

Canara Robeco Asset Management Company Ltd.

Construction House, 4th Floor, 5, Walchand Hirachand Marg, Ballard Estate, Mumbai 400 001.
Email: service@canararobeco.com Tel.: (022) 6658 5000 / 5080 / 5097 Fax: (022) 66585012/13

DISTRIBUTOR EMPANELMENT FORM

Kindly spare a few moments of your time to fill in the details below. Please fill the form in BLOCK LETTERS.

AMFI CERTIFICATION DETAILS (Please attach a copy of the ARN Card / NISM Certificate)

ARN No. _____ Passed on _____ Valid up to _____

1. KEY CONTACT DETAILS

Name (Mr./ Ms. / M/s):
(Individuals / Non Individuals)

IN CASE OF NON-INDIVIDUALS
Contact person responsible for Mutual Fund distribution Designation

No. of AMFI / NISM qualified employees eligible for distributing Mutual Funds

Correspondence Address:

Telephone* (O) - (R) -

Mobile* Fax* -

E-Mail 1* E-Mail 2*

*Of the person responsible for Mutual Fund distribution in case of non-individuals

Broker Code [BSE / NSE] (if applicable) BSE NSE

2. TAX STATUS (Please tick any one)

INDIVIDUALS <input type="checkbox"/> Individual <input type="checkbox"/> Sole Proprietorship		NON-INDIVIDUALS <input type="checkbox"/> Partnership Firm <input type="checkbox"/> Private Limited Company <input type="checkbox"/> Public Limited Company <input type="checkbox"/> Society / Trust <input type="checkbox"/> Others _____	
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3. ADDITIONAL INFORMATION

Individuals Date of Birth <input type="text"/> DD <input type="text"/> MM <input type="text"/> YY Educational Qualification <input type="text"/> PAN No. <input type="text"/>	Non-Individuals Date of Incorporation <input type="text"/> DD <input type="text"/> MM <input type="text"/> YY PAN No. <input type="text"/>
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4. NOMINATION DETAILS FOR BROKERAGE / COMMISSION / TRANSACTION FEES (For individuals and sole proprietorships)

Nominee Name <input type="text"/> Nominee Address <input type="text"/> Relationship with Distributor <input type="text"/> Nominee Signature <input type="text"/>	If Nominee is a minor Date of Birth of Nominee <input type="text"/> Name of Legal Guardian <input type="text"/> Address of Legal Guardian <input type="text"/> Signature of Legal Guardian <input type="text"/>
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5. BANK DETAILS

Account No. A/C Type Savings Current Others _____

Bank Name

Branch City State

IFSC Code * MICR Code*

*Mandatory to make payments through RTGS/NEFT (Please enclose cancelled cheque or clear photocopy of cheque)

6. EXPERIENCE

How long have you been associated with the financial services sector? Years

What kind of client base do you service? (Please ✓ if they are a significant component of your business)

Individuals: Salaried Class Businessmen Institutions: Large size Corporates Mid-size Corporates
 High Networth Individuals Non-Residents Pvt. Ltd. Firms Trusts / NGOs

Total no. of Individual Households serviced by you: Total no. of Institutions serviced by you:

EXPERIENCE						
What kind of financial products / services do you offer your clients?						
	Yes	No	if yes, no. of years	Yes	No	if yes, no. of years
Mutual Funds	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
PMS Products	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Insurance Products	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
				Stock Broking	<input type="checkbox"/>	<input type="checkbox"/>
				Small Savings (PPF / NSC / Postal Schemes)	<input type="checkbox"/>	<input type="checkbox"/>
				Corporate Fixed Deposits	<input type="checkbox"/>	<input type="checkbox"/>

7. BUSINESS ASSOCIATIONS

Are you associated with any mutual funds? Yes No

If yes, please list names of the mutual funds with whom you are directly associated with: (Top 5)

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Are you associated as a Sub-broker / Franchisee with any organization?	Active Currently		Name of the organization	Active Currently	
	Yes	No		Yes	No
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>

8. FUNDS MOBILISED

	Mutual Funds	Other Instruments
Cumulative to date (Rs.)	<input type="text"/>	<input type="text"/>
Last one year (Rs.)	<input type="text"/>	<input type="text"/>
Latest Industry AUM (Rs.)	<input type="text"/>	<input type="text"/>

9. DECLARATION

I/We hereby declare that the information furnished is true and correct to the best of my/our knowledge and belief. I/We undertake to abide by the terms and conditions stated below and the changes in Terms & Conditions from time to time relating to the empanelment of distributor. I/We am/are not an Employee or a relative of a Director/Employee of the AMC/Sponsor /or any of its associates.

Place

Date

Signature of Applicant /
Authorised Signatory

- TERMS & CONDITIONS**
- The statements made by the distributor in the Empanelment Form and the declaration made therein shall be the basis of the contract.
 - The distributor shall carry out such directions and instructions as may from time to time be issued by Canara Robeco Asset Management Company Ltd (AMC) in this regard.
 - The distributor /or its employees who are engaged in sales and marketing of the products of Canara Robeco Mutual Fund (Mutual Fund) shall be certified National Institute of Securities Market (NISM) or Association of Mutual Funds in India (AMFI), as the case may be, and hold a valid certificate as required by the Securities and Exchange Board of India (SEBI). Such Certificate shall be submitted by the distributor to the AMC for its records and verification.
 - The distributor is not authorised to issue any receipt for cheques and demand drafts received along with the application forms on behalf of the AMC. The distributor shall at no point of time receive cash on behalf of the AMC. The distributor agrees to comply with due diligence requirements, if applicable, as may be prescribed by SEBI/AMFI from time to time.
 - The distributor is eligible for brokerage on the amounts mobilized by him at the rate(s) prescribed by AMC. The rate(s) are subject to revision, from time to time, at the discretion of the AMC and the distributor shall be bound by such changes. The brokerage payable shall be inclusive of all taxes, costs, charges and expenses incurred by the distributor in connection with the distribution of products of the Mutual Fund.
 - The distributor declares and covenants with the AMC to defend, indemnify and hold the Trustees of the Mutual Fund, the AMC, its affiliates, sponsors, successors and permitted assigns harmless from and against all claims, damages or assertions of liability of any kind or nature resulting from:
 - Any breach of terms, covenants and conditions or other provisions hereof, or offer document(s) or any acts of omission or commission there under;
 - Any failure to comply with all applicable legislation, statutes, ordinances, regulations, code of conduct, administrative rulings or requirements of law;
 - The misfeasance, malfeasance or fraudulent acts of the distributor or its representatives; and
 - Any and all actions, suits, proceedings, assessments, settlements, arbitration awards, costs and expenses, including attorneys' fees, resulting from any of the matters set forth above.
 - The empanelment of distributor shall be liable to be terminated by the AMC forthwith:
 - If he/she is found to be a minor or adjudicated as an insolvent or of unsound mind by a court of competent jurisdiction;
 - If in course of any judicial proceeding it is found that he/she has knowingly participated or connived in any fraud cheating or misrepresentation against the AMC or any Unit holder of Mutual Fund.
 - If the AMC is satisfied that any statement made in the Empanelment Form was false or misleading or calculated to mislead;
 - If he / she acts in any other manner prejudicial to the interest of the AMC / Mutual Fund; and
 - If he / she fails to comply with any applicable legislation, statute, ordinance, regulations, code of conduct, administrative rulings or requirements of law.
 - Notwithstanding what is stated in the preceding paragraphs, either party is entitled to terminate the contract by giving a 10 days notice in writing.
 - The distributor shall not have any claim against the AMC / Mutual Fund for any loss incurred by him/her due to any revision in the rate(s) of commission.
 - The distributor must read and understand the Offer Document of the respective scheme(s) carefully and explain the risks, investment objectives and the special features of the schemes to the investors. The distributor must not make any representation concerning Units of the Mutual Fund except those contained in the Offer Document of the respective scheme(s), the Key Information Memorandum containing Application Forms and printed information issued by the AMC as information supplemental to such documents.
 - The distributor must not use or engage in unethical practices to sell, market or induce any investor to buy Units of the Mutual Fund, including splitting of investments.
 - While recommending any Scheme to an investor, the distributor shall disclose to such investor all the commissions (in the form of trail commission, transaction charges or any other mode) payable to him for different competing schemes of various mutual funds.
 - The Distributor agrees to comply with the requirements specified by SEBI regarding classification of transactions as 'Advisory' or 'Execution only' apart from complying with SEBI (Investment Advisers) Regulations, 2013, if applicable. The Distributor also undertakes to conform to the Code of Conduct laid down by AMFI and revisions made thereto from time to time, including claw-back of commissions.
 - In case of empanelment by non-individuals, a certified true copy of the relevant resolution or authority to make the application as the case may be, along with a certified true copy of the Memorandum and articles of Association / Bye-laws / Partnership Deed and Certificate of Registration should be submitted.
 - The distributor shall use only such Offer Documents, Key Information Memorandum containing Application Forms and advertising material as provided by AMC and the distributor shall not design its own advertisement of the scheme(s) of the Mutual Fund unless it has obtained prior approval in writing from the AMC.
 - The contract shall stand automatically terminated without any notice from the AMC / Mutual Fund upon disqualification or withdrawal of Registration by NISM /AMFI /SEBI or any other Regulatory, Governmental or Judicial Authority. Upon termination, the distributor shall forthwith return all documents, papers and material pertaining to AMC / Mutual Fund and / or belonging to AMC / Mutual Fund to the AMC.
 - Empanelment of distributor is subject to the written confirmation by AMC.
 - In respect of all disputes arising out of this empanelment, the courts in Mumbai alone shall have jurisdiction.
 - The distributors who are engaged in sales and marketing of the products of Mutual Fund are required to comply with the Know Your Distributor (KYD) norms. All the Distributors are required to complete KYD formalities through Computer Age Management Services Pvt. Ltd., which will be the central agency for this purpose, by submitting 1) identity & address proof 2) PAN and 3) Bank Account details along with cancelled cheque. Empanelment Application without KYD acknowledgement will be rejected.

DISTRIBUTOR EMPANELMENT - CHECKLIST	
MANDATORY FOR NON INDIVIDUALS /CORPORATE DISTRIBUTORS Empanelment Form duly filled (With Photo of Contact/Authorised Person) Copy of PAN Card Copy of AMFI Certificate Certified true copy of Partnership Deed (In case of a Partnership Firm) Certified true copy of Memorandum & Articles of Association (In case of a company) Certified true copy of Resolution of Firm / Company and Authorized Signatory List Bank Account Details of Distributor - Bank Name / Branch / Number Copy of cancelled cheque KYD Acknowledgement List of Sales Persons/Employees with EUIN	MANDATORY FOR INDIVIDUALS KARTA OF HUF / SOLE PROPRIETORSHIP Empanelment Form (With Photo) Copy of PAN Card Copy of ARN Card Copy of AMFI / NISM Certificate Bank Account Details of Distributor - Bank Name / Branch / Number Copy of cancelled cheque KYD Acknowledgement List of Sales Persons/Employees with EUIN

"All employees engaged in sales and marketing activities should obtain AMFI /NISM certification. Employees in other functional areas should also be encouraged to obtain the same certification."