TATA MUTUAL FUND

Mulla House, Ground Floor, M. G. Road, Fort, Mumbai - 400 001

Application Form For Tata Mutual Fund

ALL THE DETAILS REQUESTED IN THE FORM ARE MANDATORY FOR EACH OF THE APPLICANTS

Sr. No.: C

1. Advisor / Distributor Information

Refer Sec. B

ARN / RIA ^ Code	Sub-Broker ARN Code	Sub-Broker / Bank Branch Code	EUIN Code
67723			

Internal Code

OR ☐ Declaration for "execution-only" transaction - I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this is an "execution-only" transaction without any interaction or advice by the employee/relationship manager/sales person of the above distributor or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor and the distributor has not charged any advisory fees on this transaction.

In case the subscription amount is ` 10,000 or more and your Distributor has opted to receive transaction charges, ` 150/- (for First time mutual fund investor) or ` 100/- (for investor other than First time mutual fund investor) will be deducted from the subscription amount and paid to the distributor. Units will be issued against the balance amount invested. 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.
^ By mentioning RIA code, I / we authorize you to share with the SEBI Registered Investment Adviser (RIA) the details of my / our transactions in the schemes(s) of Tata Mutual Fund

Sole / 1st Applicant Signature / Thumb Impression	2nd Applicant Signature / Thumb Impression	3rd Applicant Signature / Thumb Impression

2. Applicant's Information

Refer Sec. A, C & J

The Name of the Applicants should be as mentioned in the PAN and the KYC acknowledgement. There can be upto 3 holders. No joint holders allowed with 1st applicant as a minor. Any applicants should not be a resident of Canada or a person who falls within the definition of the term "U.S. Person" under the US Securities Act of 1933 and corporations or other entities organised under the laws of the U.S. For Investors New to Tata Mutual Fund, mention the C-KYC No. Incase C-KYC No. is not available kindly complete the Know Your Client (KYC) form attached herewith.

Ist Applicant's Details

Folio No.

The first applicant will be the primary holder and all correspondence will be sent to him/her. Only the first holder can be a minor. Existing Investors may mention the Folio no. and proceed to Sec. 4. Investors to ensure that PAN is linked to Aadhaar. >>

☐ Mr. ☐ Ms. ☐ M/s. | PAN / PEKRN | C-KYC

Name

Date of Birth (DOB) D D / M M / Y Y Y Y

In case of Minor: Proof of DOB: ☐ Birth certificate ☐ School leaving certificate ☐ Passport ☐ Others ....

Mobile No.

Mobile belongs to ☐ Self ☐ Parent ☐ Spouse ☐ Child

☐ I hereby authorize TAML/ TMF to send important information and transaction updates to me on WhatsApp mobile number.

Contact Person - Designation (Non Individual Investors) / Power of Attorney (POA) / Proprietor / Guardian details (minor applicant)

POA / Proprietor / Guardian Details

☐ Mr. ☐ Ms. | PAN / PEKRN

Name

For Non Individual >> Entity Identifier (LEI) Number Mandatory for Transaction Value of INR 50 crore and above

To be filled by Guardian >>

Relationship with the Minor Applicant ☐ Mother ☐ Father ☐ Legal Guardian

Proof of Relationship ☐ Birth certificate ☐ School leaving certificate ☐ Passport ☐ Others ....

Mobile No. | Date of Birth D D / M M / Y Y Y Y | C-KYC

Tax Status

☐ Resident Individual	☐ Sole Proprietorship	☐ Body Corporate	☐ Overseas Citizen of India
☐ NRI-Repatriation	☐ Hindu Undivided Family	☐ Limited Liability Partnership	☐ Foreign National Resident in India
☐ NRI-Non-Repatriation	☐ Partnership	☐ Body of Individuals	☐ Qualified Foreign Investor
☐ Minor - Resident Individual	☐ Company	☐ Society / Club	☐ Foreign Portfolio Investor
☐ Minor - NRI	☐ Trust	☐ Non Profit Organization	☐ Foreign Institutional Investor
☐ Person of Indian Origin	☐ Others (please specify)		

3. Contact Details

Refer Sec. D

Mailing address is required for initial communication. We will overwrite this address with the 1st Applicants address as per the KRA records >>

City

PIN	State	Country

Residence Phone (prefix STD Code) | Office Phone (prefix STD Code) Extn

Email | Email belongs to ☐ Self ☐ Parent ☐ Spouse ☐ Child

For investors who do not have email address on record:
I/We wish to receive physical copy of the scheme-wise annual report or abridged summary thereof ☐ Yes ☐ No

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Acknowledgement Slip

Sr. No.: C

Received from Mr./Ms./M/s.______________________________ PAN ______________________ ` ______________

for purchase in ____ Subject to verification and realisation.

Overseas address

Mandatory for Non-Resident Individuals and Overseas Investors in addition to the mailing address.

		City
State	ZIP Code	Country

4. Investment Instrument Details

Refer Sec. E

The name of the first applicant should be available on the investment Cheque.

Cheque/ DD to be drawn in favour of 'Name of the Scheme'

Gross Amount (`) (A)	DD Charges (`) (if any) (B)	Net Amount (`) (Cheque / DD Amount) (A – B)
Account Number	A/c Type	Dated D D / M M / Y Y Y Y
Drawn on Bank		Cheque / DD No.
Branch		Branch City

5. Investment Scheme Details

Refer Sec. F & Product Labels

Scheme Name >>	
Plan (select any one) >>	☐ Regular ☐ Direct
Option >>	
Sub Option >>	
Div. Payout Option (select any one) >>	☐ IDCW Reinvestment ☐ IDCW Payout

IDCW – Income Distribution cum Capital Withdrawal.

6. Bank Account Details

Refer Sec. G

The bank account details provided below will be held on record and considered as default bank mandate to pay redemption proceeds and IDCW payouts (if applicable).

This must be an Indian account. The 1st applicant should be a holder in this account.

Bank Name		Branch
Account number		A/C type ☐ Savings ☐ Current ☐ NRO ☐ NRNR ☐ NRE
MICR	IFSC for RTGS	IFSC for NEFT
Address		
City	PIN	State

Cheque Details **Acknowledgement Slip**

Cheque/DD No.__________________dated__________________A/c. No.____________________________Bank _______________________

Call (022) 6282 7777 *(Monday to Saturday 9:00 am to 5:30 pm)*

Subject to realisation.

7. Joint Applicant's Details

Refer Sec. H & I

Mode of Holding: ☐ Single ☐ Joint ☐ Any one or Survivor (Default)

II[nd] Applicant's Details

Investors to ensure that PAN is linked to Aadhaar.

☐ Mr. ☐ Ms.		Status ☐ Resident Individual ☐ NRI	PAN / PEKRN
Name			
Mobile No.	Mobile belongs to ☐ Self ☐ Parent ☐ Spouse ☐ Child	Date of Birth D D / M M / Y Y Y Y	C-KYC

III[rd] Applicant's Details

Investors to ensure that PAN is linked to Aadhaar.

☐ Mr. ☐ Ms.		Status ☐ Resident Individual ☐ NRI	PAN / PEKRN
Name			
Mobile No.	Mobile belongs to ☐ Self ☐ Parent ☐ Spouse ☐ Child	Date of Birth D D / M M / Y Y Y Y	C-KYC

8. Know Your Customer (KYC) Details

Refer Sec. J

CATEGORIES	FIRST APPLICANT (Including Minor)	SECOND APPLICANT / GUARDIAN	THIRD APPLICANT
Occupation >>	☐ Private Sector Service ☐ Retired ☐ Public Sector Service ☐ Business ☐ Government Sector ☐ Agriculturist ☐ Professional ☐ Forex Dealer ☐ Housewife ☐ Student ☐ Others (please specify)	☐ Private Sector Service ☐ Retired ☐ Public Sector Service ☐ Business ☐ Government Sector ☐ Agriculturist ☐ Professional ☐ Forex Dealer ☐ Housewife ☐ Student ☐ Others (please specify)	☐ Private Sector Service ☐ Retired ☐ Public Sector Service ☐ Business ☐ Government Sector ☐ Agriculturist ☐ Professional ☐ Forex Dealer ☐ Housewife ☐ Student ☐ Others (please specify) ....
Gross Annual Income >>	☐ Below 1 Lac ☐ 1-5 Lacs ☐ 5-10 Lacs ☐ 10-25 Lacs ☐ >25 Lacs-1 crore ☐ >1 crore Networth in (Mandatory for Non-individual) ` .... as on D D / M M / Y Y Y Y (not older than 1 year)	☐ Below 1 Lac ☐ 1-5 Lacs ☐ 5-10 Lacs ☐ 10-25 Lacs ☐ >25 Lacs-1 crore ☐ >1 crore Networth in ` .... as on D D / M M / Y Y Y Y (not older than 1 year)	☐ Below 1 Lac ☐ 1-5 Lacs ☐ 5-10 Lacs ☐ 10-25 Lacs ☐ >25 Lacs-1 crore ☐ >1 crore Networth in ` .... as on D D / M M / Y Y Y Y (not older than 1 year)
Others >>	☐ Not Applicable ☐ Politically Exposed Person ☐ Related to Politically Exposed Person	☐ Not Applicable ☐ Politically Exposed Person ☐ Related to Politically Exposed Person	☐ Not Applicable ☐ Politically Exposed Person ☐ Related to Politically Exposed Person

Additional KYC Details for Non - Individuals

For Non Individuals only (Companies, Trust, Partnership etc.) >>	Is the company a Listed Company or Subsidiary of Listed Company or Controlled by a Listed Company: ☐ Yes ☐ No (if No, mandatory to attach the UBO declaration)
	Non Individual investors involved/providing any of the mentioned services ☐ Foreign Exchange / Money Changer Services ☐ Gaming / Gambling / Lottery / Casino Services ☐ Money Lending / Pawning ☐ None of the above

9. Foreign Account Tax Compliance Act (FATCA) & CRS Details

Refer Sec. K

For Individuals	FIRST APPLICANT (including Minor)	SECOND APPLICANT / GUARDIAN	THIRD APPLICANT
Country of Birth >>			
Place of Birth >>			
Nationality >>	☐ Indian ☐ U. S. ☐ Others (Please specify) ________	☐ Indian ☐ U. S. ☐ Others (Please specify) ________	☐ Indian ☐ U. S. ☐ Others (Please specify) ________
Type of address given at KRA >>	☐ Residential or Business ☐ Residential ☐ Registered Office ☐ Business	☐ Residential or Business ☐ Residential ☐ Registered Office ☐ Business	☐ Residential or Business ☐ Residential ☐ Registered Office ☐ Business
Are you also a resident in any other country(ies) for tax purposes? >>	☐ No ☐ Yes	☐ No ☐ Yes	☐ No ☐ Yes
	If yes, complete section below.		
Country of Tax Residency 1 >>			
Tax Identification Number 1 >>			
Identification Type 1 >>			
If TIN is not available please tick the reason A, B or C * >>	Reason ☐ A ☐ B ☐ C	Reason ☐ A ☐ B ☐ C	Reason ☐ A ☐ B ☐ C
Country of Tax Residency 2 >>			
Tax Identification Number 2 >>			
Identification Type 2 >>			
If TIN is not available please tick the reason A, B or C * >>	Reason ☐ A ☐ B ☐ C	Reason ☐ A ☐ B ☐ C	Reason ☐ A ☐ B ☐ C

* Reason A: The country where the Account Holder is liable to pay tax does not issue Tax Identification Numbers to its residents; Reason B: No TIN required (Select this reason only if the authorities of the respective country of tax residence do not require the TIN to be collected); Reason C: Others- Please state the reasons thereof

FATCA & CRS Related Details for Non Individuals: Please submit Form W8 BEN-E / Specified declaration (Enclosed)

10. Nomination Details

Refer Sec. L

Mandatory for Individual(s) applying singly or jointly.

You can nominate up to 3 persons to receive the Units allotted to you in your folio in the unfortunate event of death of all unit holders. All payments and settlements made to such Nominee(s) and Signature of the Nominee(s) acknowledging receipt thereof, shall be a valid discharge by the AMC/ Mutual Fund/ Trustees.

Select any one >>

☐ Register nomination as below ☐ I do not wish to nominate.

1st Nominee

Nominee Name		
Relationship with Nominee		Date of Birth D D / M M / Y Y Y Y
Address		City
State	PIN	Country
Guardian Name in case of Minor	Allocation (%)	Signature of Nominee / Guardian

2nd Nominee

Nominee Name		
Relationship with Nominee		Date of Birth D D / M M / Y Y Y Y
Address		City
State	PIN	Country
Guardian Name in case of Minor	Allocation (%)	Signature of Nominee / Guardian

3rd Nominee

Nominee Name		
Relationship with Nominee		Date of Birth D D / M M / Y Y Y Y
Address		City
State	PIN	Country
Guardian Name in case of Minor	Allocation (%)	Signature of Nominee / Guardian

1st Applicant Signature / Thumb Impression	2nd Applicant Signature / Thumb Impression	3rd Applicant Signature / Thumb Impression

11. Demat Account Details

Refer Sec. M

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 the details are found to be incorrect, Units will be allotted in physical mode.

Fill these details only if you wish to have your units in Demat mode.

Depository participant Name	
Central Depository Securities Limited Target ID No.	National Securities Depository Limited DP ID No. I N Beneficiary Account No.

12. Declaration and Signatures

Refer Sec. N

I/We am/are not prohibited from accessing capital markets under any order/ruling/judgment etc., of any regulation, including SEBI. I/We confirm that my application is in compliance with applicable Indian and foreign laws. I / We hereby confirm and declare as under:-

(1) I / We have read, understood and hereby agree to comply with the terms and conditions of the scheme related documents and apply for allotment of Units of the Scheme(s) of Tata Mutual Fund ('Fund') indicated in this application form.

(2) I/We am/are eligible Investor(s) as per the scheme related documents and am/are authorised to make this investment. The amount invested in the Scheme(s) is through legitimate sources only and is not for the purpose of contravention and/or evasion of any act, rules, regulations, notifications or directions issued by any regulatory authority in India.

(3) The information given in / with this application form is true and correct and further agree to furnish such other further/additional information as may be required by the Tata Asset Management Limited (TAML)/ Fund and undertake to inform the AMC / Fund/Registrars and Transfer Agent (RTA) in writing about any change in the information furnished from time to time.

(4) That in the event, the above information and/or any part of it is/are found to be false/ untrue/misleading, I/We will be liable for the consequences arising therefrom.

(5) I/We hereby authorize you to disclose, share, remit in any form/manner/mode the above information and/or any part of it including the changes/updates that may be provided by me/us to the Mutual Fund, its Sponsor/s, Trustees, Asset Management Company, its employees, agents and third party service providers, SEBI registered intermediaries for single updation/ submission, any Indian or foreign statutory, regulatory, judicial, quasi- judicial authorities/agencies including but not limited to Financial Intelligence Unit-India (FIU-IND) etc without any intimation/advice to me/us. I/We hereby authorize you to share the account statement of the folio with the distributor /broker / advisor on record.

(6) I/We will indemnify the Fund, AMC, Trustee, RTA and other intermediaries in case of any dispute regarding the eligibility, validity and authorization of my/our transactions.

(7) The ARN holder (AMFI registered Distributor) has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him/them for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us.

(8) I/We hereby confirm that I/We have not been offered/ communicated any indicative portfolio and/ or any indicative yield by the Fund/AMC/its distributor for this investment.

(9) I / We agree that the unit balance(s) reflecting in the account statement is subject to realisation of Cheque accompanying the purchase request, PAN validation and KYC compliance.

(10) For Foreign Nationals Resident in India only: I/We will redeem my/our entire investment/s before I/We change my/our Indian residency status. I/We shall be fully liable for all consequences (including taxation) arising out of the failure to redeem on account of change in residential status.

(11) For NRIs/ PIO/OCIs only: I/We confirm that my application is in compliance with applicable Indian and Foreign laws.

(12) I/We hereby accord my/our consent to TATA AMC for receiving the promotional information/ material via email, SMS, telemarketing calls, etc. on the mobile number and email provided by me/us in this Application Form.

Date: ____________

1st Applicant Signature / Thumb Impression	2nd Applicant Signature / Thumb Impression	3rd Applicant Signature / Thumb Impression

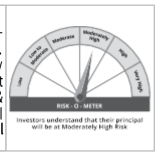
TATA MUTUAL FUND

TATA MUTUAL FUND

Mulla House, Ground Floor, M.G. Road, Fort, Mumbai - 400 001

Application Form For Tata Retirement Savings Fund

This product is suitable for investors who are seeking*:
PROGRESSIVE PLAN: • Long Term Capital Appreciation. • An equity oriented (between 85%-100%) savings scheme which provides tool for retirement planning to individual investors. **MODERATE PLAN:** • Long Term Capital Appreciation & Current Income. • A predominantly equity oriented (between 65%-85%) savings scheme which provides tool for retirement planning to individual investors. **CONSERVATIVE PLAN:** • Long Term Capital Appreciation & Current Income. • A debt oriented (between 70%-100%) savings scheme which provides tool for retirement planning to individual investors. ***Investors should consult their financial advisors if in doubt about whether the product is suitable for them**



ALL THE DETAILS REQUESTED IN THE FORM ARE MANDATORY FOR EACH OF THE APPLICANTS

Sr. No.:

1. Advisor / Distributor Information

Refer Sec. B

ARN / RIA ^ Code	Sub-Broker ARN Code	Sub-Broker / Bank Branch Code	EUIN Code
Internal Code	OR ☐ Declaration for "execution-only" transaction - I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this is an "execution-only" transaction without any interaction or advice by the employee/relationship manager/sales person of the above distributor or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor and the distributor has not charged any advisory fees on this transaction.		

In case the subscription amount is ` 10,000 or more and your Distributor has opted to receive transaction charges, ` 150/- (for First time mutual fund investor) or ` 100/- (for investor other than First time mutual fund investor) will be deducted from the subscription amount and paid to the distributor. Units will be issued against the balance amount invested. 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.
^ By mentioning RIA code, I / we authorize you to share with the SEBI Registered Investment Adviser (RIA) the details of my / our transactions in the schemes(s) of Tata Mutual Fund

Sole / 1st Applicant Signature / Thumb Impression	2nd Applicant Signature / Thumb Impression	3rd Applicant Signature / Thumb Impression

2. Applicant's Information

Refer Sec. A, C & I

The Name of the Applicants should be as mentioned in the PAN and the KYC acknowledgement. There can be upto 3 holders. No joint holders allowed with 1st applicant as a minor. Any applicants should not be a resident of Canada or a person who falls within the definition of the term "U.S. Person" under the US Securities Act of 1933 and corporations or other entities organised under the laws of the U.S. Individual Investors who are KYC KRA verified after 10th Feb 2017, should additionally submit C-KYC number. In case the C-KYC number is not available, kindly complete the CKYC Application Form - Individual available on www.tatamutualfund.com.

Ist Applicant's Details

Folio No.

The first applicant >> will be the primary holder and all correspondence will be sent to him/her. Only the first holder can be a minor. Existing Investors may mention the Folio no. and proceed to Sec. 4

☐ Mr. ☐ Ms. ☐ M/s. | PAN / PEKRN | C-KYC

Name

Date of Birth (DOB) D D / M M / Y Y Y Y

In case of Minor: Proof of DOB: ☐ Birth certificate ☐ School leaving certificate ☐ Passport ☐ Others ....

Mobile No.

Mobile belongs to ☐ Self ☐ Parent ☐ Spouse ☐ Child

☐ I hereby authorize TAML/ TMF to send important information and transaction updates to me on WhatsApp mobile number.

Power Of Attorney (POA) / Proprietor / Guardian details (minor applicant)

POA / Proprietor / Guardian Details

☐ Mr. ☐ Ms. | PAN / PEKRN

Name

To be filled by >> Guardian

Relationship with the Minor Applicant ☐ Mother ☐ Father ☐ Legal Guardian

Proof of Relationship ☐ Birth certificate ☐ School leaving certificate ☐ Passport ☐ Others ....

Mobile No. | Date of Birth D D / M M / Y Y Y Y | C-KYC

Tax Status

☐ Resident Individual	☐ Minor - NRI	☐ Overseas Citizen of India
☐ NRI-Repatriation	☐ Person of Indian Origin	☐ Foreign National Resident in India
☐ NRI-Non-Repatriation	☐ Sole Proprietorship	☐ Qualified Foreign Investor
☐ Minor - Resident Individual	☐ Hindu Undivided Family	

3. Contact Details

Refer Sec. D

Mailing address is >> required for initial communication. We will overwrite this address with the 1st Applicants address as per the KRA records

City

PIN	State	Country
Residence Phone (prefix STD Code)	Office Phone (prefix STD Code) Extn	

Email | Email belongs to ☐ Self ☐ Parent ☐ Spouse ☐ Child

For investors who do not have email address on record:
I/We wish to receive physical copy of the scheme-wise annual report or abridged summary thereof ☐ Yes ☐ No

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TATA MUTUAL FUND

Acknowledgement Slip

Sr. No.:

Received from Mr./Ms./M/s.______________________________ PAN______________________ ` ______________

for purchase in **Tata Retirement Savings Fund - Plan:** ☐ Progressive ☐ Moderate ☐ Conservative

Cheque Details Overleaf / Subject to realisation.

Overseas address

Mandatory for Non-Resident Individuals and Overseas Investors in addition to the mailing address.

		City
State	ZIP Code	Country

4. Investment Instrument Details

Refer Sec. E

The name of the first applicant should be available on the investment Cheque. >>

Cheque/ DD to be drawn in favour of 'Tata Retirement Savings Fund'

Gross Amount (`) (A)	DD Charges (`) (if any) (B)	Net Amount (`) (Cheque / DD Amount) (A - B)
Account Number	A/c Type	Dated D D / M M / Y Y Y Y
Drawn on Bank		Cheque / DD No.
Branch		Branch City

5. Investment Scheme Details

Refer Sec. F & G

Select any one >>

TATA RETIREMENT SAVINGS FUND		
Plan Name	**Please tick the appropriate option (any one per plan)**	
☐ Progressive Plan - Regular Plan ☐ Progressive Plan - Direct Plan	☐ Auto Switch Option 1 (Progressive to Moderate @ age 45; Moderate to Conservative @age 60), ☐ Auto Switch Option 2 (Progressive to Conservative @ age 60) ☐ No Auto Switch	
☐ Moderate Plan - Regular Plan ☐ Moderate Plan - Direct Plan	Auto Switch Option 3 (Moderate to Conservative @ age 60)	No Auto Switch
☐ Conservative Plan - Regular Plan ☐ Conservative Plan - Direct Plan	------	

6. Auto SWP Facility

Select any one only >>

Will be applicable after attaining 60 years

	☐ No Auto SWP
OR	☐ Fixed SWP (Select Frequency) ○ Monthly OR ○ Quarterly (Default)
OR	☐ Fixed Amount (Frequency Monthly only) Rs.

7. Bank Account Details

Refer Sec. G

This must be an Indian account. The 1st applicant should be a holder in this account.

The bank account details provided below will be held on record and considered as default bank mandate to pay redemption proceeds and IDCW payouts (if applicable).

Bank Name		Branch
Account number		A/C type ☐ Savings ☐ Current ☐ NRO ☐ NRNR ☐ NRE
MICR	IFSC for NEFT	IFSC for RTGS
Address		
City	PIN	State

Cheque Details **Acknowledgement Slip**

Cheque/DD No.__________ dated__________ A/c. No.__________ Bank __________

8. Joint Applicant's Details

Refer Sec. E & F

Mode of Holding	☐ Single	☐ Joint	☐ Any one or Survivor (Default)

IInd Applicant's Details — Investors to ensure that PAN is linked to Aadhaar.

☐ Mr. ☐ Ms.		Status ☐ Resident Individual ☐ NRI	PAN / PEKRN
Name			
Mobile No.	Mobile belongs to ☐ Self ☐ Parent ☐ Spouse ☐ Child	Date of Birth D D / M M / Y Y Y Y	C-KYC

IIIrd Applicant's Details — Investors to ensure that PAN is linked to Aadhaar.

☐ Mr. ☐ Ms.		Status ☐ Resident Individual ☐ NRI	PAN / PEKRN
Name			
Mobile No.	Mobile belongs to ☐ Self ☐ Parent ☐ Spouse ☐ Child	Date of Birth D D / M M / Y Y Y Y	C-KYC

9. Know Your Customer (KYC) Details

Refer Sec. J

CATEGORIES	FIRST APPLICANT (Including Minor)	SECOND APPLICANT / GUARDIAN	THIRD APPLICANT
Occupation >>	☐ Private Sector Service ☐ Retired ☐ Public Sector Service ☐ Business ☐ Government Sector ☐ Agriculturist ☐ Professional ☐ Forex Dealer ☐ Housewife ☐ Student ☐ Others (please specify)	☐ Private Sector Service ☐ Retired ☐ Public Sector Service ☐ Business ☐ Government Sector ☐ Agriculturist ☐ Professional ☐ Forex Dealer ☐ Housewife ☐ Student ☐ Others (please specify)	☐ Private Sector Service ☐ Retired ☐ Public Sector Service ☐ Business ☐ Government Sector ☐ Agriculturist ☐ Professional ☐ Forex Dealer ☐ Housewife ☐ Student ☐ Others (please specify) ....
Gross Annual Income >>	☐ Below 1 Lac ☐ 1-5 Lacs ☐ 5-10 Lacs ☐ 10-25 Lacs ☐ >25 Lacs-1 crore ☐ >1 crore Networth in (Mandatory for Non-individual) ` .... as on D D / M M / Y Y Y Y (not older than 1 year)	☐ Below 1 Lac ☐ 1-5 Lacs ☐ 5-10 Lacs ☐ 10-25 Lacs ☐ >25 Lacs-1 crore ☐ >1 crore Networth in ` .... as on D D / M M / Y Y Y Y (not older than 1 year)	☐ Below 1 Lac ☐ 1-5 Lacs ☐ 5-10 Lacs ☐ 10-25 Lacs ☐ >25 Lacs-1 crore ☐ >1 crore Networth in ` .... as on D D / M M / Y Y Y Y (not older than 1 year)
Others >>	☐ Not Applicable ☐ Politically Exposed Person ☐ Related to Politically Exposed Person	☐ Not Applicable ☐ Politically Exposed Person ☐ Related to Politically Exposed Person	☐ Not Applicable ☐ Politically Exposed Person ☐ Related to Politically Exposed Person

10. Foreign Account Tax Compliance Act (FATCA) & CRS Details

Refer Sec. K

For Individuals	FIRST APPLICANT (including Minor)	SECOND APPLICANT / GUARDIAN	THIRD APPLICANT
Country of Birth >>			
Place of Birth >>			
Nationality >>	☐ Indian ☐ U. S. ☐ Others (Please specify) ____________	☐ Indian ☐ U. S. ☐ Others (Please specify) ____________	☐ Indian ☐ U. S. ☐ Others (Please specify) ____________
Type of address given at KRA >>	☐ Residential or Business ☐ Residential ☐ Registered Office ☐ Business	☐ Residential or Business ☐ Residential ☐ Registered Office ☐ Business	☐ Residential or Business ☐ Residential ☐ Registered Office ☐ Business
Are you also a resident in any other country(ies) for tax purposes? >>	☐ No ☐ Yes	☐ No ☐ Yes	☐ No ☐ Yes
	If yes, complete section below.		
Country of Tax Residency 1 >>			
Tax Identification Number 1 >>			
Identification Type 1 >>			
If TIN is not available please tick the reason A, B or C * >>	Reason ☐ A ☐ B ☐ C	Reason ☐ A ☐ B ☐ C	Reason ☐ A ☐ B ☐ C
Country of Tax Residency 2 >>			
Tax Identification Number 2 >>			
Identification Type 2 >>			
If TIN is not available please tick the reason A, B or C * >>	Reason ☐ A ☐ B ☐ C	Reason ☐ A ☐ B ☐ C	Reason ☐ A ☐ B ☐ C

* Reason A: The country where the Account Holder is liable to pay tax does not issue Tax Identification Numbers to its residents; Reason B: No TIN required (Select this reason only if the authorities of the respective country of tax residence do not require the TIN to be collected); Reason C: Others- Please state the reasons thereof

11. Nomination Details

Refer Sec. L

Mandatory for Individual(s) applying singly or jointly.

You can nominate up to 3 persons to receive the Units allotted to you in your folio in the unfortunate event of death of all unit holders. All payments and settlements made to such Nominee(s) and Signature of the Nominee(s) acknowledging receipt thereof, shall be a valid discharge by the AMC/ Mutual Fund/ Trustees.

Select any one >> ☐ Register nomination as below ☐ I do not wish to nominate.

1st Nominee

Nominee Name		
Relationship with Nominee		Date of Birth D D / M M / Y Y Y Y
Address		City
State	PIN	Country
Guardian Name in case of Minor	Allocation (%)	Signature of Nominee / Guardian

2nd Nominee

Nominee Name		
Relationship with Nominee		Date of Birth D D / M M / Y Y Y Y
Address		City
State	PIN	Country
Guardian Name in case of Minor	Allocation (%)	Signature of Nominee / Guardian

3rd Nominee

Nominee Name		
Relationship with Nominee		Date of Birth D D / M M / Y Y Y Y
Address		City
State	PIN	Country
Guardian Name in case of Minor	Allocation (%)	Signature of Nominee / Guardian
1st Applicant Signature / Thumb Impression	2nd Applicant Signature / Thumb Impression	3rd Applicant Signature / Thumb Impression

12. Demat Account Details

Refer Sec. M

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 the details are found to be incorrect, Units will be allotted in physical mode.

Fill these details only if you wish to have your units in Demat mode.

Depository participant Name	
Central Depository Securities Limited Target ID No.	National Securities Depository Limited DP ID No. I N Beneficiary Account No.

13. Declaration and Signatures

Refer Sec. N

I/We am/are not prohibited from accessing capital markets under any order/ruling/judgment etc., of any regulation, including SEBI. I/We confirm that my application is in compliance with applicable Indian and foreign laws. I / We hereby confirm and declare as under:-

(1) I / We have read, understood and hereby agree to comply with the terms and conditions of the scheme related documents and apply for allotment of Units of the Scheme(s) of Tata Mutual Fund ('Fund') indicated in this application form.

(2) I/We am/are eligible Investor(s) as per the scheme related documents and am/are authorised to make this investment. The amount invested in the Scheme(s) is through legitimate sources only and is not for the purpose of contravention and/or evasion of any act, rules, regulations, notifications or directions issued by any regulatory authority in India.

(3) The information given in / with this application form is true and correct and further agree to furnish such other further/additional information as may be required by the Tata Asset Management Limited (TAML)/ Fund and undertake to inform the AMC / Fund/Registrars and Transfer Agent (RTA) in writing about any change in the information furnished from time to time.

(4) That in the event, the above information and/or any part of it is/are found to be false/ untrue/misleading, I/We will be liable for the consequences arising therefrom.

(5) I/We hereby authorize you to disclose, share, remit in any form/manner/mode the above information and/or any part of it including the changes/updates that may be provided by me/us to the Mutual Fund, its Sponsor/s, Trustees, Asset Management Company, its employees, agents and third party service providers, SEBI registered intermediaries for single updation/ submission, any Indian or foreign statutory, regulatory, judicial, quasi- judicial authorities/agencies including but not limited to Financial Intelligence Unit-India (FIU-IND) etc without any intimation/advice to me/us. I/We hereby authorize you to share the account statement of the folio with the distributor /broker / advisor on record.

(6) I/We will indemnify the Fund, AMC, Trustee, RTA and other intermediaries in case of any dispute regarding the eligibility, validity and authorization of my/our transactions.

(7) The ARN holder (AMFI registered Distributor) has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him/them for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us.

(8) I/We hereby confirm that I/We have not been offered/ communicated any indicative portfolio and/ or any indicative yield by the Fund/AMC/its distributor for this investment.

(9) I / We agree that the unit balance(s) reflecting in the account statement is subject to realisation of Cheque accompanying the purchase request, PAN validation and KYC compliance.

(10) For Foreign Nationals Resident in India only: I/We will redeem my/our entire investment/s before I/We change my/our Indian residency status. I/We shall be fully liable for all consequences (including taxation) arising out of the failure to redeem on account of change in residential status.

(11) For NRIs/ PIO/OCIs only: I/We confirm that my application is in compliance with applicable Indian and Foreign laws.

(12) I/We hereby accord my/our consent to TATA AMC for receiving the promotional information/ material via email, SMS, telemarketing calls, etc. on the mobile number and email provided by me/us in this Application Form.

Date: ______________

1st Applicant Signature / Thumb Impression	2nd Applicant Signature / Thumb Impression	3rd Applicant Signature / Thumb Impression