

ANNEXURE C

LETTER OF UNDERTAKING FOR COMPLETING EUIN MAPPING SUBSEQUENTLY

(To be submitted by a non-individual ARN applicant)

Date: _____

To,

Association of Mutual Funds in India

C-701 Naman Corporate Link,
Plot Nos. C-31 / C-32, G Block,
Bandra Kurla Complex,
Bandra – East,
Mumbai – 400 051

Dear sirs,

Letter of undertaking for Completing EUIN mapping subsequently

We, M/s. _____
(Name of the ARN applicant):

having PAN: _____ would like to apply for AMFI Registration Number (ARN).

We are aware that for obtaining the ARN, we need to compulsorily submit an application for grant of EUIN and/or request EUIN-mapping of at least one employee who holds a valid NISM certificate for having cleared NISM-Series-V-A: Mutual Fund Distributors Certification Examination, along with the application for ARN.

As it will take us some time to hire suitable sales personnel having the aforesaid NISM certification, we request AMFI to complete the EUIN registration /EUIN mapping subsequently but within 6 months from the date of our application for ARN, and grant us the ARN provisionally, subject to our complying with EUIN registration /EUIN mapping within the aforesaid time limit, in terms of AMFI guidelines.

In this regard, we are fully aware and agree that –

- (i) Our company / firm will not be eligible to do any mutual fund distribution business under the provisional ARN, until and unless the company/firm complies with EUIN registration /EUIN mapping of at least one employee holding valid NISM certificate.
- (ii) If any investments / purchase transactions are submitted / booked under our provisional ARN before our completing the EUIN mapping, such transaction/s shall be processed by the AMC/RTA under Direct Plan and *there will be no recourse to any appeal in this regard.*
- (iii) In the event of our not completing the EUIN registration/ EUIN mapping of at least one employee holding valid NISM certificate within the stipulated time limit, the ARN allotted to our entity/firm provisionally will be cancelled and the ARN registration fees paid by us shall be forfeited.

Thanking you,

For, <<name of the entity / firm>>

(Signature with Name /Designation of the authorised signatory with company /LLP Seal)

Checklist of Documents to be submitted:

- 1) Corporate ARN Application form duly completed along with applicable registration fees and supporting documents specified on AMFI Website at :
<https://www.amfiindia.com/Themes/Theme1/downloads/ARN-EUIN-RegistrationFeeStructure.pdf>.
- 2) Copy of the PAN card of the entity
- 3) Copy of certificate of registration of the new entity issued by ROC.
- 4) KYD* application form (for non-individuals) along with self-attested photocopies of relevant documents as mentioned at <https://www.amfiindia.com/distributor-corner/know-your-distributor-kyd-guidelines>

*KYD process involves bio-metric process of taking impression of right-hand index finger and registering the same for identification purpose. The said process will be carried out at the CAMS POS, at the time of submission of applications for registration.