

Tata Mutual Fund directly credits the Brokerage into the Distributor Bank Account in case the Bank Account is with ICICI Bank Ltd./HDFC Bank Ltd./Axis Bank/IDBI Bank/Standard Chartered Bank/Kotak Mahindra Bank/HSBC Bank/Deutsche Bank/Royal Bank of Scotland/Oriental Bank of Commerce/State Bank of India (Core banking centers only - subject to validation).

I / We understand that the instruction to the bank for Direct Credit/ NEFT will be given by the Mutual Fund and such instruction will be adequate discharge of Mutual Fund towards brokerage amount. In case of bank not crediting my/our bank account with/ without assigning any reason thereof or if the transaction is delayed or not effected at all for reasons of incomplete or incorrect information, I/We would not hold Tata Mutual Fund responsible. I/We understand that in case account number furnished by me/us, if found incorrect, I/We would not hold Tata Mutual Fund responsible for the credit going to the wrong account. Further, the Mutual Fund reserves the right to issue a demand draft/payable at par cheque in case it is not possible to make payment by DC/NEFT.

Total Experience (no of years) _____

Client Profile:

- HNI Retail Corporate
 Others _____

Reach / Network :

- Local Regional All India

Type of MF products you offer to the client :

- Cash fund Debt fund Equity fund MIPs All

Business procured for other MFs in the past three years:

Organisation	Rs. in Lacs (Year 1)	Rs. in Lacs (Year 2)	Rs. in Lacs (Year 3)

Relevant document(s) submitted : Yes No (please check documents list mentioned at pt 12 in terms & conditions)

Declaration:

This is to certify that _____ is a partnership / corporate / proprietorship firm and all employees engaged in sales and distribution activities are AMFI certified and also have applied for / received their ARN photo ID cards.

"I will comply with the provisions of The Prevention of Money Laundering Act, 2002 guidelines issued by Securities and Exchange Board of India and association of Mutual Funds in India from time to time in this regards."

Place : _____

Date : _____

(Signature of the Applicant)

Documents as listed below should be submitted along with the Empanelment Form (As applicable)					
Documents	IFA / HUF	Partnership Firm	Bank	Company	Proprietary Firm
Copy of AMFI Certificate	NA	✓	✓	✓	✓
Copy of ARN Card	✓	NA	NA	NA	NA
Pan Card Copy	✓	✓	✓	✓	✓
Cancelled Cheque Copy	✓	✓	✓	✓	✓
KYD	✓	✓	✓	✓	✓
Memorandum & Article of Association	NA	NA	✓	✓	NA
Authorised Signatory List on Letter Head	NA	✓	✓	✓	NA
Board Resolution on Letter Head	NA	NA	✓	✓	NA
Partnership Deed	NA	✓	NA	NA	NA

All documents should be self attested by Distributor

Form No. D
For Nomination by ARMFA

To
Tata Asset Management Limited

ARMFA Details
Name : _____
ARN Code : _____
Address : _____

Dear Sir,

I/we _____ do hereby nominate the following person in whom on my/our death, the amount payable to me/us in respect of the commission pertaining to the units canvassed by me/us specified below shall vest and to whom such amount shall then be payable.

NOMINEE: Shri/Smt/Kumari _____

Signature : _____

Address: _____

#(Date of birth, if minor) _____

The above nominee is a minor whose guardian's name, signature and address are as under.

Guardian : Shri/Smt _____

Signature _____

Address : _____

Relationship with Nominee: _____

#This nomination is in substitution of the nomination dated _____ and registered in your books which nomination shall stand cancelled on registration of this nomination.

(Delete/strike off if not applicable)

Place:

Signature of Distributor

Date:

(For AMC use only)

Signature verified:

Signature of authorized person:

Objection if any:

Nomination verified _____

TERMS AND CONDITIONS

1. A distributor shall carry out such directions and instructions as may from time to time, be issued by Tata Asset Management Ltd. (AMC) in this regard.
2. A distributor /or its employee who are involved in distribution of MF products must have cleared the AMFI / NIMS certification test. A self attested copy of ARN card / AMFI certificate & PAN card must be submitted by the distributor to Tata Asset Management Ltd., for its records and verification.
3. A distributor is not authorised to issue any receipt for cheques and demand drafts received alongwith the application forms on behalf of the AMC. The agent shall at no point of time receive cash on behalf of the AMC.
4. A 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 agent shall be bound by such changes. The brokerage payable, shall be inclusive of any tax, service tax, cost, charges and expenses incurred by the agent in connection with the agency.
5. The agent declares and covenants with the AMC to defend, indemnify and hold the AMC and its affiliates, promoters, successors in interest and permitted assigns harmless from and against all claims, damages or assertions of liability of any kind or nature resulting from:
 - a) any breach of terms, covenants and conditions or other provisions hereof, or SID(s) or any actions or omissions thereunder;
 - b) any failure to comply with all applicable legislation, statutes, ordinances, regulations, administrative rulings or requirements of law;
 - c) the misfeasance, malfeasance or fraudulent acts of the representatives of the agents; and
 - d) any and all actions, suits, proceedings, assessments, settlement, arbitration judgments, cost and expenses, including attorneys' fees, resulting from any of the matters set forth above.
6. The appointment of a distributor shall be liable to be terminated by the AMC forthwith:
 - a) If he/she is found to be a minor or adjudicated as an insolvent or found to be of unsound mind by a court of competent jurisdiction;
 - b) If in course of any judicial proceeding it is found that he/she has knowingly participated in or connived at any fraud, dishonesty or misrepresentation against the AMC or any Unit holder of Tata Mutual Fund (Mutual Fund)
 - c) If the AMC is satisfied that any statement made in the Agent Registration Form was false or misleading or calculated to mislead;
 - d) If he / she acts in any other manner prejudicial to the interest of the AMC / Mutual Fund; and
 - e) If he / she does not comply with all applicable legislation, statutes, ordinances, regulations, administrative rulings or requirements of law.
 - f) If he / she fails to comply with the terms and conditions mentioned in this empanelment form.
7. In addition to what is stated in the preceding paragraphs the AMC shall have the right to terminate the appointment of agent at any time by giving the agent 10 days notice and assigning any reasons thereof. A distributor may also terminate the agency at any time by giving 10 days notice to the AMC.
8. A distributor shall not have any claim against the AMC/Mutual Fund for any loss incurred by him/her as not anticipated and arising out of any revision in the rate(s) of commission for business canvassed.
9. A distributor must read and understand the SID 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 or the Mutual Fund except those contained in the SID 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.
10. The agent must not use any unethical means to sell, market or induce any investor to buy Units of Tata Mutual Fund.
11. The nominee of individual distributor will receive trail commission on business done before the demise of the distributor holding ARN card.

The nominee will not be entitled for any commission on SIP investment post demise of distributor. Incase of any payment made between the period of actual date of demise and date of intimation of demise, the amount paid shall be recoverable from the nominee.
12. In case of application by non-individuals, a certified true copy of the relevant Board resolution or authority to make the application as the case may be, along with a certified true copy of the MOA/Partnership deed/ Certification of registration / Authorised Signatories list should be submitted. A declaration on company letter head for the employees engaged in sales activity should be submitted.
13. The agent shall use only such SIDs, Key Information Memorandum containing Application Forms and advertising material provided by AMC and the agent shall not design its own advertisement of the scheme(s) of Tata Mutual Fund unless it has obtained prior approval in writing from the AMC.
14. The agency shall stand automatically terminated without any notice from the AMC / Mutual Fund upon disqualification or withdrawal of Regulatory or Government Approval to act in the capacity contemplated herein. Upon any 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.
15. Appointment as a distributor is subject to written confirmation by Tata Asset Management Ltd.
16. In respect of all disputes arising under this empanelment, the courts in Mumbai alone shall have jurisdiction.
17. The agent shall comply with the provisions of the Securities and Exchange Board of India (Mutual Funds) Regulations, 1996 and guidelines issued by SEBI/AMFI Form time to time pertaining to mutual funds with specific focus on regulations/guidelines on advertisements / sales literature and code of conduct for distributors and shall adhere to it at all times.