

# DISTRIBUTOR EMPANELMENT FORM

Angel One Asset Management Company Limited

G-1, Ground Floor, Ackruti Trade Centre, Central Road, Andheri MIDC, Andheri East, Mumbai - 400 093



Please fill in the application form completely in BLOCK LETTERS. Fields marked \* are mandatory.

KEY CONTACT DETAILS	
NAME (As per ARN Certificate)	Photograph (only for Individuals & Sole Proprietor)
Address for Communication	
Telephone (O) - (R)	
Mobile Fax	
Email	

TAX STATUS (Please ✓ any one)	
<b>Individual</b> <input type="checkbox"/> Individual <input type="checkbox"/> Sole Proprietorship	<b>Non-Individual</b> <input type="checkbox"/> Partnership Firm/LLP <input type="checkbox"/> Private Limited Company <input type="checkbox"/> Public Limited Company <input type="checkbox"/> Society/Trust <input type="checkbox"/> Others <small>Please specify</small>

ADDITIONAL INFORMATION																																																									
<b>Individual</b> Date of Birth <table border="1"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table> Highest Education <table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table> PAN <table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table> EUIN <table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table> Domicile <input type="checkbox"/> India <input type="checkbox"/> Others* <small>Please specify</small>	D	D	M	M	Y	Y	Y	Y																									<b>Non-Individual</b> Date of Incorporation <table border="1"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table> Contact Person <table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table> PAN <table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table> Country of Incorporation <input type="checkbox"/> India <input type="checkbox"/> Others* <small>Please specify</small>	D	D	M	M	Y	Y	Y	Y																
D	D	M	M	Y	Y	Y	Y																																																		
D	D	M	M	Y	Y	Y	Y																																																		

AMFI CERTIFICATION DETAILS		
Registration No. ARN	Passed on	Valid up to

BUSINESS DETAILS		
Number of offices/Branches:	Number of Employees:	Number of Sub-brokers:
Approximate Mutual Fund Business generated in last Financial Year:	AUM as on date:	
Total number of investors you are servicing: <small>Please specify</small>		
Awards & Recognition : <small>Please specify</small>		

BANK DETAILS FOR COMMISSION PAYMENT (ELECTRONIC MODE)	
Bank A/c. Number	Bank A/c. Type: <input type="checkbox"/> SB <input type="checkbox"/> Current <input type="checkbox"/> NRO <input type="checkbox"/> NRE
Bank Name	
Branch Name	
Branch Address	
9 Digit MICR Code	IFSC/NEFT Code
	Pin

NOMINEE DETAILS: (MANDATORY INCASE OF INDIVIDUAL AND SOLE PROPRIETORSHIP ONLY*)							
I hereby nominate the person named below to receive the amounts of commission (including trail commission) due to me, in the event of my death.							
Sr. No.	Name of the Nominee	Relationship with Distributor	Date of Birth	Allocation %	If Nominee is minor*		
					Name of Guardian	Date of Birth of Guardian	Guardian PAN
1.			DD/MM/YYYY			DD/MM/YYYY	
2.			DD/MM/YYYY			DD/MM/YYYY	
3.			DD/MM/YYYY			DD/MM/YYYY	
Address							
Pin							

ADDITIONAL INFORMATION					
Does any of your relative* work with Angel One Asset Management Company Limited or its sponsor / associate? <input type="checkbox"/> Yes <input type="checkbox"/> No					
(If "Yes", kindly provide the details below)					
Name of Relative*	Designation	Location	Relationship*	Relative Mobile No.*	Relative Email ID

\* In case of non-individual ARN, please provide the details of the relative/s of MD/CEO/Promoter/Partners/Directors/Key Person.

## REGISTRATION FOR SUBSCRIPTION / MAILBACK FACILITIES

I / We would like to avail various subscriptions, mail back and other services provided by Angel One Mutual Fund ('Fund') / Angel One Asset Management Company Ltd. ('AMC') which can be sent to me / us or requested by me/us via e-mail. I / We hereby direct you to send all reports and communications to me / us via E-Mail to the e-mail addresses mentioned above. I / We understand that data through Internet is not encrypted and is not a secure means of transmission. I / We acknowledge and accept that email transmission method involves the risks of possible unauthorized alteration of data and / or unauthorized usage thereof for whatever purposes by any unauthorized person(s). I / We agree to exempt you from any and all responsibility of such misuse and hold you harmless for any costs or losses we may incur due to any errors, delays or problems in transmission or otherwise caused by using the Internet as a means of transmission. I / We will keep you and the Mutual Fund / AMC indemnified against any claims our investors may make in future on account of disclosing their transaction information to me / us via email. I / We confirm having received valid authorization from investors introduced by me / us, to view any details pertaining to their investments and will indemnify Angel One Mutual Fund ('Fund') / Angel One Asset Management Company Ltd. ('AMC') against any claims by investors for having received information. I / We wish to receive SMS and Email Alerts on my / our registered mobile no(s) and email id from Angel One Asset Management Company Ltd.

Place \_\_\_\_\_ Date DD MM YY

Signature of Applicant

## DECLARATION & SIGNATURE

This is to certify that \_\_\_\_\_ is a Individual/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/EUIN.

I / We declare that the information furnished herein above is true and correct to the best of my / our knowledge and belief and that, I / We am / are permitted to undertake the activities of distributing / selling units of the schemes managed by Angel One Asset Management Company Limited. 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 Angel One Asset Management Company Limited from time to time relating to my / our empanelment as distributor.

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

**Place** | | | | | | | | | | **Date** | D | D | M | M | Y | Y | Y | Y

Signature / Authorized Signatory  
(please affix seal, if applicable, against your signature)

**FOR OFFICE USE ONLY**

Branch : \_\_\_\_\_ Region : \_\_\_\_\_ Distributor Category : \_\_\_\_\_

Relationship Manager :

Regional/Zonal Manager : | | | | | | | | | | | | | | | | | | | | | |

### CHECK LIST OF DOCUMENTS TO BE SUBMITTED ALONGWITH THIS FORM

Sr. No.	Documents	Individual/ IFA	Corporate	Trusts	Societies	Partnership Firms	HUF
1	Copy of AMFI Certificate	✓	✓	✓	✓	✓	✓
2	Copy of EUIN Card	✓	✓	✓	✓	✓	✓
3	Copy of AMFI Letter & ARN Card	✓	✓	✓	✓	✓	✓
4	Copy of PAN Card	✓	✓	✓	✓	✓	✓
5	Cancelled Cheque	✓	✓	✓	✓	✓	✓
6	Authorized Signatory List		✓	✓	✓	✓	
7	Board Resolution		✓				
8	MOA/ AOA		✓				
9	Trust Deed			✓			
10	Partnership Deed/ Deed of Declaration				✓	✓	
11	By Laws				✓		

## TERMS AND CONDITIONS

These Terms and Conditions of Empanelment as a Distributor of Angel One Mutual Fund are a binding contract between yourself and Angel One Asset Management Company Ltd. for your appointment as a distributor of Angel One MF to distribute units of the schemes of the Angel One MF. Please read these Terms and Conditions carefully. By signing these Terms and Conditions you acknowledge that you have read, understood and agree to be legally bound by them at all times.

### OBLIGATIONS OF THE DISTRIBUTOR:

- The Distributor and its employees who will be involved in distribution of units of the schemes of Angel One MF must carry out such directions and instructions as may be issued by Angel One MF from time to time and shall, always, comply with all the extant applicable laws, rules, regulations, guidelines, directions, etc.
- The Distributor shall use only the SID, SAI, KIM and marketing material as is provided to him by Angel One AMC and the Distributor shall not design his own marketing material in respect of any scheme of Angel One MF unless he has obtained prior written approval of Angel One AMC for the same.
- The Distributor shall at all times conduct himself with propriety and decorum and in a manner which is not prejudicial to the interest of Angel One AMC/ Angel One MF or the investors.
- The Distributor shall, at all times, comply with and adhere to the code of conduct for Distributors (enclosed herewith as Annexure), including any amendments thereto from time to time.**
- The Distributor shall be responsible for providing the foreign inward remittance certificate or the certificate evidencing the subscription by way of debit to the NRE/ FCNR account of any non-resident Indian investor, within five days from the receipt of subscription by Angel One MF from such investor.
- The Distributor agrees not to distribute the products of Angel One MF to such investors who are prohibited from investing in India.
- The Distributor shall not in any way pledge or have any lien or charge on the properties of the Angel One AMC, Angel One MF, the trustee company of Angel One MF or any investor, that are in its possession, towards the fees payable to the Distributor for the services rendered herein.
- Angel One AMC shall have a right to call upon the Distributor to furnish any information or statistics, which the Distributor shall be bound to furnish.
- The Distributor shall neither use nor display the name, logo, mark or any intellectual property of Angel One AMC / Angel One MF (or any things identical thereto) in any manner whatsoever, except as permitted by Angel One AMC.
- The Distributor shall do all acts, deeds and things necessary on behalf of the Angel One MF / Angel One AMC to enhance the investors' confidence and interest in the Angel One MF and ensure that the interests and reputation of the Angel One MF / Angel One AMC are fully protected at all times and shall not undertake any obligation or incur any liability on behalf of the Angel One MF / Angel One AMC nor in any way pledge the Angel One MF / Angel One AMC's credit.
- The Distributor shall be solely responsible for resolution of all the investor grievances/ complaints arising due to any acts or omission or gross negligence, misrepresentation, fraud or mistake not directly attributable to the Angel One AMC and shall provide complete assistance to Angel One AMC for redressal of complaints.
- Angel One AMC shall from time to time publish notices, addendums and may make available to the distributor any other documents as may be related to the schemes of Angel One MF. The Distributor undertakes to:
  - properly display such documents in its places of business;
  - provide legible hard copies of such documents to investors/potential investors of Angel One MF.

### FEES AND CHARGES PAYABLE TO THE DISTRIBUTOR:

- The Commission and the periodicity of its payments for each scheme of the Angel One MF will be decided by Angel One AMC at its discretion. Further, Angel One AMC has the right to revise the same from time to time as it thinks fit including on existing assets. The Distributor shall be eligible to receive commission based on the amounts mobilized by such Distributor under each scheme of the Angel One MF subject to such other terms and conditions as may be applicable.
- Angel One AMC reserves the right to withhold the commission or any other amount payable to the distributor, pending submission of the declarations/documents/forms or any other information as required by the Angel One AMC.
- The Distributor shall not have any right or claim against the Angel One MF / Angel One AMC, for any loss incurred by it due to any revision made by the Angel One AMC in commission or any change of terms and conditions of distribution.
- In case the Distributor receives any commission or any other amount which is not due or payable to the Distributor, Angel One AMC / Angel One MF shall be entitled to recover the same or adjust all such amounts as are paid wrongly or by mistake to the Distributor.
- The commission / brokerage payable by Angel One AMC in respect of distribution of Mutual Fund Units by the Distributor will be as per the commission structure as may be notified by Angel One AMC from time to time and will be inclusive of all taxes, cesses, charges and levies.

### INDEMNITY:

- The Distributor hereby declares and covenants to defend, indemnify and hold Angel One AMC and its trustees, directors, affiliates, promoters, employees, successors in interest and permitted assigns harmless from and against all claims, liabilities, costs, charges, damages or assertions of liability of any kind or nature resulting from:
  - Any breach of terms, covenants and conditions or other provisions hereof, or any SID(s)/ SAI or any actions or omissions there under;
  - Any failure to comply with all applicable legislation, statutes, ordinances, regulations, circulars administrative rulings or requirements of law;
  - The misfeasance, malfeasance, negligence, defaults, misconduct or fraudulent acts of & by the Distributor or its representatives, employees, directors, agents, representatives; and
  - Any and all actions, suits, proceedings, assessments, settlement, arbitration judgments, cost and expenses, including attorneys' fees, resulting from any of the matters set forth herein above.
  - fraudulent, improper, incorrect, wrongful or negligent performance, work, service, act or omission by the Distributor including any of its employees, and representatives;

- wilful misconduct of the Distributor or any of its employees, Distributor (including sub-Distributor) and representatives.
- breach of any term or condition mentioned herein by the Distributor or any of its employees, Distributor (including sub-Distributor) and representatives;

### TERM AND TERMINATION:

- The appointment of the Distributor shall continue to remain in full force and effect unless terminated by Angel One AMC or the Distributor, in accordance with the provisions contained herein. Angel One AMC shall be entitled to terminate the engagement of the Distributor forthwith, if:
  - the Distributor is found to be a minor or adjudicated as an insolvent or found to be of unsound mind by a court of competent jurisdiction;
  - it is found that the Distributor has knowingly participated in or connived in any fraud, dishonesty or misrepresentation against Angel One AMC / Angel One MF or any unit holder of Angel One MF .
  - any statement made by the Distributor in the Distributor Empanelment Form is found to be false or misleading or intended to mislead.
  - the Distributor conducts or acts in any manner, which is deemed prejudicial to the interest of Angel One AMC / Angel One MF or the investor.
  - the Distributor does not comply with all applicable legislations, statutes, ordinances, regulations, administrative rulings or requirements.
  - the Distributor remains inactive in business with Angel One AMC for a considerable period of time, as decided by Angel One AMC from time to time. Angel One MF also reserves the right to suspend commission under such cases.
- Further, Angel One AMC shall have the right to terminate the appointment of the Distributor, without any cause, at any time by giving 30 (thirty) days' notice to the Distributor. The Distributor may also terminate his engagement with Angel One AMC at any time by giving a 30 (thirty) days' notice to Angel One AMC. Further the distributor may be suspended on the advice of AMFI.
- The engagement of Distributor shall stand automatically terminated, without notice from Angel One AMC, upon disqualification or withdrawal of necessary authorization(s) of the Distributor.
- Upon any termination, the distributor shall forthwith return to Angel One AMC all documents, papers and material pertaining to and / or belonging to Angel One AMC / Angel One MF .

### CONFIDENTIALITY:

- Distributor shall keep confidential all information received from Angel One AMC / Angel One MF / its Registrars pursuant to this Agreement, save and except which may be required to be disclosed under law. Such information being used only for the purpose for which it was shared, purged as soon as the data is no longer required and not shared with any vendor/other entity without explicit AMC approval or customer consent. Further, no cross marketing of distributor's group companies' products or services can be made to the investor.
- Distributor shall inform Angel One AMC / Angel One MF /its Registrars of receipt of any such communication / notice / intimation to enable AMC to take appropriate action, if required.

### MISCELLANEOUS:

- Angel One AMC reserves the sole right and discretion to change the status category of the Distributor.
- The empanelment of the Distributor as a distributor of Angel One MF shall be on a non-exclusive basis. The relationship between Angel One AMC and the Distributor is that of principal to principal and does not create any agency relationship or employee-employer relationship between Angel One AMC and the Distributor.
- The Distributor shall not have any claim against Angel One AMC / Angel One MF for any loss, actual or notional, incurred by him on account of any revision in the rate(s) of fee by Angel One AMC.
- In respect of all disputes arising under this engagement, the courts at Mumbai alone shall have jurisdiction, in accordance with the laws of India.
- The nominee of the individual distributor will receive trail commission only for those assets which were procured by the deceased Distributor during the validity of his ARN prior to his demise.
  - The nominee will receive trail commission on SIP investments post demise of distributor. In case of any payment made between the period of actual date of demise and date of intimation of demise, the amount paid shall be recovered from the nominee.
  - No new systematic transactions or changes to existing systematic transactions can be registered under the ARN code of the deceased Distributor.
- The empanelment of the Distributor as a distributor of Angel One MF is subject to written confirmation from Angel One AMC. The Distributor shall promptly provide on periodic basis such written declaration / confirmations along with supporting documents as required by the Angel One AMC to ensure compliance with all applicable laws/rules/regulations/guide- lines/ SEBI/ AMFI circulars.

I/We have fully read, understood and accepted the above mentioned terms and conditions and to agree to abide by the same at all times. I/We agree to submit such declarations/docu- ments/forms as required by Angel One AMC from time to time.

I/We further agree to abide by the code of conduct and rules/regulations laid down by SEBI and AMFI. I/We shall neither pass on or rebate commission back to investors nor tempt them with rebate/ gifts. I/We further have no objections in the Angel One AMC taking any disciplinary action against me/us or any of my/our employee or representative who is found violating this regulations/ code of conduct.

I/We agree to provide all the documents to Angel One MF/ Angel One AMC, in order to comply with the provisions of Know Your Distributor norms laid down by AMFI/SEBI as amended from time to time.

I/We hereby confirm and declare that I/We have read and understood these 'Terms & Conditions' of empanelment as a Distributor and agree to abide by the same.

Date :		Place :	ARN Name: _____ ARN Code: _____
Signature			