To All Members

Dear All,

Unified AMFI Guidelines for AMFI REGISTERED MUTUAL FUND ADVISOR (ARMFA)

GUIDELINES REGARDING REGISTRATION OF INTERMEDIARIES AND EMPANELMENT OF ARMFA

REVISION IN FORMATS FOR DECLARATION OF SELF CERTIFICATION

This has reference to our circulars no. CIR/ ARN-09/ 08-09 dated July 18, 2008, CIR/ ARN-10/09-10 dated June 9, 2009 and CIR/ARN-11/09-10 dated August 11, 2009 issued on the captioned subject.

SEBI has revised Code of Conduct for Mutual Fund Distributors vide its Circular No. SEBI/ IMD/ Cir. No. 8/ 174648/ 2009 dated August 27, 2009. Also, all the distributors are required to comply with the Know Your Distributor (KYD) process w.e.f. September 1, 2010.

Based on the recommendations of the Committee on Registration of AMFI Certified Distributors, we have made suitable changes in the formats for Declaration of Self - Certification (DSC) and the revised formats for DSC to be obtained from different classes of distributors are attached.

You are, therefore, requested to forward a copy of the relevant revised format to the distributor concerned empanelled with your AMC for due compliance and also advise your R & T accordingly.

With kind regards,

Yours sincerely,

V Ramesh Dy. Chief Executive

Annexures to circular:

Revised Format 'A' - Format for Corporate ARMFA who does not have Sub-brokers

Revised Format 'A1' - Format for Corporate ARMFA who has Sub-

brokers

Revised Format 'B' - Format for ARMFA who is Sub-Broker, to be

submitted to Principal ARMFA

Revised Format 'C' - Format for ARMFA who is Individual/ Karta of HUF

Form No. A

Format for Declaration of Self Certification for Corporate ARMFA who does not have subbrokers

On appropriate letterhead of corporate body Date: AMFI Registration Number (ARN): _____ From: * Landline: * Mobile: * Email: The Registrar and Transfer Agent of Mutual Funds (Please tick as applicable) **CAMS** Franklin Templeton Karvy CPL Deutsche ISPL Sundaram BNP Paribas FSL **Escorts** Sub: Declaration of Self-Certification (DSC): Period______ / Financial Year _____ "This is to certify that, in the course of my/our business in the distribution of mutual fund products during the period / financial year ended March 31,_____ I/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 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, 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. We also certify that we have complied with the Know Your Distributor (KYD) requirements as per AMFI Guidelines. We further certify that we have 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 ARMFA who has sub-brokers

On appropriate letterhead of corporate body

		Date:		
		From:		
AMFI Registration	Number (ARN):			
			* Landline: * Mobile: * Email:	
The Registrar and Tra (Please tick as applica	ansfer Agent of Mutual able)	Funds		
CAMS		Franklin Templet	on	
Karvy CPL		Deutsche ISPL		
Escorts		Sundaram BNP Paribas FSL		
Sub: Declaration of Se	elf-Certification (DSC):	Period/Fi	nancial Year	
during the period / Conduct contained in and to the requirem	financial year ended SEBI circular no. SEB ents as prescribed in	March 31, I/IMD/CIR No. 8/ SEBI's circular no	distribution of mutual fund products I/we have adhered to the Code of 174648/2009 dated August 27, 2009 b. MFD/CIR/20/23230/2002 dated 0/08-09 dated July 18, 2008 in this	
for distribution of meterms of the above n	utual funds and that t	they have in turn room SEBI. We conf	nelled with us acting as sub-brokers met all certification requirements in irm that the necessary DSC for the	
we have disclosed to mode) payable to m	investors all the comr	nissions (in the fo	168230/09 dated June 30, 2009, I/rm of trail commission or any other mes of various mutual funds from	
	e further certify that a		stributor (KYD) requirements as per empanelled with us have complied	
We further certify tha	t we have adhered to th	ne SEBI and AMFI	Guidelines issued from time to time.	
Kindly update this DS	GC on your records and	with all the Fund I	Houses where we are empanelled.	
For	(firm nar	me)		

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 ARMFA who is sub-broker to be submitted to principal ARMFA

On appropriate letterhead (if available) by sub broker to be addressed to principal Date: AMFI Registration Number (ARN): _____ From: * Landline: * Mobile: * Email: (Principal ARMFA 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 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, 1/ 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 also certify that I have complied with the Know Your Distributor (KYD) requirements as per AMFI Guidelines. I further certify that I have 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 ARMFA for a period of at least 8 years

Form No. C

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

On appropriate letterhead (if available)						
		Date:				
AMFI Registration N	lumber (ARN):	From:				
			* Landline: * Mobile: * Email:			
The Registrar and Tran (Please tick as applicab		Funds				
CAMS		Franklin Templeton				
Karvy CPL		Deutsche ISPL				
Escorts		Sundaram BNP Paribas FSL				
"This is to certify that, i during the period / fina contained in SEBI circuthe requirements as pro 28, 2002 and the AMFI In compliance with SEI we have disclosed to immode) payable to me amongst which the scheol. If We also certify that I per AMFI Guidelines.	n the course of my/o incial year ended Ma ular no. SEBI/IMD/O escribed in SEBI's cir circular no. CIR/AR BI Circular no. SEBI investors all the comm /us for the differer eme was recommende	our business in the rch 31 I/we CIR No. 8/174648/rcular no. MFD/CN-09/08-09 dated / IMD/CIR/No.4/missions (in the foat competing scheed to our investors	distribution of m have adhered to to 2009 dated Augu IR/20/23230/20 d July 18, 2008 have 168230/09 dated orm of trail commermes of various	the Code of Conductust 27, 2009 and to 02 dated November as been adhered to." June 30, 2009, Inission or any other mutual funds from		
I/ We further certify that	at I/ we have adhere	d 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 nar	ne)				
Authorised Signatory (i	es)					

^{*} Information is desirable for all important communication to be disseminated efficiently