

# TRANSACTION SLIP

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

**Investor Services:** Mulla House, Ground Floor, M. G. Road, Fort, Mumbai - 400001.

**Toll Free:** 1800 - 209 - 0101, **Fax:** (022) 66315194, **Email:** kiran@tataamc.com, **Website:** www.tatamutualfund.com

\* To be filled in **BLOCK LETTERS (Please strike off section(s) that is (are) not applicable)**



Expertise that's trusted

<b>Financial Advisor Code/ARN No.</b>	<b>Sub-Financial Advisor Code</b>
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Upront 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.

**Folio Number:** \_\_\_\_\_ **Date:** \_\_\_\_\_

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

	Name	PAN Number	KYC Compliant Status (please attach proof). Refer Instruction 3.
First Applicant/Guardian*			<input type="checkbox"/> Yes
Second Applicant			<input type="checkbox"/> Yes
Third Applicant			<input type="checkbox"/> Yes

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

**ADDITIONAL PURCHASE REQUEST**

Scheme	Option
Gross Amount in ₹	DD Charges ₹ (if any)
Net Amount in ₹	
₹ (in Words)	
Account No.	Cheque/DD No.
Dated	
Drawn on Bank & Branch	

**SWITCH REQUEST**

From (Scheme)	Option
To (Scheme)	Option
No. of Units	Transaction No. _____ or
Amount (₹)	Amount (in Words) _____

<b>TRIGGER FACILITY (For Tata Infrastructure Fund)</b>	<b>Would you like to avail of the Trigger Facility?</b> <input type="checkbox"/> Yes <input type="checkbox"/> No
<b>Trigger choice:</b> (Tick (✓)NAV Appreciation): <input type="checkbox"/> 5% <input type="checkbox"/> 10% (Default: 10%)	<b>Trigger option:</b> <input type="checkbox"/> Switch to Tata Floater Fund - Growth Option <input type="checkbox"/> Redeem
<b>Default Trigger at 10%.</b>	<b>(Default: Switch to Tata Floater Fund)</b>

**REDEMPTION REQUEST**

Scheme	Option
No. of Units	Transaction No. _____ or
Amount (₹)	Amount (in Words) _____

**The Trustee, Tata Mutual Fund**

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. **c)** 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. **d)** I/ We confirm that details provided by me / us are true and correct. **e)** 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.

<b>Signature(s)</b> / <b>Thumb Impression</b>		
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P. T.O.

Folio _____ Scheme _____ Option _____ Received from Mr./Ms. _____ <input type="checkbox"/> Additional Purchase: ₹. _____ (In Words) _____ Cheque/DD No _____ dated _____ drawn on _____ <input type="checkbox"/> Redemption <input type="checkbox"/> Switch: Amount (₹) _____ ₹ in words _____ OR Unit _____ <input type="checkbox"/> Change of Address <input type="checkbox"/> Change of Bank Account	 Expertise that's trusted For office use Signature of receiving authority. Date of Receipt: Time of Receipt:
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<input type="checkbox"/> <b>CHANGE OF OPTION</b>	
From (Scheme) _____	Option _____
<b>FROM:</b> DIVIDEND PAYOUT / DIVIDEND REINVESTMENT	<b>TO:</b> DIVIDEND PAYOUT / DIVIDEND REINVESTMENT

<input type="checkbox"/> <b>CHANGE OF ADDRESS (Refer Instruction - 2)</b>		
Address _____		
City _____	State: _____	Pincode: _____
Tel. (R) _____	Tel. (O) _____	Mobile _____

<input type="checkbox"/> <b>EMAIL COMMUNICATION</b>	
Email Address	_____
Consent to receive Email communication: <input type="checkbox"/> Yes <input type="checkbox"/> No.	
I would like to receive Account Statements, Newsletters, Annual Reports and other Statutory information / documents only by email.	

<input type="checkbox"/> <b>CHANGE/ADDITION OF BANK ACCOUNT DETAILS (of Sole/First Holder Only) - Refer instructions - 9, 10, 11, 12.</b>	
<input type="checkbox"/> Change of default Bank Mandate <input type="checkbox"/> Addition of Bank Mandate <input type="checkbox"/> Crediting Redemption Proceeds (in case of multiple bank registered <input type="checkbox"/> )	
Name of Your Bank _____	Branch _____
Your Account No. _____	_____
Bank Address _____	_____
City _____	PIN _____
_____	MICR Code _____
Account Type _____	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> NRO <input type="checkbox"/> NRNR <input type="checkbox"/> NRE
*IFSC Code for RTGS _____	*IFSC Code for NEFT _____
<b>* This is a 11 Digit Number, kindly obtain it from your Bank Branch. (Cancelled cheque is Mandatory)</b>	

<input type="checkbox"/> <b>DIRECT CREDIT FACILITY FOR REDEMPTION / DIVIDEND</b>	
Tata Mutual Fund directly credits the Dividends/Redemption/Payout into the investor Bank Account in case the account is with <b>ICICI Bank Ltd./HDFC Bank Ltd./Axis Bank /IDBI Bank/Standard Chartered Bank/Kotak Bank/HSBC Bank/Deutsche Bank/Royal Bank of Scotland/State Bank of India (Core banking centers only).</b>	
I/We understand that the instruction to the bank for Direct Credit/ECS/NEFT will be given by the Mutual Fund & such instruction will be adequate discharge of Mutual Fund towards redemption/dividend/payout proceeds. In case of bank not crediting my/our 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, I/We would not hold Tata Mutual Fund responsible. I/We understand that in case account number furnished by me/us, if found incorrect, I/We would not hold Tata Mutual Fund responsible for the credit going to the wrong account. 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.	
<b>If however you wish to receive cheque payment, please tick here</b> <input type="checkbox"/>	

Signature(s) / Thumb Impression		
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<b>INVESTOR SERVICE CENTRES - AMC OFFICES</b>	<b>Toll Free: 1800 - 209 - 0101 (Lines open on Sundays also)</b>
<b>Ahmedabad:</b> (079) 65418989 / 65447799, <b>Allahabad:</b> 9235531480, <b>Amritsar:</b> 9814082808, <b>Bhilai:</b> (0788) 2295625, <b>Bhopal:</b> 9826826646, <b>Bhubaneshwar:</b> (0674) 2533818 / 6450817, <b>Borivali:</b> (022) 28945923 / 65278852, <b>Chandigarh:</b> (0135) 6450877, <b>Chennai:</b> (044) 64541868/69/78, <b>Cochin:</b> (0484) 2377580, 6533107, <b>Coimbatore:</b> (0422) 6502133/ 44, <b>Delhi:</b> (011) 66324111/102, 66303202, <b>Dhanbad:</b> (0326) 2300304, <b>Durgapur:</b> (0343) 6454797, <b>Goa:</b> (0832) 6451135/36, <b>Guwahati:</b> (0361) 2343084, <b>Hubli:</b> (0836) 6450342, <b>Hyderabad:</b> (040) 65361237 / 38, 65548290, <b>Indore:</b> (0731) 4201806, <b>Jabalpur:</b> (0761) 4074263, <b>Jaipur:</b> (0141) 2389387 Fax:(0141) 5105178, <b>Jalandhar:</b> (0181) 5001024 / 25, <b>Jamshedpur:</b> (0657) 2756021/22/23/30, <b>Jodhpur:</b> (0291) 6450555, 2631257, <b>Kanpur:</b> (0512) 2306066, <b>Kolkata:</b> (033) 22881534 / 3413 / 15, <b>Lucknow:</b> (0522) 6452432 / 4001731, <b>Ludhiana:</b> (0161) 5089667/6503366, <b>Madurai:</b> (0452) 6454330, <b>Mangalore:</b> (0824) 6450308, <b>Moradabad:</b> (0591) 6535002 / 2313567, <b>Mumbai:</b> (022) 66505240, <b>Mysore:</b> (0821) 6450470, <b>Nagpur:</b> (0712) 6502885, <b>Nashik:</b> (0253) 6510315, 6605138, <b>North Agra:</b> (0562) 2525195, <b>Patna:</b> (0612) - 2206497, <b>Pune:</b> (020) 64005932/ 30288775/ 6, <b>Raipur:</b> (0771) 6537340 / 2543354, <b>Rajkot:</b> (0281) 6624848, <b>Ranchi:</b> (0651) 2330704, <b>Salem:</b> (0427) 6451653, <b>South Bangalore:</b> (080) 66561313 / 65335986/87, <b>Surat:</b> (0261) 6554418 / 19, <b>Trichur:</b> (0487) 6451286, <b>Trichy:</b> (0431) 6455060, <b>Trivandrum:</b> (0471) 6535431, 2319139, <b>Udaipur:</b> (0294) 2429371 / 6450979, <b>Vadodara:</b> (0265) 6641888, 2356114, <b>Varanasi:</b> (0542) 6544655, <b>Visakhapatnam:</b> (0891) 6451883.	

## INSTRUCTIONS

- (A)**
1. Please mention the change of address (only KYC non - compliant investor) / bank mandate (if any) in the form for redemption / Switch / Additional Investment.
  2. If you are KYC Compliant, request for change of address has to be submitted at POS of CVL using their form. Please do not use this form.
  3. PAN is mandatory for investments in Mutual Funds. KYC is mandatory for purchases, switch of units for all investors irrespective of the amount of investment and such transactions must be accompanied with a documentary proof of KYC compliance. In case of a minor, PAN and KYC details of the Guardian must be submitted. Application without this would be rejected by the Mutual Fund without any reference to the investor.
  4. To make an additional purchase, please send us a local cheque / DD payable at any of our branch/ authorised centre. Please make the cheque/DD payable in favour of the respective scheme.  
In pursuance to Best Practice Guidelines issued by Association of Mutual Funds in India [AMFI] Vide Circular No.135/BP/16/10 dated August 16th 2010 for acceptance of Third party cheques, Tata Asset Management Ltd has decided henceforth not to accept subscriptions with Third-Party cheques\* except in the following exceptional situations:  
    - a) Payment by Parents/Grand-Parents/related persons on behalf of a minor in consideration of natural love & affection or as gift for a value not exceeding ₹ 50,000/- (for each regular purchase or per SIP installment).
    - b) Payment by Employer on behalf of employee under Systematic Investment Plans through Payroll deductions.
    - c) Custodian on behalf of an FII or a client.

\* Third Party Cheque means:  
    - 1) When payment is made through instruments issued from an account other than that of the beneficiary investor, the same is referred to as Third-Party payment.
    - 2) In case of payments from a joint bank account, the first holder of the mutual fund folio has to be one of the joint holders of the bank account from which payment is made, other wise it will be treated as third party cheque.
 Investments from the investor's account with a different bank i.e., the pay-in & payout banks are different, if the pay-in bank mandate could not be established to be that of the investor, it will also be treated as third party investment.
5. Cash or outstation cheques will not be accepted. If there is no authorised centre where the investor resides he may send a DD after deducting the bank charges not exceeding the rate prescribed by State Bank of India.
  6. For fresh purchases under new scheme, plan or option - please refer the respective SID/SAI/KIM for more details.
  7. Please mention the Transaction No. in respect of every redemption request. If there is no such mention units will be redeemed on a first allotted first repurchased basis. Only 4 transaction numbers can be mentioned per transaction slip.
  8. If there is no sufficient amount/ units, the balance available free units in the respective account will be redeemed/ switched.
  9. Redemption requests should not be accompanied with requests for Change of Bank Account Details. If the Change of Bank Account Detail request is received along with Redemption requests only the redemption request will be processed and the redemption proceeds will be credited to the last registered bank mandate and the request for Change of bank mandate will be rejected.  
In case the investor needs to add/alter the existing bank mandate he should carry out the same 10 business days prior to date of redemption.
  10. Please inform the purpose of the request clearly by choosing ANY ONE of the options among (i) Change of default Bank Mandate (ii) Addition of Bank Mandate (iii) Bank Account for crediting redemption proceeds. Please Note (a) The selection "Bank account for crediting redemption proceeds" will be executed only if the mandate is already registered. (b) In case, where there are more than one bank mandates registered the bank mandate will be used only for the specific transaction and the default mandate will remain unchanged.(c) In case of any ambiguity the request will not be processed.
  11. Any of the following documents are valid supporting documents for registration of a bank documents: (a) A cancelled original cheque leaf (where the number and first unit holder name is printed on the face of cheque).b) A letter from the bank on its letterhead certifying that the unit holder maintain as/maintained an account with the bank mentioning the account numbers, bank branch, account type, MICR of the branch & IFSC Code for NEFT & IFSC code for RTGS (where available). The letter should be certified by the bank manager with his/her full signature, name, employee code, bank seal and contact number. (C) A copy of the bank pass book or statement of bank account having the name and address of the account holder and account number. The copy should be attested by the bank manager with his/her full signature, name, employee code, bank seal and contact number.
  12. In case of Change of mandate, please provide the proof for OLD bank mandate as well.
  13. **Please do not use this transaction slip for Tata Service Industries Fund and Tata Contra Fund.**
  14. **Sign on all pages** else instructions/requests only on signed leaf will be processed.
  15. Requests for change from dividend option to growth option and vice versa should be given under switch request.
  16. Refer Key Information Memorandum (KIM) for default options.

**(B) Understanding Trigger facility**

Under this facility, the investor can choose a specific % target return, which if achieved in the scheme, the Gain shall either be redeemed or switch to the Growth Option of Tata Floater Fund.

**Applicability : Scheme** - Tata Infrastructure Fund; Option: Growth

**Switch scheme:** Tata Floater Fund – Growth Option

**Trigger level:** • **First Trigger:** 5% or 10% (as per investor's request) gain in the NAV from NAV at the date of receipt of the trigger request.

• **Subsequent Trigger:** After the first trigger the base value for the calculation of next level of trigger (5% or 10% gain) will be the NAV level of the previous trigger. The triggers will continue till such time the investor gives a request to cancel the Trigger facility.

**Features:** On achieving each specific % target return in the scheme, the Gain shall either be redeemed or switched to Tata Floater Fund- Growth Option. The minimum application amount criteria for the debt scheme will not be considered.

**Calculation:** The calculation of the gain will be using the formula:

(Trigger day NAV – previous trigger day NAV) \* Number of units

**Minimum amount eligibility:** This feature will be applicable along with the minimum purchase amount of ₹. 5000/- i.e. the purchase/additional purchase/switch-in amount should be a minimum of ₹. 5000/-.

**NAV for switch /redemption:** NAV of the trigger day will be considered for the purpose of redemption/ switch. In case of non business day in debt schemes but business day for Equity, switch out will be processed on the trigger day and Switch in will be processed on the next business day for Tata Floater Fund - Growth option.

**Load Structure**

Entry Load for trigger facility	Entry load as applicable in Tata Infrastructure Fund.
Exit load at the time of triggered switch	Nil.
Entry load at the time of switch-in to debt scheme	Entry load as applicable in Tata Floater Fund
Exit load at the time of redemption from debt scheme	Exit load as applicable in the Tata Floater Fund

**SIP: This facility will not be applicable for Systematic Investment Plan.**

**Illustration:**

Sr no	Date	Valuation	NAV per unit	No of units	units	Appreciation (₹)	Investment / Redemption	Comments
1	1-Jul-09	10000.00	12.5500	796.813				On the day of investment
2	25-Jul-09	11000.00	13.8050	796.813				Trigger will be enabled
3	25-Jul-09	10000.00	13.8050	724.375	(72.438)	1000.00		Redemption based on Trigger 1 (12.5500 * 10%)
4	6-Sep-09	11000.00	15.1855	724.375				Trigger will be enabled
5	6-Sep-09	10000.00	15.1855	658.523	(65.852)	1000.00		Redemption based on Trigger 2 (13.8050 * 10%)
6	7-Oct-09	15042.47	15.2500	986.392	327.869		5000.00	Additional purchase for ₹.5000
7	20-Oct-09	16476.74	16.7041	986.392				Trigger will be enabled
8	20-Oct-09	14978.85	16.7041	896.720	(89.672)	1497.89		Redemption based on Trigger 3 (15.1855 * 10%)
9	25-Oct-09	10531.19	17.3200	608.036	(288.684)		(5000.00)	Redemption request for ₹.5000
10	5-Nov-09	11172.33	18.3745	608.036				Trigger will be enabled
11	5-Nov-09	10156.67	18.3745	552.760	(55.276)	1015.67		Redemption based on Trigger 4 (18.3745 * 10%)

1. Receipt of application at NAV 12.55. Trigger registered for NAV 12.5500. This will be irrespective of the Price per unit. i.e. the base level for the first trigger will be 12.5500.
2. NAV reached 13.8050 and therefore trigger is enabled.
3. Calculation of appreciated amount:  $(13.8050 - 12.5500) * 796.813$ , also units reduced 72.438 i.e.  $1000.00 / 13.8050$
4. Next trigger level is reset to 15.1855 i.e.  $13.8050 * 10\%$
5. Next trigger level at 15.1855 based on the calculations in Step 2 and 3. The next level of trigger reset to 16.7041 i.e.  $(15.1855 * 10\%)$
6. Additional purchase of ₹. 5000/- at NAV 15.2500. Number of units increased to 986.392
7. Next trigger level achieved at 16.7041 NAV
8. Please note here the calculation of appreciation  $(16.7041 - 15.1855) * 986.392 = 1497.89$  here despite there is a transaction received at 15.2500 the trigger at 16.7041 will be applicable for this transaction as well. Next trigger level reset to 18.3745.
9. Redemption request for ₹. 5000/-
10. and 11. Next trigger execution.

**Instructions**

1. The trigger facility is available only for Tata Infrastructure Fund – Growth option.
2. This feature will be applicable for purchase / switch in applications of minimum purchase amount of ₹. 5000/-.
3. a) A separate folio will be created for additional purchase transactions received with the trigger option.  
b) For switch-in transactions received with the trigger option,  
i) In case the Folio already has an investment in Tata Infrastructure Fund – Growth option a separate folio will be created for the investment.  
ii) In case the Folio does not have investments in Tata Infrastructure Fund - Growth option, the scheme will be created in the same folio for the investment.
4. The investor can choose any one of the following % target return: 5% or 10%. The trigger level ones selected cannot be changed.
5. The default trigger level is 10%. The default trigger option is switch to Tata Floater Fund - Growth option.
6. Please note that the folio created for this facility / having trigger facility cannot be consolidated with other folios.
7. Trigger requests without transaction (i.e. additional purchase / switch-ins) will not be processed.
8. Requests for extending trigger facility in the existing folio cannot be considered.
9. Trigger level will be calculated on the applicable NAV on the date of receipt of the first subscription application form (purchase /additional purchase/switch in) with the trigger request.
10. The calculation of the gain will be using the formula:  $(\text{Trigger NAV} - \text{previous trigger NAV}) * \text{Number of units}$
11. Subsequent triggers will be captured with the NAV as on the previous trigger date as a base.
12. Any subsequent purchase received in this new folio will follow the triggers set based on the first such trigger transaction, irrespective of the NAV of the subsequent purchase.
13. The redemption / switch of units will be based on First-In-First-Out (FIFO) basis.
14. NAV for switch /redemption: NAV of the trigger day will be considered for the purpose of redemption/ switch. In case of non business day in debt schemes but business day for Equity, switch out will be processed on the trigger day and Switch in will be processed on the next business day for Tata Floater Fund - Growth option.
15. Loads applicable:  
a. Entry Load for trigger facility - Entry load as applicable in Tata Infrastructure Fund.  
b. Exit load for switch-outs and redemption due to the trigger transaction- Nil.  
c. Entry load at the time of switch-in to Tata Floater Fund - Growth option - Entry load as applicable in Tata Floater Fund  
d. Exit load at the time of redemption from Tata Floater Fund - Growth option - Exit load as applicable in the Tata Floater Fund  
e. For normal redemptions and switch out request from such folios—normal load structure is applicable
16. The triggers will continue till such time the investor gives a request to cancel the Trigger facility.
17. In case of cancellation of the trigger facility the Unit holders will have to give a written request duly signed by all unit holder/s to our offices / service centers. The AMC will require at least 10 business days from the date of submission of such request to process the cancellation of the facility. On receipt of such request, the said facility will be terminated and notified to the unit holder. In case a trigger is activated in the interim period before ceasing the request the switch / redemption transaction will be processed.
18. The minimum redemption amount criteria for redemption /switch from Tata Floater Fund – Growth plan will be applicable.