

Registered Investment Advisor [RIA] - Process

Recommended process for RIA Registration:

- ✓ RIA should submit the RIA Registration form duly filled and signed along with the following supporting documents
 - Duly self-attested SEBI registration certificate;
 - Duly Self-attested PAN;
 - Self-certified Authorized Signatory List in case of Non-Individuals.
 - Copy of ROC Registration Certificate.
- ✓ Address, other contact details should be as per SEBI records

Registered Investment Advisor [RIA] Registration Form

SEBI RIA Registration No.

PAN No. of RIA

RIA Name

Category (Please ✓) Individual Company Body Corporate LLP Others

Contact Person 1

Contact Person 2

Address [as per SEBI records]

City Pincode

Telephone

Fax

Mobile Number

Email ID [as per SEBI records]

**Undertaking from SEBI registered Investment Advisors
for receiving Direct Plan investor data feed from IDFC Mutual Fund**

1. _____ (hereinafter referred to as the "RIA") is registered with the Securities and Exchange Board of India ("SEBI") as an Investment Advisor under SEBI (Investment Advisers) Regulations, 2013 ("IA Regulations") vide registration no. _____ dated _____, pursuant to which it provides advisory services to its clients ("advisory clients").
2. 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.
3. RIA confirms that it offers transaction execution services to its Advisory clients, who wish to transact in the Direct plans of the schemes of IDFC Mutual Fund without involving an AMFI registered mutual fund distributor.
4. RIA confirms that it has segregated its advisory services from other activities as required under the IA Regulations and shall abide by the provisions of the IA Regulations, more particularly with regulations 7, 13 and Chapter III (regulations 15 to 22) of the Regulations:
 - a) RIA Confirms it shall ensure that only transactions from its Advisory Clients will be submitted to IDFC AMC under the Direct Plan and transaction received from no other mode or person will be routed under the Direct Plan;
 - b) RIA agrees to promptly provide to IDFC AMC a copy of the consent provided by the Advisory Client as and when requested by IDFC AMC / its Registrar and Transfer Agent (CAMS);
 - c) RIA agrees that the reverse feeds will be used only for the purpose of consolidation / aggregation of transactions of its Advisory Clients and providing investment advice and various reports to the Advisory Clients from time to time with respect to transactions done through the RIA's platform;
 - d) RIA confirms that it has robust IT security and controls in place to protect the Advisory Clients confidentiality including controls as required under IT (Reasonable Security Practices & Procedures and sensitive personal data of information) Rules, 2011 as amended from time to time.
 - e) RIA agrees to keep IDFC AMC, IDFC AMC Trustee Company Limited, their respective officers, directors, employees and agents indemnified and hold them harmless from and against any action, proceedings, claims, liabilities, penalties, demands and costs, initiated due to negligence or due to a breach or non performance of any of the aforesaid terms/ conditions and its employees, agents and representatives or due to any action taken by the clients (including breach of confidentiality requirements between the RIA and its Advisory clients) and / or the regulator as a result of AMC sharing reverse feeds with respect to transactions of its Advisory clients which are routed through the RIA's platform.
 - f) RIA agrees that IDFC AMC shall not be liable for any failure to perform any of its obligations under this arrangement if the performance is prevented, hindered or delayed by a force majeure event or any event due to any cause beyond the reasonable control of IDFC AMC including, without limitation, unavailability of any communication system including Internet, breach or virus in the processes or payment mechanism, sabotage, fire, flood, explosion, acts of God, civil commotion, strikes or industrial action of any kind, riots, insurrection, war, acts of government, computer hacking, unauthorized access to computer data and storage devices, computer crashes, breach of security and encryption codes.

5. The RIA further confirms that [applicable only for transactions routed through online transaction platform (if any) offered by the RIA]:
- a) RIA confirms it shall ensure that no transactions other than for its own Resident and Non-Resident Indian Clients (including Persons of Indian Origin / PIO but not Foreign Portfolio Investors) will be routed through the online platform;
 - b) RIA is fully and properly authorized by its Advisory Clients to execute transactions routed through the RIA's online platform, including but not limited to placing subscription, redemption and switching and to share with the RIA information pertaining to the investments of the Advisory Client;
 - c) RIA confirms it shall ensure that transactions of its Advisory Clients reported through its online platform shall be direct transactions not routed through or involving any mutual fund distributor at all times and hence shall not entitle the RIA to any commissions, incentives or other form of payments. The RIA specifically undertakes that it shall not seek any monetary incentives either directly or indirectly in respect of these direct transactions.
 - d) RIA confirms and agrees that it shall obtain all Customer Related Information and documentation in terms of Anti Money Laundering Standard (AML) / Combating Financing of Terrorism (CFT) /Taxation Laws, including account opening forms, signature specimens, Power of Attorney, Know Your Client(KYC) data, tax residency status and submit the same to IDFC AMC/its Registrar. The RIA also agrees that it shall adhere to applicable regulations/operational guidelines issued by SEBI/AMFI/AMC/Regulatory Authority(ies) from time to time in this connection.
 - e) RIA confirms that it has requisite and robust system in place to ensure that the funds remitted towards subscription to the units of the Scheme of the Mutual Fund, is made from the Bank Account of the First Unit holder/applicant is one of the Bank Account holder. No third party payments will be permitted and if IDFC AMC becomes aware of the same, the said transaction shall be at the discretion of IDFC AMC subject to rejection.
 - f) RIA agrees that for the transactions received through the online mode from its Advisory Clients, shall be subject to provisions prescribed by SEBI with respect to applicability of NAV, processing of transactions etc.
 - g) RIA confirms that only Non-commercial request for change in plan/option of the scheme as requested by the Advisory Clients will be submitted through online mode. All other non commercial requests have to be sent in physical mode to IDFC AMC/its Registrar.

For _____
Signature (with seal / rubber stamp)

Name :

Designation :

Place :

Date :