



# TATA MUTUAL FUND

Mulla House, Ground Floor, M.G. Road, Fort, Mumbai - 400 001  
SYSTEMATIC TRANSFER PLAN FORM (Including Flex STP)



## 1. ADVISOR DETAILS

Refer Instruction 2.

ARN / RIA ^ Code ARN - 4483	Sub-Broker ARN Code	Sub-Broker / Bank Branch Code	EUN Code
Internal Code	OR <input type="checkbox"/> Declaration for "execution-only" transaction - I/We hereby confirm that the EUN 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. ^ 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. INVESTOR DETAILS

Folio No. \_\_\_\_\_

1 <sup>st</sup> Holder Name			PAN
C-KYC	Date of Birth D D / M M / Y Y Y Y	Mobile No.	Mobile belongs to <input type="checkbox"/> Self <input type="checkbox"/> Parent <input type="checkbox"/> Spouse <input type="checkbox"/> Child
2 <sup>nd</sup> Holder Name			PAN
C-KYC	Date of Birth D D / M M / Y Y Y Y	Mobile No.	Mobile belongs to <input type="checkbox"/> Self <input type="checkbox"/> Parent <input type="checkbox"/> Spouse <input type="checkbox"/> Child
3 <sup>rd</sup> Holder Name			PAN
C-KYC	Date of Birth D D / M M / Y Y Y Y	Mobile No.	Mobile belongs to <input type="checkbox"/> Self <input type="checkbox"/> Parent <input type="checkbox"/> Spouse <input type="checkbox"/> Child

## 3. PURPOSE OF FORM (tick any one)

Fresh Registration  Cancellation

## 4. SYSTEMATIC TRANSFER DETAILS

Flex STP Refer Instruction 5	<input type="checkbox"/> Yes <input type="checkbox"/> No (Default)	Flex STP is available for Monthly and Quarterly frequencies; Flex STP is not available from "Daily / Weekly" IDCW plans of the source schemes; Flex STP is available only in "Growth" option of the target scheme.
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### Scheme Details

Source Scheme / Plan / Option	
Target Scheme / Plan / Option	
Target Scheme Sub Option	Div. Payout Option: (select any one) <input type="checkbox"/> Div. Reinvest <input type="checkbox"/> Div. Payout

### Transfer Plan Details (Select any one) Flex STP is applicable only under Fixed Amount Transfer Plan.

<input type="checkbox"/> Fixed Amount Transfer Plan (FATP) / 1 <sup>st</sup> Installment for Flex STP	Amount in Rs. ₹ _____	Amount in Words
<input type="checkbox"/> Fixed Units Transfer Plan (FUTP)	Number of Units	Units in Words
<input type="checkbox"/> Capital Appreciation Transfer Plan (CATP)	<input type="checkbox"/> IDCW Transfer Plan (DTP)	

### Transfer Frequency (Select any one - Not Applicable for IDCW Transfer Plan)

<input type="checkbox"/> Daily	Only from Monday to Friday [In case any day is a non-business day for any one of the schemes (either STP from or STP to scheme) the STP will be processed as per the matrix provided on our website www.tatamutualfund.com.]	
<input type="checkbox"/> Weekly	<input type="checkbox"/> Monday <input type="checkbox"/> Tuesday <input type="checkbox"/> Wednesday (Default) <input type="checkbox"/> Thursday <input type="checkbox"/> Friday	<b>In case the day of STP is a non business day the request will be considered for the next business day.</b>
<input type="checkbox"/> Monthly	Days of the Month (Select any one)	
<input type="checkbox"/> Quarterly	<input type="checkbox"/> 1 <sup>st</sup> <input type="checkbox"/> 7 <sup>th</sup> <input type="checkbox"/> 10 <sup>th</sup> <input type="checkbox"/> 20 <sup>th</sup> <input type="checkbox"/> 28 <sup>th</sup>	

### Enrolment Period (Not Applicable for IDCW Transfer Plan)

Start Date D D / M M / Y Y Y Y	End Date D D / M M / Y Y Y Y	OR Number of Installments / Transfers
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## 5. DECLARATION AND SIGNATURES

I/We have read, understood and hereby agree to comply with the terms and conditions of the scheme related documents including the key information Memorandum and apply for allotment of Units of the Scheme(s) of Tata Mutual Fund ("Fund") indicated in this application form. I/We will indemnify the Fund, AMC, Trustee, RTA and other intermediaries in case of any disputes regarding the eligibility, validity and authorization of my/our transactions. 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. Date \_\_\_\_\_

1 <sup>st</sup> Applicant Signature / Thumb Impression	2 <sup>nd</sup> Applicant Signature / Thumb Impression	3 <sup>rd</sup> Applicant Signature / Thumb Impression
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### Acknowledgement Slip

Sr. No.:

Received from Mr./Ms./M/s. \_\_\_\_\_ Folio No. \_\_\_\_\_ STP request

from Scheme \_\_\_\_\_ to Schemes \_\_\_\_\_

for  Flex  FATP  FUTP  CATP  DTP for Amount (₹) \_\_\_\_\_ / Units \_\_\_\_\_ Subject to verification.

**General Instructions**

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

**Instructions for Systematic Transfer Plan (STP)**

- There are four OPTIONS:
  - Fixed amount: Fixed amount will be transferred to any Transferee scheme of Tata MF, on the days mentioned under Transfer Frequency below, subject to the terms and conditions of the schemes.
  - Fixed units - Fixed units will be transferred to any other scheme of Tata MF, on the days mentioned under Transfer Frequency below, subject to the terms of the scheme.
  - Capital appreciation: The capital appreciation amount as on the dates mentioned below will be transferred to any other scheme of Tata MF, subject to the terms of the scheme.
  - IDCW amount / IDCW sweep: IDCW sweep is possible only if the investor has opted for IDCW reinvestment. IDCW sweep is not possible if the investor has opted for IDCW payout.
- IDCW declared will be automatically invested into scheme/plan of Tata Mutual Fund, mentioned by the unit holder. E.g. Mr. X has units in TATA Dynamic Bond Fund - IDCW reinvestment option and has opted for IDCW sweep to Tata Banking & PSU Debt Fund - Growth Option. As and when IDCW is declared in TATA Dynamic Bond Fund, the IDCW will be directly transferred to Tata Banking & PSU Debt Fund - Growth option. The NAV applicability of the Sweep In Scheme will be on the basis of the provision mentioned in the SID of the respective scheme and on the availability of funds in the Switch In Scheme and the actual payout of the IDCW in the Source scheme.
- Please note that there will be no entry of IDCW reinvestment in the scheme where the IDCW has been declared and the description in the scheme where the investor has opted IDCW sweep will be IDCW Sweep Out.
- The frequency of transfer will be dependent on the IDCWs declared in the scheme where the investment has been made.
- There is no minimum and maximum amount under this option.
- Investor need not mention the STP start date and the END date for IDCW Transfer Plan. The same will be registered on receipt of the application at the registrar back office. Also, the investor should send an intimation in case the ceasure of the DTP is required.
- Transfer frequency:
  - Monthly and Quarterly:
    - This facility is available under fixed Amount/Units and Capital Appreciation.
    - The STP dates are 1st / 7th / 10th / 20th and 28th of every month.
    - The STP dates for quarterly STP are 1st / 7th / 10th / 20th and 28th. The quarter will be taken in to consideration from the first STP month i.e. if the first STP date is 10th Aug 2020, then the next STP will take place on 10th Nov 2020 and then on after every 3 months.
    - If any of the selected days is a non-business day, then the request will be processed immediately on the next Business Day.
  - Weekly:
    - This facility is available under fixed Amount/Units/Capital Appreciation.
    - The investor will have to choose a day of his/her choice. In case of any ambiguity i.e. if more than one options are selected or no option is selected the default will be Wednesday. (if the STP date is a non-business day, then the request will be processed immediately on the next Business Day).
- Daily (Business Days):
  - This facility is available under fixed Amount.
  - If STP date/day is a non-Business Day, then the next Business Day shall be the STP Date/ Day and the same will be considered for the purpose of determining the applicability of NAV.
  - The Unitholder should submit the duly filled in STP Enrolment Form at least 7 days prior to the first STP date.
- Transfer Amount:
 

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

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

- In case the Start Date is mentioned but End Date is not mentioned and if the number of installments are not mentioned then,
  - For Daily STP, the default end date will be 5 years.
  - For Weekly Monthly and Quarterly STP, the default end date will be December 2099.
- In case the End Date is mentioned but Start Date is not mentioned, the application will be registered as follows:
  - Daily STP: After expiry of 7 days from submission of the application from
  - Weekly STP: The next Friday after expiry of 7 days from submission of the application from.
  - For Monthly and Quarterly: The date selected or the default date i.e. 10th of each month / quarter (or the immediately succeeding Business Day), after expiry of 7 days from submission of the application form, provided the minimum number of installments are met.
- There will be no maximum duration for STP enrolment. However, STPs will be registered in a folio held by a minor, only till the date of the minor attaining majority, even though the instructions may be for a period beyond that date.
- Flex Systematic Transfer Plan is a facility wherein an investor under a designated open-ended scheme can opt to transfer variable amounts linked to the value of his investments on the date of transfer at pre-determined intervals from designated open-ended (source scheme) to the growth option of another open-ended scheme (target scheme). This facility allows investors like you to take advantage of movements in the market by investing higher when the markets are low and vice-versa.

**Terms and conditions of Flex STP are as follows:**

- The amount to be transferred under Flex STP from source scheme to target scheme shall be calculated using the below formula:  
Flex STP amount = [(fixed amount to be transferred per installment x number of installments already executed, including the current installment) - market value of the investments through Flex STP in the Transferee Scheme on the date of transfer]
- The first Flex STP installment will be processed for the fixed installment amount specified by the investor at the time of enrolment. From the second Flex STP installment onwards, the transfer amount shall be computed as per formula stated above.
- Source Schemes (For Flex STP purpose):
  - Tata Liquid Fund; b. Tata Money Market Fund; c. Tata Overnight Fund; d. Tata Short Term Bond Fund; e. Tata Ultra Short Term Fund; f. Tata Treasury Advantage Fund
- Target Schemes for Flex STP, Growth Options of:
  - Tata Balanced Advantage Fund; b. Tata Banking and Financial Services Fund; c. Tata Digital India Fund; d. Tata Equity P/E Fund; e. Tata India Consumer Fund; f. Tata India Pharma and Healthcare Fund; g. Tata Infrastructure Fund; h. Tata Large & Mid Cap Fund; i. Tata Large Cap Fund; j. Tata Mid Cap Growth Fund; k. Tata Flexi Cap Fund; l. Tata Resources & Energy Fund; m. Tata Small Cap Fund
- Flex STP is available for Monthly and Quarterly frequencies.
- Flex STP is not available from "Daily / Weekly" IDCW plans of the source schemes.
- Flex STP is available only in "Growth" option of the target scheme.
- If there is any other financial transaction (purchase, redemption or switch) processed in the target scheme during the tenure of Flex STP, the Flex STP will be processed as normal STP for the rest of the installments for a fixed amount.
- A single Flex STP enrollment Form can be filled for transfer into one Scheme/Plan/Option only.
- In case the date of transfer falls on a Non-Business Day, then the immediate following Business Day will be considered for the purpose of determining the applicability of NAV.
- In case the amount (as per the formula) to be transferred is not available in the source scheme in the investor's folio, the residual amount will be transferred to the target scheme and Flex STP will be closed.
- The request for flex STP should be submitted at least 10 calendar days before the first STP date.
- All other terms & conditions of Systematic Transfer Plan are also applicable to Flex STP.
- Cancellation of STP:
  - Cancellation of STP request should be submitted before 7 days from the processing date of STP. For example - The request to be forwarded on or before 8<sup>th</sup> January 2021 for the cancellation of STP on 15<sup>th</sup> January 2021. If not then it will be considered only for the next month STP Date.
  - In case there is no minimum fixed amount or fixed units (as selected by the investor) available in the unit holder's account the residual amount will be transferred to the Transfer to scheme and the STP will be ceased.
  - STP will be automatically terminated if all units are liquidated or withdrawn from the Transferor Scheme or pledged or upon receipt of intimation of death of the unit holder.
- Loads: Since STP is a Systematic Withdrawal Plan from one scheme (SWP) and Systematic Investment Plan (SIP) in other scheme the prevailing SIP Load structure will be applicable.
- The units under lien and schemes under lock in period will not be eligible for STP.
- For NAV applicability please refer our website www.tatamutualfund.com. In case any day is a non-business day for any one of the schemes (either STP from or STP to scheme) the STP will be processed as per the matrix provided on our website www.tatamutualfund.com.
- Investors with existing STP enrolment, who wish to invest under the Direct Plan of the Transferee Scheme must cancel their existing enrollment and register afresh for the facility.
- Investment through Distributors / Agents are not entitled to distribute units of mutual funds unless they are registered with Association of Mutual Funds in India (AMFI). Every employee/relationship manager/ sales person of the distributor of mutual fund products to quote the Employee Unique Identification Number (EUIIN) obtained by him/her from AMFI in the Application Form. Individual ARN holders including senior citizens distributing mutual fund products are also required to obtain and quote EUIIN in the Application Form. Hence, if your investments are routed through a distributor, please ensure that the EUIIN is correctly filled up in the Application Form. However, in case of any exceptional cases where there is no interaction by the employee/ sales person/relationship manager of the distributor/sub broker with respect to the transaction and EUIIN box is left blank, you are required to provide the duly signed declaration to the effect as given in the form. For further details on EUIIN you may kindly refer to the instructions of the Scheme Application Form or Statement of Additional Information. These requirements do not apply to Overseas Distributors. New cadre distributors: New cadre distributors are permitted to sell eligible schemes of the Fund (details of eligible scheme is available on They also hold an EUIIN which must be quoted in the application form. In case your application through such distributor is not for an eligible scheme, it is liable to be rejected.

Direct Investments: Investors applying under Direct Plan must mention "Direct" in ARN column. In case Distributor code is mentioned in the application form, but "Direct Plan" is indicated against the Transferee Scheme name, the Distributor code will be ignored and the application will be processed under Direct Plan.

Tata Mutual Fund reserves the right to reject any application without assigning any reason thereof.