

## 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)

AMFI / NISM Registration 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 \_\_\_\_\_ Designation \_\_\_\_\_  
Mutual Fund distribution

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

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

\_\_\_\_\_ CITY \_\_\_\_\_ PIN \_\_\_\_\_

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

Individual  Sole Proprietorship

##### NON-INDIVIDUALS

Partnership Firm  Private Limited Company  Public Limited Company  
 Society / Trust  Others \_\_\_\_\_

#### 3. ADDITIONAL INFORMATION

##### Individuals

Date of Birth DD MM YY \_\_\_\_\_

Educational Qualification \_\_\_\_\_

PAN No. \_\_\_\_\_

##### Non-Individuals

Date of Incorporation DD MM YY \_\_\_\_\_

PAN No. \_\_\_\_\_

#### 4. NOMINATION DETAILS FOR BROKERAGE / COMMISSION / TRANSACTION FEES

(For individuals and sole proprietorships)

Nominee Name \_\_\_\_\_

Nominee Address \_\_\_\_\_

Relationship with Distributor \_\_\_\_\_

Nominee Signature \_\_\_\_\_

If Nominee is a minor

Date of Birth of Nominee \_\_\_\_\_

Name of Legal Guardian \_\_\_\_\_

Address of Legal Guardian \_\_\_\_\_

Signature of Legal Guardian \_\_\_\_\_

#### 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 Network 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?	if yes, no. of years				if yes, no. of years		
	Yes	No			Yes	No	
Mutual Funds	<input type="text"/>	<input type="text"/>	<input type="text"/>	Stock Broking	<input type="text"/>	<input type="text"/>	<input type="text"/>
PMS Products	<input type="text"/>	<input type="text"/>	<input type="text"/>	Small Savings (PPF / NSC / Postal Schemes)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Insurance	<input type="text"/>	<input type="text"/>	<input type="text"/>	Corporate Fixed Deposits	<input type="text"/>	<input type="text"/>	<input type="text"/>

**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)

<input type="text"/>
----------------------

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

**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 an agent in the Empanelment Form and the declaration made therein shall be the basis of the contract.
  - An agent 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.
  - An agent / or its employees who are engaged in sales and marketing of the products of Canara Robeco Mutual Fund (Mutual Fund) shall be certified by 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 agent to the AMC for its records and verification.
  - An agent is not authorised to issue any receipt for cheques and demand drafts received along with the application forms on behalf of the AMC. The agent shall at no point of time receive cash on behalf of the AMC.
  - An agent is eligible for brokerage on the amounts mobilised 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 agent shall be bound by such changes. The brokerage payable shall be inclusive of all taxes, costs, charges and expenses incurred by the agent in connection with the agency.
  - The agent declares and covenants with the AMC to defend, indemnify and hold the Trustees of the 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 agents or its representatives ; and
    - Any and all actions, suits, proceedings, assessments, settlement, arbitration awards, costs and expenses, including attorneys' fees, resulting from any of the matters set forth above.
  - The appointment of an agent 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 Canara Robeco 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 Agency by giving a 10 days notice in writing.
  - An agent 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.
  - An agent 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 agent 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 agent must not use or engage in unethical practices to sell, market or induce any investor to buy Units of the Mutual Fund.
  - While recommending any Scheme to an investor, the Agent shall disclose to such investor all the commissions (in the form of trail commission or any other mode) payable to him for different competing schemes of various mutual funds.
  - In case of application 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 agent shall use only such Offer Documents, Key Information Memorandum containing Application Forms and advertising material as provided by AMC and the agent 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 agency shall stand automatically terminated without any notice from the AMC / Mutual Fund upon disqualification or withdrawal of Agency Registration by NISM /AMFI /SEBI or any other Regulatory, Government or Judicial Authority. Upon termination, the agent shall forthwith return all documents, papers and material pertaining to AMC / Mutual Fund and / or belonging to AMC / Mutual Fund to the AMC.
  - Appointment as agent 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.

**DISTRIBUTOR EMPANELMENT - CHECKLIST**

MANDATORY FOR NON INDIVIDUALS /CORPORATE DISTRIBUTORS	MANDATORY FOR INDIVIDUALS / KARTA OF HUF / SOLE PROPRIETORSHIP
Empanelment Form duly filled (With Photo of Contact/Authorised Person)	Empanelment Form (With Photo & Effective date of empanelment)
Copy of PAN Card	Copy of PAN Card
Copy of ARN Card	Copy of ARN Card
Copy of AMFI / NISM Certificate	Copy of AMFI / NISM Certificate
Certified true copy of Partnership Deed (In case of a Partnership Firm)	Bank Account Details of Distributor - Bank Name / Branch / Number
Certified true copy of Memorandum & Articles of Association (In case of a company)	Copy of cancelled cheque
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	