

DISTRIBUTOR EMPANELMENT FORM

Franklin Templeton Asset Management (I) Pvt. Ltd. : Indiabulls Finance Center, Tower 2, 12th and 13th Floor, Senapati Bapat Marg, Elphinstone Road (West), Mumbai 400013

KEY CONTACT DETAILS

NAME (Mr./Ms. M/s)

(Block Letters)

ADDRESS FOR COMMUNICATION

(Block Letters)

Telephone (O) - (R) -

Mobile Fax

E-Mail 1 E-Mail 2

Photograph
(only for
Individuals &
Sole Proprietor)

TAX STATUS *(Please ✓ anyone)*

INDIVIDUALS

Individuals Sole Proprietorship

NON-INDIVIDUALS

Partnership Firm Private Limited Company Public Limited Company
 Society / Trust Others _____

ADDITIONAL INFORMATION

Individuals

Date of Birth

Anniversary Date

Educational Qualification

PAN No.

EUIN No.

Domicile India Other* (please specify) _____

Non-Individuals

Date of Incorporation

Contact Person

PAN No.

EUIN No.

Country of Incorporation India Other* (please specify) _____

* Enclose duly filled Anti-Corruption Due-Diligence Questionnaire

AMFI CERTIFICATION DETAILS

Registration No. **ARN** Passed on Valid upto

NOMINATION DETAILS *(Incase of Individual/ Sole Proprietorships Firms Only.)*

I hereby nominate the person named below to receive the amounts of brokerage (including trail brokerage) to my credit in the event of my death.

Nominee's Name

Guardian's Name in case of Minor

Date of Birth *(if Minor)* Relationship

Address of Nominee / Guardian

City Pin

ID Proof of Nominee *(Optional)*: _____ Signature of Applicant

ID No. of Nominee *(Optional)*: _____

BANK DETAILS FOR BROKERAGE PAYMENT (ELECTRONIC MODE)

Bank A/c. Number

Bank Name

Branch Name

Branch Address

Pin

Bank A/c. Type Saving Current NRE NRO 9 Digit MICR Code

IFSC/NEFT Code

REGISTRATION FOR SUBSCRIPTION/ MAILBACK FACILITIES

We would like to avail various subscriptions, mailback and other services provided by Franklin Templeton Asset Management (I) Pvt. Ltd. which can be sent to us or requested by us via e-mail. We hereby direct you to send the all reports and communications to us via E-Mail to the e-mail addresses mentioned above. We understand that data through Internet is not encrypted and is not a secure means of transmission. We acknowledge and accept that email transmission method involves the risks of possible unauthorized alteration of data and / or unauthorized usage thereof for whatever purposes by any unauthorized person(s). We agree to exempt you from any and all responsibility of such misuse, and hold you harmless for any costs or losses we may incur due to any errors, delays or problems in transmission or otherwise caused by using the Internet as a means of transmission. We will keep you and the Mutual Fund indemnified against any claims our investors may make in future on account of disclosing their transaction information to us via email. We confirm having received valid authorization from investors introduced by us, to view any details pertaining to their investments and will indemnify Franklin Templeton Mutual Fund against any claims by the investors for having received information.

DECLARATION

I/We hereby declare that the information furnished is true and correct to the best of my/our knowledge and belief. I/We undertake to abide by the terms and conditions stated overleaf and the changes in Terms & Conditions from time to time relating to the empanelment of distributor. I/We am/are not an Employee or a relative of a Director/Employee of the Franklin Templeton Asset Management (India) Pvt. Ltd. (FTAMIL) and /or Franklin Templeton Trustee Services Pvt. Ltd.

Further I/ We acknowledge the receipt of the Summary sheet for Franklin Resources, Inc. Anti-Corruption Policy and have read and understood the same.

Place

Date

Signature of Applicant /
Authorised Signatory

DISTRIBUTOR UNDERTAKING

In my/our capacity of a Mutual Fund Distributor (“Distributor”) of Franklin Templeton Mutual Fund (“FTMF”) I/we do hereby undertake, confirm and represent that:

- a) I/We am/ are AMFI registered distributors with a valid ARN number.
 - b) I/We am/are AMFI/NISM certified and I/We shall engage / employ only AMFI/NISM certified professionals for selling/marketing / distributing the mutual fund units and interacting with the investors.
 - c) I/We shall always act and carry out my/our distribution business within the parameters of applicable laws, rules and regulations;
 - d) I/We shall give access to Franklin Templeton* staff to visit my/our offices and meet with my/our sales and marketing staff from time to time;
 - e) I/We shall educate our sub-distributors and investors generally about mutual funds as a financial service and create awareness about the Franklin Templeton philosophy of investment management and the mutual funds and other products and services offered by Franklin Templeton in India, among my/our sub-distributors, investors and public at large;
 - f) I/We shall represent Franklin Templeton correctly to the sub-distributors and clients; and endeavour to disseminate information about FTMF schemes along with the risks associated with investing in securities markets;
 - g) I/We shall neither guarantee any returns to the investor under any of the schemes of FTMF nor make any representations on behalf of Franklin Templeton which are not specifically authorised by Franklin Templeton in writing;
 - h) I/We shall use only the updated Statement of Additional Information, Scheme Information Documents and Key Information Memorandum & application forms along with all the addendums issued from time to time and advertisement material provided by Franklin Templeton and shall not design its own advertisements of Franklin Templeton products unless it is authorised to do so, and the advertisement is approved by Franklin Templeton in writing prior to the dissemination of the material.
 - I) I/We shall notify FTAMIL immediately in case any of the statutory approvals granted by the regulatory/government agencies to me/my proprietary concern/us for carrying on the business are withdrawn or in any event that any legal proceeding is initiated by any regulatory or government agency having jurisdiction over the matter which could result in withdrawal of such approvals.
 - j) I/We shall obtain all the relevant documents, as prescribed by FTMF or FTAMIL, from the investor at the time of investment and thereafter.
 - k) I/We further represent that I/We have not been found guilty by any of the recognised Investor Protection Associations, Consumer Protection Forums registered with Securities & Exchange Board of India (“SEBI”) or any market regulator including the stock exchanges, for either misrepresenting any financial product or service or for not providing quality service to investors.
 - l) I/We undertake and hereby agree to make good all the losses and damages including loss on account of reputation loss to Franklin Templeton and shall hold Franklin Templeton harmless against all actions, proceedings, claims, liabilities (including statutory liability), penalties, demands and costs (including without limitation, legal costs), awards, losses and / or expenses however arising directly or indirectly as a result of any claim or proceeding brought against Franklin Templeton either directly or indirectly arising out of any deficiency in service by me/us to the investor or any non-performance or inadequate or negligent performance of my/our obligation or any other act, omission, neglect or default on my/our part or on the part of my/our agents, employees, or licensees.
 - m) In the course of my/our business in the distribution of mutual fund products at any time, I/We will adhere to all rules, laws, regulations, guidelines including the Code of Conduct contained in SEBI / IMD / CIR No. 8 / 174648 / 2009 dated August 27, 2009, various AMFI circulars and guidelines issued by SEBI / AMFI from time to time.
 - n) I/We will keep the FTMF informed in case of own investments from time to time so that no brokerage is paid on such investments. I/We am/are aware that knowingly receiving brokerage on my/our own investments will be a violation of referred SEBI circular. I/We shall inform you the details of investments made by my/our associate / group companies, if any, at the time of investment.
 - o) I/We understand and acknowledge that FTAMIL will communicate the applicable Distribution Remuneration Structure along with provisions for distribution commission, claw back and applicable taxes and deductions from time to time through email/letters, which shall be binding on me/us and the same shall be treated as an integral part of this undertaking.
 - p) I/We acknowledge that the FTMF and FTAMIL can terminate my/our empanelment by giving me/us two days written notice in case of noncompliance with any of the clauses mentioned above and / or the SEBI requirements.
 - q) I/We shall not distribute units of any schemes of FTMF to any US persons or persons of Canada.
 - r) I/We am/are aware that the trustees of FTMF (“Trustees”) and the FTAMIL are required to comply with the provisions of Prevention of Money Laundering Act 2002, rules, circulars and guidelines issued thereunder and to maintain standards in line with the Financial Action Task Force (“FATF”) recommendations, as amended from time to time (herein after referred as PML provisions). In order to discharge its duties, the Trustees/FTAMIL may seek additional information pertaining to know your client (“KYC”) or source of income as and when required from the investor introduced by me/us. I/We shall assist and support FTAMIL in ensuring its compliance of Anti-Money Laundering (“AML”) laws by being diligent and procuring additional documentation or information as may be required by FTAMIL, from time to time. FTAMIL reserves the right to call for any documents and information from the investor of FTAMIL as may be required by FTAMIL in relation to the KYC procedures. Failure of the investor to provide satisfactory response may result in suspension of transaction in the investor’s account. The Trustee/FTAMIL’s decision in this regard shall be final.
- s) In connection with my/our distribution activities contemplated under this undertaking:
 - I. I/We shall satisfy all applicable requirements under FATCA;
 - II. where applicable, and in order to ascertain the Distributor’s FATCA status where the Distributor is registered as the holder of the mutual fund units in the schemes of FTMF, I/We shall provide Franklin Templeton with information and documentation, such as its W8-forms, Global Intermediary Identification Number (“GIIN”), proof of registration with the United States Internal Revenue Service (“IRS”) or a corresponding exemption;
 - III. FTAMIL reserves the right to call for any documents and information from the investor of FTAMIL as may be required by Franklin Templeton in relation to the FATCA compliance requirements. Failure of the investor to provide satisfactory response may result in suspension of transaction in the investors account. The Trustee’s/FTAMIL’s decision in this regard shall be final.
 - IV. I/We shall provide any reasonable assistance that may be required to assist the Franklin Templeton in complying with the requirements of FATCA, including, without limitation:
 - collecting any information, waivers or documentation that may be required by the FTAMIL to satisfy any obligation under FATCA including, but not limited to, identifying details relating to the investors introduced by the Distributor to the Fund(s) that is needed to comply with all due diligence, withholding and reporting obligations under FATCA;
 - reporting any information that is required to be reported;
 - implementing any procedures requested by Franklin Templeton to facilitate FATCA compliance, and
 - providing any certifications that the Franklin Templeton (or director or officer of the Franklin Templeton) may require for FATCA compliance.
 - t) I/We shall comply with all laws, regulations, protocols and other requirements (“applicable laws”) applicable to the activities, rights, duties and obligation set out herein in any jurisdiction in or from which it undertakes such activities or from which it purports to do so. I/We understand and agree that such applicable laws include but are not limited to laws of India including laws related to anticorruption, bribery, abetment of corruption, bribing any private person and/or any requests made by FTAMIL either generally or in respect of a specific transaction;
 - u) I/We undertake that me, my proprietary concern and employees/our partnership, its partners and employees/our company and its directors, officers and employees, have never been investigated or convicted for offenses related to fraud or corruption and I/we shall notify FTAMIL immediately in case this happens;
 - v) I/We further undertake that no government-owned or controlled organization or government official shall be contacted / used to influence my/our business or relationship, with Franklin Templeton.
 - w) I/We agree to abide by the rules and regulations of Franklin Templeton from time to time.

**Franklin Templeton shall mean FTMF, Franklin Resources Inc. and its subsidiary entities including their employees, directors and key managerial persons.*

Yours Truly,

Signature : _____
(for and on behalf of the Distributor, Authorised Signatories)

Name : _____

ARN No.: _____

Place : _____

Date : _____

CHECKLIST FOR DOCUMENTS TO BE SUBMITTED

Documents	IFA	Partnership Firm	Company	HUF	Documents	IFA	Partnership Firm	Company	HUF
Copy of the AMFI Certificate	☑	☑	☑	☑	Authorised Signatory List	■	☑	☑	■
Copy of the ARN Card	☑	☑	☑	☑	Partnership Deed & Resolution	■	☑	■	■
PAN Card Copy	☑	☑	☑	☑	Board Resolution	■	■	☑	■
Cancelled Cheque Copy	☑	☑	☑	☑	KYD Acknowledgment	☑	☑	☑	☑
Memorandum and Article of Association	■	■	☑	■					

**Summary Sheet for
Compliance Rule Policies and Procedures (“P&P”)**

Designated Effective Date of P&P	December 26, 2014
Name of P&P	FRANKLIN RESOURCES, INC. ANTI-CORRUPTION POLICY (G-19)
Scope of P&P	<input checked="" type="checkbox"/> Global-all countries <input type="checkbox"/> U.S. <input type="checkbox"/> Canada <input type="checkbox"/> Europe <input type="checkbox"/> Asia <input type="checkbox"/> Latin America
External Approvals Required	<input type="checkbox"/> U.S. Fund Boards <input type="checkbox"/> IRC (Canada)
U.S. P&P Entity Owner	<input type="checkbox"/> Investment Manager <input type="checkbox"/> Fund Principal Underwriter <input type="checkbox"/> Fund Transfer Agent <input type="checkbox"/> Fund Administrator <input checked="" type="checkbox"/> Other
U.S. Entities Affected	<input type="checkbox"/> All SEC-registered Investment Advisers <input type="checkbox"/> All FINRA-registered Broker/Dealers <input type="checkbox"/> All SEC-registered Transfer Agents <input type="checkbox"/> All Open-End Funds <input type="checkbox"/> Closed-end Funds <input type="checkbox"/> Other
U.S. Related Statute/Rule/Release/ No-Action	Foreign Corrupt Practices Act
Purpose of the Procedure	The purpose of this policy is to ensure that all Covered Persons comply with the U.S. Foreign Corrupt Practices Act (FCPA), the U.K. Bribery Act 2010 (the “Bribery Act”) and any other applicable anti-bribery laws and regulations of the local jurisdictions in which Franklin operates, including the Brazil Clean Companies Act.
Preventative Key Controls used by the P&P	<ul style="list-style-type: none"> • Company personnel must comply at all times with this Policy and all Related Procedures and Related Regulatory Rules. • All payments for gifts, meals, travel, or entertainment, whether to Government Officials (“GO”) or otherwise, must comply with all the requirements set forth in this Policy. In addition, any such expenditures relating to GOs must fully comply with the additional approval and recordkeeping requirements set forth in this Policy. • Company personnel must obtain prior approval from their Senior Leader and the Director of Global Compliance before providing any gift, meal, travel, or entertainment to a GO in

This summary provides a common format to quickly review a high level summary of the preventive, detective, and corrective key controls used by the P&P referenced in this summary document. For more detailed information, please refer to the P&P itself.

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	<p><u>excess</u> of the dollar limits set forth in this Policy. Any gift, meal, travel or entertainment expense for or on behalf of a GO below those limits requires the approval of the Senior Leader (or his designee).</p> <ul style="list-style-type: none"> • The Global Financial Operations Department shall maintain a database to record and aggregate all meals, gifts, travel, and entertainment expenses, whether relating to GOs or otherwise. • The Policy contains a complete list of entities that qualify as “public international organizations, which will be updated periodically by Legal and/or Global Compliance. • Periodic training of appropriate Company personnel on these policies and procedures is required. • The Policy may be supplemented by country- or region-specific schedules for gifts, meals, travel, or entertainment involving customers, business providers, and Government Officials (“Country Schedules”), as needed.
<p>Detective Key Controls used by the P&P</p>	<ul style="list-style-type: none"> • The Global Financial Operations Department will provide Global Compliance with a periodic report of expenses submitted pursuant to this Policy. • The Global Compliance Department and/or Internal Audit shall perform periodic audits of expenditures that implicate this Policy. • All Covered Persons must promptly report any violation or suspected violation of this Policy to the Deputy General Counsel–International or the Director of Global Compliance (or their respective designees) or to the Compliance and Ethics Hotline. The Compliance and Ethics Hotline is 1-800-636-6592 (US) or by calling collect at 1-704-556-7046 (Non-US).
<p>Corrective Key Controls used by the P&P</p>	<ul style="list-style-type: none"> • Certain incidental failures to comply with the Policy are not necessarily a violation of the law. Such violations not resulting in a violation of law will be referred to the Director of Global Compliance and/or the Chief Compliance Officer and/or the

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	<p>relevant management personnel. If warranted, disciplinary action commensurate with the violation will be imposed.</p> <ul style="list-style-type: none"> • A pattern of violations that individually do not violate the law or the Policy, but which taken together demonstrate a lack of respect for the Policy, may result in more significant disciplinary action, up to and including termination of employment. • A violation of the Policy resulting in a violation of the law will be severely sanctioned, with disciplinary action potentially including termination of employment and/or referral of the matter to the appropriate regulatory agency for civil and/or criminal investigation or prosecution.
U.S. Designated Primary Coordinating Business Unit and Contacts	<p>Global Compliance: Robert Rosselot Legal: Paul Elmlinger</p>
Additional History, Background Notes or related policies and procedures (if any)	<ul style="list-style-type: none"> • Franklin Resources, Inc. Code of Ethics and Business Conduct • Franklin’s Global Expense Management Policy • Franklin’s Gifts and Entertainment Policies • Franklin’s Employee Handbook • Franklin’s Political Contributions Policy (US only)

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**Supplement to Summary Sheet
For Global or Non-U.S. SEC Compliance Rule Policies and Procedures (“P&P”)**

Scope/Non U.S. Region	<input type="checkbox"/> Canada <input type="checkbox"/> Europe <input type="checkbox"/> Asia <input type="checkbox"/> Latin America <input checked="" type="checkbox"/> All
Non U.S. Entities Affected	
Non U.S. Related Statue/Rule/Release/No Action	U.K. Bribery Act 2010 Brazil Clean Companies Act 2014
Supplemental Preventative Key Controls used by the P&P	None
Supplemental Detective Key Controls used by the P&P	None
Supplemental Corrective Key Controls used by the P&P	None
Non-U.S. Designated Primary Coordinating Business Unit and Contacts	
Additional History, Background Notes or related policies and procedures (if any)	None

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