



UTI Asset Management Company Limited. (UTI AMC)  
Regd. Office: UTI Tower, 'Gn' Block,  
Bandra Kurla Complex, Bandra (East),  
Mumbai -400 051,  
Tel: 022-6678 6666 (Board), Fax : 022-2652 4921  
Website :www.utimf.com

Please paste a recent Passport size Photograph

(For Individual & Sole Proprietorship Only)

## DISTRIBUTOR EMPANELMENT FORM

### APPLICANT'S PERSONAL DETAILS:

**NAME:** (Mr./Ms./M/s.) \_\_\_\_\_  
(Block Letters as in ARN/AMFI certificate of registration)  
**ADDRESS:** Village/Flat/Bldg./Plot \_\_\_\_\_  
Street/Road/Area/Post \_\_\_\_\_  
City/Town \_\_\_\_\_ State \_\_\_\_\_ PIN \_\_\_\_\_  
Telephone(O) \_\_\_\_\_ (R) \_\_\_\_\_ Mobile \_\_\_\_\_  
Fax \_\_\_\_\_ E-mail(1) \_\_\_\_\_ E-mail (2) \_\_\_\_\_

### STATUS (Please tick anyone):

Individual	Non-Individuals
<input type="checkbox"/> Individual <input type="checkbox"/> Sole Proprietorship	<input type="checkbox"/> Partnership Firm <input type="checkbox"/> NBFC <input type="checkbox"/> Private Limited Company <input type="checkbox"/> Public Limited Company. <input type="checkbox"/> Trust/Society <input type="checkbox"/> Others
Date of Birth:   d   d     m   m     y   y     y   y	Date of formation/ incorporation/Registration _____
Educational Qualification: <input type="checkbox"/> HSC <input type="checkbox"/> Undergraduate <input type="checkbox"/> Graduate <input type="checkbox"/> Post Graduate	Contact Person _____ Designation _____ E-mail _____ Mobile _____

### REGULATORY DETAILS:

ARN: \_\_\_\_\_ (Category:  General  New cadre  Overseas Distributor)  
Year of Passing AMFI \_\_\_\_\_ Valid up to \_\_\_\_\_  
PAN : \_\_\_\_\_ EUIN \_\_\_\_\_ KYD complied Date: \_\_\_\_\_  
AADHAAR Card No.(for Individual ARN Holder) \_\_\_\_\_  
Operated from Office (for Non individual ARN holder): Yes/No. (If Yes) Number of Branches: \_\_\_\_\_  
No. of Employees: \_\_\_\_\_ No. of Sub brokers: \_\_\_\_\_  
Have there been any penalties/disciplinary action by SEBI/AMFI or any other regulatory body? Yes/No  
If yes, please specify: \_\_\_\_\_  
*(Please attached self attested copy of the PAN Card, ARN,EUIN Card and AMFI certificate )*

### BANK PARTICULARS

Name of the Bank : \_\_\_\_\_  
Branch Address \_\_\_\_\_ Pin code of Bank Branch \_\_\_\_\_  
Account No. (Saving/Current/NRE/NRO) \_\_\_\_\_  
MICR No. (9 digit) of the Branch  IFSC/NEFT Code (11 Digit)   
Mode of Payment:  Cheque  Direct Credit  ECS  NEFT  
(The AMC reserve the right to make brokerage payment through ECS where MICR code is available.)

**NOMINATION DETAILS***(Mandatory, in the case of individual and sole proprietorship firm )*

I hereby nominate the following person as my nominee to receive the amount of commission pertaining to the business done by me, in the event of my death.

Nominee's Name : \_\_\_\_\_

Nominee's Date of Birth:  Relationship \_\_\_\_\_

Guardian's Name (if Nominee is minor): \_\_\_\_\_

Address of Nominee/Guardian: \_\_\_\_\_

Signature  
of Nominee/Guardian

Signature  
of Distributor

**ADDITIONAL INFORMATION**

Have you/organization registered as agent of UTI/UTI AMC earlier: Yes/No

If Yes, give Agency Code No.: \_\_\_\_\_ Reason for discontinuation: \_\_\_\_\_

Have you ever been adjudicated insolvent or Applied for insolvency or compounded with Creditor? **Yes/No**

If yes, give full particulars: \_\_\_\_\_

Name of the Relatives who are working in UTI AMC/M/s Karvy Computershare Pvt. Ltd :

Name of the Relative	Designation	Location	Relationship

I/We wish to distribute and canvass sale of units of schemes managed by UTI AMC, I/We request you to empanel me/us as a Distributor. I/We declare that the information furnished herein above is true and correct to the best of my/our knowledge and belief and also that I/We am/are permitted to undertake the activities of canvassing sale of units of schemes managed by UTI AMC. I/We further confirm that I/We abide and will abide by the terms and conditions stated overleaf/attached and amendments thereof, if any communicated to me/us in writing by UTI AMC from time to time relating to the empanelment of the Distributor .

Date: \_\_\_\_\_

Place: \_\_\_\_\_

\_\_\_\_\_  
Signature of the Applicant/Authorized Signatory  
(with Seal of the Company/Firm/Society/Trust)

Full Name and designation of authorized signatory: \_\_\_\_\_

**Checklist for Documents to be submitted**

For Individual/Sole Proprietorship Firm		Additional Document For partnership Firm	Additional Documents For Company/NBFC
1. ARN Copy	4. Address Proof	7. Partnership Deed	9. Memorandum and Articles of Association/ Bye Laws
2. AMFI Certificate Copy	5. Cancelled Cheque Copy	8. Letter of Authority of the Partner	10. Board Resolution (Company/Society's/Trust)
3. PAN Copy	6. KYD Acknowledgement		11. Authorised Signatory List

**FOR OFFICE USE ONLY**

Have interviewed/checked and verified the credentials of the applicant as given above, I recommend and approve/do not recommend and disapprove empanelment of the Applicant as a Distributor.

Referred by ARN: _____	Ref. No. _____
Recommended By BDA/CA: _____	Date of appointment _____
Relationship Manager: _____	UFC Code/Name : _____
Approved /Rejected By CM/RSH: _____	Region _____ Zone _____

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**TERMS AND CONDITIONS OF DISTRIBUTORSHIP  
FOR CANVASSING SALE OF UNITS**

1. The statements made by the Distributor in answer to the questions in application form for the Distributorship and the declaration made therein shall be the basis of the Empanelment of Distributor.
2. The first business year for a Distributor will commence from the date of his/her/their empanelment and end on the succeeding 31<sup>st</sup> of March. Every subsequent business year will commence from 1<sup>st</sup> of April and end on 31<sup>st</sup> of March (or earlier date in case the Distributorship is discontinued/terminated)
3. (a) A Distributor shall carry out such directions and instructions as may, from time to time, be issued by UTI AMC or persons duly authorized by the UTI AMC, for the purpose of fully and effectively carrying out his/her/its activities as Distributor and complying with the terms and conditions of Distributorship.  
(b) The Distributor represents and warrants to UTI AMC that he/she/ it is competent to provide services to UTI AMC as per the terms and conditions of the empanelment ,SEBI and AMFI Regulations, Circulars and Rules and that he/she/it has obtained all legal and regulatory approvals, if any, required in relation thereto.  
(c) The Distributor confirms that there is no past and shall be no future violations of anti-corruption/bribery laws related to empanelment of Distributor .  
(d) The Distributor undertakes that it authorises the UTI AMC to disclose its identification documentation and information (including Ownership Information) to any Affiliate for Anti Money Laundering (AML) or any other commercial purpose. The Distributor acknowledges and agrees that any data supplied to the UTI AMC during the term of this Agreement may be disclosed by UTI AMC when required by any law or regulation or an agreement between UTI AMC and any government entity or supervisory authority or such action is motivated by a legitimate reason.
4. A Distributor/ persons working for and on behalf of the Non-Individual Distributor shall at all times conduct himself/herself/themselves with propriety and decorum and in a manner which is not prejudicial to the interest and image of the UTI AMC, if the UTI AMC has reasons to feel dissatisfied with the conduct of the Distributor, his/her/their Distributorship shall be discontinued at the sole discretion and decision of UTI AMC.
5. (a) The Non-Individual Distributor is authorized to canvass business at the all India level through its sub-agents/branches as may be declared by the Non Individual Distributor from time to time in writing to UTI AMC subject to acceptance of the same by UTI AMC .  
(b) If the Non-Individual Distributor fails to achieve the common minimum criteria fixed by AMFI / or as per SEBI guidelines, its Distributorship is liable to be discontinued.
6. A Distributor (both individual and non-individual) shall provide all the information or statistics concerning his/her/their business with respect to other AMC's schemes on demand by UTI AMC.
7. The Distributor shall provide self certification in the prescribed format certifying compliance with the provisions of the extant SEBI Mutual Fund/AMFI guidelines/circulars, adherence to the Code of Conduct as prescribed by SEBI/AMFI for intermediaries of Mutual Fund and fulfilling the minimum prescribed criteria regarding the number of investors and average assets under management **at the end of every financial year to the AMC. If the said self certification is not provided, then the brokerage will be suspended till the time of receipt of the certificate.**
8. a) Applicable to Individual Distributor-An Individual Distributor shall have at least 12 investors with the AMC, within one year of empanelment alternatively, furnish an undertaking stating that the Individual Distributor has serviced at least 25 investors across all mutual funds, this undertaking would form part of his /her annual self certification as specified in clause 7 hereinabove.  
b) Applicable to Non-Individual Distributor-within one year of empanelment, if 75% or more of the gross funds mobilized are from associates, then furnish an undertaking stating that the Non-Individual Distributor had serviced at least 200 investors other than associates and /or employees of the said associate during the said period. This undertaking would form part of his/her/their annual self-certification as specified in clause 7 hereinabove.  
c) Corporate Distributors obtaining empanelment with AMC is required to have at least 100 investors from non-associates within one year of empanelment or have average assets under management of at least Rs. 1 crore with the AMC which are not from associates (being subsidiary and holding companies) within the period of one year of empanelment.

9. A Distributor is not authorized to receive money on behalf of the AMC and issue any receipt thereof. He/she shall advise the applicants to lodge their applications together with the relative amounts with a branch of the bank/ collection center functioning as an authorized agent of the AMC for receipt of application and money and to issue official receipt thereof. Alternatively, the applications may be lodged at any office of the AMC and receipt obtained thereof.

The non-individual Distributor should not issue receipt for applications unless specifically authorized by UTI AMC Ltd.

10. A Distributor will be eligible for brokerage/commission, due and payable, on the business canvassed by him/her (except as may be prohibited by SEBI/AMFI from time to time including on their own investment) under each Scheme/Plan at the rate/s prescribed by UTI AMC (herein referred to as "UTI AMC" or "AMC") at the commencement of the Distributorship or as may be informed from time to time in writing and the Distributor shall be bound by such changes. The brokerage/commission shall be all inclusive (i.e. on gross basis) subject to deduction of all prevalent taxes (including deduction of tax at source under the Income Tax Act 1961 and Rules made thereunder), levies, duties, cess etc. and shall also be subject to deduction of service tax, education cess and secondary & higher education cess."

The Non-Individual Distributor is authorized to canvass the sales through its sub-agents, if any. However, only the Non-Individual Distributor will be paid commission on the entire business canvassed by it including that through its sub-agents at the rate(s) prescribed by UTI AMC Ltd. UTI AMC will not entertain claims of any sub agent for payment of commission in respect of the business canvassed by him/her/it on behalf of his/her/its principal Non-Individual Distributor.

Business canvassed by New cadre of Distributor in the schemes other than simple and performing UTI MF schemes, as already announced/will be announced by UTI AMC from time to time as per the criteria prescribed by SEBI, shall be rejected and no commission shall be payable to new cadre of distributor on such business.

11. (a) The Distributor should use the prescribed application form for the Distributors and should affix his/her name and ARN, EUIN no. in the space provided for in the application form. No commission shall be payable by the AMC to the Distributor if the prescribed application form is not used or the ARN, EUIN is not affixed.

Persons working on behalf of the Non-Individual Distributor as sub-agents should affix his/her name and sub-agent code, EUIN no. and ARN of principal non-individual Distributor also in the space provided for in the application form. No commission shall be payable by the AMC to the Distributor if the prescribed application form is not used or the ARN, Sub-agent code, EUIN is not affixed.

- (b) A Distributor or a sub agent of Non-individual Distributor is expected to ensure that the application forms filled up by his/her/their clients are complete in every respect.
- (c) A Distributor who wrongly receives any sum of money from the AMC which is not due or payable to him/her by the AMC shall refund such amount to the AMC forthwith or on receipt of intimation to that effect from the AMC.
- (d) The Distributor agrees that the AMC shall be entitled to recover or adjust all such amounts as are wrongly paid to the Distributor from and out of any commission or any other sum payable by the AMC to the Distributor.
12. A Distributor (both individual and non-individual) will not be entitled to any payment beyond the commission referred to above for work done by him/her/them in connection with the distributorship, unless specifically agreed to by UTI AMC.
13. A Distributor shall protect and keep harmless and indemnify UTI AMC, UTI Trustee Company Private Limited and UTI Mutual Fund against and in respect of any losses, claims, costs, charges, expenses etc. ,which UTI AMC, UTI Trustee Company Private Limited and UTI Mutual Fund may have to incur/ suffer as a result of the acts of omission, commission , negligence, fraud by whatever name it is called and breach of the terms and conditions of the empanelment of distributor by the distributor, its personnel or any person canvassing the business on behalf of the distributor.
14. These Terms and Conditions are on a principal-to-principal basis and do not create and shall not be deemed to create any employer-employee relationship between the AMC and the Distributor and/or its personnel/representative(s). The Distributor and/or its personnel/representative(s) shall not be entitled to, by act, word, deed or otherwise, make any statement on behalf of the AMC or in any manner bind the AMC or hold out or represent that the Distributor is representing or acting as Distributor of the AMC, except as expressly provided in these Terms and Conditions or otherwise in writing.
15. The activities of the Distributor and its personnel/representative(s) shall not be construed to be activities of the AMC. Save and except as may be expressly permitted by the AMC, the Distributor and its personnel/representative(s) shall not at any time use the name, mark or logo of the UTI Mutual Fund/ AMC in any sales or marketing publication or advertisement, or in any other manner without prior written consent of the AMC.

16. In case of distribution of PMS products various applicable provisions of SEBI (Portfolio Managers) Regulation 1993 shall also be applicable.

17. 1) The appointment of the Distributor shall continue to remain in full force and effect unless terminated by UTI AMC, in accordance with the terms and conditions of the empanelment.

- 2) The empanelment of an Individual or Non-individual Distributor shall be liable to be terminated by the AMC forthwith:
- (a) If he/she is found to be a minor.
  - (b) If he/she or the Principal Person(s) in-charge of the non-individual Distributor or Person(s) in-charge of the day-to-day affairs of the Non-Individual Distributor is adjudicated insolvent.
  - (c) If he/she is found to be of unsound mind by a court of competent jurisdiction
  - (d) If he/she or the Principal Person(s) in-charge of the non-individual Distributor or Person(s) in-charge of the day-to-day affairs of the Non-Individual Distributor is or has been within five years immediately preceding his/her/its appointment convicted by a criminal court for an offence involving moral turpitude.
  - (e) The Non-Individual Distributor and/or its sub agent is prosecuted under any enactment for infraction of any law which in the opinion of UTI AMC (which is final and binding) will adversely affect its interest and image
  - (f) The Non-Individual Distributor has voluntarily or involuntarily become the subject of proceedings under bankruptcy or insolvency law or liquidation or winding up
  - (g) If in the course of any judicial proceeding it is found that he/she or the Principal Person(s) in-charge of the Non-Individual Distributor or Person(s) in-charge of the day-to-day affairs of the Non-Individual Distributor has knowingly participated in, or connived at, any fraud dishonesty or misrepresentation against the AMC or any unit holder.
  - (h) If he/she or representative of Non-Individual Distributor is found to canvass the sale of units (issued under any scheme or plan) in or around the premises of the office/Financial Centre of the AMC, its agency bank with a view to intercepting or embarrassing to direct sale or act in any other manner prejudicial to the AMC's efforts in promoting sales across the counter.
  - (i) If the AMC is satisfied that any statement made in the application form for Distributorship was false or misleading or calculated to mislead.
  - (j) If the sub-agent of NI Distributor committed or suffered from any of the disabilities listed above, which, in the opinion of AMC, cannot be adequately cured by termination of sub-agency by the Non-Individual Distributor and, in the opinion of AMC, the Distributorship of Non-Individual Distributor has to be terminated for safeguarding the interest and image of AMC
  - (k) If the AMC is satisfied that Distributor (both Individual and Non individual)
    - i. has offered or continues to offer any kind of an incentive to prospective investor or
    - ii. has appointed sub-distributor(s) for canvassing sale of units or
    - iii. in any statement, hand bills, circular or any other form of publicity material brought out by him/her/them has
      - (a) reproduced the logo of the AMC or
      - (b) reproduced any advertisement whether in full or in part, issued by the AMC without the prior authority of the AMC or
    - iv. acts in any other manner prejudicial to the interest of the AMC.
- 3) The provisions in the preceding paragraph shall be without prejudice to the provisions in the next Succeeding paragraph.
18. In addition to what is stated in the preceding paragraphs the AMC shall have right to terminate the Distributorship of a Distributor (both Individual and Non Individual)
- a) At any time by giving him/her one month's notice and without assigning any reasons thereof and without any liability to pay any compensation. A Distributor may also terminate Distributorship at any time by giving one month's notice to the AMC but such termination by the Distributor shall not become effective till the Distributor fully discharges the obligations accrued upto the date of receipt of notice by AMC and the Distributor has returned/surrendered all the materials of AMC and accounted therefore.
  - b) Who do not meet with the minimum Asset Under Management (AUM)/Sales criteria as laid out by the AMC from time to time.
19. Any advertisement campaign undertaken by the Distributor for promotion of sale of units of AMC and all other incidental expenses incurred by him/her/it will have to be borne from their own funds. AMC will not be liable to reimburse any such promotional or other expenditure.
20. The AMC offers nomination facility to the Individual / Sole Proprietorship Distributor to enable the nominee to receive trail commissions on the business done before the demise of Distributor holding ARN provided the Distributor has complied with the Terms and Conditions mentioned herein above. The payment of the said amount by the AMC to the nominee shall fully discharge AMC from all its obligations.
21. In respect of all disputes arising under this Distributorship the courts in Mumbai city alone shall have jurisdiction.
22. A Distributor shall not have any claim against the AMC for any loss uncured by him/her/them as not anticipated and arising out of any revision in the rate of commission for business canvassed.

23. Towards better business development, image building and strategy formulation, as also towards regulatory changes, UTI AMC reserves the right to add/modify/delete conditions as it deems fit and proper.
24. In addition to all the above if a Distributor is found violating any of the SEBI rules and regulations for intermediaries which are framed or amended by SEBI from time to time and also any of the AMFI guidelines and norms for intermediaries (AGNI) including code of conduct and any rules and regulations that may be framed or amended by AMFI from time to time and his/her/its registration is cancelled by AMFI, his/her/its Distributorship will liable for termination.
25. All the above clause unless specified specifically shall be applicable and binding to all the Distributor i.e. Individual/Non-Individual both.

I/We have read the above mentioned terms and conditions of Distributorship and accept the same consciously and with free will.

I/We request you to issue a letter in my/our favour recording my/our appointment as Distributor.

Place:

Date:

\_\_\_\_\_  
Signature

Full Name of the Applicant/Authorized signatory: \_\_\_\_\_

**Witness:**

Signature : \_\_\_\_\_ Date \_\_\_\_\_

Name : \_\_\_\_\_

Designation : \_\_\_\_\_

Address : \_\_\_\_\_

Date :

UTI Asset Management Company Limited,  
\_\_\_\_\_  
\_\_\_\_\_

**Re: ARN \_\_\_\_\_, the Terms & Conditions for Distributorship dated \_\_\_\_\_.**

Dear Sir,

This is with reference to my/our application dated \_\_\_\_\_ and the terms and conditions agreed by me for empanelment of Distributor for canvassing sale of units of UTI Mutual Fund. While carrying out my obligations as empanelled Distributor of UTI Mutual Fund, I /We hereby solemnly affirm and declare as under:

1. I/We will always consider investor's interest as paramount and take necessary steps to ensure that the investor's interest is protected in all circumstances.
2. I/We will always adhere to SEBI Mutual Fund Regulations and guidelines issued from time to time related to distributors, selling, distribution and advertising practices. Be fully conversant with the key provisions of the Scheme Information Document (SID), Statement of Additional Information (SAI) and Key Information Memorandum (KIM) as well as the operational requirements of various schemes.
3. I/We will always comply with SEBI guidelines / requirements issued from time to time in preparation of sales, promotional or any other literature about any schemes. Performance disclosures should also comply with the requirements specified by SEBI. Provide full and latest information of schemes to investors in the form of SAI, SID, addenda, performance reports, fact sheets, portfolio disclosures and brochures; and recommend schemes appropriate for the investor's risk profile and needs.
4. I/We will always highlight risk factors of each scheme, desist from misrepresentation and exaggeration and urge investors to go through SAI / SID/ KIM before deciding to make investments.
5. I/We will always disclose to the investors all material information including all the commissions (in the form of trail or any other mode) received for the different competing schemes of various Mutual Funds from amongst which the scheme is being recommended to the investors.
6. I/We will always abstain from indicating or assuring returns in any type of scheme, unless the SID is explicit in this regard.
7. I/We will always maintain necessary infrastructure to support the UTI AMCs in maintaining high service standards to investors, and ensure that critical operations such as forwarding forms and cheques to UTI AMC/its Registrars and despatch of statement of account and redemption cheques to investors are done within the time frame prescribed in the SID/SAI and SEBI Mutual Fund Regulations.
8. I/We will never collude with investors in faulty business practices such as bouncing of cheques, wrong claiming of dividend/ redemption cheques, splitting of applications in the schemes to circumvent regulations for any benefit, etc.
9. I /We will never undertake commission driven malpractices such as:
  - a. recommending inappropriate products solely because the intermediary is getting higher commissions therefrom.
  - b. encouraging over transacting and churning of Mutual Fund investments to earn higher commissions.
  - c. Splitting of applications to earn higher transaction charges / commissions.
10. I/We will always abstain from making negative statements about UTI AMC or scheme and ensure that comparisons, if any, are made with similar and comparable products along with complete facts.
11. I/We will keep investors abreast with the developments relating to the Mutual Fund Industry as also changes in the scheme information and information on UTI Mutual Fund / UTI AMC like changes in fundamental attributes, changes in controlling interest, loads, liquidity provisions, and other material aspects and deal with the investors appropriately having regard to the up to date information.
12. I /We will strictly maintain confidentiality of all investor details, deals and transactions.
13. I /We will keep investor's interest and suitability to their financial needs as paramount and that extra commission or incentive should never form the basis for recommending a scheme to the investor.
14. I/We will not rebate commission back to investors and abstain from attracting investors through temptation of rebate/gifts etc.
15. I/We will always protect the investors from potential fraudulent activities. I /We will take reasonable steps to ensure that the investor's address and contact details filled in the UTI Mutual Fund application form are investor's own details, and not of any third party.

Where the required information is not available in the application form, I /We shall obtain accurate and updated information from the investor. I/We will abstain from filling wrong / incorrect information or information of my own or of my employees/ officials as the investor's address and contact details in the application form, even if requested by the investor to do so. I/We will abstain from tampering in any way with the application form submitted by the investor, including inserting, deleting or modifying any information in the application form provided by the investor.

16. I /We along with my sales personnel engaged in sales / marketing shall obtain NISM certification and register with AMFI and obtain an Employee Unique Identification Number (EUIN) from AMFI apart from AMFI Registration Number (ARN). I will ensure that my employees quote the EUIN in the Application Form for investments. The NISM certification and AMFI registration shall be renewed on timely basis.
17. I/We will always comply with the Know Your Distributor (KYD) norms issued by AMFI.
18. I/We will always co-operate with and provide support to UTI AMC, AMFI, competent regulatory authorities, Due Diligence Agencies (as applicable) in relation to the activities of the intermediary or any regulatory requirement and matters connected thereto.
19. I/We will provide all documents of my investors in terms of the Anti Money Laundering / Combating Financing of Terrorism requirements, including KYC documents / Power of Attorney / investor's agreement(s), etc. with Intermediaries as may be required by UTI AMC from time to time.
20. I /We will always be diligent in attesting / certifying investor documents and performing In Person Verification (IPV) of investor's for the KYC process in accordance with the guidelines prescribed by AMFI / KYC Registration Agency (KRA) from time to time.
21. I /We will always adhere to AMFI guidelines and Code of Conduct issued from time to time related to distributors, selling, distribution and advertising practices.
22. I /We will always intimate UTI AMC and AMFI any changes in the intermediary's status, constitution, address, contact details or any other information provided at the time of obtaining AMFI Registration.
23. I /We will always observe high standards of ethics, integrity and fairness in all its dealings with all parties – investors, UTI Mutual Fund/ UTI AMC, Registrars & Transfer Agents and other intermediaries. I will always render at all times high standards of service, exercise due diligence, and ensure proper care.
24. I /We will always ensure that the criteria specified by SEBI for due diligence exercise are maintained in respect of the "Advisory" services provided by me to the investors.
25. I/We will always refund to UTI AMC, either by set off against future commissions or payment, all incentives of any nature, including commissions received, that are subject to claw-back as per SEBI regulations or the terms and conditions issued by UTI AMC.
26. In respect of purchases (including switch-ins) into any fund w.e.f. January 1, 2013, in the event of any switches from Regular Plan (Broker Plan) to Direct Plan, all upfront commissions paid to me shall be liable to complete and / or proportionate claw-back.
27. I/We will not indulge in fraudulent or unfair trade practices of any kind while selling units of Schemes of UTI Mutual Fund. Selling of units of schemes of UTI Mutual Fund by me directly or indirectly by making false or misleading statement, concealing or omitting material facts of the scheme, concealing the associated risk factors of the schemes or not taking reasonable care to ensure suitability of the scheme to the investor will be construed as fraudulent / unfair trade practice.

I /We, \_\_\_\_\_, and my/our heirs, administrator, Successors & permitted assigns indemnify and agree to indemnify UTI AMC, UTI Trustee Company Pvt. Ltd and UTI Mutual Fund from all claims, charges, costs and consequences, which may arise due to breach of any of my above declarations including the terms and conditions of the distributorship agreed by me.

This declaration and indemnity shall always be forming integral part and parcel of the terms and conditions agreed by me for canvassing sale of units of UTI Mutual Fund. This declaration and indemnity is continuous, irrevocable and made consciously and voluntarily.

Thanking you,  
Yours faithfully,

( \_\_\_\_\_ )

ARN

Address

Tel No.

Mobile Number:





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 Website :www.utimf.com

**BUSINESS RELATED INFORMATION**

Name : \_\_\_\_\_

ARN : \_\_\_\_\_

E-mail ID 1. \_\_\_\_\_ Mobile 1. \_\_\_\_\_

E-mail ID 2. \_\_\_\_\_ Mobile 2. \_\_\_\_\_

Professional qualification :  MBA  CFP  CA  Others \_\_\_\_\_

Nature of Business/Occupation:  Employed  Self Employed  Student  Professional  Retired  Housewife  
 Others \_\_\_\_\_

How long have you been associated with Financial Service sector? \_\_\_\_\_

Whether empanelled with any other Broker as Sub-broker for selling Mutual Funds? Yes/No.

If yes, please specify \_\_\_\_\_

Are you registered with any Stock Exchange? Yes/No.

If yes, please specify  NSE Registration No. \_\_\_\_\_  
 BSE Registration No. \_\_\_\_\_  
 others Registration No. \_\_\_\_\_

What kind of financial product/services do you offer?

Insurance  Post Office  Corporate/RBI Bond  PMS  
 Primary Market(IPO)  Secondary Market (Share Broking)  Fixed Deposits  Real Estate  
 Others \_\_\_\_\_

Business Model :  Own Office  Sub broker Network  Online Platform

Number of offices/Branches: \_\_\_\_\_ Number of employees : \_\_\_\_\_ Number of Sub-broker : \_\_\_\_\_

Name of the other AMCs with whom you are registered:

1. \_\_\_\_\_ 4. \_\_\_\_\_
2. \_\_\_\_\_ 5. \_\_\_\_\_
3. \_\_\_\_\_

What kind of Mutual Fund schemes do you advise :

Equity Funds  Debt Funds  Liquid Funds  Fixed Maturity Plans  Monthly Income Plans

Approximate Mutual Fund Business generated in last Financial Year : \_\_\_\_\_ Industry AUM: \_\_\_\_\_

Total number of investors you are serving : \_\_\_\_\_ Type of Clients :  Retail  Institutional  HNI  Trust

Awards & Recognition (Please specify) : \_\_\_\_\_



**UTI Asset Management Company Limited**  
 Regd. Office: UTI Tower, 'Gn' Block,  
 Bandra Kurla Complex, Bandra (East),  
 Mumbai -400 051,  
 Tel: 022-6678 6666 (Board), Fax : 022-2652 4921  
 Website :www.utimf.com

**Help us to Know you better**

**Marital Status :**  Married  Unmarried (*please tick*)

**Anniversary Date:**

**Name of spouse :** \_\_\_\_\_

**Date of Birth:**

**Name of Child (1):** \_\_\_\_\_

**Date of Birth:**

**Name of Child (2):** \_\_\_\_\_

**Date of Birth:**

**Have you ever served as a :**  Civil Servant  Politician  Current/Former MP/MLA/MLC  
 Senior Executive of State/Central owned corporation  Social worker

**Your preferred language for communication :**

**Preferred mode of knowledge update :**  Classroom  Internet  Call

**What does your family enjoy most doing together?**

Travelling  Watching movies  Dining  Others, please specify \_\_\_\_\_

**Are you active on Social Media?**  facebook  twitter  linkedin  whatsapp

**Are you and your family covered with Medical Insurance?**

**Overseas destination travelled?**

Passport No, (if any) \_\_\_\_\_ Expiry Date

Place / Country of Issue \_\_\_\_\_

Name as appearing in Passport \_\_\_\_\_

Surname

Given Name

**What vehicle do you own?**  Four wheeler  Two wheeler **Make/Model** \_\_\_\_\_

**Food preference :**  Vegetarian  Jain Food  Non-Vegetarian  Eggetarian

**Your Hobby :**

**Extracurricular activity, if any :**

**What kind of support do you appreciate from UTI AMC to excel your performance?**

Training on Capital Markets  Products  Selling Skill  Presentation/Communication Skill  Soft Skill  Any other, please specify \_\_\_\_\_

**Place:** \_\_\_\_\_

**Date :** \_\_\_\_\_

**Signature of the Distributor** \_\_\_\_\_