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No. 416] NEW DELHI, MONDAY, NOVEMBER 21, 2016/KARTIKA 30, 1938

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THE GAZETTE OF INDIA : EXTRAORDINARY

[PART III—SEC. 4]

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PENSION FUND REGULATORY AND DEVELOPMENT AUTHORITY NOTIFICATION

New Delhi, the 30th September, 2016

PENSION FUND REGULATORY AND DEVELOPMENT AUTHORITY (AGGREGATOR) (FIRST AMENDMENT) REGULATIONS 2016

No.PFRDA/12/RGL/139/4—In exercise of the powers conferred by sub-section (1) of section 52 read with clauses (e), (n), (o), (p) and (w) of sub-section (2) thereof of the Pension Fund Regulatory and Development Authority Act, 2013 (23 of 2013), the Pension Fund Regulatory and Development Authority hereby makes the following regulations to amend the Pension Fund Regulatory and Development Authority (aggregator) Regulations 2015 namely:—

1. These regulations may be called the Pension Fund Regulatory and Development Authority (aggregator) (First Amendment) Regulations, 2016.
3. In the Pension Fund Regulatory and Development Authority (aggregator) Regulations 2015:—

- (I) In regulation (1) after short title and commencement, the following shall be substituted:
“The Regulation aims to provide regulatory framework for registration of **existing** Aggregators and monitor implementation of National Pension System for the best interest of the target subscribers.”
- (II) sub-regulation (12) of regulation (3) shall stand omitted.
- (III) In regulation (4), sub-regulation (3) shall be substituted as follows:-

4

THE GAZETTE OF INDIA : EXTRAORDINARY

[PART III—SEC. 4]

“Any **existing** Aggregator, which was granted a permission to function as such by the interim Pension Fund Regulatory and Development Authority prior to the establishment of the Authority under the Act may continue to act as such for a period of ninety days from the notification of these regulations **or such further time as may be extended by the Authority, subject to such existing aggregator making an application** for grant of registration, **and** till the disposal of its application by the Authority.

- (IV) In regulation (8), sub-regulation (4) shall be substituted as follows:-

“For the applicant, who satisfies all the eligibility condition after initial evaluation, the Authority **may** conduct

a due diligence at the applicant’s office at such date and time as may be determined by the Authority.”

- (V) sub-regulation (2) of regulation (12) shall stand omitted.

- (VI) In regulation (14) :

sub clause (i) of sub-regulation (1) shall be substituted as follows:-

- (i) “dispatch of Permanent Retirement Account Number Card and statement of transaction or any other document to the subscribers within the time limits as specified by the authority from time to time”;
- (ii) sub clause (j) of sub-regulation (1) shall stand omitted;
- (iii) sub-regulation(3) shall be substituted as follows:
“Each aggregator shall enter into agreement with the National Pension System Trust, **if so required by the Authority**, for all operation and other requirement as may be specified from time to time and submit the compliance certificate to National Pension System Trust at regular intervals”.

- (VII) In Regulation 18, new sub-clause (i) and (j) shall be added after sub-clause(h) as follows:

“(i) to maintain records of requests of existing subscriber for migration to Atal Pension Yojana (APY)

or any pension scheme of the Government of India or a scheme under National Pension System or the

specific request received from existing subscribers for opting out from Atal Pension Yojana and continue under National Pension System-Lite/Swavalamban Scheme;

(j) maintain the records of the requests received from subscribers for exiting from Atal Pension Yojana (APY) or any pension scheme of the Government of India or a scheme under National Pension System.

- (IX) In regulation (27), sub-clause (g) of sub-regulation (1) shall be substituted as follows:-

“ fails in the periodic review of its performance in terms of subscriber servicing or against any other uniform criteria applicable to all the registered aggregator;

HEMANT G. CONTRACTOR, Chairperson

[ADVT-III/4/Exty./288/16(203)]

Footnote:

1. The principal regulations, Pension Fund Regulatory and Development Authority (Aggregator) Regulations, 2015 was

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