

# 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)

## 1. BENEFICIAL INVESTOR INFORMATION

Folio No.  Application No.

NAME OF FIRST/SOLE APPLICANT (BENEFICIAL INVESTOR)

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

NAME OF THIRD PARTY (PERSON MAKING THE PAYMENT)

PAN#  KIN  **KYC\*\*** [Please tick (✓)] (Mandatory for any amount)  Attached

Please attach PAN Proof. Refer instruction No. 6. \*\* Refer instruction No. 8.

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

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]

<b>Status of the Beneficial Investor</b>	<input type="checkbox"/> FPI <input type="checkbox"/> Client	<input type="checkbox"/> Employee(s)	<input type="checkbox"/> Agent/ Distributor/ Dealer
<b>Relationship of Third Party with the Beneficial Investor</b>	Custodian - SEBI Registration No. of Custodian  Registration Valid Till <input type="text"/>	Employer	Corporate Body
<b>Declaration by Third Party</b>	I/We declare that the payment is made on behalf of FPI/ Client and the source of this payment is from funds provided to us by FPI/ 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 or deductions out of expense reimbursements	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 PAYMENT DETAILS (REFER INSTRUCTION NO. 4)

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"/> Banker's Cheque <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.
RTGS <input type="checkbox"/> NEFT <input type="checkbox"/> Fund Transfer <input type="checkbox"/>	Copy of the Instruction to the Bank stating the Bank Account Number which has been debited.

Amount	in figures (Rs.)	in words
Cheque/PO/UTR No.	Cheque/PO/RTGS Date	
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)	

#### 4. DECLARATIONS & SIGNATURE/S (Refer Instruction 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 Baroda BNP Paribas Mutual Fund ('Fund')/the Baroda BNP Paribas Asset Management India Private Limited ('AMC') is entitled to verify the same directly or indirectly. I/We agree to furnish such further information as Fund/AMC 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 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 the 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 (✓)  Yes  No  
If yes, (✓)  Repatriation basis  
 Non-repatriation basis

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

##### BENEFICIAL INVESTOR(S) DECLARATION

I/We hereby confirm that the information provided herein by the Third Party is true and correct.

##### SIGNATURE/S

Dated	First / Sole Applicant	Second Applicant	Third Applicant

#### THIRD PARTY PAYMENT RULES

- 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.
  - The following words and expressions shall have the meaning specified herein:
    - "Beneficial Investor"** is the first named applicant/investor in whose name the application for subscription of Units is applied for with the Mutual Fund.
    - "Third Party"** means any person making payment towards subscription of Units in the name of the Beneficial Investor.
    - "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.
  - The 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:
    - 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.
    - Custodian on behalf of an FPI 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.
  - 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.
    - Mandatory KYC for all investors and the person making the payment i.e. third party.
    - Submission of a complete and valid 'Third Party Payment Declaration Form' from the investors and the person making the payment i.e. third party.
    - Verifying the source of funds to ensure that funds have come from the drawer's account only.
- The above mentioned Third Party Payment Rules are subject to change from time to time. Please contact any of the Investor Service Centres of Baroda BNP Paribas Asset Management India Private Limited or visit our website [www.barodabnpparibasmf.in](http://www.barodabnpparibasmf.in) for any further information or updates on the same.**