

**STP / SWP FORM**

**Investment Manager:** Tata Asset Management Limited **Trustee:** Tata Trustee Company Limited  
**Toll Free:** 1800 - 209 - 0101, **Fax:** (022) 66315194, **Email:** service@tataamc.com, **Website:** www.tatamutualfund.com



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

BROKER / AGENT CODE	SUB-BROKER / BANK BRANCH CODE	SUB-BROKER ARN CODE	EUIN CODE	FOR OFFICE USE ONLY (TIME STAMP)
ARN-109217			E150257	

☐ I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this transaction is executed without any interaction or advice by the employee/relationship manager/sales person of the above distributor/sub broker or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor/sub broker. 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. (Refer instruction 15 & 16)

Sole / 1st Unitholder Signature / Thumb Impression	2nd Unitholder Signature / Thumb Impression	3rd Unitholder Signature / Thumb Impression
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Request for: ☐ Fresh Registration ☐ Cancellation

Folio No. of 'Transferor' Scheme (for existing Unitholder) / Application No. (for new investor)

Name of the Applicant	PAN# or PEKRN#	KYC is mandatory# Please (✓)
Name of the First/Sole Applicant	<input type="text"/>	Proof Attached <input type="checkbox"/>
Name of the Second Applicant	<input type="text"/>	Proof Attached <input type="checkbox"/>
Name of the Third Applicant	<input type="text"/>	Proof Attached <input type="checkbox"/>

#Please attach Proof. If PAN / PEKRN / KYC is already validated, please don't attach any proof.

Email address: ..... Mobile Number .....

**SYSTEMATIC TRANSFER PLAN (STP)**

Name of 'Transferor' Scheme / Plan / Option	(Investor applying under Direct Plan must mention 'Direct' against the Scheme name)
Name of 'Transferee' Scheme / Plan / Option	(Investor applying under Direct Plan must mention 'Direct' against the Scheme name)

Please Select the Transfer Plan: (Any one)

- ☐ Fixed Amount Transfer Plan (FATP) for Rs. .... In words .....
- ☐ Fixed Unit Transfer Plan (FUTP) for ..... Units (Mention the number of Units)
- ☐ Dividend Transfer Plan (DTP) ☐ Capital Appreciation Transfer Plan (CATP)

Transfer Frequency: Not applicable for DTP

<input type="checkbox"/> Daily Only from Monday to Friday*	<input type="checkbox"/> Weekly (Only on Fridays)	<input type="checkbox"/> Monthly <input type="checkbox"/> 1st <input type="checkbox"/> 7th <input type="checkbox"/> 10th <input type="checkbox"/> 20th <input type="checkbox"/> 28th Days of the month	<input type="checkbox"/> Quarterly
Select any one			
In case the day of STP is a non business day the request will be considered for the next business day.			

STP Period: (Not applicable for Dividend Transfer Plan)

Start Period: From         End Period:          
OR  
Number of Transfers / Installments .....

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

**SYSTEMATIC WITHDRAWAL PLANS (SWP)**

Name of Scheme / Plan / Option	(Investor applying under Direct Plan must mention 'Direct' against the Scheme name)
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Folio No. .... Name .....

☐ Fixed Amount Rs. .... In words ..... ☐ Capital Appreciation

Frequency ☐ Monthly ☐ Quarterly ☐ Half Yearly ☐ Annually (Default)

Withdrawal Date (any date between 01st and 31st) ..... day in words ..... Default 25th

Withdrawal period From         to

**The Trustee, Tata Mutual Fund**

Having read & understood the contents of the Scheme Information Document of the Transferor and Transferee Scheme. I/ We hereby apply for units of the scheme & agree to abide by the terms, conditions, rules & regulations governing the scheme.

Sole / 1st Unitholder Signature / Thumb Impression	2nd Unitholder Signature / Thumb Impression	3rd Unitholder Signature / Thumb Impression
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## GENERAL INSTRUCTIONS

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

## Instructions for Systematic Transfer Plan (STP)

1. There are four OPTIONS:
  - a. Fixed amount: Fixed amount will be transferred to any Transferee scheme of Tata MF, on the days mentioned under Transfer Frequency below, subject to the terms and conditions of the schemes.
  - b. Fixed units - Fixed units will be transferred to any other scheme of Tata MF, on the days mentioned under Transfer Frequency below, subject to the terms of the scheme.
  - c. Capital appreciation: The capital appreciation amount as on the dates mentioned below will be transferred to any other scheme of Tata MF, subject to the terms of the scheme.
  - d. Dividend amount / Dividend sweep: Dividend sweep is possible only if the investor has opted for Dividend reinvestment. Dividend sweep is not possible if the investor has opted for dividend payout.
  - e. Dividend declared will be automatically invested into scheme/plan of Tata Mutual Fund, mentioned by the unit holder. E.g. Mr. X has units in TATA Dynamic Bond Fund – Dividend reinvestment option and has opted for Dividend sweep to Tata Income Fund - Growth Option. As and when dividend is declared in TATA Dynamic Bond Fund, the dividend will be directly transferred to Tata Income Fund - Growth option.
- ii. Please note that there will be no entry of dividend reinvestment in the scheme where the dividend has been declared and the description in the scheme where the investor has opted dividend sweep will be Dividend Sweep Out.
- iii. The frequency of transfer will be dependent on the dividends declared in the scheme where the investment has been made.
- iv. The total dividend amount will be automatically invested on the ex-dividend date into another scheme of TATA MF at the NAV of that scheme and accordingly equivalent units will be allotted, subject to the terms of the schemes e.g. If the dividend record date is 11<sup>th</sup> September 2015 (Friday) and the ex-dividend date is 14<sup>th</sup> September 2015 (Monday), the investor will be allotted units at NAV of the same day i.e. 14<sup>th</sup> September 2015 (Monday).
- v. There is no minimum and maximum amount under this option.
- vi. Investor need not mention the STP start date and the END date for Dividend Transfer Plan. The same will be registered on receipt of the application at the registrar back office. Also, the investor should send an intimation in case the ceasure of the DTP is required.
2. Transfer frequency:
  - a. Monthly and Quarterly:
    - i. This facility is available under fixed Amount/Units and Capital Appreciation.
    - ii. The STP dates are 1st / 7th / 10th / 20th and 28th of every month.
    - iii. The STP dates for quarterly STP are 1st / 7th / 10th / 20th and 28th. The quarter will be taken in to consideration from the first STP month i.e. if the first STP date is 10<sup>th</sup> Aug 2015, then the next STP will take place on 10<sup>th</sup> Nov 2015 and then on after every 3 months.
  - b. If any of the selected days is a non-business day, then the request will be processed immediately on the next Business Day.
- b. Weekly:
  - i. This facility is available under fixed Amount/Units/Capital Appreciation.
  - ii. The facility is available on every Friday (if Friday is a non-business day, then the request will be processed immediately on the next Business Day).
- c. Daily (Business Days):
  - i. This facility is available under fixed Amount.
- d. If STP date/day is a non-Business Day, then the next Business Day shall be the STP Date/Day and the same will be considered for the purpose of determining the applicability of NAV.
- e. The Unitholder should submit the duly filled in STP Enrolment Form at least 7 days prior to the first STP date.
3. Transfer Amount:

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

  - a. For Monthly STP: Where the Transfer to scheme is any other than scheme than Tata Tax Saving Fund a minimum of ₹ 500/- and in multiples of ₹ 1/- . Where the Transfer to scheme is Tata Tax Saving Fund the minimum amount to be transferred would be a minimum of ₹ 500/- and in multiples of ₹ 500/- thereof.
  - b. For Quarterly STP: Where the Transfer to scheme is any other than scheme than Tata Tax Saving Fund a minimum of ₹ 1000/- and in multiples of ₹ 1/- . Where the Transfer to scheme is Tata Tax Saving Fund the minimum amount to be transferred would be a minimum of ₹ 500/- and in multiples of ₹ 500/- thereof.
  - c. For Daily STP: Where the Transfer to scheme is any other than scheme than Tata Tax Saving Fund a minimum of ₹ 500/- and in multiples of ₹ 1/- . Where the Transfer to scheme is Tata Tax Saving Fund the minimum amount to be transferred would be a minimum of ₹ 500/- and in multiples of ₹ 500/- thereof.
4. Minimum Installments:
  - a. For fixed amount:
    - i. For amount greater than or equal to ₹ 2000/-: The minimum number of installments would be 3.
    - ii. For amount greater than or equal to ₹ 1000/- however less than ₹ 2000/-: The minimum number of installments would be 6.
    - iii. For amount greater than or equal to ₹ 500/- however less than ₹ 1000/-: The minimum number of installments would be 12.
  - b. For fixed Units the minimum number of installments should be 3.
  - c. The investor has an option to select the number of installments for transfer. In case the investor has selected the 'from date' and 'to date' the number of installments will be ignored.
  - d. In case, the Enrolment Period has been filled, but the STP Date and/or Frequency (Monthly/Quarterly) has not been indicated, Monthly frequency shall be treated as Default frequency and 10th shall be treated as Default Date.
  - e. Investor should mention the STP Start date & End date (not applicable in case of dividend transfer plan).
  - f. In case the Start Date is mentioned but End Date is not mentioned and if the number of installments are not mentioned then,
    - For Daily STP, the default end date will be 5 years.

- For Weekly Monthly and Quarterly STP, the default end date will be December 2099.
- ii. In case the End Date is mentioned but Start Date is not mentioned, the application will be registered as follows:
  - Daily STP: After expiry of 7 days from submission of the application from
  - Weekly STP: The next Friday after expiry of 7 days from submission of the application from.
  - For Monthly and Quarterly: The date selected or the default date i.e. 10th of each month / quarter (or the immediately succeeding Business Day), after expiry of 7 days from submission of the application form, provided the minimum number of installments are met.
- f. There will be no maximum duration for STP enrolment. However, STPs will be registered in a folio held by a minor, only till the date of the minor attaining majority, even though the instructions may be for a period beyond that date.
5. Cancellation of STP:
  - a. Cancellation of STP request should be submitted before 7 days from the processing date of STP. For example - The request to be forwarded on or before 13<sup>th</sup> October 2015 for the cancellation of STP on 20<sup>th</sup> October 2015. If not then it will be considered only for the next month STP Date.
  - b. In case there is no minimum fixed amount or fixed units (as selected by the investor) available in the unit holder's account the residual amount will be transferred to the Transfer to scheme and the STP will be ceased.
  - c. STP will be automatically terminated if all units are liquidated or withdrawn from the Transferor Scheme or pledged or upon receipt of intimation of death of the unit holder.
6. Loads: Since STP is a Systematic Withdrawal Plan from one scheme (SWP) and Systematic Investment Plan (SIP) in other scheme the prevailing SIP Load structure will be applicable.
7. The units under lien and schemes under lock in period will not be eligible for STP.
8. For NAV applicability please refer our website [www.tatamutualfund.com](http://www.tatamutualfund.com). In case any day is a non-business day for any one of the schemes (either STP from or STP to scheme) the STP will be processed as per the matrix provided on our website [www.tatamutualfund.com](http://www.tatamutualfund.com).
9. Permanent Account Number SEBI has made it mandatory for all applicants (in the case of application in joint names, each of the applicants) to mention his/her permanent account number (PAN) {Except as mentioned below} irrespective of the amount of investment. Where the applicant is a minor, and does not possess his / her own PAN, he / she shall quote the PAN of his / her father or mother or the guardian, as the case may be. Applications not complying with the above requirement may not be accepted/ processed. PAN card copy is not required separately if KYC acknowledgement letter is made available. For further details, please refer Section 'Permanent Account Number' under Statement of Additional Information available on our website [www.tatamutualfund.com](http://www.tatamutualfund.com)
- PAN Exempt Investments: PAN Exempt KYC Reference Number (PEKRN) holders may enroll for this facility. For further details on PAN exempt Investments, refer Instructions of Scheme Application Form or Statement of Additional Information. However, if the amount per installment is ₹ 50,000 or more, in accordance with the extant Income Tax rules, investors will be required to furnish a copy of PAN to the Mutual Fund.
10. Know Your Customer (KYC) Compliance: Investors should note that it is mandatory for all registrations for Systematic Transfer Plan (STP) to quote the KYC Compliance Status of each applicant (guardian in case of minor) in the application and attach proof of KYC Compliance viz. KYC Acknowledgement Letter. For more details, please refer to the Statement of Additional Information available on our website [www.tatamutualfund.com](http://www.tatamutualfund.com)
11. Investors with existing STP enrolment, who wish to invest under the Direct Plan of the Transferee Scheme must cancel their existing enrolment and register afresh for the facility. Investment through Distributors / Agents are not entitled to distribute units of mutual funds unless they are registered with Association of Mutual Funds in India (AMFI). Every employee/ relationship manager/ sales person of the distributor of mutual fund products to quote the Employee Unique Identification Number (EUIIN) obtained by him/her from AMFI in the Application Form. Individual ARN holders including senior citizens distributing mutual fund products are also required to obtain and quote EUIIN in the Application Form. Hence, if your investments are routed through a distributor, please ensure that the EUIIN is correctly filled up in the Application Form. However, in case of any exceptional cases where there is no interaction by the employee/ sales person/relationship manager of the distributor/sub broker with respect to the transaction and EUIIN box is left blank, you are required to provide the duly signed declaration to the effect as given in the form. For further details on EUIIN you may kindly refer to the instructions of the Scheme Application Form or Statement of Additional Information. These requirements do not apply to Overseas Distributors. New cadre distributors: New cadre distributors are permitted to sell eligible schemes of the Fund (details of eligible scheme is available on They also hold an EUIIN which must be quoted in the application form. In case your application through such distributor is not for an eligible scheme, it is liable to be rejected.
- Direct Investments: Investors applying under Direct Plan must mention "Direct" in ARN column. In case Distributor code is mentioned in the application form, but "Direct Plan" is indicated against the Transferee Scheme name, the Distributor code will be ignored and the application will be processed under Direct Plan.
- Tata Mutual Fund reserves the right to reject any application without assigning any reason thereof.

## Instructions for Systematic Withdrawal Plan (SWP)

1. There are two options available: a) Fixed Amount b) Capital Appreciation.
2. Minimum withdrawal for fixed option is ₹ 500/-
3. Investors can choose any date for SWP between 01<sup>st</sup> and 31<sup>st</sup> of every Month / Quarter. In case there is any ambiguity the default date will be considered as 25<sup>th</sup>. In case the "To Date" is not mentioned, the payout will continue until the balance units are reduced to zero.
4. For the Fixed Amount SWP, the amount withdrawn under SWP by Redemption shall be converted into the specific Scheme/Plan Units at the NAV based prices as on the SWP withdrawal date and such Units will be subtracted from the Unit Balance of the Unitholders.
5. For the Capital appreciation SWP, the capital appreciation amount as on the dates mentioned will be redeemed and the respective Units will be subtracted from the Unit Balance of the Unitholders.
6. In case these dates fall on a holiday or does not exist for a particular month or fall during a Book Closure period, the next Business Day will be considered for this purpose.
7. If there is inadequate balance on the SWP date, the SWP will be processed for the balance units and the SWP will be automatically terminated and there will not be any further trigger.
8. Exit load will be charged as per the scheme's applicable load structure at the time of purchase of the units.
9. The Unitholder should submit the duly filled in SWP Enrolment Form at least 7 calendar days prior to the first SWP date. In case the SWP start date as mentioned in the SWP Enrolment Form above does not satisfy this condition, the first SWP date shall be rolled over to begin from the immediately following Month /Quarter / Half Year / Year, as applicable.
10. SWP facility may be terminated on receipt of a written notice from the Unitholder. Notice of such discontinuation should be received at least 7 calendar days prior to the due date of the next withdrawal. SWP will terminate automatically if all Units are liquidated or withdrawn from the folio or pledged or upon receipt of notification of death of the first named Unitholder.