

**DECLARATION FOR FIT AND PROPER PERSON CRITERIA**  
(To be submitted on the letter head of the PoP duly stamped and signed)

**Schedule V**  
**PFRDA (PoP) Regulations. 2018 as amended thereon**  
**[see: Reg 5 (1) (f)]**

**To,**  
**Pension Fund Regulatory and Development Authority**  
**New Delhi**

I/ We, M/s. <.....> hereby declare that I/ We, our directors, Compliance officer and Key Managerial Personnel are 'fit and proper person' including but not limited to the following criteria:

- a) financial integrity;
- b) absence of convictions or civil liabilities;
- c) competence;
- d) good reputation and character;
- e) efficiency and honesty; and
- f) financial solvency and net worth.

Further, as per Schedule V of the PFRDA (Point of Presence) Regulations, 2018 as amended thereon, I/ We confirm the following in this regard:

- (i) Criminal complaint or information under section 154 of the Code of Criminal Procedure, 1973 (2 of 1974) has not been filed against me/us or our directors/ partners, Compliance officer and Key Managerial Personnel by the Authority and which is pending;
- (ii) Charge sheet has not been filed against me/us or our directors/ partners, Compliance officer and Key Managerial Personnel by any enforcement agency in matters concerning economic offences and is pending;
- (iii) No order of restraint, prohibition or debarment has been passed against me/us or our directors/ partners, Compliance officer and Key Managerial Personnel by the Authority or any regulatory authority or enforcement agency in any matter concerning securities laws or financial markets and such order is in force;
- (iv) No recovery proceedings have been initiated by the Authority against me/us or our directors/partners, Compliance officer and Key Managerial Personnel and are pending;
- (v) I/ We, our directors, Compliance officer and Key Managerial Personnel have not been convicted by a court for any offence involving moral turpitude or involving economic offences or fraud;
- (vi) No winding up proceedings have been initiated or an order for winding up has been passed against me/us;

- (vii) Neither I/ We, our directors, Compliance officer and Key Managerial Personnel have been declared insolvent and not discharged;
- (viii) I/ We, our directors, Compliance officer and Key Managerial Personnel have not been found to be of unsound mind by a court of competent jurisdiction and the finding is in force;
- (ix) I/ We, our directors, Compliance officer and Key Managerial Personnel have not been categorized as a wilful defaulter;
- (x) I/ We, our directors, Compliance officer and Key Managerial Personnel have not been declared a fugitive economic offender;

Details of Directors/Partners/Compliance Officer and Key Managerial Personnel (KMP):

	<b>Name</b>	<b>Designation</b>	<b>Business Address</b>	<b>Tel. / Mb. No.</b>	<b>E-mail Address</b>
Directors(s)					
1.					
2.					
3.					
Partner(s)					
1.					
2.					
Compliance Officer					
1.					
KMP					
1.					
2.					

I/We declare that I/ We, our directors, Compliance officer and Key Managerial Personnel shall be bound at all times by the provisions of the PFRDA Act, 2013, the rules and regulations notified thereunder, alongwith amendments thereof and all instructions/directions/guidelines and circulars that may be issued from time to time by the Authority in relation to NPS.

For on behalf of (Name of the applicant)

Name of the Authorised Signatory  
Signature and Seal of the Authorised Signatory  
Seal/Stamp of the Applicant  
Place  
Date (dd/mm/yy)

\*Please strike whichever is not applicable

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