# TAURUS MUTUAL FUND

External / Ordinary Account / FCNR Account.

Please ( ) Yes No

If yes, Repatriation basis [

Non-repatriation basis



# THIRD PARTY PAYMENT DECLARATION FORM

(Please read instructions carefully before filling up the form)

FOR OFFICE USE ONLY					
Date and Time	of Receipt				
BENEFICIAL INVESTOR INFORM	MATION				
FOLIO NO.	APPLICATION NUM	ABER			
	Ms. M/s.				
DATE OF BIRTH D D M M Y	Y Y Y (Mandatory in case of	Minor)			
NAME OF THE GUARDIAN (For minor applicant)					
Mr. Ms. M/s.					
Guardian named above is: Father Mother Court Appointed Designation of Contact Person					
2. THIRD PARTY INFORMATION (Er	ntity making the payment)				
Name Mr. Ms. M/s.					
PAN	Enclosed (please ✓) KYC	Acknowledgement Designation of Contact Person			
MAILING ADDRESS & CONTACT DETAILS OF THE THIRD PARTY					
City	Chata		Din Code		
City Telepho	one Off. State	Resi. Mob.	Pin Code		
E-Mail	one on.	Kesi.			
Status of the Beneficial Investor	Minor	FII Client	Employee (s)		
Relationship of Third Party	Parent Grand - Parent	Custodian - SEBI Registration No	Employer Name:		
with the Benificial Investor	Related Person	of Custodian			
		Registration Validity :			
	(Please Specify the relation)				
Declaration by Third Party	I/We declare that the payment	I/We declare that the payment	I/We declare that the payment		
(Please ✓)	made on behalf of minor is in	is made on behalf of FII/ Client and the	' ' '		
	consideration of natural love and	source of this payment is from funds provided to us by FII/Client	under Systematic Investment Plans or lump sum/one-time subscription,		
	affection or as a gift	provided to us by Fil/ Client	through Payroll Deductions		
3. THIRD PARTY PAYMENT DETAILS			in ough rayron beaterions		
Mode of Payment (Refer Instruction 3, for Mandatory Enclosures)					
Cheque	Pay Order	clion 5, for Manadiory Efficiosores,	RTGS		
Cheque	Demand Draft		NEFT		
	Bankers Cheque		Fund Transfer		
Amount in figures ₹		Cheque / DD / PO / UTR No Cheque / DD / PO / RTGS D			
		· ·			
Bank A/C No.	Account ly	pe Please tick(✓) ☐ Sovings ☐ Current ☐ NRE	NRO FCNR Others (please specify)		
Name of the Bank & Branch					
Address of the Bank					
4. DECLARATIONS & SIGNATURE/S	(Refer Instruction 4)				
THIRD PARTY DECLARATION					
I/We confirm having read and understood the Third Party Payment rules, as given below and hereby agree to be bound by the same.  I/We declare that the information declared herein is true and correct, which Taurus Mutual Fund is entitled to verify directly or indirectly. I agree to furnish such further information as Taurus Mutual Fund may require from me/us. I/We agree					
that, if any such declarations made by me/us are found to be incorrect or incomplete, Taurus Mutual Fund/Taurus AMC is not bound to pay any interest or compensation of whatsoever nature on the said payment received from me/us and					
shall have absolute discretion to reject / not process the Application Form received from the Beneficial Investor(s) and refund the subscription monies.  I/We hereby declare that the amount invested in the Scheme is through legitimate sources only and does not involve and is not designed for the purpose of any contravention or evasion of any Act, Rules, Regulations, Notifications or					
Directions issued by any regulatory authority in India. I/We will assume personal liability for any claim, loss and/or damage of whatsoever nature that Taurus Mutual Fund/Taurus AMC may suffer as a result of accepting the aforesaid					
payment from me/us towards processing of the transaction	payment from me/us towards processing of the transaction in favour of the beneficial investor(s) as detailed in the Application Form.  Applicable to NRIs only:				
Applicable to NKIs only: 1/We confirm that I am/We are Non-Resident of Indian Nationality/Origin and I/We hereby confirm that the funds for subscription have been remitted from abroad through normal banking channels or from funds in my / our Non-Resident					

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### TAURUS MUTUAL FUND



### 5. BENEFICIAL INVESTOR(S) DECLARATION

I/We certify that the information declared herein by the Third Party is true and correct.

I/We acknowledge that Taurus Mutual Fund reserves the right in its sole discretion to reject/not process the Application Form and refund the payment received from the aforesaid Third Party and the declaration made by the Third Party will apply solely to my/our transaction as the beneficial investor(s) detailed in the Application Form. Taurus Mutual Fund/Taurus 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 due to occurrences beyond the control of Taurus Mutual Fund/Taurus AMC.

Applicable to Guardian receiving funds on behalf of Minor only: I/We confirm that I/We are the legal guardian of the Minor, registered in folio and have no objection to the funds received towards Subscription of Units in this Scheme on behalf of the minor.

First / Sole Applicant/ Guardian Sign	Second Applicant Sign	Third Applicant Sign

## **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:
- (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 along with 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 along with cheque issued from a bank account in name of A. This will not be considered as Third Party payment.

2b. Taurus Asset Management Co. Ltd. (TAMCO) / Investor Service Centre (ISC) of Karvy Computershare Pvt. Ltd.,

- shall not accept subscriptions with Third Party payments except in the following exceptional cases, which is subject to submission of requisite documentation / declarations:
- 1) 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 ₹50,000 (each regular purchase or per SIP instalment.) However this restriction will not be applicable for payment made by a guardian whose name is registered in the records of Mutual Fund in that folio. affection or as gift for a value not exceeding s ₹50,000/- each regular Purchase or per SIP instalment.
  (iii) Payment by Employer on behalf of employee under Systematic Investment Plans or 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 TAURUS Mutual Fund accompanied with Third Party payment other than the above mentioned exceptional cases as described in Rule (2b) above is liable for rejection.

The above mentioned Third Party Payment Rules are subject to change from time to time. Please contact any of the Investor Service Centres of Karvy Computershare Pvt. Ltd. or visit our website www.taurusmutualfund.com for any further information or updates on the same.

# INSTRUCTIONS FOR FILLING UP THIRD PARTY DECLARATION FORM

#### 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. For any correction / changes (if any) made in the Declaration Form, the corrections made shall be authenticated by canceling and re-writing the correct details and counter-signed by 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 / Investor Service Centres (ISCs) of TAURUS Mutual Fund. In case the Declaration Form does not comply with the above requirements, TAURUS Mutual Fund /TAURUS AMC retains the sole and absolute discretion to reject / not process such Declaration Form and refund the subscription money and shall not be liable for any such rejection.

### 2. BENEFICIAL INVESTOR INFORMATION

The Third Party should provide the Folio Number of the Beneficial Investor already having an account in any of the TAURUS Mutual Fund Schemes in Section 1. In case the Beneficial Investor does not have a 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 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:

(1) 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: 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 ISCs / Official Points of Acceptance of TAURUS Mutual Fund. The copy of such documents will be verified with the original documents to the satisfaction of the TAURUS AMC/ TAURUS Mutual Fund / Registrar and Transfer Agent. 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 bank manager 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 and PAN as per bank records, if available 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 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 / one of the registered bank account or the bank details mentioned in the application form. (iii) Source of funds -if paid by RTGS, Bank Account-to-Account Transfer, NET, 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 - 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 ₹ 50,000 or more. The third party should submit a Certificate (in original) obtained from the bank giving name, bank account number 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 bank manager with his / her full signature, name, employee code, bank seal and contract number. The AMC / Mutual Fund / R&TA will check that the name mentioned in the Certificate should be the same as / one of the registered bank account or the bank details mentioned in the application form.

### 4. SIGNATURE(S)

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

#### 5. PREVENTION OF MONEY LAUNDERING

SEBI vide its circular reference number ISD/CIR/RR/AML/1/06 dated January 18, 2006 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, Prevention of Corruption Act and / or any other applicable law in force and also any laws enacted by the Government of India from 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, TAURUS AMC/TAURUS Mutual Fund reserves the right to seek information, record investor's telephonic calls and or obtain and retain documentation for establishing the identity of the third party, proof of residence, source of funds, etc. It may re-verify identity and obtain any incomplete or additional information for this purpose. TAURUS Mutual Fund, TAURUS AMC, TAURUS Trustee Company Limited ("TAURUS Trustee") 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 Act, SEBI/AMFI circular(s) and KYC policy and / or where the 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. For further details, please refer Section 'Prevention of Money Laundering' under the Statement of Additional Information available on our website www.hdfcfund.com.