



MF Utilities India Pvt. Ltd.

103-105, Orion Business Park, Ghodbunder Road, Kapurbawdi

Thane (West) - 400 607

CIN : U74120MH2013PTC242939

FORM NO:

Third Party Payment Declaration Form

Please read the Third Party Payment Rules, Guidelines and Instructions carefully before completing this Form

Please fill in ENGLISH and in BLOCK LETTERS with black ink

All details are mandatory, including relationship, PAN and KYC. Please read scheme related documents and KIM before investing. Please tick relevant boxes where applicable.

A. * BENEFICIAL INVESTOR INFORMATION (refer instructions B):-

Common Account Number (CAN) / Folio No. (For existing investor)

OR

If you have submitted a CAN Regn Form (CRF) and/or CAN Transaction Form (CTF), please mention the primary holder PAN/PEKRN or the CRF/CTF No below:			
PAN / PEKRN	please specify	CRF / CTF No.	please specify

Name of the First/Sole Holder (Beneficial Investor)

B. * THIRD PARTY INFORMATION (refer instruction C):-

Name of the Third Party (Person making the Payment)

* PAN (refer instructions F)

* KYC Proof/Documents Attached, please tick (✓) (refer instructions H)

* Name of the Contact person & Designation (in case of non-individual third party):-

Name

Designation

* Mailing Address (P.O. Box may not be sufficient):-

Address

City

Pincode

State

* Contact Details:-

Office Telephone No.

Fax No.

Fax Number

Primary Mobile No.

Mobile Number

Alt. Mobile No.

Mobile Number

Email ID

* Relationship of the Third Party with the Beneficial Investor (refer instructions C), please tick (✓) as applicable:-

Status of the Beneficial Investor	<input type="checkbox"/> Minor	<input type="checkbox"/> FII (or) <input type="checkbox"/> Client	<input type="checkbox"/> Employee(s)
Relationship of Third Party with the Beneficial Investor	<input type="checkbox"/> Other than the Guardian registered in the CAN / Folio <input type="checkbox"/> Father / Mother / Court appointed legal guardian # <input type="checkbox"/> Grand Parent <input type="checkbox"/> Related Person (specify relationship) (Maximum investment - Rs.50,000/- per lumpsum/SIP) # - (please attach proof of relationship, if not already provided)	Custodian - SEBI Registration No. of Custodian _____ Registration Valid Till <input type="text"/> <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	
Declaration by Third Party	I/We declare that the payment made on behalf of minor is in consideration of natural love and affection or as a gift.	I/We declare that the payment is made on behalf of FII/ Client and the source of this payment is from funds provided to us by FII/Client.	I/We declare that the payment is made on behalf of employee(s) under Systematic Investment Plans or as lump sum / one-time subscription, through Payroll Deductions.

C. Third Party Payment Details (refer instructions D):-

Mode of Payment [Please tick (✓)]	Mandatory Enclosure(s) #
Cheque <input type="checkbox"/>	In case the account number and account holder name of the third party is not pre-printed on the cheque then a copy of the bank passbook / statement of bank account or letter from the bank certifying that the third party maintains a bank account.
Pay Order <input type="checkbox"/>	Certificate from the Issuing Banker stating the Bank Account Holder's Name and Bank Account Number debited for issue of the instrument or Copy of the acknowledgement from the bank, wherein the instructions to debit carry the bank account details and name of the third party as an account holder are available or Copy of the passbook/bank statement evidencing the debit for issuance of the instrument.
Demand Draft <input type="checkbox"/>	
Banker's Cheque <input type="checkbox"/>	
RTGS <input type="checkbox"/>	Copy of the Instruction to the Bank stating the Bank Account Number which has been debited.
NEFT <input type="checkbox"/>	
Fund Transfer <input type="checkbox"/>	

MF Utilities India Pvt Ltd (MFUI) / The Mutual Fund / The Asset Management Company reserves the right to seek information and /or obtain such other additional documents / information from the Third Party for establishing the identity of the Third Party.

Investment Amount

In words _____

In figures

Payment Reference Number

(Instrument # for Cheque/DD/PO/BC; UTR # for RTGS/NEFT; Ref # for Trf Instruction)

Payment Date (Instrument Date for Cheque, Demand Draft, Payorder, Banker's Cheque; Payment execution date for RTGS, NEFT, Fund Transfer)

Payment from Bank Account No.

MICR Code

IFSC

A/c Type please (✓)

Savings <input type="checkbox"/>	Current <input type="checkbox"/>	Cash Credit <input type="checkbox"/>	O/D <input type="checkbox"/>	NRE <input type="checkbox"/>	NRO <input type="checkbox"/>	FCNR <input type="checkbox"/>	NRSR <input type="checkbox"/>	others, please specify
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Drawn on Bank

Branch

D. Declaration and Signature(s) (refer instructions E):-

THIRD PARTY DECLARATION

I/We hereby confirm and declare as under:-
 I/We have read and understood the Third Party Payment rules, guidelines and instructions as given below and agree to comply and be bound by the same.
 The information provided is true and correct and MFUI India Pvt Ltd ('MFUI') / The Mutual Fund ('Fund') / The Asset Management Company Limited ('AMC') is entitled to verify the same directly or indirectly.
 I/We agree to furnish such further information as MFUI / Fund / AMC may require from me/us and to assist the Fund to verify directly or indirectly the details.
 I/We agree that if any of the declarations furnished by me/us are found to be incorrect or incomplete, MFUI / Fund / AMC shall have the absolute discretion to reject / not process the Application Form received from the Beneficial Investor(s) and refund the subscription monies accordingly.
 I/We hereby declare that the amount invested in the Scheme(s) is through legitimate sources only and is not for the purpose of contravention or evasion of any act, rules, regulations, notifications or directions issued by any regulatory authority in India.
 I/We shall be solely liable/responsible for any claim, loss and/ or damage of whatsoever nature that MFUI / Fund / AMC may suffer as a result of accepting the aforesaid payment from me/us towards processing the transaction in favour of the Beneficial Investor(s) as detailed in the Application Form.

Applicable to NRIs/ PIO/OCIs only:

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.

Please tick (✓) Yes No

If yes, tick (✓) Repatriation basis Non-repatriation basis

D	D	/	M	M	M	/	Y	Y	Y	Y
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Signature of the Third Party

BENEFICIAL INVESTOR(S) DECLARATION

I/We confirm having read and understood the Third Party Payment rules, guidelines and instructions.
 I/We certify that the information declared herein by the Third Party is true and correct and have no objection to the funds received from the Third Party.
 MFUI / Fund / AMC reserves the right in its sole discretion to reject/not process the Application Form and refund the payment received from the aforesaid.
 MFUI / Fund / AMC will not be liable for any damages or losses or any claims of whatsoever nature arising out of any delay or failure to process this transaction.

Applicable to Guardian receiving funds on behalf of Minor only:

I/We confirm that I/We are the guardian of the Minor registered in folio and have no objection to the funds received towards Subscription of Units in this Scheme(s) on behalf of the minor.

D	D	/	M	M	M	/	Y	Y	Y	Y
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Place : _____

SIGNATURE/S

First / Sole Applicant / Guardian

Second Applicant

Third Applicant

THIRD PARTY PAYMENT RULES

1. In order to enhance compliance with Know your Customer (KYC) norms under the Prevention of Money Laundering Act, 2002 (PMLA) and to mitigate the risks associated with acceptance of third party payments, Association of Mutual Funds of India (AMFI) issued best practice guidelines on "risk mitigation process against third party instruments and other payment modes for mutual fund subscriptions". AMFI has issued the said best practice guidelines requiring mutual funds/asset management companies to ensure that Third-Party payments are not used for mutual fund subscriptions.
- 2a. The following words and expressions shall have the meaning specified herein:
 - i. "Beneficial Investor" is the first named applicant/investor in whose name the application for subscription of Units is applied for with the Mutual Fund.
 - ii. "Third Party" means any person making payment towards subscription of Units in the name of the Beneficial Investor.
 - iii. "Third Party payment" is referred to as a payment made through instruments issued from a bank account other than that of the first named applicant/ investor mentioned in the application form.

Illustrations

Illustration 1: An Application submitted in joint names of A, B & C alongwith cheque issued from a bank account in names of B, C & Y. This will be considered as Third Party payment.

Illustration 2: An Application submitted in joint names of A, B & C alongwith cheque issued from a bank account in names of C, A & B. This will not be considered as Third Party payment.

Illustration 3: An Application submitted in joint names of A, B & C alongwith cheque issued from a bank account in name of A. This will not be considered as Third Party payment.
- 2b. MFUI / Fund / AMC will not accept subscriptions with Third Party payments except in the following exceptional cases, which is subject to submission of requisite documentation/ declarations:
 - i. Payment by Parents/Grand-Parents/Related Persons* on behalf of a minor in consideration of natural love and affection or as gift for a value not exceeding Rs.50,000/- for each regular Purchase or per SIP installment. However, this restriction of Rs. 50,000/- will not be applicable for payment made by a Guardian whose name is registered in the records of MFUI in that CAN or the Mutual Fund in that folio (i.e. father, mother or court appointed Legal Guardian).
 - ii. Payment by Employer on behalf of employee under Systematic Investment Plans or as Lump sum/one-time subscription, through Payroll deductions.
 - iii. Custodian on behalf of an FII or a Client.

* Related Person' means any person investing on behalf of a minor in consideration of natural love and affection or as a gift.
- 2c. Applications submitted through the above mentioned 'exceptional cases' are required to comply with the following, without which applications for subscriptions for units will be rejected / not processed / refunded.
 - i. Mandatory KYC for all investors (guardian in case of minor) and the person making the payment i.e. third party.
 - ii. Submission of a complete and valid 'Third Party Payment Declaration Form' from the investors (guardian in case of minor) and the person making the payment i.e. third party.
- 2d. Investor(s) are requested to note that any application for subscription of Units of the Scheme(s) of a Mutual Fund accompanied with Third Party payment other than the above mentioned exceptional cases as described in Rule (2b) above is liable for rejection without any recourse to Third Party or the applicant investor(s).

The above mentioned Third Party Payment Rules are subject to change from time to time. Please contact any of the MFUI Point of Service (POS) or visit our website www.mfuindia.com for any further information or updates on the same.

INSTRUCTIONS FOR THIRD PARTY PAYMENT DECLARATION FORM

A **General Instructions:**

- 1 Please read the terms of the Key Information Memorandum (KIM), the Scheme Information Document (SID) and Statement of Additional Information (SAI) of the respective Mutual Funds carefully before filling the Third Party Payment Declaration Form (hereinafter referred to as 'Declaration Form').
- 2 The Declaration Form should be completed in ENGLISH and in BLOCK LETTERS only. Please tick in the appropriate box for relevant declarations wherever applicable. Please do not overwrite. Any correction/ changes (if any) made in the Declaration Form, shall be authenticated by canceling and re-writing the correct details and counter signature of the Third Party and the Beneficial Investor(s).
- 3 Applications complete in all respects along with the Third Party Declaration form, may be submitted at any of the "Points of Services" of MFUI. For a list of authorised points of service of MFUI, please visit our web site www.mfuindia.com.
- 4 In case the Declaration Form does not comply with the above requirements and/or is incomplete in any respect, MFUI / Fund /AMC at its discretion may reject / not process such Declaration Form and where required, refund the subscription money to the bank account from which such money was remitted and shall not be liable/responsible for any such rejection.

B **Beneficial Investor Information:**

The Third Party should provide the CAN/Folio of the Beneficial Investor already having a CAN/folio with MFUI/Fund in Section A. In case the Beneficial Investor does not have an existing CAN/Folio Number, the Third Party should mention the relevant Application Number as stated in the Application Form. Name must be written in full.

C **Third Party Information:**

- 1 "Third Party" includes the Parent, Grand Parent, Related Person, Custodian of FII/Client, or Employer, making payment towards subscription of Units in the name of the Beneficial Investor(s).
- 2 Full Name and relationship of Third Party with the Beneficial Investor must be provided.
- 3 The Relationship declared by the Third Party will suggest that the payment made on behalf of Beneficial Investor(s) is:
 - a. On behalf of a minor in consideration of natural love and affection or as gift for a value not exceeding Rs. 50,000/- (which includes each regular purchase or per SIP installment) made by Parents/Grand Parents/ Related Persons. However this restriction of Rs. 50,000/- will not be applicable for payment made by a guardian whose name is registered in the records of MFUI in that CAN or the Mutual Fund in that folio (i.e. father or mother or court appointed legal guardian); or
 - b. On behalf of employee under Systematic Investment Plans or as lump sum/one-time subscription, through Payroll deductions made by employer; or
 - c. On behalf of an FII or a Client made by the Custodian.Mailing address and contact details of Third Party must be written in full.

D **Third Party Payment Details:**

- 1 Third Party must provide in the Declaration Form the details of the source Bank Account i.e. account from which subscription payment is made in the name of the Beneficial Investor(s).
- 2 The Declaration Form with incomplete payment details shall be rejected. The following document(s) is/are required to be submitted by Third Party as per the mode of payment selected:
 - (i) Source of funds - if paid by cheque**

In case the account number and account holder name of the third party is not preprinted on the cheque, then the third party should provide any one of the following documents:

 1. a copy[#] of the bank passbook or a statement of bank account having the name and address of the account holder and account number;
 2. a letter (in original) from the bank on its letterhead certifying that the third party maintains an account with the bank, along with information like bank account number, bank branch, account type, the MICR code of the branch & IFSC Code (where available). The said letter should be certified by the bank manager with his / her full signature, name, employee code, bank seal and contact number.

[#] the original documents along with the documents mentioned above should be submitted to the Points of Service (POS) of MFUI. The copy of such documents will be verified with the original documents to the satisfaction of the MFUI / Fund / AMC / RTA. The original documents will be returned across the counter after due verification.
 - (ii) Source of funds - if funded by pre-funded investments such as Pay Order, Demand Draft, Banker's cheque etc.**

The Third Party should attach any one of the following supporting documents with the purchase application where subscription for units is vide a pre-funded instrument issued by way of debit to his / her bank account:

 1. a Certificate (in original) from the issuing banker duly certified by the employee signing the pre-funded instrument with his / her full signature, name, employee code, bank seal and contact number, stating the Account holder's name, the Bank Account Number which has been debited for issue of the instrument (Mandatory) and PAN as per bank records, if available; or
 2. a copy of the acknowledgement from the bank, wherein the instructions to debit carry the bank account details and name of the third party as an account holder are available; or
 3. a copy of the passbook/bank statement evidencing the debit for issuance of the instrument.

The account number mentioned in the above supporting documents should be the same as the bank details mentioned in the application form.
 - (iii) Source of funds - if paid by RTGS, Bank Account-to-Account Transfer, NEFT, ECS, etc.**

Acknowledged copy of the instruction to the bank stating the account number debited.
 - iv) Source of funds - if paid by a pre-funded instrument issued by the Bank against Cash**

MFUI / AMC/Mutual Fund/R&TA will not accept any purchase applications from third party if accompanied by a pre-funded instrument issued by a bank (such as Pay Order, Demand Draft, Banker's cheque) against cash for investments of Rs. 50,000 or more. The third party should submit a Certificate (in original) obtained from the bank giving name, bank account number (Mandatory) and PAN as per the bank records, if available of the person who has requested for the payment instrument. The said Certificate should be duly certified by the employee signing the pre-funded instrument with his / her full signature, name, employee code, bank seal and contact number. MFUI / AMC / Mutual Fund / R&TA will check that the name mentioned in the Certificate matches with the name of the third party.

The account number mentioned in the Certificate should be the same as / one of the registered bank account or the bank details mentioned in the application form.

E **Declaration and Signature(s):**

Signature(s) should be in English or in any Indian Language. Declarations on behalf of minors should be signed by their natural parent/legal Guardian.

F **Permanent Account Number:**

- 1 It is mandatory for the Third Party to mention the permanent account number (PAN) irrespective of the amount of Purchase*. In order to verify that the PAN of Third Party has been duly and correctly quoted therein, the Third Party shall attach along with the Declaration Form, a photocopy of the PAN card duly self-certified.

*includes fresh/additional purchase, Systematic Investment Plan.
- 2 Declaration Forms not complying with the above requirement will not be accepted/ processed.
- 3 For further details, please refer the relevant section on '**Permanent Account Number**' under the Statement of Additional Information available on the websites of the respective Mutual Funds.

....continued in next page

G Prevention of Money Laundering:

- 1 SEBI vide its circular reference number ISD/CIR/RR/AML/1/06 dated January 18, 2006 and other circulars issued from time to time, mandated that all intermediaries including Mutual Funds should formulate and implement a proper policy framework as per the guidelines on anti-money laundering measures and also to adopt a Know Your Customer (KYC) policy.
- 2 The Third Party should ensure that the amount invested in the Scheme(s) is through legitimate sources only and does not involve and is not designated for the purpose of any contravention or evasion of the provisions of the Income Tax Act, Prevention of Money Laundering Act (PMLA), Prevention of Corruption Act and / or any other applicable law in force and also any laws enacted by the Government of India from time to time or any rules, regulations, notifications or directions issued thereunder.
- 3 To ensure appropriate identification of the Third Party and with a view to monitor transactions for the prevention of money laundering, MFUI / AMC / Fund reserves the right to seek information, record investor's/Third party's telephonic calls and/or obtain and retain documentation for establishing the identity of the third party, their beneficial ownership, proof of residence, source of funds, etc. It may re-verify identity and obtain any incomplete or additional information for this purpose.
- 4 MFUI, Fund, AMC, Trustees and their Directors, employees and agents shall not be liable in any manner for any claims arising whatsoever on account of freezing the folios/rejection of any application / allotment of Units or mandatory redemption of Units due to non compliance with the provisions of the PMLA, SEBI/AMFI circular(s) and KYC policy and / or where MFUI / Fund / AMC believes that transaction is suspicious in nature within the purview of the Act and SEBI/AMFI circular(s) and reporting the same to FIU-IND.
- 5 For further details, please refer the Statement of Additional Information available on the websites of the respective Mutual Funds.

H Know Your Customer (KYC) Compliance:

- 1 It is mandatory for the Third Party to quote the KYC Compliance Status and attach proof of KYC Compliance viz. KYC Acknowledgement Letter (or Printout of KYC Compliance Status downloaded from the respective KRA website using the PAN. Declaration Form without a valid KYC Compliance of Third Party will be rejected.
- 2 In the event of non-compliance of KYC requirements, MFUI / Fund / AMC / Trustee reserves the right to freeze the CAN / folio of the investor(s) and effect mandatory redemption of unit holdings of the investors at the applicable NAV, subject to payment of exit load, if any.
- 3 For further details, please refer the Statement of Additional Information available on the website of the respective Mutual Funds.