

Form No. A

Format for Declaration of Self Certification for Corporate ARN Holder who does not have sub-brokers

On appropriate letterhead of corporate body

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

AMFI Registration Number (ARN): \_\_\_\_\_

From: Name of the ARN Holder: \_\_\_\_\_  
\_\_\_\_\_

\* Landline : \_\_\_\_\_  
\* Mobile : \_\_\_\_\_  
\* Email : \_\_\_\_\_

To  
CAMS, AMFI Unit

**Sub: Declaration of Self-Certification (DSC): Period \_\_\_\_\_ / Financial Year \_\_\_\_\_**

"This is to certify that, in the course of our business in the distribution of mutual fund products during the period / financial year ended March 31, \_\_\_\_\_, we have adhered to the Code of Conduct contained in SEBI circular no. SEBI/IMD/CIR No. 8/174648/2009 dated August 27, 2009 and prescribed by AMFI from time to time and to the requirements as prescribed in SEBI's circular no. MFD/CIR/20/23230/2002 dated November 28, 2002 and the AMFI circular no: CIR/ARN-09/08-09 dated July 18, 2008 in this regard."

In compliance with SEBI Circular no. SEBI/IMD/CIR/No.4/168230/09 dated June 30, 2009, we have disclosed to investors all the commissions (in the form of trail commission or any other mode) payable to us for the different competing schemes of various mutual funds from amongst which the scheme was recommended to our investors.

We also certify that we have complied with the Know Your Distributor (KYD) requirements as per AMFI Guidelines.

We certify that we are distributor(s) of mutual funds and registered with AMFI and that in our capacity / relationship as distributor(s), we may provide investment advice to our clients, incidental to our primary activity of distribution of mutual fund products, which is exempted from registration under Regulation 4(d) of Securities and Exchange Board of India (Investment Advisers) Regulations, 2013.

We further certify that we have read, understood and adhered to the SEBI and AMFI Guidelines issued from time to time.

Kindly update this DSC on your records and with all the Fund Houses where we are empanelled.

For \_\_\_\_\_ (firm name)

\_\_\_\_\_  
Authorised Signatory (ies)

\* Information of principal contact desirable for all important communication to be disseminated efficiently



Form No. A1

Format for Declaration of Self Certification for Corporate ARN Holder who has sub-brokers

On appropriate letterhead of corporate body

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

AMFI Registration Number (ARN): \_\_\_\_\_

From: Name of the ARN Holder: \_\_\_\_\_  
\_\_\_\_\_

\* Landline : \_\_\_\_\_  
\* Mobile : \_\_\_\_\_  
\* Email : \_\_\_\_\_

To  
CAMS, AMFI Unit

**Sub: Declaration of Self-Certification (DSC): Period \_\_\_\_\_ / Financial Year \_\_\_\_\_**

"This is to certify that, in the course of our business in the distribution of mutual fund products during the period / financial year ended March 31, \_\_\_\_\_, we have adhered to the Code of Conduct contained in SEBI circular no. SEBI/IMD/CIR No. 8/174648/2009 dated August 27, 2009 and prescribed by AMFI from time to time and to the requirements as prescribed in SEBI's circular no. MFD/CIR/20/23230/2002 dated November 28, 2002 and the AMFI circular no: CIR/ARN-09/08-09 dated July 18, 2008 in this regard.

We further certify that we have AMFI registered ARN Holder/s empanelled with us acting as sub-brokers for distribution of mutual funds and that they have in turn met all certification requirements in terms of circulars issued by SEBI from time to time. We confirm that the necessary DSC for the financial year as above has been submitted by them to us"

In compliance with SEBI Circular no. SEBI/IMD/CIR/No.4/168230/09 dated June 30, 2009, we have disclosed to investors all the commissions (in the form of trail commission or any other mode) payable to us for the different competing schemes of various mutual funds from amongst which the scheme was recommended to our investors.

We also certify that we have complied with the Know Your Distributor (KYD) requirements as per AMFI Guidelines. We further certify that all the sub-brokers empanelled with us have complied with KYD requirements.

We certify that we are distributor(s) of mutual funds and registered with AMFI and that we (including sub-brokers empaneled with us) in our capacity / relationship as distributor(s), may provide investment advice to our clients, incidental to our primary activity of distribution of mutual fund products, which is exempted from registration under Regulation 4(d) of Securities and Exchange Board of India (Investment Advisers) Regulations, 2013.

We further certify that we have read, understood and adhered to the SEBI and AMFI Guidelines issued from time to time.

Kindly update this DSC on your records and with all the Fund Houses where we are empanelled.

For \_\_\_\_\_ (firm name)

\_\_\_\_\_  
Authorised Signatory (ies)

\* Information of principal contact desirable for all important communication to be disseminated efficiently



Form No. B

**Format for Declaration of Self Certification by the ARN Holder who is sub-broker, to be submitted to principal ARN Holder**

On appropriate letterhead (if available) by sub broker to be addressed to principal ARN Holder

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

AMFI Registration Number (ARN): \_\_\_\_\_

From: Name of the ARN Holder: \_\_\_\_\_  
\_\_\_\_\_

\* Landline : \_\_\_\_\_  
\* Mobile : \_\_\_\_\_  
\* Email : \_\_\_\_\_

To: \_\_\_\_\_ (Principal ARN Holder's name)

Address 1  
Address 2  
Address 3  
Pin

**Sub: Declaration of Self-Certification (DSC): Period \_\_\_\_\_ / Financial Year \_\_\_\_\_**

"I/we as sub-brokers to yourselves for the purpose of distribution of mutual funds hereby declare that all provisions made under the prescribed code of conduct under SEBI circular no. SEBI/IMD/CIR No. 8/174648/2009 dated August 27, 2009 and prescribed by AMFI from time to time and those prescribed under SEBI's circular no. MFD/CIR/20/23230/2002 dated November 28, 2002 and the AMFI circular no. CIR/ARN-09/08-09 dated July 18, 2008 have been adhered to."

In compliance with SEBI Circular no. SEBI/IMD/CIR/No.4/168230/09 dated June 30, 2009, I/ we have disclosed to investors all the commissions (in the form of trail commission or any other mode) payable to me /us for the different competing schemes of various mutual funds from amongst which the scheme was recommended to our investors.

I/ We also certify that I/ we have complied with the Know Your Distributor (KYD) requirements as per AMFI Guidelines.

I/ we certify that I/ we am/are distributor(s) of mutual funds and registered with AMFI and that in my/our capacity / relationship as distributor(s), I/we may provide investment advice to my/our clients, incidental to my/our primary activity of distribution of mutual fund products, which is exempted from registration under Regulation 4(d) of Securities and Exchange Board of India (Investment Advisers) Regulations, 2013.

I/ We further certify that I/ we have read, understood and adhered to the SEBI and AMFI Guidelines issued from time to time.

For \_\_\_\_\_ (firm name / individual name)

\_\_\_\_\_  
Authorised Signatory (ies) / Signature of sub-broker

\* Information of principal contact / sub-broker desirable for all important communication to be disseminated efficiently

**Note: This declaration has to be stored by the principal ARN Holder for a period of at least 8 years**



Form No. C

Format for Declaration of Self Certification for the ARN Holder who is an individual / karta of HUF

On appropriate letterhead (if available)

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

AMFI Registration Number (ARN): \_\_\_\_\_

From: Name of the ARN Holder: \_\_\_\_\_  
\_\_\_\_\_

\* Landline : \_\_\_\_\_  
\* Mobile : \_\_\_\_\_  
\* Email : \_\_\_\_\_

To  
CAMS, AMFI Unit

**Sub: Declaration of Self-Certification (DSC): Period \_\_\_\_\_ / Financial Year \_\_\_\_\_**

"This is to certify that, in the course of my business in the distribution of mutual fund products during the period / financial year ended March 31\_\_\_\_\_, I have adhered to the Code of Conduct contained in SEBI circular no. SEBI/IMD/CIR No. 8/174648/2009 dated August 27, 2009 and prescribed by AMFI from time to time and to the requirements as prescribed in SEBI's circular no. MFD/CIR/20/23230/2002 dated November 28, 2002 and the AMFI circular no. CIR/ARN-09/08-09 dated July 18, 2008 has been adhered to."

In compliance with SEBI Circular no. SEBI/IMD/CIR/No.4/168230/09 dated June 30, 2009, I have disclosed to investors all the commissions (in the form of trail commission or any other mode) payable to me for the different competing schemes of various mutual funds from amongst which the scheme was recommended to our investors.

I also certify that I have complied with the Know Your Distributor (KYD) requirements as per AMFI Guidelines.

I further certify that I have read, understood and adhered to the SEBI and AMFI Guidelines issued from time to time.

I certify that I am a distributor of mutual funds and registered with AMFI and that in my capacity / relationship as a distributor, I may provide investment advice to my clients, incidental to my primary activity of distribution of mutual fund products, which is exempted from registration under Regulation 4(d) of Securities and Exchange Board of India (Investment Advisers) Regulations, 2013.

Kindly update this DSC on your records and with all the Fund Houses where I am empanelled.

\_\_\_\_\_  
(Signature of ARN Holder/ Karta of HUF)

*\* Information is desirable for all important communication to be disseminated efficiently*

