



KEY INFORMATION MEMORANDUM CUM APPLICATION FORM



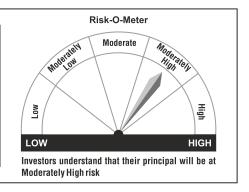
(A close-ended equity scheme following a value investment strategy)

Issue of units of **Tata Value Fund Series 2** (1103 days maturity) at Face Value of ₹ 10/- Per Unit during the New Fund Offer Period

This product is suitable for investors who are seeking*:

- · Long Term Wealth Creation
- A close ended equity fund that aims to provide capital appreciation over the tenure of the fund through a diversified equity portfolio following value investment strategy.

*Investors should consult their financial advisors if in doubt about whether the product is suitable for them.



New Fund Offer opens on New Fund Offer closes on 13 July, 2018 27 July, 2018

BSE Disclaimer Clause: "It is to be distinctly understood that the permission given by Bombay Stock Exchange Ltd. Should not in any way be deemed or construed that the scheme information document has been cleared or approved by Bombay Stock Exchange Ltd. Nor does it certify the correctness or completeness of any of the contents of the scheme information document. The investors are advised to refer to the scheme information document for the full text of the Disclaimer clause of the Bombay Stock Exchange Ltd."

This Key Information Memorandum (KIM) sets forth the information, which a prospective investor ought to know before investing. For further details of the scheme/Mutual Fund, due diligence certificate by the AMC, Key Personnel, investors' rights & services, risk factors, penalties and pending litigations, etc. investors should, before investment, refer to the Scheme Information Document (SID) and Statement of Additional Information (SAI) available free of cost at any of the Investor Service Centres or distributors or from the website www.tatamutualfund.com

The Scheme particulars have been prepared in accordance with Securities and Exchange Board of India (Mutual Funds) Regulations 1996, as amended till date, and filed with Securities and Exchange Board of India (SEBI). The units being offered for public subscription have not been approved or disapproved by SEBI, nor has SEBI certified the accuracy or adequacy of this KIM.

Name of the Mutual Fund
Tata Mutual Fund

Name of the AMC
Tata Asset Management Ltd.
CIN: U65990-MH-1994-PLC-077090

9th Floor, Mafatlal Centre, Nariman Point, Mumbai - 400 021 **Toll Free:** 1800-209-0101 (*Lines open on Sundays also*)

E-mail: service@tataamc.com Website: www.tatamutualfund.com



TATA MUTUAL FUND

Mafatlal Centre 9th Floor Nariman Point Mumbai - 400 021

Application Form For Tata Value Fund - Series 2 (1103 Days Maturity)

• Long Term Wealth Creation • A close ended equity fund that aims to provide capital appreciation over the tenure of the fund through a diversified equity portfolio following value investment strategy.

This product is suitable for investors who are seeking*:

a diversified equity portfolio following value investment strategy. *Investors should consult their financial advisors if in doubt about whether the product is suitable for them



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

1. Advisor / Dis	tributor I	nforma	tion				31. 110	···		Ref	fer Sec. B
ARN / RIA ^ Code		Sub-Broker ARN Code			Sub-Broker / Bank Branch Code				EUIN Code		
ARN - 48012						E053085					
In case the subscription amo	fund investor) wi	without any in provided by to or more and ill be deduct	ed from the subsc	the emploip manage as opted ription a	loyee/relationship man ger/sales person of the d to receive transa amount and paid t	ager/sales person of distributor and the c action charges, ₹ o the distributor.	the above distribution fistributor has not on the stributor has not on the stributor first. Units will be is	utor or notwithsta charged any advi time mutual ssued against	anding the advice of sory fees on this tr fund investor) the balance an	of in-appropriate ansaction. or ₹ 100/- (fo nount invested	eness, if any, or investor d. Upfront
commission shall be paid dire ^ By mentioning RIA code, I /											
Sign Here		st Applicar humb Imp	nt Signature / ression			licant Signatu nb Impressior		3	^{3rd} Applicant Thumb Im		
2. Applicant's In	formation)		'						Refer Sec.	A, C & F
Ist Applicant's Deta	applicant as a mir and corporations complete the Kno	nor. Any appli or other entit	hould be as mention cants should not be a ties organised under t (KYC) form attached	a residen the laws	it of Canada or a pers of the U.S. For Inves	on who falls within	the definition of	the term "U.S. I	Person" under the	US Securities A	Act of 1933
The first applicant » will be the primary holder and all	☐ Mr. ☐ Ms	. M/s.	PAN / PEKRN				Folio N	No.			
correspondence will be sent to him/her. Only the first holder can be a minor.	Name										
Existing Investors may mention the Folio no.	Date of Birth				In case of Min	or: Proof of D	OB: 🗌 Birth c	ertificate	School lea	ving certific	cate
and proceed to Sec. 4		M M /	Y Y Y Y				Passpo	ort	Others		
	Aadhaar No.					C-KYC					
Power Of Attorney (POA) / Proprietor	/ Cuardi	an dotails (min	or ann	alicant)						
POA / Proprietor / Guardian Details		/ Guarun	PAN / PEKRN	oi app	Jiicaiit)		Mobile I	No.			
	Name										
	Name										
To be filled by » Guardian	·		inor Applicant	dian	Proof of Relat	•	leaving certi	ificato 🗆 Pa	ssport 🗆 🗅	thors	
	Aadhaar No.	Father Legal Guardian			☐ Birth certificate ☐ School leaving certificate ☐ Passport ☐ Others ☐ Date of Birth ☐ C-KYC						
Tax Status											
	Resident In NRI-Repatr NRI-Non-Re Minor - Res Minor - NR Person of I	iation epatriation sident Indi I	☐ Hi I ☐ Pa Ividual ☐ Co ☐ Tr	ndu Ur Irtnersl Ompan Tust		☐ Body of Inc☐ Society / C☐ Non Profit	ability Partner dividuals Club Organization	rship	verseas Citizo preign Nation ualified Forei preign Portfol preign Institu	al Resident gn Investoi io Investor	r
3. Contact Detai	ls									Ref	er 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			
records	PIN			S	State Country						
	Residence Phone (prefix STD Code)				Office Phone (prefix STD Code) Extn						
	Mobile En				Email						
	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					
Advantadament Clin			Sr. No.:				%				
Acknowledgement Slip MUTUAT Received from Mr./Ms./M/s.				PAN₹							

Overseas address								
Mandatory for Non- Resident Individuals and Overseas Investors in addition								
to the mailing address.					City			
	State		ZIP Code		Country			
4. Investment In	strument Details					Refer Sec. I		
The name of the »	Gross Amount (₹) (A)		DD Charc	ges (₹) (if any)	Net Amoun	t (₹) (Cheque / DD Amount)		
first applicant should be available	Gross Amount (t) (A)	(B)		(A - B)	(t) (cheque) BB Amount)			
on the investment Cheque.	Account Number			A/c Type	Dated			
Cheque/ DD to be	Account Number			Aye Type				
drawn in favour of 'Tata Value Fund - Series 2'	Drawn on Bank					D D / M M / Y Y Y Y Cheque / DD No.		
Series 2								
	Branch				Branch City	Branch City		
5. Investment Sc	heme Details					Refer Sec. J & Product Labels		
Scheme Name »	Tata Value Fund - Series 2							
Plan (select any one) *	✓ Regular							
Option (select any one)	Growth	end Payout						
6. Auto Switch F	acility					Refer Sec. K		
Select any one only » Will be applicable on scheme maturity	No Auto Switch (<i>Default</i>)							
	☐ I / We hereby consent to Auto Switch the maturity proceeds into Tata Equity P/E Fund							
	Options Growth Dividend Trigger Option A (5%) Dividend Trigger Option B (10%) (Default) Dividend Options Dividend Payout Dividend Re-investment Dividend Sweep to Tata Treasury Advantage Fund - Growth options							
Sign Here	1st Applicant Signature / Thumb Impression		Applicant ! Thumb Imp		3	R rd Applicant Signature / Thumb Impression		
7. Bank Account	Details					Refer Sec. L		
	The bank account details provided below will proceeds and dividend payouts (if applicable		record and	d considered as d	lefault bank m	andate to pay redemption		
This must be an »	Bank Name	-/-			Branch			
Indian account. The 1st applicant should								
be a holder in this account.	Account number				A/C type	Savings Current NRO		
account.						□ NRNR □ NRE		
	MICR	IFSC for RTGS			IFSC for NE	IFSC for NEFT		
	Address							
	City	PIN			State			
Cheque Details						Acknowledgement Slip		
Cheque/DD NoCall 1800 209 0101 (On a	dated A/c. No all days between 9 am and 9.30 pm)			Bank		Subject to realisation.		

8. Joint Applican	ıt's Details					Refer Sec. E & F
Mode of Holding	Single	Joint	\square Any one or Survivor (D	efault)		
II nd Applicant's Detai	ls					
☐ Mr. ☐ Ms. PAN / P	EKRN		Status		Mobile No.	
			Resident Individual	□ NRI		
Name						
Aadhaar No.		Date of Birth		C-KYC		
		D D	/ M M / Y Y Y Y			
III rd Applicant's Deta	ils					
☐ Mr. ☐ Ms. PAN / P	EKRN		Status		Mobile No.	
			Resident Individual	□ NRI		
Name						
Aadhaar No.		Date of Birth		C-KYC		
		D D	$ \mathbf{J} \le \mathbf{M} \le \mathbf{J} \le \mathbf{Y} \le \mathbf{Y} \le \mathbf{Y} $			
9. Know Your Cu	ustomer (KYC) Deta	ils				Refer Sec. G
CATEGORIES	FIRST APPLICANT (Include		SECOND APPLICAN	T / GUARDIAN	THIRD APPL	· .
$Occupation \gg$		Retired	Private Sector Service		☐ Private Sector Service ☐ Public Sector Service	Retired
	☐ Government Sector ☐	Business Agriculturist	Public Sector Service Government Sector	☐ Business☐ Agriculturist	☐ Government Sector	☐ Business ☐ Agriculturist
	☐ Housewife ☐	Forex Dealer Student	Professional Housewife	☐ Forex Dealer ☐ Student	☐ Professional ☐ Housewife	☐ Forex Dealer ☐ Student
Gross Annual Income »	Others (please specify) Below 1 Lac		Others (please specify	·		
dioss Ailiuai ilicollie //		1-5 Lacs 10-25 Lacs	☐ Below 1 Lac ☐ 5-10 Lacs	□ 1-5 Lacs□ 10-25 Lacs	☐ Below 1 Lac ☐ 5-10 Lacs	□ 1-5 Lacs□ 10-25 Lacs
		>1 crore	>25 Lacs-1 crore	□ >1 crore	>25 Lacs-1 crore	□>1 crore
	Networth in (Mandatory for N ₹		Networth in ₹	as	Networth in ₹	as on
	D D / M M / Y		on DD/MM	/ Y Y Y Y	D D / M M /	
	(not older than 1 year)		(not older than 1 year)		(not older than 1 year)	
Others »	Not Applicable□ Politically Exposed Persor	1	Not Applicable Politically Exposed Pe	rson	Not Applicable Politically Exposed Pe	erson
	Related to Politically Expo	sed Person	Related to Politically E		Related to Politically	
Additional KYC De	etails for Non - Indivi	duals				
For Non Individuals »	Is the company a Listed Con (if No, mandatory to attach to			r Controlled by a L	Listed Company:	□ No
only (Companies, Trust, Partnership	Non Individual investors inv	olved/providing	g any of the mentioned se			
etc.)	Foreign Exchange / Money Money Lending / Pawning		tes \square Gaming / Gambling \square None of the above	• • • • • • • • • • • • • • • • • • • •	Services	
10. Foreign Acco	ount Tax Compliand		TCA) & CRS Deta	ails		Refer Sec. H
For Individuals	FIRST APPLICANT (include	ding Minor)	SECOND APPLICANT	/ GUARDIAN	THIRD APPLI	CANT
Country of Birth >>						
Diagram of Diagram						
Place of Birth »						
Nationality >>	Indian Others (Please specify)	U. S.	Indian Others (Please specify)	☐ U. S.	☐ Indian☐ Others (Please specify) _	☐ U. S.
Type of address given at KRA »		Residential	Residential or Business	Residential	Residential or Business	Residential
Annual discount de la Com-	Registered Office	Business	Registered Office	Business	Registered Office	Business
Are you also a resident in >> any other country(ies) for tax		Yes	│	☐ Yes	│	Yes
purposes?	If yes, complete section below	w.				
Country of Tax Residency 1 »						
Tax Identification Number 1 \gg						
Identification Type 1 »						
If TIN is not available please »	Reason A B	<u> </u>	Reason A B	С	Reason A B	ПС
tick the reason A, B or C *	Reason A B	C	Reason A B		Reason A B	
Country of Tax Residency 2 »						
Tax Identification Number 2 >>						
Identification Time 2						
Identification Type 2 >>						
If TIN is not available please \gg tick the reason A, B or C *	Reason	С	Reason A B	С	Reason \square A \square B	С

^{*} 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)

11. Nomination Details Refer Sec. M

Individual(s) applying	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 to such Nominee(s) and Signature of the Nominee(s) acknowledging receipt thereof, shall be a valid discharge by the AMC/ Mutual Fund/ Trustees.						
singly or jointly.	Register nomination as below I do not wish to nominate.						
Select any one »							
1 st Nominee	Nominee Name		Date of Birth				
	Address						
		City					
	State	PIN	Country				
	Guardian Name in case of Minor Nominee	Allocation (%)	Signature of Nominee / Guardian				
2 nd Nominee	Nominee Name	Date of Birth					
	Address						
			City				
	State	PIN	Country				
	Guardian Name in case of Minor Nominee	Allocation (%)	Signature of Nominee / Guardian				
3 rd Nominee	Nominee Name	Date of Birth					
	Address						
			City				
	State	PIN	Country				
	Guardian Name in case of Minor Nominee	Allocation (%)	Signature of Nominee / Guardian				
Sign Here	1 st Applicant Signature / Thumb Impression	2 nd Applicant Signature / Thumb Impression	3 rd Applicant Signature / Thumb Impression				
12. Demat Accou	ınt Details		Refer Sec. N				
	Fill these details only if you wish to have your	units in Demat mode.					
Ensure that the sequence of names as mentioned in the	Depository participant Name						
application form matches with that of the account held with the Depository Participant.	Central Depository Securities Limited Target ID No.	National Securities Depository Limited DP ID No.					
In case the details are found to be incorrect,			I N Beneficiary Account No.				
Units will be allotted in physical mode.							

13. Declaration and Signatures

Refer Sec. O

I/We neredy Communication and I/We have not obeen orderedy Communication and I/Me will redeem my/our entire investment.

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.

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

I/We, the holder of the above stated Aadhaar number, hereby give my consent to Tata Mutual Fund(TMF), to obtain my Aadhaar number, Name and Fingerprint/Iris for authentication with UIDAI, use my mobile number mentioned in my account for sending SMS alerts to me. I/We hereby provide my consent in accordance with Aadhaar Act, 2016 and regulations made thereunder) and PMLA. I/We hereby provide my/our consent for sharing/disclose of the Aadhaar number(s) including demographic information with the asset management companies of SEBI registered mutual fund and their Registrar and Transfer Agent (RTA) for the purpose of updating the same in my/our folios with my PAN. Date:





TATA MUTUAL FUND

Mafatlal Centre 9th Floor Nariman Point Mumbai - 400 021



FATCA / FOREIGN TAX LAWS INFORMATION NON INDIVIDUAL FORM

(Please consult your professional tax advisor for further guidance on FATCA & CRS classification)

1. Entity Details

Name of the Entity

Type o at KRA	f address given	Residential or Business	Residential	Business	Registered Office			
		Address of tax residence would	be taken as available in KR	A database. In case of any c	hange, please approach KRA & notify the changes			
Applica	ation No.			Folio No.				
PAN Nu	umber			Date of Incorporation				
City of	Incorporation			Country of Incorporation				
	Constitution	Partnership Firm HUF	Private Limited Co	ompany Public Limite	d Company Society AOP/BOI			
Type		☐ Trust ☐ Liqui	dator 🔲 Limited Liability P	artnership 🗌 Artificial Jur	idical Person Others specify			
	tick the	Is "Entity" a tax resident of an	,					
	able tax nt declaration	(If yes, please provide country	//ies in which the entity is	a resident for tax purposes	and the associated Tax ID number below.)			
		·	T 1-1:6:	: NII	Identification Torre (TIN or Other places are if)			
		Country	Tax Identifica	ation Number*	Identification Type (TIN or Other, please specify)			
		tion Number is not available, ional equivalent is not availab			or Global Entity Identification Number or GIIN, etc.			
In case	the Entity's Coun	try of Incorporation / Tax resider	nce is U.S. but Entity is not a	Specified U.S. Person, mentic	,			
Please	refer to para 3(vii)	exemption code for U.S. persons	s in FATCA Instructions & De	finitions				
2. F	ATCA & CI	RS Declaration						
DADT	A (to be Filled by	Financial Institutions or Dire	act Panartina NEEs)					
		/ Financial Institutions or Dire	ct Reporting NFES)					
1	We are a, Financial ins	stitution ³	GIIN					
	or Direct repor		Note : If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below					
		as appropriate)	Name of sponsoring enti-	ty				
	GIIN not availa	ble (please tick as applicable	\square Applied for					
	If the entity is a	Financial institution,	\square Not required to appl	y for - please specify 2 dig	gits sub-category ¹⁰			
			Not obtained - Non-	participating FI				
PART	B (please fill any	one as appropriate "to be fill	led by NFEs other than Dir	rect Reporting NFEs")				
1	Is the Entity a	listed company (that is, a			nge on which the stock is regularly traded)			
	company whose an established s	shares are regularly traded on tock exchanges)	Name of stock exchange					
2	company (a c	a related entity of a listed ompany whose shares are d on an established stock	Yes (If yes, please sp this stock is regularly tra		ompany name of and one stock exchange(s) on where \Box No			
	exchanges)	d on an established stock	Name of listed company					
			Nature of relation:	Subsidiary of the Listed (Company Controlled by a Listed Company			
			Name of stock exchange					
3	Is the Entity an	active ¹ NFE	Yes	No				
			Nature of Business					
			Please specify the sub-ca	tegory of Active NFF				
4	Is the Entity a p	passive ² NFE			declaration in the next section.)			
	, a p			No (ii yes, piease iiii obo				

3. Ultimate Beneficial Ownership (UBO) Details for Passive NFE # If passive NFE, please provide below additional details for each of controlling persons. (Please attach additional sheets if necessary) Name DOB - Date of Birth Occupation Type -PAN / Any other Identification Number Service, Business, Others Gender - Male. Female. Other (PAN, Aadhar, Passport, Election ID, Govt. ID, **Nationality** Driving Licence, NREGA Job Card, Others) Father's Name -City of Birth - Country of Birth Mandatory if PAN is not available 1. Name Occupation Type _ D D / M M / Y Y Y PAN Nationality Gender \square Male Female Other City of Birth Father's Name Country of Birth. 2. Name Occupation Type D D / M M / Y Y Y PAN Nationality Gender Male ☐ Female ☐ Other City of Birth Father's Name Country of Birth 3. Name Occupation Type DOB | D | D | / M | M | / | Y | Y | Y | Y | PAN Nationality Female Other Gender Male City of Birth Father's Name Country of Birth # Additional details to be filled by controlling persons with tax residency / permanent residency / citizenship / Green Card in any country other than India: * To include US, where controlling person is a US citizen or green card holder. % In case Tax Identification Number is not available, kindly provide functional equivalent. 4. FATCA - CRS Terms and Conditions The Central Board of Direct Taxes has notified Rules 114F & 114H, as part of the Income Tax Rules- 1962, which rules required Indian financial Institution such as the bank to seek additional personal, tax and beneficial owner information and certain certifications & documentation from all our accounts holders. In relevant cases, information will have to be reported to Tax authorities/appointed agencies. Towards compliance, we may also be requested to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. Should there be any change any information provided by you, please insure your advice us promptly, i.e. within 30 days. If any controlling person of any utility is US citizen or Green card holder, please include United States in the foreign country information field along with the US Tax Identification number. It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issued such identification. If no, TIN is yet available or has not been issued, please provide an explanation and attach this to the form. 5. Declaration and Signatures I/We have understood the information requirements of this Form (Read along with FATCA & CRS Instructions) and hereby confirm that information provided by me / us on this Form is true, correct & complete. I/We also confirm that I/We have understood the FATCA & CRS Terms & Conditions below and thereby accept the same. Name Designation

Place:

Date: | D | D | / M | M | / | Y | Y | Y | Y



Place: __

TATA MUTUAL FUND

Mafatlal Centre 9th Floor Nariman Point Mumbai - 400 021



Declaration for Ultimate Beneficial Ownership (UBO) / Controlling Persons (Mandatory for Non-individual Investors)

1. Entity Details		
Name of the Entity		
PAN Number		
2. Applicable for Listed Company	/ Subsidiary Company	
•••	ompany Secul vided in case the applicant / investor is a subsidary o	
3. Applicable for Non Individuals o	ther than Listed Company / its Sub	sidiary Company
Category (Please tick applicable category):		
 ☐ Unlisted Company ☐ Unincorporated association / body of individuals 	 □ Partnership Firm □ Limited Liability Part □ Public Charitable Trust □ Religious Trust 	nership Company Private Trust
Others (please specify) Religious Trust	- Filvate Hust
	LL countries of tax residency / permanent residency / citizenship ar	nd ALL Tax Identification Numbers for EACH controlling person(s)^.
Name - Beneficial owner / Controlling person Country - Tax Residency* Tax ID No Or functional equivalent for each country%	Address - Include State, Country, PIN / ZIP Code & Contact Details Address Type -	Tax ID Type - TIN or Other, please specify Beneficial Interest - in percentage Type Code - of Controlling person
1. Name	Address	Tax ID Type
	State: Country:	Beneficial Interest
Country	PIN/ZIP Code	Type Code
Tax ID No. [%]		Add. Type \bigcirc Residence \bigcirc Business \bigcirc Registered office
2. Name	Address	Tax ID Type
	State: Country:	Beneficial Interest
Country	PIN/ZIP Code	Type Code
Tax ID No.%		Add. Type Residence Business Registered office
3. Name	Address	Tax ID Type
5. Name	State: Country:	Beneficial Interest
Country	PIN/ZIP Code	Type Code
Tax ID No.*		Add. Type Residence Business Registered office
1. PAN	Occupation Type	DOB D / M M / Y Y Y
City of Birth Country of Birth	NationalityFather's Name	Gender ☐ Male ☐ Female ☐ Other
·		
2. PAN	Occupation TypeNationality	DOB D / M M / Y Y Y
City of Birth Country of Birth	Father's Name	Gender ☐ Male ☐ Female ☐ Other
3. PAN	Occupation Type	
City of Birth	Nationality	DOB D D / M M / Y Y Y
Country of Birth	Father's Name	Gender Male Female Other
Additional details to be filled by controlling person. To include US, where controlling person is a US ciquivalent. Attach sheets if necessary.	ons with tax residency / permanent residency / citiz tizen or green card holder. % In case Tax Identificati	enship / Green Card in any country other than Indion Number is not available, kindly provide function
I. Declaration and Signatures		
o be false/incorrect and/or the declaration is not provided, th MC/Mutual Fund/Trustee shall not be liable for the same. I/N In the same. In case the above information is not provided, it	bove is/are true and correct to the best of my/our knowledge a en the AMC/Trustee/Mutual Fund shall reserve the right to reje Ve hereby authorize sharing of the information furnished in th : will be presumed that applicant is the ultimate beneficial ow : above information in future and also undertake to provide any	ect the application and/or reverse the allotment of units and t is form with all SEBI Registered Intermediaries and they can re ner, with no declaration to submit. I/We also undertake to ke
Authorised Signatory	Authorised Signatory	Authorised Signatory

Date: | D | D | / | M | M | / | Y | Y | Y | Y |

INSTRUCTIONS

Pursuant to SEBI master circular vide ref. no. CIR/ISD/AML/3/2010 dated December 31, 2010 on anti money laundering standards and guidelines on identification of Beneficial Ownership issued by SEBI vide its circular ref. no. CIR/MIRSD/2/2013 dated January 24, 2013, investors (other than Individuals) are required to provide details of Ultimate Beneficial Owner(s) ("UBO(s)") and submit proof of identity (viz. PAN with photograph or any other acceptable proof of identity prescribed in common KYC form) of UBO(s)). Attached Documents should be self-certified by the UBO and certified by the Applicant/Investor Authorised Signatory/ies.

(1) The Ultimate Beneficial Owner means:

· For Investor other than Trust:

A 'Natural Person', who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest.

Controlling ownership interest means ownership of / entitlements to:

- i. more than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;
- ii. more than 15% of the capital or profits of the juridical person, where the juridical person is a partnership; or
- iii. more than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.
- iv. In cases where there exists doubt as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity details should be provided of the natural person who is exercising control over the juridical person through other means (i.e. control exercised through voting rights, agreement, arrangements or in any other manner).
- v. However, where no natural person is identified, the identity of the relevant natural person who holds the position of senior managing official should be provided.

· For Trust

The settler of the trust, the trustees, the protector, the beneficiaries with 15% or more of interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

(2) Documents to be provided:

Provide copy of PAN with photograph or valid KYC Compliance proof or any other acceptable identity proof of UBO as below

- i. UID (Adhar)
- ii. Passport
- iii. Voter ID
- iv. Driving Licence

 $If \ UBO \ is \ not \ KYC \ compliant, \ request \ to \ complete \ KYC \ formalities \ and \ send \ the \ intimation \ to \ CAMS \ / Fund. \ Attach \ valid \ address \ proof.$

Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory / Company Secretary.

Note: Attached documents should be self-certified by the UBO and certified by the Applicant/Investor Authorized Signatory/ies

(3) If the BO is minor proof of date of birth (i.e. birth certificate) and proof of relationship with the guardian and the copy of PAN with photograph of the guardian is mandatory.

(4) Exemption in case of listed companies:

The provisions w.r.t. Identification of UBO are not applicable to the investor or the owner of the controlling interest is a company listed on a stock exchange, or is a majority-owned subsidiary of such a company.

(5) Applicability for foreign investors:

The identification of beneficial ownership in case of Foreign Institutional Investors (FIIs), their sub-accounts and Multilateral Funding Agencies / Bodies Corporate incorporated outside India with the permission of Government of India / Reserve Bank of India may be guided by the clarifications issued vide SEBI circular CIR/MIRSD/11/2012 dated September 5, 2012.

(6) In case the information is not provided, it will be presumed that applicant is the ultimate beneficial owner, with no declaration to submit. In such case, the concerned SEBI registered intermediary reserves the right to reject the application or reverse the allotment of units, if subsequently it is found that applicant has concealed the facts of beneficial ownership.

(7) UBO - Type Codes

UBO - 01	Ownership of / entitlement to more than 25% of shares of capital or profits of the juridical person, where the juridical person is a company
UBO - 02	Ownership of / entitlement to more than 15% of the capital or profits of the juridical person, where the juridical person is a partnerhip
UBO - 03	Ownership of / entitlement to more than 15% of the property or capital or profits or the juridical person, where the juridical person is an unicorporated association or body of individuals
UBO - 04	Natural person who is exercising control over the juridical person through other means i.e. control exercised through voting rights, agreement, arrangements or in any other manner. (In case where there exist doubt as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests)
UBO - 05	Person who holds the position of senior managing official like CEO, MD, Managing Partner etc. (In case any Ultimate Beneficial Owner/s does not own over 25% or 15%).
UBO - 06	The settlor(s) of the Trust
UBO - 07	Trustee(s) of the Trust.
UBO - 08	The Protector(s) of the Trust (if applicable).
UBO - 09	The beneficiaries with 15% or more interest in the trust if they are natural person(s)
UBO - 10	Natural person(s) exercising ultimate effective control over the trust through a chain of control or ownership.

- and member of Hindu undivided Family or a Power of Attorney holder. A non-resident Indian can be a Nominee subject to the policy of exchange control for the time being in force.
- iv. Nomination in respect of the units stands rescinded upon the transfer of units.
- v. Transfer of units in favour of Nominee(s) shall be valid discharge by the Asset Management Company (AMC) against the legal heirs, executors, administrators, etc.
- vi. The cancellation of nomination can be made only by those individuals who hold units in their own name, either solely or jointly and who have originally made the nomination.
- vii. On cancellation of the nomination, the nomination shall stand rescinded & the Asset Management Company (AMC) shall not be under any obligation to transfer the units in favour of the Nominee(s).
- viii. Nomination can be made for maximum number of three nominees. Incase of multiple nominees, the percentage of the allocation/share should be in whole numbers without any decimals making a total of 100% (in the event of the unitholders not indicating the percentage of allocation/share for each of the nominees, the AMC, by invoking default option shall settle the claims equally amongst all the nominees).
- Nomination will not be allowed in a folio held on behalf of a Minor.
- x. Nomination by a unit holder shall be applicable for investments in all schemes in the folio or account.
- xi. In case a folio has joint holders, ALL Joint holders should sign the request for nomination/cancellation of nomination, even if the mode of holding is not "Joint".
- xii. Every new nomination for a folio/account will overwrite the existing nomination.
- xiii. Investors who do not wish to nominate must sign separately confirming their non-intention to nominate.
- xiv. Nomination by a unit holder shall be applicable for investments in all schemes in the folio.

N. Demat Account

- Investors have an option to hold the units in dematerialized form for all schemes except for the funds where the units are offered under the Daily / Weekly/ Fortnightly Dividend Options.
- ii. Applicants must ensure that the sequence of names as mentioned in the application form matches that of the account held with the Depository Participant. Client ID, Names, Address and PAN details, other KYC norms mentioned in the application

- form will be verified against the Depository data which will be downloaded from Depository master.
- To capture correct depository account details, investors are required to submit Client Master.
- iv. Only those applications where the details are matched with the depository data will be treated as valid applications for allotment of units in dematerialised form.
- v. If the details mentioned in the application are incomplete / incorrect, not matched with the depository data, the application shall be treated as invalid and shall be liable to be rejected / units will be issued / allotted by issuing physical account statements.
- vi. For units held in demat form, the KYC performed by the Depository Participant of the applicants will be considered as KYC verification done by the Trustee/AMC.
- vii. Please note that where the applicant has furnished the details of their depository accounts in the Application Form, it will be assumed that the investor has opted for allotment in electronic form & the allotment will be made only in electronic form as default.
- viii. For purchase in an Ongoing Scheme, the units will be allotted in demat form based on the applicable NAV as per the terms of the respective SID and will be credited to the Investors' demat account on weekly basis on realization of funds. For e.g. Units will be credited to Investor's Demat Account every Monday on the basis of realization status received during the last week (Monday to Friday).

O. Declarations and Signatures

- Signature(s) should be in English or in any of the Indian languages specified in the Eighth Schedule of the Constitution of India.
- ii. Thumb impressions and signatures in languages not specified in the Eighth Schedule of the Constitution of India should be attested by a magistrate or a Notary Public or a special Executive Magistrate under his/her official seal.
- iii. Applications by minors should be signed by their guardians.
- iv. In the case of an HUF, the Karta should sign on behalf of the HUF.
- v. Authorised officials should sign the form under their official designation and company seal. A list of specimen signatures of the authorised officials, duly certified and attested, should also be attached to the application form.
- In the case of a trust fund, a resolution from the trustee(s) authorising such purchase or investment should be submitted.

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Bhilai: Shop No.145, Ground Floor, Chauhan Estate, Near HDFC Bank, Bhilai - 490 001. Tel.: 0788-2295625. Bhubaneswar: Room-309, 3rd Floor, Janpath Tower, Ashok Nagar, Bhubaneswar - 751009. Tel.: 0674 -2533818/ 7064678888. Dhanbad: Shriram Plaza, 2nd Floor, Room No.211, Bank More, Jharkhand, Dhanbad - 826 001. Tel.: 9234302478 / 0326-2300304. Durgapur: Landmark Building (Phase II), 2nd Floor, Above Punjab National Bank, Opp. Central Library, Shahid Khudiram Sarani, City Centre, Durgapur 713216. Tel.: 0343-2544463 / 8436902531. Guwahati: 109, 1st Floor, Orion Tower, Christian Basti, G S Road, Guwahati - 781 005 (Assam). Tel.: 0361-2343084. Jamshedpur: Voltas House, Mezzanine Floor, Main Road Bistupur, Jamshedpur - 831001. Tel.: 0657-2321302 / 363 / 6576911. Kolkata: Apeejay House, Ground Floor, 15 Park Street, Kolkata - 700 016. Tel.: 033-4406 3300/01/33/19. Fax: 033-4406 3315. Patna: 401, 4th Floor, Ashiana Hariniwas, New Dak Bunglow Chowk, Patna - 800 001. Tel.: 0612-2206497. Raipur: Shop No. S-10, 2nd Floor, Raheja Tower, Near Fafadhi Chowk, Jail Road, Raipur (Chhattisgarh) 492001. Tel.: 0771-4040069 / 6537340. Ranchi: 406 - A, 4th Floor, Satya Ganga Arcade, Sarjana Chowk, Lalji Hirji Road, Ranchi - 834001. Tel.: 0651-2210226 / 8235050200. Siliguri: Lower Ground Floor, Nanak Complex, Sevoke Road, Siliguri - 734001. Tel.: 0353 - 2522275.

North Zone:

Ajmer: 2nd Floor, 42, K. C. Complex, Daulat Bagh Road, Sunder Vilas, Ajmer - 305 001. Tel.: 0145 - 2625316. Agra: Unit No. 2, 1st Floor, Block No. 54, Prateek Tower Commercial Complex, Sanjay Place, Agral - 282002. Tel.:- 0562-2525195. Allahabad: Shop No. 10, Upper Ground Floor, Vashistha Vinayak Tower, Tashkand Marg, Civil Lines, Allahabad -211 001. Tel.:- 0532-2260974. Amritsar: Mezzanine Floor, S.C.O - 25, B Block, District Shopping Complex, Ranjit Avenue, Amritsar - 143 001. Tel.: 0183-5011181/5011190. Chandigarh: SCO - 2473-74, 1st Floor, Sector- 22C, Chandigarh - 160 022. Tel.: 0172-5037205/5087322, Fax: 0172 - 2603770. Dehradun: Shop No. 19, Ground Floor, Shree Radha Palace, 78, Rajpur Road, Dehradun - 248 001, Uttarakhand. Tel.: 0135-2740877 / 2741877. Jalandhar: Shop No.32, 5th Floor, City Square Building, Near Kesar Petrol Pump, Jalandhar - 144 001, Tel.: 0181 - 5001024/25. Jaipur: 233, 2nd Floor, Ganpati Plaza, M I Road, Jaipur - 302 001. Tel.: 0141 - 5105177 / 78 / 2389387, Fax: 5105178. Delhi: Vandana Building, 9th Floor, Unit Nos.9-G & 9-H, 11, Tolstoy Marg, Connaught Place, New Delhi - 110 001. Tel.: 011-66324101/102/103/104/105, Fax: 011-66303202. Jodhpur: Ground Floor, Jaya Enclave, 79/4, Opp. IDBI Bank, 1st A Road, Sardarpura, Jodhpur - 342 001. Tel.: 0291-2631257, Fax: 0291 - 2631257. Kanpur: 4th Floor, Office No. 412 - 413, KAN Chambers, 14 / 113, Civil Lines, Kanpur - 208 001. Tel.: 0512-2306065 / 6066, Fax: 0512 - 2306065. Kota: Unit No. 26, 1st Floor, Mehta Compound, Jhalawar Road, Kota - 324 007. Tel.: 0744 - 2362548. Lucknow: Office No.2, Saran Chambers-I, 1st Floor, 5, Park Road, Lucknow - 226 001. Tel.: 0522-4001731, Fax: 0522-2235386. Ludhiana: Cabin No. 201, 2nd. Floor, SCO 18, Opp Ludhiana Stock Exchange, Feroze Gandhi Market, Ludhiana - 141 001. Tel.: 0161-5089667 / 668, Fax: 0161-2413498. Meerut: G-13, Rama Plaza, Near Bachha Park, Western Kutchery Road, Meerut (U.P.) - 250 001. Tel.: 0121-4035585. Moradabad: Ground Floor, Near Hotel Rajmahal, Civil Lines, Moradabad - 244 001, Tel.: 0591-2410667. Udaipur: Office No - 4, 2nd Floor, Madhav Appartment, Opp GPO, Chetak Circle, Udaipur - 313 001. Tel.: 0294-2429371, Fax: 0294-2429371. Varanasi: D-64/127, 2nd Floor, C-H Arihant Complex, Sigra, Varanasi - 221010 Tel.: 0542-2222179.

South Zone:

Bangalore: Unit 3A, 4th Floor, Sobha Alexander Plaza, 16/2-6, Commissariat Road, Bangalore - 560025. Tel.: 080-66561313, Fax: 080-22370512. Calicut: C-8 & 9, Friends Commercial Complex, Near Federal Towers, Arayadathu Palam, Mavoor Road, Calicut - 673016. Tel.: 0495-4850508. Chennai: 3rd Floor, Sri Bala Vinayagar Square, No.2, North Boag Road, Near AGS Complex, T Nagar, Chennai - 600 017. Tel.: 044 - 48641878 / 48631868 / 48676454. Fax: 044-43546313. Cochin: 2nd Floor, Ajay Vihar, Near Hotel Avenue Regent, M. G. Road, Cochin - 682 016. Tel.: 0484-4865813 / 814. Fax: 0484 - 2377581. Coimbatore: Tulsi Chambers, 195-F, Ground Floor, West T V Swamy Road, R S Puram, Coimbatore - 641002. Tel.: 0422-4365635, Fax: 2546585. Hyderabad: 2nd Floor, Room No. 211, Babukhan Mall, Opp. Kalaniketan, Somajiguda, Hyderabad - 500 082. Tel.: 040-67308989 / 67308901. Fax: 040-67308990. Hubli: No 19 & 20, 1st Floor, Eureka Junction, T B Road, Hubli - 580029. Tel.: 0836 - 4251510 Fax: 4251510. Kottayam: CSI Ascention Square, Logos Junction, Collectorate P. O., Kottayam - 686 002. Tel.: 0481 2568450. Mangalore: Essel Towers, 1st Floor, Bunts Hostel Circle, Above UTI Bank, Mangalore -575 003. Tel.: 0824 - 4260308. Madurai: 1st Floor, Old No. 11B, Opp. Sethupathy Higher Secondary School, North Veli Street, Madurai - 625 001. Tel.: 0452-4246315 Fax: 0452-4246315. Mysore: CH-16, 1st Floor, Prashanth Plaza, 4th Main, 5th Cross, Saraswathipuram, Mysore - 570009. Tel.: 0821 - 4246676 Fax: 4246676. Puducherry: 114, Jayalakshmi Complex, 1st Floor, Thiruvalluvar Salai Pillaithottam, Puducherry - 605 013. Tel.: 9952113339. Salem: Raj Towers, Ground Floor, No: 4, Brindavan Road, Fairlands, Salem - 636 016. Tel.: 0427 -4042028 Fax: 4042028. Thrissur: 4th Floor, Pathayappura Buildings, Round South, Thrissur - 680 001. Tel.: 0487 - 2423330. Trivandrum: Ground Floor, Sai Kripa Building, TC-1956/3, Ganapthi Temple Road, Vazhuthacaud, Trivandrum - 695 014. Tel.: 0471 - 4851431. Trichy: No.60/3, 'Krishna', 2nd Floor, Sastri Main Road, Tennur, Trichy - 620 017. Tel.: 0431 - 4024060. Vijaywada: Ground Floor, D. No. 40 - 13 -5, Sri Rama Chandra Complex, Chandra Mouli Puram, M. G. Road, Benz Circle, Vijayawada - 520 010. Tel.: 0866-6632010. Vishakapatnam: Door No. 47-15-14 & 15, Shop No. 102 B, Ground floor, VRC Complex, Opp. TSR Complex, Next to Andhra Bank, Visakhapatnam - 530 016. Tel.: 0891 - 6451883 Fax: 0891-2503292.