



UTI MUTUAL FUND
UTI Asset Management Company Pvt. Ltd.
APPLICATION FOR DISTRIBUTORSHIP

Name in Full: (Please fill up in Capital letters) Shri/Smt/Kum.

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AMFI Reg. No : (Please enclose copy of the registration certificate)

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Valid upto:

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Date of Birth:

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Please affix recent
 passport size
 photograph and sign
 across the photograph.

Educational Qualification: _____
 (Enclose copy of the certificate)

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Sex : Male/Female

Specimen signature
 Use a black pen

Nationality : _____

Address: (Please attach copy of Ration card/passport/PAN card/Voters identity card as proof of residence)

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| P | i | n | : | | | | | | | | | | | | | | | | | |

Telephone no: Office: _____ Residence: _____ Mobile no:

E-Mail ID : _____

PAN.No :(if available) _____

How long have you been
 Associated with financial
 Service sector

| |
|--|
| |
|--|

 Years

Have you ever worked as agent of UTI/UTI AMC Pvt.Ltd earlier: Yes/No

If Yes give Agency code no. _____ Reason for discontinuation:

Names of Relatives who are working in UTI AMC Pvt Ltd. :

| Name of Relative | Designation | Location | Relationship |
|------------------|-------------|----------|--------------|
| | | | |
| | | | |

What kind of financial products/services do you offer

| | | Company name | Code no. | No.of years |
|---------------|---------|--------------|----------|-------------|
| Insurance | Yes/no | | | |
| Small savings | Yes/No | | | |
| Mutual funds | Yes/No. | | | |

If you are already offering Mutual fund products name the funds with which you are registered

| Name of the fund | No. of years | Business during the last one year |
|------------------|--------------|-----------------------------------|
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Have you ever been adjudicated insolvent or Applied for insolvency or compounded with Creditors? (if yes give full particulars)**Yes/No****BANK PARTICULARS**

Name of the Bank: _____ Branch _____
 Pincode of bank _____ Account no. savings/current _____ MICR No _____

I here by apply for the distributorship of UTI Asset Management Co.Pvt. Ltd. along with necessary proof and I declare that the information/particulars furnished above are true and correct in the best of my knowledge and belief.

Place:

Date:

(Applicant's signature)**For Office use only.**

| | |
|-----------------------|--|
| Approved/Rejected By: | Date of appointment: Ref .No: Code no: |
|-----------------------|--|

PROCEDURE FOR DISTRIBUTORSHIP**1.ELIGIBILITY**

- (a) Applicant should be a major.
 - (b) Applicant should have registered himself/herself with AMFI
2. Application form along with acceptance of terms and conditions for canvassing of sale of units duly filled in should be sent to respective office of the AMC depending on his/her place of residence.
 3. Out of the two copies of terms and conditions of agency the original copy of terms and conditions should be signed, witnessd and stamped as an agreement with SPECIAL ADHESIVE STAMPS according to local law . It may be noted that SPECIAL ADHESIVE STAMPS should be affixed before filling in the agreement form.

In case SPECIAL ADHESIVE STAMPS are not available, the original Terms and Agreement copy should be submitted as it is, duly completed with, the acceptance on the reverse of the original agreement. Simultaneously a Non-judicial stamp paper of requisite value, according to local law, should also be submitted conveying the acceptance of terms & conditions on it once again.

4. On receipt of duly stamped and signed agreement conveying the acceptance of terms and conditions, the AMC will send the prospective distributor an acceptance/approval letter. **Please note that the AMC reserves the right to accept or reject any application even after duly executed agreement is received by the AMC.**



UTI ASSET MANAGEMENT COMPANY PVT. LTD.
UTI Towers, 'Gn' Block, Bandra Kurla Complex,
Bandra (E) Mumbai 400 051

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

1. The statement made by the distributor in answer to the questions in the application form for the distributorship and the declaration made therein shall be the basis of the contract.
2. The first business year of a distributor will commence from the date of his/her empanelment and end on the succeeding 31st of March. Every subsequent business year will commence from 1st of April and end on the 31st of March (or earlier date in case the distributorship is discontinued)
3. A distributor shall carry out such directions and instructions as may, from time to time, be issued by the AMC or persons duly authorised by the AMC, for the purpose of fully and effectively carrying out the Terms and conditions of Distributorship.
4. A distributor shall at all times conduct himself/herself with propriety and decorum and in a manner which is not prejudicial to the interest of the AMC, if the AMC has reasons to feel dissatisfied with the conduct of a distributor, his/her distributorship would be discontinued.
5. A distributor should provide any information or statistics whenever asked by the AMC about his business with respect to other AMC's schemes.
6. As per Sebi guidelines a distributor should have atleast 12 investors with the empanelling AMC within one year from the date of empanelment. Failing this he/she should give an undertaking to the AMC that he/she services at least 25 investors across all mutual funds. Failing both the above, the distributor will not be entitled to receive brokerage from the AMC on the mobilization done by him/her during the subsequent year, until he/she complies with the above.
7. A distributor is **not authorised 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 centre functioning as an authorised 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 the receipt obtained thereof.
8. A distributor is eligible for brokerage/commission on the business canvassed by him/her (except on their own investment) under each plan at the rate/rates prescribed by the AMC at the commencement of the distributorship as may be stipulated by SEBI/AMFI from time to time. Provided, however, that the rates being subject to revision at the discretion of the AMC from time to time and the distributor shall be bound by such changes.
9. a) The distributor should use the prescribed application form for purchase of units and the distributors should affix his/her name and code 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 distributor code is not affixed.
b) A distributor is expected to ensure that the application forms filled up by his/her 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.
10. A distributor will not be entitled to any payment beyond the commission referred to above whether for work done by him/her in connection with the distributorship.
11. A distributor shall protect and keep harmless and indemnify the AMC against and in respect of any loss, claim, cost, charges, expenses, whatsoever which the AMC may have to incur as a result of the distributor not conforming to the instructions contained herein or which may be issued to him/her from time to time by the AMC.
12. 1) The empanelment of a 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 is adjudicated insolvent.

- c) If he/she is found to be of unsound mind by a court of competent jurisdiction.
 - d) If he/she is or has been within five years immediately preceding his/her appointment convicted by a criminal court for an offence involving moral turpitude.
 - e) If in the 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 unitholder.
 - f) If he/she is found to canvass the sale of units (issued under any scheme or plan) in or around the premises of the office 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.
 - g) If the AMC is satisfied that any statement made in the application form for distributorship was false or misleading or calculated to mislead.
 - h) If the AMC is satisfied that a distributor
 - 1) has offered or continues to offer any kind of an incentive to the prospective investor or
 - 2) has appointed sub-distributor(s) for canvassing sale of units or
 - 3) in any statement, hand bills circular or any other form of publicity material brought out by him/her 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
 - 4) acts in any other manner prejudicial to the interest of the AMC.
- 2) The provisions in this paragraph shall be without prejudice to the provisions in the next succeeding paragraph.

13. In addition to what is stated in the preceding paragraphs the AMC shall have right to terminate the distributorship of a distributor at any time by giving him/her one month's notice and without assigning any reasons thereof. A distributor may also terminate the distributorship at any time by giving one month's notice to the AMC.

14. In respect of all disputes arising under this distributorship the courts in Mumbai city alone shall have jurisdiction.

15. A distributor shall not have any claim against the AMC for any loss incurred by him/her as not anticipated and arising out of any revision in the rate of commission for business canvassed.

16. 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 registration is cancelled by AMFI, his/her distributorship will be liable for termination.

I have read the above mentioned terms and conditions of the distributorship and accept the same.

I request you to issue a letter in my favour recording my appointment as distributor.

Place:

Date:

Signature

Full name : Shri/Smt/Kum: _____