



ASSOCIATION OF MUTUAL FUNDS IN INDIA

CIR/ARN-17/14-15

September 26, 2014

To All AMFI Members

Re : Revision in the formats for Declaration of Self Certification by Distributors

Pursuant to SEBI (Investment Advisors) Regulations, 2013, the AMFI Committee on Registration of Certified Distributors has recommended certain changes in the formats for 'Declaration of Self Certification (DSC)' to be submitted by ARN holders every year, in partial modification of the existing formats contained in AMFI circular no. CIR/ ARN-12/ 10-11 dated March 1, 2011.

The revised formats of DSC applicable to various categories of distributors/ ARN holders are attached herewith. The revised formats would be applicable for DSC to be submitted for the current financial year ending March 31, 2015 onwards.

Members are requested to inform the distributors empanelled with their respective AMCs suitably about the revised formats.

Further, as communicated earlier, effective from April 2013 (i.e. for the Financial Year ended March 31, 2013), distributors are required to submit a single Annual DSC to CAMS (AMFI Unit), instead of submitting separate DSC to each RTA and CAMS (AMFI Unit) shares the information regarding receipt of the DSC with other RTAs.

Yours sincerely,

Balkrishna Kini
Executive Vice President

Encl. :

- Revised Form 'A' - Format for Corporate ARN Holder who does not have Sub-brokers
- Revised Form 'A1' - Format for Corporate ARN Holder who has Sub-brokers
- Revised Form 'B' - Format for ARN holder who is Sub-Broker, to be submitted to Principal ARMFA
- Revised Form 'C' - Format for ARN Holder who is Individual/ Karta of HUF

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

