

1. CONTACT DETAILS*

Distributor Name			
Contact Person	Mr Ms M/s		
Contact Address (for all communication, brokerage, structure, Intimation & cheques)			
City		State	
Pin Code		Email	
Telephone No. - STD Code		Office	
		Resi.	
Mobile		PAN No.	
		Fax	

Photo
Required
Only for
Individual
distributors

2. AMFI REGISTRATION DETAILS*

AMFI Registration No. ARN	ARN Issue Date	ARN Valid upto
For Individual :		
Educational Qualification		
Occupation : <input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Housewife <input type="checkbox"/> Retired <input type="checkbox"/> Other		
Wedding Anniversary		
For Non - Individual :		
Status : <input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> Company <input type="checkbox"/> Bank <input type="checkbox"/> Public Ltd. Co. <input type="checkbox"/> Partnership Firm <input type="checkbox"/> Pvt. Ltd. Co. <input type="checkbox"/> Society/Trust <input type="checkbox"/> NBFC <input type="checkbox"/> Other (Specify)		
Name CEO/ Proprietor/ Key Person :		
Contact Person (s)		
Email ID		

3. DISTRIBUTOR INFORMATION (Only empanelled Distributors/ Brokers will be permitted to distribute Units of Baroda Pioneer Mutual Fund)

Special achievements/ awards in last three years

4. PREFERRED MEDIA FOR INFORMATION UPDATES (Please tick)

SMS Email

5. BANK DETAILS*

Bank Name			
Bank Branch		A/c No.	
Bank Address			
	City		Pin
IFSC		Mode of Brokerage Payment	<input type="checkbox"/> Electronic Mode <input type="checkbox"/> Warrant/ Cheque
Please provide 11 digit IFSC code. Please enclose a cancelled cheque of the above bank account.			
Service Tax No.			

6. NOMINATION DETAILS FOR BROKERAGE/ COMMISSION* (incase of Individual Agents Only)

I hereby nominate the person named below to receive the amounts of brokerage to my credit in the event of my death.

Date of Birth (If Minor) | D | D | M | M | Y | Y | Y | Y | Relationship | _____

Guardian's Name (In case of Minor) | _____

Address of Nominee/ Guardian | _____

City | _____ State | _____ Pin | _____

Specimen Signature of Nominee/ Guardian

Signature of the Distributor

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 regard."

Signature

Place _____

Date _____

CHECKLIST

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

BARODA PIONEER ASSET MANAGEMENT COMPANY LTD.

501, TITANIUM, 5th Floor, Western Express Highway,
Goregaon (E), Mumbai - 400063.

TERMS AND CONDITIONS OF DISTRIBUTORSHIP

1. The statements made/ information provided by the distributor in the Distributor Empanelment Form ('Form') and the declaration made therein read with these terms and conditions ("Terms and Conditions") shall be the basis of the contract between Baroda Pioneer Asset Management Company Ltd. (AMC) and the distributor, and the distributor agrees to be legally bound by the same.
2. The appointment as the distributor will be at the sole discretion of the AMC and will be subject to written confirmation by AMC. The agency of the distributor will commence on the date stated in the appointment letter issued by AMC.

DECLARATION

3. The distributor agrees to abide by these Terms and Conditions and rules in force and the changes in the Terms and Conditions from time to time relating to the agency.
4. The 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 will be discontinued.
5. 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.
6. The distributor agrees he/ she will not rebate/ pass on the commission/ brokerage to investors and shall not attract/ induce investors through temptation of rebate or by offering gifts, benefits which are extraneous to the schemes of Baroda Pioneer Mutual Fund.
7. The distributor shall not receive cash on behalf of the AMC. The distributor is not authorized to issue any receipt for cash and demand drafts received along with the application form(s) on behalf of the AMC.
8. The distributor hereby agrees to comply with the provisions of the Securities and Exchange Board of India (Mutual Funds), Regulations, 1996 as amended from time to time with specific focus on regulations/ guidelines on advertisements/ sales literature and comply with and adhere to the Code of Conduct and best practices prescribed for the intermediaries of Mutual Fund by Association of Mutual Fund of India (AMFI). The distributor shall also comply with circulars and adhere to guidelines issued by the Association of Mutual Funds of India (AMFI) and SEBI from time to time.
9. The distributor shall provide self certification in the prescribed format certifying compliance with the provisions of the existing SEBI/ AMFI guidelines/ circulars, adherence to the Code of Conduct as prescribed by SEBI/ AMFI for intermediaries of the Mutual Fund and fulfilling the minimum prescribed criteria regarding the number of investors and average assets under management at the end of every financial year to the AMC. If the said self certification is not provided, then the brokerage will be suspended till the time of receipt of the certificate.

BROKERAGE

10. The 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.
11. 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.
12. The distributor shall not have any claim against the AMC/ Baroda Pioneer Mutual Fund/ Trustee for any loss incurred by him/ her as not anticipated and arising out of any revision in the rate(s) of the commission/ brokerage for business brought/ funds mobilized.

INDIMNITY

13. The distributor 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 term, covenants and conditions or other provisions hereof, or offer document (s) or any actions or omissions thereunder;

- b. Any failure to comply with all applicable legislation, statutes, ordinances, regulations, administrative rulings or requirement of law;
 - c. The misfeasance, malfeasance or fraudulent acts of the personnel/ representative(s) of the distributor; 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.
14. 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.

TERMINATION

15. 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, promotional materials 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.
16. The agency shall stand automatically terminated without any notice from the AMC/ Mutual Fund upon disqualification or withdrawal of Regulatory/ Government approval to act in the capacity contemplated herein. Upon any termination, the distributor shall forthwith handover all documents, papers and material pertaining to the AMC/ Baroda Pioneer Mutual Fund and/ or belonging to AMC/ Baroda Pioneer Mutual Fund.

NOMINATION FACILITY

17. The AMC offers nomination facility to the distributor to enable the nominee to receive trail commissions on the business done before the demise of the distributor holding the ARN provided the distributor has complied with the Terms and Conditions mentioned herein above.

DISPUTES

18. In respect of all disputes arising under this empanelment, the courts in Mumbai alone shall have jurisdiction.

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:

Form No. A

Format for Declaration of Self Certification for Corporate ARMFA who does not have sub-brokers

On appropriate letterhead of corporate body

AMFI Registration Number (ARN): _____

Date: _____

From: _____

* Landline: _____

* Mobile: _____

* Email: _____

The Registrar and Transfer Agent of Mutual Funds

(Please tick as applicable)

CAMS

Karvy CPL

UTI TSL

Franklin Templeton

Deutsche ISPL

Sub: Declaration of Self-Certification (DSC): Period _____ / Financial Year _____

"This is to certify that, in the course of my/our business in the distribution of mutual fund products during the period/ financial year ended March 31, _____ I/we have adhered to the Code of Conduct contained in SEBI circular no. MFD/CIR/06/210/2002 dated June 26, 2002 and to the requirements as prescribed in SEBI's subsequent circular no. MFD/CIR/20/23230/2002 dated November 28, 2002 and the AMFI circular no: CIR/ARN-09/08-09 dated July 18, 2008 in this regard."

In compliance with SEBI Circular no. SEBI/ IMD/CIR/No.4/168230/09 dated June 30, 2009, I/ we have disclosed to investors all the commissions (in the form of trail commission or any other mode) payable to me /us for the different competing schemes of various mutual funds from amongst which the scheme was recommended to our investors.

Kindly update this DSC on your records and with all the Fund Houses where we are empanelled.

For _____ (firm name)

Authorised Signatory (ies)

*Information of principal contact desirable for all important communication to be disseminated efficiently

Form No. A1

Format for Declaration of Self Certification for Corporate ARMFA who has sub-brokers

On appropriate letterhead of corporate body

AMFI Registration Number (ARN): _____

Date: _____

From: _____

* Landline: _____

* Mobile: _____

* Email: _____

The Registrar and Transfer Agent of Mutual Funds

(Please tick as applicable)

CAMS

Karvy CPL

UTI TSL

Franklin Templeton

Deutsche ISPL

Sub: Declaration of Self-Certification (DSC): Period _____ / Financial Year _____

"This is to certify that, in the course of my/our business in the distribution of mutual fund products during the period/ financial year ended March 31, _____. I/we have adhered to the Code of Conduct contained in SEBI circular no. MFD/CIR/06/210/2002 dated June 26, 2002 and to the requirements as prescribed in SEBI's subsequent circular no. MFD/CIR/20/23230/2002 dated November 28, 2002 and the AMFI circular no: CIR/ARN-09/08-09 dated July 18, 2008 in this regard.

We further certify that we have AMFI certified ARMFA empanelled with us acting as sub-brokers for distribution of mutual funds and that they have in turn met all certification requirements in terms of the above mentioned circulars from SEBI. We confirm that the necessary DSC for the financial year as above has been submitted by them to us"

In compliance with SEBI Circular no. SEBI/ IMD/CIR/No.4/168230/09 dated June 30, 2009, I/ we have disclosed to investors all the commissions (in the form of trail commission or any other mode) payable to me /us for the different competing schemes of various mutual funds from amongst which the scheme was recommended to our investors.

Kindly update this DSC on your records and with all the Fund Houses where we are empanelled.

For _____ (firm name)

Authorised Signatory (ies)

* Information of principal contact desirable for all important communication to be disseminated efficiently

Form No. C

Format for Declaration of Self Certification for the ARMFA who is an individual/karta of HUF

On appropriate letterhead (if available)

AMFI Registration Number (ARN): _____

Date: _____

From: _____

* Landline: _____

* Mobile: _____

* Email: _____

The Registrar and Transfer Agent of Mutual Funds

(Please tick as applicable)

CAMS

Karvy CPL

UTI TSL

Franklin Templeton

Deutsche ISPL

Sub: Declaration of Self-Certification (DSC): Period _____ / Financial Year _____

"This is to certify that, in the course of my/our business in the distribution of mutual fund products during the period/ financial year ended March 31____. I/we have adhered to the Code of Conduct contained in SEBI circular no. MFD/CIR/06/210/2002 dated June 26, 2002 and to the requirements as prescribed in SEBI's subsequent circular no. MFD/CIR/20/23230/2002 dated November 28, 2002 and the AMFI circular no. CIR/ARN-09/08-09 dated July 18, 2008 has been adhered to."

In compliance with SEBI Circular no. SEBI/IMD/CIR/No.4/168230/09 dated June 30, 2009, I/ we have disclosed to investors all the commissions (in the form of trail commission or any other mode) payable to me /us for the different competing schemes of various mutual funds from amongst which the scheme was recommended to our investors.

Kindly update this DSC on your records and with all the Fund Houses where we are empanelled.

For _____ (firm name)

Authorised Signatory (ies)

* Information is desirable for all important communication to be disseminated efficiently

