



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.

ISD Code

STD Code

Telephone Number

Fax No.

ISD Code

STD Code

Fax Number

Primary Mobile No.

ISD Code

Mobile Number

Alt. Mobile No.

ISD Code

Mobile Number

Email ID

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"/>	
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.