

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* :

(in capital letters only)

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.

If We also certify that If 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.

If 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 desirable for all important communication to be disseminated efficiently

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