

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* :

(in capital letters only)

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