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AMFI / SEBI Distributor Compliance

Banking, Finance & Fintech

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This guide explains what the tool produces, how to use the output, and what to watch for. The actual output (draft/report) is generated on the tool page.

Background

Explains AMFI and SEBI compliance for a mutual fund distributor — ARN and EUIN discipline, the code of conduct, no-assured-returns and appropriate-disclosure rules, the line between distribution and advice (RIA), KYC, permitted advertising and records to keep. Use this to distribute funds within the rules and avoid the common breaches.

Purpose of this tool & output

Distribute funds within the rules

How the output is used

Use the checklist to distribute funds within AMFI/SEBI rules on conduct, disclosure and suitability.

Who receives it

AMFI and SEBI (the distributor code and disclosures they prescribe).

How to submit / file it

Follow the AMFI code, KYD, commission disclosure and suitability norms; renew the ARN on time.

Fees & charges

No separate fee; ARN renewal and NISM CPE costs apply.

Who should vet it

An MF-distribution/compliance consultant.

Important cautions

AI-generated guide; follow current SEBI and AMFI regulations.

Companion documents

- Mutual Fund Distributor Setup
- MF Client Onboarding Kit
- MF Recommendation Framework
- Portfolio Review Report
- Commission & Brokerage Tracker
- Fund Comparison Helper

This is AI-assisted guidance. Verify with a qualified professional before any binding decision. Fees, authorities and processes vary by state and change over time — confirm with your state authority.