



Form No. B

Format for Declaration of Self Certification by 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. 8/174548/2009 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.