

# Empanelment Form



Kataria Group | partners  
wealth

Registered Address: Kataria Group 68 MusaddiPura, Sati Marg Ujjain (M.P.) India.  
Corporate Site: www.katariaweb.com | Business Associate Site: Kataria Group (katariaweb.com)

(Attach Recent  
Passport Size  
Photograph Here)

## Business Associate Empanelment Form for Distribution Business

### Personal Details

Name of Business Associate																			
Communication Address																			
City:		Pin Code:		State:															
Off:		Res:		Mobile:		Email:													
Permanent Address																			
City:		Pin Code:		State:															
(If correspondence address is different from permanent address provide address proof for both.)																			
Contact Person Name:																			
Contact No:		Off:		Res:		Mobile:													
Status of Applicant:		Individual <input type="checkbox"/>	Sole Prop <input type="checkbox"/>	Partnership <input type="checkbox"/>	Corporate <input type="checkbox"/>	HUF <input type="checkbox"/>													
Any other (Please specify)																			
Birth/Incorporation Date:		D	D	M	M	Y	Y	Y	Y	*PAN No (Mandatory):									
(*Attach a copy of PAN Card. If PAN applied for, please attach photocopy of duly acknowledge form 49A)																			
Aadhar Number																			
(Mandatory for Individuals)																			
GST Registration No																			
Product Interested		Mutual Funds <input type="checkbox"/>	Public Issues <input type="checkbox"/>	Loans & Mortgages <input type="checkbox"/>	Fixed Deposit <input type="checkbox"/>	Others <input type="checkbox"/>													
Are You AMFI Certified:		Yes <input type="checkbox"/>	No <input type="checkbox"/>																
*If yes, specify ARN No:								(Attach photocopy of ARN Card)											
Date of Registration:		D	D	M	M	Y	Y	Y	Y	Date of Expiry:		D	D	M	M	Y	Y	Y	Y
- Signing or accepting the terms & conditions for relationship with the respective company, will entitle you to procure business under that company.																			
Business Profile:		Full Time: <input type="checkbox"/>		Part Time: <input type="checkbox"/>															
References:		Name:																	
		Address:																	
Contact No:		Off:		Res:		Mobile:													
Name of the Nominee	Relationship with the Business Associate	Date of Birth	Address	Aadhar / PAN Details	Name of the Guardian (If Minor)	Address of the Guardian	Aadhar/PAN Details of the Guardian												
1																			

I/We hereby confirm that the above information is true, accurate and correct to the best of my/our knowledge and belief & I/we undertake to inform you in writing of any changes therein immediately upon the occurrence of such change. In case any of the above information is found to be false, untrue, misleading or misrepresenting I/we am/are aware that I/we may be held liable for it and you have a right to initiate appropriate legal or other action against me/us.

(Signature of Applicant)  
(Stamp for Sole Prop. / Partnership / Corporate / HUF)

Branch Name:	Town/Cluster Date:	Town/Cluster Name:
	Accepted on:	
	R.M. Name:	Forms sent to H.O. on:
	R.M. Signature:	
Head Office Use:	Code Allotted:	Entered On:
	Authorised Signatory:	

## Direct Credit Declaration Mandate

Date: _____		
Reference - Business Associate Code: _____		
Name of Business Associate Mr/Ms:		
City:	Pin Code:	State:

To,

Kataria Group

- I/We hereby agree to avail the facility of receiving the commission / Incentive/ fees directly in my/our bank account through appropriate payment mechanisms as decided by kataria Group. I/We hereby agree, declare and confirm that all the information and particulars provided by me/us herein above are true and correct. Kataria Group will not be responsible or and held liable for any incorrect / false information provided by me/us from time to time in its sole discretion. In case any of the above information is found to be false, untrue, misleading or misrepresenting I/we am aware that I/We may be held liable for it and you have a right to initiate appropriate legal or other action against me/us.
- The above said facility will be allowed / provided at the sole discretion of kataria Group.
- Please note my/our bank account details and IFSC code and other details as below:

Name of Account holder:																																						
Bank Account No.:																																						
Bank Account Type (Tick):	Savings Bank <input type="checkbox"/>												Current A/C <input type="checkbox"/>																									
Bank Name																																						
Branch Address																																						
IFSC Code #													X X																									
MICR Code #													X X																									
Mobile No * (Write Mobile No. without prefixing 0)	+	9	1																							X X												
Mobile No Registered on the name of -																																						
Email ID ** (Write only one Email ID)																																						

- I/We hereby indemnify and hold harmless kataria Group, subsidiaries and associated companies and its officers, directors, employees, representatives, agents, and assigns from and against any and all liabilities, claims, demands, actions, or any other loss, cost or expense of whatsoever nature that may occur to kataria Group, subsidiaries and associated companies and its officers, directors, employees, representatives, agents, and assigns as a result of any incorrect / false information provided by me/us in this Form or otherwise.
- As required by Kataria Group, the below documents have been attached/provided by us.

**For Individual:**

- PAN Card Copy • Aadhar Card • Address Proof • Cancelled cheque copy (Bank Passbook– in case name not printed on cheque)

**For Partnership Firm / Body Corporate:**

- Company PAN Card • Company Address Proof • Board Resolution • List of Authority Signatory • Certificate of Incorporation
- Cancelled Cheque Copy • Memorandum & Articles of Association / Partnership Deed / Partner / Director KYC

[Note: Non-Individuals (e.g. Corporate, Firm, Trust etc.) should submit the declaration on their letterheads]

\* It will not be possible to activate Direct Credit if IFSC code is not mentioned.

\*For intimation of credit of brokerage to account as well as important product related information.

\*\* For intimation of detailed brokerage statement through Email. Email facility available only on request.

Statement will be uploaded on Kataria Group website for which user id and password will be provided.

To,

**Kataria Group**, Kataria Group 68 MusaddiPura, Sati Marg Ujjain (M.P.) India.

I/We hereby agree to receive brokerage/ incentives payment from Kataria Group in my/our bank account mentioned in Direct Credit Declaration (Page no.2). I/We hereby agree, declare and confirm that all the information and particulars provided by me/us herein above are true and correct Kataria Group will not be responsible for any incorrect / false information provided by me/us.

Thanking you,

Name: \_\_\_\_\_

Signature of Business Associate / Authorized Signatory (ies)

## Kataria Group

Registered Address: Kataria Group 68 MusaddiPura, Sati Marg Ujjain (M.P.) India.

### Terms & Conditions

As a Business Associate of Kataria Group I/We hereby agree/undertake to abide by the following terms and conditions set forth by Kataria Group hereunder: ("Terms and Conditions"). It is hereby clarified that references to business associate agreement shall be applicable only in cases where such agreement has signed between the Business Associate and Kataria Group.

**Definition: Products** - Marketing/distribution of products as may be provided/specified/intimated in writing by Kataria Group from time to time and more particularly set out in the respective agreements executed/to be executed between the Business Associate and Kataria Group.

**Business Associate and Kataria Group** - This relationship between Business Associate and Kataria Group is governed on principal to principal basis.

- The Terms and Conditions and Code of Conduct for empanelment as a Business Associate set out below may be amended/modified by Kataria Group at its sole and absolute discretion from time to time. Kataria Group reserves the right in its sole and absolute discretion to vary/modify all or any of the Terms and Conditions and/or Code of Conduct set out herein below (including but not limited to cancellation/deletion /addition and/or substitution of new terms). While Kataria Group will use reasonable efforts to notify you of such changes in advance, the revised terms will apply from the date of notification by Kataria Group on the website, whether or not you have received individual notice of such change(s).
- Business Associate's engagement with Kataria Group is for the limited purpose of marketing/distribution of the Products and obtaining orders from the prospective clients/investors interested to subscribe for the Products and as may be set out in the respective agreements executed between Kataria Group and Business Associate. .
- Business Associate is neither the agent of Kataria Group nor of the issuers / underwriters / other intermediaries (collectively "Issuer" originating or issuing or involved in the origination / issue / sale of the product(s)). Business Associate have no authority to make any representation for or on behalf of Kataria Group or any Issuer and are prohibited from making any representation or entering into any engagement or commitment for or in the name of or on behalf of Kataria Group and/or any of the Issuers without obtaining prior written consent of Kataria Group. Kataria Group will not accept from you nor be liable for any representation / engagement / commitment that Business Associate may make in relation to any Products on behalf of Kataria Group without obtaining express prior written consent of Kataria Group.
- While marketing any Products, Business Associate is required to make clear to the potential clients / investors that no agency relationship exists between the Business Associate and Kataria Group /the Issuer.
- Business Associate 's engagement is expressly limited to marketing/distribution of Products in strict compliance with relative terms of the offer document/this Form, the business associate agreement and Product marketing material as may be provided by Kataria Group from time to time as an independent third party distributor. In the course of such authority and while performing your obligations, Business Associate may contact such potential clients/investors as it may deem appropriate who may be interested in buying the Product/s Business Associate will arrange to provide all necessary documents in relation to the clients' / investors' application as below and as set out in the respective agreements executed/to be executed between the Business Associate and Kataria Group:
- Know Your Customer (KYC) and PMLA guidelines as per the guidelines issued and amended from time to time by the applicable regulatory bodies/authorities;
- Ensuring that all applications are duly filled in and completed and accompanied by requisite supporting papers including KYC related documents;
- Collecting completed applications with relevant payments and delivering or causing to be delivered/hand over the same to the authorised representative at the Kataria Group office/s/branch and till such time the said documents/applications shall be retained in the custody of Business Associate in their capacity as trustees for and on behalf Kataria Group. The responsibility and liability solely lies on the Business Associate for any loss or damage to the document in transit. Kataria Group will be responsible for only completed applications as are properly received by Kataria Group to its satisfaction. Therefore, wherever the Business Associate considers it appropriate, it needs to obtain and maintain at its sole cost and expense, suitable transit and loss insurance cover.
- All applications procured by the Business Associate should be routed through Kataria Group offices/branches.
- The Business Associate Fee will be paid only after the commission / fees is received from relevant issuers and as per the relevant procurements statements that are received from the Registrars. Advance payment, if any, will be communicated to you separately and will be strictly at the sole discretion of Kataria Group.
- Payments will be made only as per the details provided by RTA (Register and Transfer Agents) and applicable financial product manufacturer(s) or owner(s). Relevant taxes will be deducted as per the applicable regulatory standards/applicable laws. If there are any changes, the same should be communicated to Kataria Group at the earliest to avoid cancellation of cheques. In case of Demand Dratis ("DD"), the Business Associate Fees will be paid net of DD charges.
- Business Associate Fee rates are subject to change with or without any prior notice in the sole discretion of Kataria Group.
- Kataria Group reserves the right to revoke the appointment of the Business Associate at any time whatsoever without prior notice and without assigning any reasons for such revocation and Kataria Group shall not be liable to the Business Associate on any account whatsoever for such revocation. The only obligation of Kataria Group shall be to pay to the Business Associate the outstanding Business Associate Fees in respect of applications received by Kataria Group through it upto the date of such revocation. Payment will be made at times customarily determined by Kataria Group. However, where payment is dependent on Kataria Group first receiving payment from any Issuer, payment to the Business Associate will be made within 30 days atier Kataria Group has received payment from such Issuer.
- Business Associate is not authorized to procure business for Kataria Group stock broking activity and it is clarified that it is not a Business Associate of Kataria Group within the meaning of the SEBI (Stock Brokers & Business Associate) Regulations, 1992. Business Associate shall only be responsible for legally permissible selling, distribution and advertising of the Products in which the Business Associate has expressed an interest in this Form and business associate agreement.
- This empanelment is personal to the Business Associate and it shall not be entitled to assign or otherwise transfer the benefit of empanelment without obtaining prior written consent of Kataria Group. The obligations of the Business Associate arising from the empanelment cannot be transferred without obtaining prior written consent of Kataria Group and the Business Associate shall continue to be liable to Kataria Group not withstanding any purported assignment or transfer of obligations.
- Business Associate will accept only account payee cheque/s along with duly signed application form/s with the requisite KYC formalities from the client / investors. Business Associate undertakes to ensure that all the documents are properly acknowledged along the application form/s. Business Associate undertakes to not deal in cash with any of the clients /investor.
- Business Associate will submit all the applications & valid cheques to Kataria Group before the stipulated cut off time for various I Products as may be decided and intimated by Kataria Group from time to time.
- Each Business Associate code performance will be treated separately, even if you have a series of codes.
- Business Associate will reject the application form/s of any potential clients/investors, if it reasonably believes that the potential client/investor is not a genuine investor and/or is not fulfilling the criteria the requisite KYC norms.
- Business Associate undertakes to execute such documents as may be required by Kataria Group from time to time to ensure necessary and appropriate compliance with applicable legal, regulatory, and other requirements.
- Business Associate undertakes to comply with the regulations, rules and byelaws issued by relevant regulators from time to time and further undertake to abide by all operational requirements, which Kataria Group may specify from time to time.
- Subject to the arbitration mechanism provided in the business associate agreements, these Terms and Conditions and the Code of Conduct set out herein in this Form will be governed by and construed in accordance with Indian law and courts at Mumbai will have exclusive jurisdiction for any disputes between the Business Associate and Kataria Group arising out of or in connection with this Form.
- Kataria Group has the right to do inspection of books of accounts and data of Business associate with regard to distribution carried out on behalf of Kataria Group Business associate is required to provide the complete or correct information or data in 2 days, if the same is required by the issuer / auditor / Regulator / Kataria Group.
- Business Associate should ensure PMS Distribution activity is carried out by certified NISM person as defined in the applicable SEBI PMS guidelines for distribution.
- I accept the above-mentioned Terms and Conditions.

Name: \_\_\_\_\_

Signature of Business Associate / Authorized Signatory (ies)  
(Stamp for Sole Prop. / Partnership / Corporate / HUF)

## Kataria Group

Registered Address: Kataria Group 68 MusaddiPura, Sati Marg Ujjain (M.P.) India.

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- Business Associate's engagement with Kataria Group is for the limited purpose of marketing/distribution of the Products and obtaining orders from the prospective clients/investors interested to subscribe for the Products and as may be set out in the respective agreements executed between Kataria Group and Business Associate. .
- Business Associate is neither the agent of Kataria Group nor of the issuers / underwriters / other intermediaries (collectively "Issuer" originating or issuing or involved in the origination / issue / sale of the product(s). Business Associate have no authority to make any representation for or on behalf of Kataria Group or any Issuer and are prohibited from making any representation or entering into any engagement or commitment for or in the name of or on behalf of Kataria Group and/or any of the Issuers without obtaining prior written consent of Kataria Group. Kataria Group will not accept from you nor be liable for any representation / engagement / commitment that Business Associate may make in relation to any Products on behalf of Kataria Group without obtaining express prior written consent of Kataria Group.
- While marketing any Products, Business Associate is required to make clear to the potential clients / investors that no agency relationship exists between the Business Associate and Kataria Group /the Issuer.
- Business Associate 's engagement is expressly limited to marketing/distribution of Products in strict compliance with relative terms of the offer document/this Form, the business associate agreement and Product marketing material as may be provided by Kataria Group from time to time as an independent third party distributor. In the course of such authority and while performing your obligations, Business Associate may contact such potential clients/investors as it may deem appropriate who may be interested in buying the Product/s Business Associate will arrange to provide all necessary documents in relation to the clients' / investors' application as below and as set out in the respective agreements executed/to be executed between the Business Associate and Kataria Group:
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- Ensuring that all applications are duly filled in and completed and accompanied by requisite supporting papers including KYC related documents;
- Collecting completed applications with relevant payments and delivering or causing to be delivered/hand over the same to the authorised representative at the Kataria Group office/s/branch and till such time the said documents/applications shall be retained in the custody of Business Associate in their capacity as trustees for and on behalf Kataria Group. The responsibility and liability solely lies on the Business Associate for any loss or damage to the document in transit. Kataria Group will be responsible for only completed applications as are properly received by Kataria Group to its satisfaction. Therefore, wherever the Business Associate considers it appropriate, it needs to obtain and maintain at its sole cost and expense, suitable transit and loss insurance cover.
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- Each Business Associate code performance will be treated separately, even if you have a series of codes.
- Business Associate will reject the application form/s of any potential clients/investors, if it reasonably believes that the potential client/investor is not a genuine investor and/or is not fulfilling the criteria the requisite KYC norms.
- Business Associate undertakes to execute such documents as may be required by Kataria Group from time to time to ensure necessary and appropriate compliance with applicable legal, regulatory, and other requirements.
- Business Associate undertakes to comply with the regulations, rules and byelaws issued by relevant regulators from time to time and further undertake to abide by all operational requirements, which Kataria Group may specify from time to time.
- Subject to the arbitration mechanism provided in the business associate agreements, these Terms and Conditions and the Code of Conduct set out herein in this Form will be governed by and construed in accordance with Indian law and courts at Mumbai will have exclusive jurisdiction for any disputes between the Business Associate and Kataria Group arising out of or in connection with this Form.
- Kataria Group has the right to do inspection of books of accounts and data of Business associate with regard to distribution carried out on behalf of Kataria Group Business associate is required to provide the complete or correct information or data in 2 days, if the same is required by the issuer / auditor / Regulator / Kataria Group.
- Business Associate should ensure PMS Distribution activity is carried out by certified NISM person as defined in the applicable SEBI PMS guidelines for distribution.
- I accept the above-mentioned Terms and Conditions.

Name: \_\_\_\_\_

Code: \_\_\_\_\_

Signature of Business Associate / Authorized Signatory (ies)  
(Stamp for Sole Prop. / Partnership / Corporate / HUF)

## Code of Conduct

As a Business Associate, I/We hereby represent and warrant that we shall abide by the following code of conduct ("Code of Conduct") in performance of our obligations:

- I/We will focus on best investment services towards the prospective clients/investors and in their best interests.
- I/We shall fully indemnify, defend, hold harmless and keep indemnified Kataria Group against any losses, liabilities, and damages expenses, demands, lawsuits, fines, penalties, court costs and reasonable attorney fees including claims from a third party to the extent resulting from or arising by reason of my / our negligent acts and / or commissions, omission or wilful misconduct.
- I/We will take necessary steps to ensure that the interest of prospective clients / investors is always protected.
- I/We will be fully conversant with key provisions of the offer documents as well as the operational requirements of various Products.
- I/We will provide full, accurate and latest information of Products which I/We will be offering to the Clients / investors in the form of offer document, performance, reports, fact sheets, portfolio disclosures, brochures and recommend products, which are appropriate to the clients/investors' needs and as per risk profiling of the client.
- I/We will promote good practices and ensure good practices in dealing with prospective clients/investors.
- I/We will strengthen mechanisms for redressal of clients/investors grievances.
- I/We will not make any exaggerated statement and inconsistent with materials/documents provided by Kataria Group in this regard regarding performance of any Product.
- I/We will avoid colluding with investors in faulty business practices such as bouncing cheques, wrong claiming of dividends, redemptions, cheques etc.
- I/We will avoid commission driven malpractices.
- I/We will not rebate commission back to investors and avoid attracting investors through temptation of gifts etc.
- I/We will not promise or guarantee about the returns to the client
- I/We will not indulge into any kind of misselling and fraudulent activities
- I/We will ensure Risk profiling is done at the time of introducing client along with updation on yearly basis and same will be communicated to the clients.
- I/We have read the Code of Conduct and I/We accept the same and undertake to adhere to the same. I/We agree that any failure to abide by the same will render us liable to legal or other action by Kataria Group including but not limited to immediate revocation of my / our appointment as Business Associate of Kataria Group. Failure by Kataria Group to take immediate action against me for any breach of my obligations as a Business Associate will not be deemed a waiver of Kataria Group's right to initiate such action.

Name: \_\_\_\_\_

Signature of Business Associate / Authorized Signatory (ies)  
(Stamp for Sole Prop. / Partnership / Corporate / HUF)

## Products Offerings



MUTUAL FUNDS



LOANS & MORTGAGES



PUBLIC ISSUES




CORPORATE FDS



54 EC BONDS



PMS & STRUCTURED PRODUCTS


 App available for clients as well



Registered Address: Kataria Group 68 MusaddiPura, Sati Marg Ujjain (M.P.) India.

Corporate Site: [katariaweb.com](http://katariaweb.com)

For more information, reach us on

 0734-4010001

 [katariamailbox@rediffmail.com](mailto:katariamailbox@rediffmail.com)

 [katariaweb.com](http://katariaweb.com)

[www.katariaweb.com](http://www.katariaweb.com)