available). The said letter should be certified by the

bank manager with his / her full signature, name, employee code, bank seal and contact number.

- # the original documents along with the documents mentioned above should be submitted to the ISCs / Official Points of Acceptance of Tata Mutual Fund. The copy of such documents will be verified with the original documents to the satisfaction of the Tata AMC/ Tata Mutual Fund / Registrar and Transfer Agent. The original documents will be returned across the counter after due verification.

(ii) Source of funds - if funded by pre-funded investments such as Pay Order, Demand Draft, Banker's cheque etc.

A Certificate (in original) from the issuing banker with the purchase application, stating the Account holder's name and the Account Number which has been debited for issue of the instrument. The said Certificate should be duly certified by the bank manager with his / her full signature, name, employee code, bank seal and contact number.

(iii) Source of funds - if paid by RTGS, Bank Account-to-Account Transfer, NEFT, ECS, etc.

Acknowledged copy of the instruction to the bank stating the account number debited.

(iv) Source of funds - if paid by a pre-funded instrument issued by the Bank against Cash

Tata AMC/Tata Mutual Fund will not accept any purchase applications from investor if accompanied by a pre-funded instrument such as Pay Order, Demand Draft, Banker's cheque etc. issued by a bank against cash funded by third party for investments of ₹ 50,000/- or more. The third party should provide a Certificate (in original) obtained from the bank giving name, address and PAN of the person who has requested for the payment instrument. The said Certificate should be duly certified by the bank manager with his / her full signature, name, employee code, bank seal and contact number.

5. SIGNATURE(S)

Signature(s) should be in English or in any Indian Language. Declarations on behalf of minors should be signed by their Guardian.

6. PERMANENT ACCOUNT NUMBER

It is mandatory for the Third Party to mention the permanent account number (PAN) irrespective of the amount of Purchase*. In order to verify that the PAN of Third Party has been duly and correctly quoted therein, the Third Party shall attach along with the Declaration Form, a photocopy of the PAN card duly self-certified along with the original PAN card. The original PAN Card will be returned immediately across the counter after verification.

*includes fresh/additional purchase, Systematic Investment Plan.

Declaration Forms not complying with the above requirement will not be accepted/ processed.

For further details, please refer Section 'Permanent Account Number' under the Statement of Additional Information available on our website www.tatamutualfund.com.

7. PREVENTION OF MONEY LAUNDERING

SEBI vide its circular reference number ISD/CIR/RR/AML/1/06 dated January 18, 2006 mandated that all intermediaries including Mutual Funds should formulate and implement a proper policy framework as per the guidelines on anti money laundering measures and also to adopt a Know Your Customer (KYC) policy.

The Third Party should ensure that the amount invested in the Scheme is through legitimate sources only and does not involve and is not designated for the purpose of any contravention or evasion of the provisions of the Income Tax Act, Prevention of Money Laundering Act, Prevention of Corruption Act and / or any other applicable law in force and also any laws enacted by the Government of India from time to time or any rules, regulations, notifications or directions issued thereunder.

To ensure appropriate identification of the Third Party and with a view to monitor transactions for the prevention of money laundering, Tata AMC/Tata Mutual Fund reserves the right to seek

information, record investor's telephonic calls and or obtain and retain documentation for establishing the identity of the third party, proof of residence, source of funds, etc. It may re-verify identity and obtain any incomplete or additional information for this purpose.

Tata Mutual Fund, Tata AMC, Tata Trustee Company Limited ("Tata Trustee") and their Directors, employees and agents shall not be liable in any manner for any claims arising whatsoever on account of freezing the folios/ rejection of any application / allotment of Units or mandatory redemption of Units due to non compliance with the provisions of the Act, SEBI/AMFI circular(s) and KYC policy and / or where the AMC believes that transaction is suspicious in nature within the purview of the Act and SEBI/AMFI circular(s) and reporting the same to FIU-IND.

For further details, please refer Section 'Prevention of Money Laundering' under the Statement of Additional Information available on our website www.tatamutualfund.com.

8. KNOW YOUR CUSTOMER (KYC) COMPLIANCE

It is mandatory for the Third Party to quote the KYC Compliance Status and attach proof of KYC Compliance viz. KYC Acknowledgement Letter (or Printout of KYC Compliance Status downloaded from CVL website (www.cvlindia.com) using the PAN Number. Declaration Form without a valid KYC Compliance of Third Party will be rejected.

In the event of non-compliance of KYC requirements, Tata Trustee/Tata AMC reserves the right to freeze the folio of the investor(s) and affect 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 the Statement of Additional Information available on our website www.tatamutualfund.com.

Call Free : 1800 – 209 – 0101 (Lines open on Sunday also)

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