

# REGISTERED INVESTMENT ADVISOR (RIA) REGISTRATION FORM



SEBI RIA Registration No

PAN

Valid From  To

RIA Name

Category: Individual  Company  Body Corporate  LLP  Others(specify)

Contact Person 1

PAN

Contact Person 2

PAN

Address:   
(As per SEBI records)

City:

State:

Pin:

Tel:

Fax:

Mobile:

email ID:   
(As per SEBI records)

**DECLARATION:**

I/We hereby declare, that the information furnished here is complete and correct in all respects. I/We undertake to abide by (a) such guidelines, code of conduct and other circulars etc. issued by SEBI and /or AMFI that may be applicable to me/us, and conditions stated overleaf as amended from time to time. I/We further confirm that I/We (including our director/employees/officer/partners) am/are not an employee of any Asset Management Company [AMC] nor a relative of any Director/Employee of the AMC / Sponsor or any of its associates [hereinafter referred as Related Person], apart from the ones mentioned below:

I/We also undertake to keep you informed in writing about any changes / modification to the above information in future and also undertake to provide any other additional information as may be required at your end.

I/We agree to keep the information received as part of this service, confidential and will not disclose the same to Public or any third party. I/We confirm that I/We will abide by the code of conduct defined under SEBI RIA Regulations, 2013 and amended from time to time and I/We am/are also aware that advisory charges shall be collected directly from the investor or as mutually agreed & not expected from Mutual Fund/AMC or its associates in any manner.

I/We have gone through declaration/undertaking/confirmation available as a part of this form and will abide by the same.

I/We acknowledge & confirm that the information provided above is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/We may liable for it and KFPL/AMCs shall be entitled to take any appropriate action as it may deem fit against me/us.

Date:  /  /

Place:

**Annexure:**

1. Self- attested SEBI RIA Registration Certificate
2. Self-attested documents
3. Self-attested Authorized Signatory List in case of Non-Individuals

SIGNATURE

Authorized Signatory/ies with seal

## Declaration / Undertaking / Confirmation

With reference to empaneling me / us as an Investment Adviser with Karvy Fintech Pvt. Ltd. (KFPL) serviced Asset Management Company/(s) of Mutual Fund(s) (AMCs), I / We hereby declare, undertake and confirm that:

1. I/We agree and undertake to be responsible for ensuring that such certificate of registration continues to remain valid during my/our association with KFPL/AMCs. I/We agree and undertake to adhere to the qualification and certification requirement as per Regulations. I/We confirm that I/we have and shall abide by all the provisions as contained in the Regulations and its amendments/circulars issued from time to time.
2. I/We agree and acknowledge that no remuneration, brokerage, commission, incentive or any consideration by whatever name called shall be paid by KFPL/AMCs to me/us with regard to this empanelment.
3. My/Our empanelment shall be subject to any guidelines, notifications, regulations etc. that may be framed or issued by KFPL, AMCs, SEBI or any other regulatory authority.
4. I/We confirm that I/we are not in breach of any of the rules, regulations and bye-laws issued by SEBI or any other laws governing advisory services. I/We further undertake that no disciplinary action or other proceeding has been initiated on me/us by SEBI or any other regulatory authority. In event of my/our receiving any such notification, I / we will communicate the same to you in writing within 24 hours of receipt of such notification. Further, I/we also confirm that there does not exist any material adverse orders/judgments/strictures assessed by any regulatory, government or public authority or agency or any law enforcing agency nor any material enquiry of whatsoever nature instituted or pending against us as on given date.
5. I/We agree / confirm to indemnify and keep indemnified KFPL/ AMCs and all their directors and employees against any claims, demands, actions, liabilities, penalties, losses, damages, costs, expenses and/or proceedings initiated by any person/entity in connection with transactions or any other action of me/us and/or my/our clients routed through me /us and obligation that may be incurred on account of default, omission or commission or gross negligence or willful misconduct during the course of this undertaking or breach of any of the conditions mentioned hereinabove. I/We undertake and confirm to resolve the grievances of investors without delay.
6. I / We shall take all reasonable precaution to protect the interest of KFPL/AMCs at all times. I / We shall perform my / our duties with the highest standards of integrity and fairness and shall act with due skill, care and diligence, in an ethical manner in all my / our dealing with the KFPL/AMCs. I/We shall not use any malpractice and/or unethical means while carrying out my/our activities or induce any investor to undertake any transaction. I/We shall not take up any activities which are deemed to be in conflict with the interest of the KFPL/AMCs.
7. I/We hereby confirm that the investments by my/our clients shall be only in Direct Plans and not in Regular Plans. I /We hereby confirm that ARN code and RIA code are mutually exclusive and hence transactions routed through me/us shall not carry any other ARN/Broker Code including Sub Broker ARN/Sub Broker Code. In the event of both ARN code and RIA code existing, ARN code shall be considered for the transaction ignoring the RIA code, provided investor selected Non-Direct scheme. In case of Direct Plan selection, ARN code shall be ignored, as per current practice.
8. I/We shall receive mail back reports only in respect of the transactions wherein transactions are submitted by my /our clients under Direct Plan and RIA code allotted to me/us by SEBI is mentioned on transactions. I/We understand that such reports from KFPL shall be provided through Karvymfs – RIA login based services. I/We further undertake and confirm that the reports shall be kept by me/us confidential.
9. I/We shall neither use nor display the name, logo, mark or any intellectual property of KFPL/AMCs (or any other things identical thereto) in any manner whatsoever, except if permitted by KFPL/AMCs in clear documented form.
10. I/We hereby agree that KFPL/AMCs shall have a right to call from me/us such information or statistics which I/we shall be bound to furnish.
11. KFPL/AMCs reserve the right to terminate my/our empanelment as an Investment Advisor without assigning any reason thereto. I/We understand and agree that my/our empanelment does not empower me/us to claim business as matter of right from KFPL/AMCs.
12. I/We understand and agree that KFPL/AMCs shall have the right to amend, modify or add any further conditions by written notification of the same.
13. I/We acknowledge & confirm that the information provided above is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/We am/are responsible for it and KFPL/AMCs shall be entitled to take any appropriate action as it may deem fit against me/us.
14. I/We acknowledge, undertake and understand that by virtue this registration, the relationship between RIA and KFPL/AMCs shall never be construed as employer and employee or Master and Servant.
15. I/We understand and agree that the courts at Hyderabad shall have the exclusive jurisdiction in case of any legal action touching the above presents.
16. I/We hereby agree that in case of any dispute arising at any time between me/us and KFPL/AMCs, the same shall be referred to an arbitrator, to be appointed by KFPL/AMCs and me/us jointly. The venue of the arbitrator shall be Hyderabad.

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NAME

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SIGNATURE