

TATAMUTUAL FUND

Expertise that's trusted

Debit Mandate Form NACH (One Time Mandate - OTM)

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

Date

UMRN

Office use only

Choose (✓)

Sponsor Bank Code

Office use only

Utility Code

Office use only

NEW

CANCEL

AMEND

I/We hereby authorize

TATAMUTUAL FUND

to debit (✓)

SB

CA

CC

SB-NRE

SB-NRO

Other

Bank A/c No.:

With Bank:

Bank Name & Branch

IFSC

MICR

an amount of Rupees

Amount in Words

₹

FREQUENCY

Monthly

Quarterly

Half Yearly

As when presented (default)

DEBIT TYPE

Fixed Amount

Maximum Amount

Reference / Folio No.

Email Id

Scheme / Plan reference No.

All Schemes of Tata Mutual Fund

Mobile

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

PERIOD

From

to

or

Until Cancelled

Sign

Signature of First Account Holder

Sign

Signature of Second Account Holder

Sign

Signature of Third Account Holder

1.

Name as in bank records

Name (Mandatory)

2.

Name as in bank records

Name (Mandatory)

3.

Name as in bank records

Name (Mandatory)

This is to confirm that the declaration has been carefully read, understood & made by me/us. I am authorising the user Entity / Corporate to debit my account, based on the instructions as agreed and signed by me.

I have understood that I am authorised to cancel / amend this mandate by appropriately communicating the cancellation / amendment request to the user entity / corporate or the bank where I have authorised the debit.

SIP REGISTRATION FORM (Attention: Investors registered for One Time Mandate (OTM) need not attach the OTM again)

DISTRIBUTION INFORMATION (Only empanelled Distribution / Broker will be permitted to distribute Units of Tata Mutual Fund) refer instruction 9

Broker / Agent Code

Sub-Broker / Bank Branch Code

Sub-Broker ARN Code

EUIN Code

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 inappropriateness, if any, provided by the employee/relationship manager/sales person of the distributor/sub broker.

Sole / 1st Unitholder Signature / Thumb Impression

2nd Unitholder Signature / Thumb Impression

3rd Unitholder Signature / Thumb Impression

TRANSACTION CHARGES FOR APPLICATIONS THROUGH DISTRIBUTORS ONLY (Refer Inst. 8 and please tick (✓) any one)

I confirm that I am a First time investor across Mutual Funds.
(Rs. 150 deductible as Transaction Charge and payable to the Distributor)

I confirm that I am an existing investor in Mutual Funds.
(Rs. 100 deductible as Transaction Charge and payable to the Distributor)

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.

Existing Investor Folio No. / New Investor Application No.:

APPLICATION DETAILS

Name of Sole / 1st holder

PAN No. / PEKRN. KYC##

Name of 2nd holder

PAN No. / PEKRN. KYC##

Name of 3rd holder

PAN No. / PEKRN. KYC##

email (Refer Inst.7):

Mobile :

Sr. No.

Scheme / Plan / Option / Sub-option

SIP Instalment Amount (₹)

SIP Date# (Please mention any date)

Frequency

Start Month / Year

End Month / Year (Default Dec 2099)*

1.

in words:

Monthly*

Quarterly

2.

in words:

Monthly*

Quarterly

3.

in words:

Monthly*

Quarterly

* Default SIP date 10; **attach copy of Acknowledgement

* Default Option

Please tick (✓) as applicable:

One Time Mandate is already registered in the folio. [No need to submit again]. SIP Auto debit can start in FIVE Days. i.e. for debit days 7th, form can be submitted till 2nd of the month.

One Time Mandate is attached and to be registered in the folio. SIP Auto debit will start after mandate registration which taken Ten to Thirty days depending on NACH or ECS modalities. The amount of the instalment per scheme should be less than or equal to the amount as mentioned in One Time Mandate already registered or submitted, if not registered.

Declaration:

Having read, understood and agreed to the contents of OTM facility, the Scheme information Document, Statement of Additional Information, Key Information Memorandum, instructions and Addenda issued from time to time of the respective Scheme(s) of Tata Mutual Fund mentioned within, I hereby declare that the particulars given above are correct my willingness to make payments towards SIP instalments referred above Scheme of various Mutual Funds from amongst which the Scheme being recommended to me/us.

Signatures [as per Mutual Fund Records / Application]

First Unit Holder's Signature

Second Unit Holder's Signature

Third Unit Holder's Signature

SIP Acknowledgement through OTM facility.

Tata Mutual Fund

ISC Stamp

Investor Name:

Folio No./ Application No.

INSTRUCTIONS TO FILL ONE TIME MANDATE (OTM)

1. Investors who have already submitted a One Time Mandate (OTM) form or already registered for OTM facility should not submit OTM form again as OTM registration is a one-time process only for each bank account. However, if such investors wish to add a new bank account towards OTM facility may fill the form.
2. Investors, who have not registered for OTM facility, may fill the OTM form and submit duly signed with their name mentioned.
3. Mobile Number and Email Id: Unit holder(s) should mandatorily provide their mobile number and email id on the mandate form. Where the mobile number and email id mentioned on the mandate form differs from the ones as already existing in the folio, the details provided on the mandate will be updated in the folio. All future communication whatsoever would be, thereafter, sent to the updated mobile number and email id.
4. Unit holder(s) need to provide along with the mandate form an original cancelled cheque (or a copy) with name and account number pre-printed of the bank account to be registered or bank account verification letter for registration of the mandate failing which registration may not be accepted. The Unit holder(s) cheque/ bank account details are subject to third party verification.
5. Investors are deemed to have read and understood the terms and conditions of OTM Facility, SIP registration through OTM facility, the Scheme Information Document, Statement of Additional Information, Key Information Memorandum, Instructions and Addenda issued from time to time of the respective Scheme(s) of Tata Mutual Fund.
6. Date and the validity of the mandate should be mentioned in DD/MM/YYYY format.
7. Utility Code of the Service Provider will be mentioned by Tata Mutual Fund
8. Tick on the respective option to select your choice of action and instruction.
9. The numeric data like Bank account number, Investors account number should be left padded with zeroes.
10. Please mention the Name of Bank and Branch, IFSC / MICR Code also provide An Original Cancelled copy of the cheque of the same bank account registered in One Time Mandate.
11. Amount payable for service or maximum amount per transaction that could be processed in words. The amount in figures should be same as the amount mentioned in words, in case of ambiguity the mandate will be rejected.
12. For the convenience of the investors the frequency of the mandate will be "As and When Presented"
13. The mandate will be valid till 31/12/2099
14. Please affix the Names of customer/s and signature/s as well as seal of Company (where required) and sign the undertaking.

INSTRUCTIONS TO FILL SIP MANDATE

1. The investor agrees to abide by the terms and conditions of NACH facility of NPCI, Direct Debit facility of Banks, and ECS facility of RBI. Tata Mutual Fund (TMF) / TAML, its registrars and other service providers shall not be held responsible or will not be liable for any damages and will not compensate for any loss, damage etc. incurred to the investor. The investor assumes the entire risk of using this facility and takes full responsibility. Investor will not hold TMF / TAML, its registrars and other service providers responsible if the transaction is delayed or not effected or the investor bank account is debited in advance or after the specific SIP date due to various clearing cycles of Auto Debit / ECS / local holidays. TMF shall endeavor to register the one time mandate and SIPs through NACH however if for any reason what so ever the registrations of OTM is unsuccessful; TMF shall endeavor to register the SIP through other debit modes like Direct Debit, Standing Instructions, ECS, RECS etc.
2. Note: Accordingly, with effect from November 15, 2010 TMF will not accept applications for subscriptions accompanied with third party payment instruments except in exceptional situations. Third Party Payment is defined as:
 - a. Payment made through an instrument issued from an account other than that of the beneficiary investor.
 - b. In case of payments from a joint bank account, the 1st holder of the mutual fund folio has to be one of the joint holders of the Bank Account from which payment is made.
 - c. Investments from the investor's account with a different bank i.e., the pay-in & payout banks are different, if the pay-in bank mandate could not be established to be that of the investor, it will also be treated as third party investment.

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

 - a. Payment by Parents/Grandparents/related persons on behalf of a minor in consideration of natural love and affection or as gift for a value not exceeding Rs. 50,000/- (each regular purchase or per SIP installment);
 - b. Payment by employer on behalf of employee under Systematic Investment Plan (SIP) facility through payroll deductions;
3. Minimum application amount for Monthly SIP Option – 12 instalments of Rs. 500/- each or 6 instalments of Rs. 1,000/- each and in multiples of Re. 1 thereafter. For Quarterly SIP option – 4 instalments of Rs. 1,500/- each and in multiples of Re. 1 thereafter. (Tata Tax Saving Fund – SIP should be in multiples of Rs. 500/-). For MICRO SIP maximum SIP amount can be Rs.4000/- Per Month or Rs. 12000/- Per Quarter across all his folios.
4. The provisions mentioned in the respective SID regarding Applicable NAV, Risk Factors, Load etc. shall be applicable. The provision for "Minimum Application Amount" as specified in the respective SID will not be applicable for SIP Investments.
5. Investors are required to provide an original cancelled cheque (or a copy) with name and account number pre-printed of the bank account to be registered or bank account verification letter for registration of the mandate failing which registration may not be accepted. The Unit holder(s) cheque/ bank account details are subject to third party verification. In case the investor is not able to submit the Original cancelled cheque or do not have the name of the investor on the face of the cheque. Then submit any one of the following:
 - i. Copy of the bank passbook attested by bank / Original bank statement with name, address and bank account number of the investor.
 - ii. A letter from the bank on its letter head certifying that the investor maintains an account with the bank, along with the information like the bank account number, bank branch, account type, the MICR code of the branch and the IFSC code.
6. Allotment of units would be subject to realisation of credit.
7. TMF / TAML reserves the right to use Electronic Mail (email) as a default mode to send various communication which include account statements for transactions done by the investor(s). On acceptance of the application for subscription, an allotment confirmation specifying the number of units allotted by way of email and/or SMS within 5 Business Days from the date of closure of initial subscription and/or date of receipt of transaction request will be sent to the Unit holders registered e-mail address and/or mobile number. A consolidated account statement (CAS) for each calendar month to the investor(s) in whose folio(s) transaction(s) across all mutual funds has/have taken place during the month on or before 10th of the succeeding month shall be sent by email (wherever investor has provided email id) or physical account statement where investor has not provided email id.
8. Transaction Charge: In accordance with SEBI circular No. Cir/ IMD/ DF/13/ 2011 dated August 22, 2011, TAML/TMF will deduct Transaction Charges from the purchase/ subscription amount received from the investors investing through a valid ARN Holder i.e. AMFI registered Distributor (provided the Distributor has opted to receive the Transaction Charges).

Transaction Charge of Rs. 150 (for a first time investor across mutual funds) or Rs. 100 (for investor other than first time mutual fund investor) per purchase / subscription of Rs. 10,000 and above are deductible from the purchase / subscription amount and payable to the Distributor. The balance amount shall be invested.

Transaction charges in case of investments through SIP: Transaction Charges in case of investments through SIP are deductible only if the total commitment of investment (i.e. amount per SIP installment x No. of instalments) amounts to Rs. 10,000 or more. In such cases, Transaction Charges shall be deducted in 3-4 instalments. Transaction Charges shall not be deducted:

 - a. where the Distributor of the investor has not opted to receive any Transaction Charges
 - b. for purchases / subscriptions / total commitment amount in case of SIP of an amount less than Rs. 10,000/-;
9. Employee Unique Identification Number (EUIIN): Further, SEBI has made it compulsory for every employee/ relationship manager/ sales person of the distributor of mutual fund products to quote the EUIIN obtained by him/her from AMFI in the Application Form. EUIIN would assist in addressing any instance of mis-selling even if the employee/relationship manager/sales person later leaves the employment of the distributor. Hence, if your investments are routed through a distributor please ensure that the EUIIN is correctly filled up in the Application Form.

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

Overseas Distributors: Overseas Distributors are exempt from obtaining NISM certification and AMFI registration as per AMFI circular No. CIR/ ARN-14/12-13 dated July 13, 2012 and the EUIIN requirement as per AMFI Circular No.135/BP/33/2012-13 dated December 31, 2012. However, such Overseas Distributors are required to comply with the guidelines/ requirements as may be issued by AMFI /SEBI from time to time and also comply with the laws, rules and regulations of jurisdictions where they carry out their operations in the capacity of distributors
10. An investor can opt for Monthly or Quarterly frequency. An investor shall have the option of choosing for 1 or more than 1 SIP in the same scheme and in the same month.
11. In case there are three consecutive SIP transaction reversals, the subsequent SIP instalments will be automatically ceased.
12. "Untill Cancelled" will be the default option in a case end date for enrolment period is not provided. In case an investor, who has opted for Untill Cancelled, subsequently intends to discontinue the same, a written communication thereof will be required to be furnished. In case the SIP end date is not mentioned while submitting the application, the SIP mandate will be construed to be Untill Cancelled, till instruction to the contrary is received from the investor.
13. Procedure for Cancellation of Existing SIP: Investor needs to submit a letter from the investor OR the prescribed SIP Discontinuity form, duly completed and signed by all the unit holders. This request should be received to us at least 15 days prior to the next due date of SIP.
14. TAML reserves the right to reject any application without assigning any reason thereof. TAML in consultation with Trustees reserves the right to withdraw these offerings, modify the procedure, frequency, dates, load structure in accordance with the SEBI Regulations and any such change will be applicable only to units transacted pursuant to such change on a prospective basis.