AMFI

ASSOCIATION OF MUTUAL FUNDS IN INDIA

18-Mar-2019

R K INVESTMENT FINANCIAL SERVICES
5/1514/3, FF-1
Sec-5, Vasundhara
Ghaziabad
Ghaziabad – 201012

Mobile: +919911838154

Dear Sir/Madam,

Sub : AMFI Registration and Issuance of AMFI Registration Number (ARN)

With reference to your application for AMFI Registration, we are pleased to inform that your firm/ organization has been registered with AMFI as per details given below :

> Name: R K INVESTMENT FINANCIAL SERVICES
>
> AMFI Registration Number : ARN-160701
>
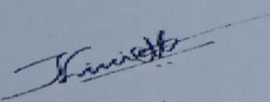> Validity period from: 05-Mar-2019 to 04-Mar-2022

Please ensure that the ARN is renewed well before expiry of validity period so as to ensure that your firm is eligible to continue to promote / distribute mutual fund products and receive commissions from the asset management companies without any break.

You are also advised to ensure that, before being engaged in selling and marketing mutual fund products, your employees have (a) passed 'NISM Series V-A : Mutual Fund Distributors Certification Examination' and (b) registered with AMFI and have obtained Employee Unique Identification Number (EUIN), under the abovementioned ARN of your firm, in compliance with the SEBI regulatory guidelines. They too are required to renew their EUIN before the expiry of validity period thereof, for which they need to either clear the 'NISM Series V-A : Mutual Fund Distributors Certification Examination' or attend the 'NISM Series V-A : MFD Continuing Professional Education (CPE) program' of NISM. Further all such employees need to mention/ print their EUIN on the mutual fund application forms for the business canvassed by the respective employees, alongside the ARN of your firm.

You are also advised to ensure strict compliance with AMFI Code of Conduct for Intermediaries of Mutual Funds, which is available on our website (www.amfiindia.com) by your organization as well as all your employees engaged in selling and promoting / distribution of mutual fund products.

With regards,
For **Association of Mutual Funds in India,**

Dy. Chief Executive