

# TRANSACTION SLIP

**Investment Manager:** Tata Asset Management Ltd. **Trustee:** Tata Trustee Company Pvt 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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**Folio Number:** \_\_\_\_\_ **Date:** \_\_\_\_\_

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

	Name	PAN Number	KYC Compliant Status (If yes attach proof) KYC Mandatory for investment of Rs. 50,000 & above	
<b>First Applicant/Guardian*</b>			<input type="checkbox"/> Yes	<input type="checkbox"/> No
<b>Second Applicant</b>			<input type="checkbox"/> Yes	<input type="checkbox"/> No
<b>Third Applicant</b>			<input type="checkbox"/> Yes	<input type="checkbox"/> No

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

**ADDITIONAL PURCHASE REQUEST**

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

**SWITCH REQUEST**

From (Schme) \_\_\_\_\_ Option \_\_\_\_\_

To (Scheme) \_\_\_\_\_ Option \_\_\_\_\_

No. of Units \_\_\_\_\_ Transaction No \_\_\_\_\_ or

Amount (Rs) \_\_\_\_\_ Amount (in Words) \_\_\_\_\_

**TRIGGER FACILITY** Would you like to avail of the Trigger Facility?  Yes  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>	(Default: Switch to Tata Floater Fund)

**REDEMPTION REQUEST**

Scheme \_\_\_\_\_ Option \_\_\_\_\_

No. of Units \_\_\_\_\_ Transaction No. \_\_\_\_\_ or

Amount (Rs) \_\_\_\_\_ Amount (in Words) \_\_\_\_\_

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



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

**CHANGE OF OPTION**

From (Scheme) \_\_\_\_\_ Option \_\_\_\_\_  
**FROM:** DIVIDEND PAYOUT / DIVIDEND REINVESTMENT **TO** DIVIDEND PAYOUT / DIVIDEND REINVESTMENT

**CHANGE OF ADDRESS (Refer Instruction - 2)**

Address \_\_\_\_\_  
 City \_\_\_\_\_ State: \_\_\_\_\_ Pincode: \_\_\_\_\_  
 Tel. (R) \_\_\_\_\_ Tel. (O) \_\_\_\_\_ Mobile \_\_\_\_\_

**EMAIL COMMUNICATION**

Email Address \_\_\_\_\_  
 Consent to receive Email communication:  Yes  No.  
 I would like to receive Account Statements, Newsletters, Annual Reports and other Statutory information / documents only by email.

**CHANGE OF BANK ACCOUNT DETAILS (of Sole/First Holder Only)**

**Name of Your Bank** \_\_\_\_\_ **Branch** \_\_\_\_\_  
**Your Account No.** \_\_\_\_\_  
**A/c No. (in words)** \_\_\_\_\_  
**Bank Address** \_\_\_\_\_  
**City** \_\_\_\_\_ **PIN** \_\_\_\_\_ **MICR Code** \_\_\_\_\_  
**Account Type**  Savings  Current  NRO  NRNR  NRE  
**\* IFSC Code for NEFT** \_\_\_\_\_ **\* This is a 11 Digit Number, obtain it from your Bank Branch**  
**IFSC Code (in words)** \_\_\_\_\_

**Example for filling A/c Number:**

Ac. No.	0	0	9	7	4	6	1	5	2
In words	Zero	Zero	Nine	Seven	Four	Six	One	Five	Two

**\* Please attach an Original Cancelled Cheque.**

**DIRECT CREDIT FACILITY FOR REDEMPTION / DIVIDEND**

Tata Mutual Fund directly credits the Dividends/Redemption/Payout into the investor Bank Account in case the account is with ICICI Bank Ltd./HDFC Bank Ltd./Axis Bank /IDBI Bank/Standard Chartered Bank/Kotak Bank/HSBC Bank/Deutsche Bank/Centurion Bank of Punjab/ABN Amro Bank/State Bank of India (Core banking centers only).  
 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.  
**If however you wish to receive cheque payment, please tick here**

**Signature(s) / Thumb Impression**

**INVESTOR SERVICE CENTRES - AMC OFFICES**

**Agra:** 2525195, **Ahmedabad:** 65418989, **Allahabad:** 9235531480, **Amritsar:** 9814082808, **Bangalore:** 66561313, **Bhilai:** 2295625, **Bhopal:** 9826826646, **Bhubaneshwar:** 2533818, **Borivali:** 28945923, **Chandigarh:** 5087322, **Chennai:** 64541868, **Cochin:** 2377580, **Coimbatore:** 6502133, **Dehradun:** 6450877, **Delhi:** 66324111, **Dhanbad:** 2300304, **Durgapur:** 6454797, **Goa:** 6451135/36, **Guwahati:** 2343084, **Hubli:** 6450342, **Hyderabad:** 65361237, **Indore:** 4201806, **Jabalpur:** 4074263, **Jaipur:** 5105177, **Jalandhar:** 5001024, **Jamshedpur:** 2756021, **Jodhpur:** 6450555, **Kanpur:** 2306066, **Kolkata:** 22881534, **Lucknow:** 6452432, **Ludhiana:** 5089667, **Madurai:** 6454330, **Mangalore:** 6450308, **Moradabad:** 6535002, **Mumbai:** 66505240, **Mysore:** 6450470, **Nagpur:** 6502885, **Nashik:** 6510315, **Patna:** 6450120, **Pune:** 64005932, **Raipur:** 6537340, **Rajkot:** 6624848, **Ranchi:** 233070, **Salem:** 6451653, **Surat:** 6554418, **Trichur:** 6451286, **Trichy:** 6455060, **Trivandrum:** 6535431, **Udaipur:** 2429371, **Vadodara:** 6641888, **Varanasi:** 6544655, **Visakhapatnam:** 6451883.

Tan. form: 270709

## 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. 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.
  4. 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.
  5. For fresh purchases under new scheme, plan or option - please refer the respective OD/SID/SAI/KIM for more details.
  6. 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.
  7. If there is no sufficient amount/ units, the balance available free units in the respective account will be redeemed/ switched.
  8. Bank Mandate & PAN Mandatory: It is mandatory for investors to mention in their application/Redemption request, the bank name & account number, if not already provided. Application without these details will be rejected.
  9. An application for purchase of units amounting to Rs. 50,000/- or more accompanied with a documentary proof of KYC compliance. In case of a minor, PAN details of the Guardian must be submitted. Application without this would be rejected by the Mutual Fund without any reference to the investor.
  10. **Please do not use this transaction slip for Tata Service Industries Fund and Tata Contra Fund.**
    11. **Sign on all pages** else instructions/requests only on signed leaf will be processed.
    12. Requests for change from dividend option to growth option and vice versa should be given under switch request.
    13. 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:

$(\text{Trigger day NAV} - \text{previous trigger day NAV}) * \text{Number of units}$

**Minimum amount eligibility:**

This feature will be applicable along with the minimum purchase amount of Rs. 5000/- i.e. the purchase/additional purchase/ switch-in amount should be a minimum of Rs. 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 (Rs)	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 Rs.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 Rs.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 Rs. 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 Rs. 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 Rs. 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.