

# THIRD PARTY PAYMENT DECLARATION FORM



Third Party Payment Declaration Form should be completed in **English** and in **BLOCK LETTERS** only.  
 (Please read the Third Party Payment Rules and Instructions carefully before completing this Form)  
 (This form should be enclosed with each Subscription Form/SIP Enrolment Form.)

Declaration Form No. \_\_\_\_\_

Date: \_\_\_\_\_

## FOR OFFICE USE ONLY

Date of Receipt	Application number	Branch Transaction No.

### 1. UNIT HOLDER'S DETAILS (Refer Instruction No. 2)

Application No. \_\_\_\_\_

#### NAME OF FIRST/SOLE APPLICANT (BENEFICIAL INVESTOR)

Mr. Ms. M/s \_\_\_\_\_

### 2. THIRD PARTY INFORMATION (Refer Instruction No. 3)

#### NAME OF THIRD PARTY (PERSON MAKING THE PAYMENT)

Mr. Ms. M/s \_\_\_\_\_

Nationality \_\_\_\_\_ PAN# \_\_\_\_\_

KIN Number \_\_\_\_\_ KYC\*\*  [Please tick (✓)]  Attached

#Mandatory for any amount. Refer instruction No. 6. \*\*Refer instruction no XI

#### NAME OF CONTACT PERSON & DESIGNATION (in case of Non-Individual Third Party)

Mr. Ms. \_\_\_\_\_

Designation \_\_\_\_\_

#### MAILING ADDRESS (P.O. Box Address may not be sufficient)

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

CITY \_\_\_\_\_ STATE \_\_\_\_\_ PIN CODE \_\_\_\_\_

#### CONTACT DETAILS

STD Code \_\_\_\_\_

Tel. : Off. \_\_\_\_\_ Tel. : Res. \_\_\_\_\_ Mobile \_\_\_\_\_

Fax \_\_\_\_\_ Email \_\_\_\_\_

#### RELATIONSHIP OF THIRD PARTY WITH THE BENEFICIAL INVESTOR (Refer Instruction No. 3) [Please tick (✓) as applicable]

Status of the Beneficial Unit holder	<input type="checkbox"/> FII <input type="checkbox"/> Client	<input type="checkbox"/> Employee(s)	<input type="checkbox"/> Agent/ Distributor/ Dealer
Relationship of Third Party with the Beneficial Investor	Custodian - SEBI Registration No. of Custodian Registration valid till D D M M Y Y Y Y	Employer	Principal
Declaration by Third Party	I/We declare that the payment is made on behalf of FII/ Client and the source of this payment is from funds provided by FII / Clients.	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.	I/We declare that the payment is made on behalf of Agent/ Distributor/ Dealer under Systematic Investment Plans or as lump sum/ one-time subscription, in lieu of commission or incentive payable for sale of goods/ services.

### 3. THIRD PARTY OTHER DETAILS (MANDATORY)

#### Gross Annual Income (₹)\* (Please ✓)

Below 1 Lac     1-5 Lacs     5-10 Lacs  
 10-25 Lacs     25 Lacs-1 Crore     >1 Crore    OR    Net worth (Mandatory for Non-individuals) ₹ \_\_\_\_\_  
 as on D D M M Y Y Y Y (not older than 1 year)

#### Occupation\* (Please ✓)

Private Sector Service     Public Sector Service     Government Service     Business     Professional     Agriculturist     Retired  
 Housewife     Student     Defence     Proprietorship     Others \_\_\_\_\_ Please Specify \_\_\_\_\_

#### Legal Staus\* (Please ✓)

Resident Individual     NRI-Repatriable     NRI-Non-Repatriable     PIO/OCI     HUF     LLP     FII  
 Sole-Proprietorship     Partnership Firm     Company     Bank     Financial Institution     Other Body Corporate     Trust     AOP/BOI  
 Charitable/Religious/Non-Profit Organisation     Others \_\_\_\_\_ Please Specify \_\_\_\_\_

For Individual Unit Holder	Mandatory for Non-Individual Unit Holder
<ul style="list-style-type: none"> <li>● I am Politically Exposed Person (PEP)    <input type="checkbox"/> Yes    <input type="checkbox"/> No</li> <li>● I am Related to PEP    <input type="checkbox"/> Yes    <input type="checkbox"/> No</li> </ul>	Is the entity involved/providing any of the following services <input type="checkbox"/> Yes <input type="checkbox"/> No <ul style="list-style-type: none"> <li>● For Foreign Exchange/ Money Changer Services    <input type="checkbox"/> Yes    <input type="checkbox"/> No</li> <li>● Gaming/Gambling/Lottery Services (i.e.casinos, betting syndicates)    <input type="checkbox"/> Yes    <input type="checkbox"/> No</li> <li>● Money Lending/Pawning    <input type="checkbox"/> Yes    <input type="checkbox"/> No</li> </ul>

**4. THIRD PARTY PAYMENT DETAILS (Refer Instruction No. 4)**

Mode of Payment [Please tick (✓)]	Mandatory Enclosure(s)*
<b>Cheque</b> <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.
<b>Pay Order</b> <input type="checkbox"/> <b>Demand Draft</b> <input type="checkbox"/> <b>Banker's Cheque</b> <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.
<b>RTGS</b> <input type="checkbox"/> <b>NEFT</b> <input type="checkbox"/> <b>Fund Transfer</b> <input type="checkbox"/>	Copy of the Instruction to the Bank stating the Bank Account Number which has been debited.

TRUST Mutual Fund/TRUST Asset Management Private Limited 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.

Amount#	in figures (Rs.)												
	in words												
Cheque/DD/PO/UTR No.		Cheque/DD/PO/RTGS Date				D	D	M	M	Y	Y	Y	Y
Pay- in Bank A/c No.													
Name of the Bank													
Branch							Bank City						
Account Type [Please tick (✓)]	<input type="checkbox"/> SAVINGS	<input type="checkbox"/> CURRENT	<input type="checkbox"/> NRE	<input type="checkbox"/> NRO	<input type="checkbox"/> FCNR	<input type="checkbox"/> OTHERS _____	(please specify)						

# including Demand Draft charges, if any.

**5. DECLARATIONS & SIGNATURE(S) (Refer Instruction No 5)**

**THIRD PARTY DECLARATION**

I/We hereby confirm and declare as under:- I/We have read and understood the Third Party Payment rules, as given below and agree to comply and be bound by the same.

The information provided is true and correct and Trust Mutual Fund ('Fund')/the TRUST Asset Management Private Limited (TAMPL) is entitled to verify the same directly or indirectly. I/We agree to furnish such further information as Mutual Fund/ TAMPL may require from me/us. I/We agree that if any of the declarations furnished by me/us are found to be incorrect or incomplete, the Mutual Fund / TAMPL 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 the Mutual Fund/ TAMPL 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 (✓)  Yes  No  
 If yes, (✓)  Repatriation basis  
 Non-repatriation basis

\_\_\_\_\_  
Signature of the Third Party

**Beneficial Unit Holder(S) Declaration**

I/We confirm having read and understood the Third Party Payment rules and instructions. I/We confirm 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. The Fund reserves the right in its sole discretion to reject/not process the Application Form and refund the payment received from the aforesaid. The Fund or the 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.

DD	MM	YYYY

**THIRD PARTY DECLARATION**

I/We hereby confirm that the information provided herein by the Third Party is true and correct.	<b>SIGNATURE/S</b>	First / Sole Applicant
		Second Applicant
		Third Applicant

DD	MM	YYYY

## 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 except in prescribed circumstances.
  - 2a. The following words and expressions shall have the meaning specified herein:
    - (a) "Beneficial Investor" is the first named applicant/investor in whose name the application for subscription of Units is applied for with the Mutual Fund.
    - (b) "Third Party" means any person making payment towards subscription of Units in the name of the Beneficial Investor.
    - (c) "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. Third party cheque(s) for investment/subscription shall be accepted, only in exceptional circumstances, as detailed below:
    - (i) Payment by an Employer on behalf of employees under Systematic Investment Plans (SIP) or lump sum / one-time subscription, through Payroll deductions or deductions out of expense reimbursements.
    - (ii) Custodian on behalf of an FII or a Client.
    - (iii) Payment by a Corporate to its Agent/ Distributor/ Dealer (similar arrangement with Principal agent relationship), on account of commission or incentive payable for sale of its goods/services, in the form of the Mutual Fund Units through SIP or lump sum / one-time subscription.
  - 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 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 and the person making the payment i.e. third party.
    - (iii) Verifying the source of funds to ensure that funds have come from the drawer's account only.
  - 2d. Investor(s) are requested to note that any application for subscription of Units of the Scheme(s) of TRUST 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 Investor Service Centres of TRUST AMC or visit our website [www.trustmf.com](http://www.trustmf.com) for any further information or updates on the same.

**1. GENERAL INSTRUCTIONS**

Please read the terms of the Key Information Memorandum, the Scheme Information Document (SID) and Statement of Additional Information (SAI) carefully before filling the Third Party Payment Declaration Form (hereinafter referred to as 'Declaration Form').

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 Cancelling and re-writing the correct details and counter signature of the Third Party and the Beneficial Investor(s).

Applications along with the Declaration Form completed in all respects, must be submitted at the Official Points of Acceptance of TRUST Mutual Fund ('Fund').

In case the Declaration Form does not comply with the above requirements and/or is incomplete in any respect, the 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.

**2. BENEFICIAL INVESTOR INFORMATION**

The Third Party should provide the Folio Number of the Beneficial Investor already having a folio with the Fund in Section 1. In case the Beneficial Investor does not have an existing Folio Number, the Third Party should mention the Application Number as stated in the Application Form. Name must be written in full.

**3. THIRD PARTY INFORMATION**

The Third Party should mention the Application Number as stated in the Application Form. Name must be written in full.

Full Name and relationship of Third Party with the Beneficial Investor must be provided.

The Relationship declared by the Third Party will suggest that the payment made on behalf of Beneficial Investor(s) is:

- Payment by an Employer on behalf of employees under Systematic Investment Plans (SIP) or lump sum / one-time subscription, through Payroll deduction.
- Custodian on behalf of an FII or a Client.
- Payment by a Corporate to its Agent/ Distributor/ Dealer (similar arrangement with Principal agent relationship), on account of commission or incentive payable for sale of its goods/services, in the form of the Mutual Fund units through SIP or lump sum / one-time subscription.

Mailing address and contact details of Third Party must be written in full.

**4. THIRD PARTY PAYMENT DETAILS**

Third Party must provide in the Declaration Form the details of the Pay-in Bank Account i.e. account from which subscription payment is made in the name of the Beneficial Investor(s).

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:

- Source of funds - if paid by cheque

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

- a copy# of the bank passbook or a statement of bank account having the name and address of the account holder and account number;
- 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 ISCs / Official Points of Acceptance of TRUST Mutual Fund. The copy of such documents will be verified with the original documents to the satisfaction of the TRUST AMC/ TRUST Mutual Fund / Registrar and Transfer Agent. The original documents will be returned across the counter after due verification.

- 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: (i) 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 (ii) 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 (iii) 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.

- Source of funds - if paid by RTGS, Bank Account-to-Account Transfer, NEFT etc.

Acknowledged copy of the instruction to the bank stating the account number debited.

- Source of funds - if paid by a pre-funded instrument issued by the Bank against Cash. The 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. The 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.

**5. SIGNATURE(S)**

Signature(s) should be in English or in any Indian Language.

**6. PERMANENT ACCOUNT NUMBER**

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. Declaration Forms not complying with the above requirement will not be accepted/ processed.

For further details, please refer Section 'Permanent Account Number' under the Statement of Additional Information available on our website [www.trustmf.com](http://www.trustmf.com)

**7. PREVENTION OF MONEY LAUNDERING**

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.

The Third Party should ensure that the amount invested in the scheme 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.

To ensure appropriate identification of the Third Party and with a view to monitor transactions for the prevention of money laundering, the 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.