

BRANCH CODE

REFERRAL PARTNER CODE

1. REFERRAL PARTNER DETAILS *												Photograph															
Name of the Organisation/ Individual [Please tick] <input type="radio"/> Mr. <input type="radio"/> Mrs. <input type="radio"/> Ms. <input type="radio"/> M/s																											
Permanent Account Number*						Date of Birth					D		D	M	M	Y	Y	Y	Y								
Address for Correspondence*																											
City				State																							
Country								Pin Code																			
Telephone No. 1		Country/ Area Code				Fax				Country/ Area Code																	
Telephone No. 2		Country/ Area Code				Mobile		Country/ Area Code																			
E-mail Address						Website																					
Tax Status		<input type="radio"/> Sole Proprietorship		<input type="radio"/> Indian Company (Public/Pvt.)		<input type="radio"/> Foreign Company		<input type="radio"/> Partnership Firm/Society/Trust																			
		<input type="radio"/> Resident Individual		<input type="radio"/> HUF		<input type="radio"/> Others																					
SMS alert from IIFL:		<input type="radio"/> Yes		<input type="radio"/> No																							
2. BANK ACCOUNT DETAILS																											
Beneficiary Name																											
Bank Name																											
Branch							City																				
MICR Code				IFSC Code				Account Type:				<input type="radio"/> Saving	<input type="radio"/> Current														
Bank Account No.				Mode of Payment				<input type="radio"/> NEFT	<input type="radio"/> RTGS	<input type="radio"/> Direct Credit	<input type="radio"/> Cheque																
3. CERTIFICATION DETAILS																											
AMFI Registration No.				Passed on				D	D	M	M	Y	Y	Y	Y	Valid upto				D	D	M	M	Y	Y	Y	Y
IRDA Registration No.				Passed on				D	D	M	M	Y	Y	Y	Y	Valid upto				D	D	M	M	Y	Y	Y	Y
NCFM Registration No.				Passed on				D	D	M	M	Y	Y	Y	Y	Valid upto				D	D	M	M	Y	Y	Y	Y
Other (If any) Registration No.				Passed on				D	D	M	M	Y	Y	Y	Y	Valid upto				D	D	M	M	Y	Y	Y	Y
4. ADDITIONAL DETAILS																											
Date of Incorporation						D	D	M	M	Y	Y	Y	Y	Permanent Account Number*													
Contact Person						Designation																					
5. BUSINESS DETAILS																											
Client Profile		<input type="radio"/> Corporate		<input type="radio"/> HNI		<input type="radio"/> Retail																					
Experience in Selling (Please tick)		<input type="radio"/> Insurance		<input type="radio"/> Fixed Deposits		<input type="radio"/> Bonds		<input type="radio"/> Small Savings		<input type="radio"/> IPOs		<input type="radio"/> Equities		<input type="radio"/> Mutual Funds		<input type="radio"/> NCD											
		<input type="radio"/> Others (Please Specify)																									
Years of Experience		Funds Mobilized for Mutual Funds				Equity		Crores		Debt		Crores															
						Structured Products		Crores		PMS		Crores															
6. INFRASTRUCTURE DETAILS																											
Operate from Office		<input type="radio"/> Yes <input type="radio"/> No		Office Area Sq. Ft.				City																			
Zone		Across Country No. of Branches				No. of Associates				No. of Employees																	
No. of Employees		Association as a Sub-Broker/Franchisee for Mutual Fund						<input type="radio"/> Yes		<input type="radio"/> No																	
7. REFERRAL (ANY MARKETING ASSOCIATE YOU WOULD RECOMMEND)																											
Broker Name 1						Contact No.		Country/ Area Code																			
Broker Name 2						Contact No.		Country/ Area Code																			
8. NOMINEE DETAILS FOR BROKERAGE/BROKERAGE (for Sole Proprietorship only)																											
Name of Nominee						Date of Birth (if Minor)						D	D	M	M	Y	Y	Y	Y								
Guardian's Name (in case of Minor)						Relationship																					
Address of Nominee/Guardian																											
City				State																							
Country								Pin Code																			
<div style="border: 1px solid black; width: 100%; height: 100%; margin: 10px 0;"></div>						<div style="border: 1px solid black; width: 100%; height: 100%; margin: 10px 0;"></div>																					
Specimen Signature of Nominee/Guardian						Signature of Referral Partner																					

CHECK LIST

- | | | |
|---|--|--|
| <input type="radio"/> Copy of the AMFI Certificate
<input type="radio"/> Copy of ARN Card
<input type="radio"/> Copy of PAN Card
<input type="radio"/> Copy of Address Proof | <input type="radio"/> Cancelled Cheque Leaf
<input type="radio"/> Complete Address
<input type="radio"/> Contact No.
<input type="radio"/> Bank Account Details | Documents for Corporates, in addition to the documents mentioned alongside
<input type="radio"/> Memorandum of Association
<input type="radio"/> Board Resolution
<input type="radio"/> Authorised Signatory list
<input type="radio"/> Partnership Resolution on deeds |
|---|--|--|

DECLARATION

We hereby declare that the information furnished to compete and correct in all respect and no material information has been concealed by me. We undertake to inform, in writing of any change in the particulars furnished above. In case if any of the above information is found to be false and untrue, We shall be held liable for it. We undertake to abide by the terms and conditions states and the changes in terms and conditions from time to time relation to the empanelment of Referral Partner. I/We am/are not an Employee or a Relative of a Director/Employee of the IIFL Securities Limited.

I hereby declare to act as the Referral Partner of IIFL Securities Limited (IIFL). I/We shall preserve the confidentiality of all information relation to transactions executed for IIFL by me or my clients, except under circumstances where declaration of such information is necessitated by an order of any regulatory/ government/ statutory authority.

TERMS AND CONDITIONS

- 1.The appointment as a Referrer will be at the sole discretion of IIFL and will be subject to written confirmation by IIFL. The appointment will commence from the date stated in the appointment letter issued by IIFL.
2. Referrer(s)" shall mean any person who has referred potential customers for opening his/her Trading/Demat/Mutual Fund account with IIFL Securities Limited (IIFL) or any other product distributed by IIFL from time to time.
3. "Referee(s) or Client(s)" shall mean a potential customer who has been referred for opening his/her Trading/Demat/Mutual account with IIFL by the Referrer.
4. The Referrer may from time to time refer potential customers ("Potential Customers") to IIFL.IIFL, at its sole discretion, shall have the option to board, or not to board any Potential Customers.
5. IIFL will pay the Referrer, the Referrer fee for referring the potential customers as mutually agreed between the Parties within a period of thirty days from the date of Referrer.
6. The Referrer shall treat this arrangement as strictly confidential and shall not disclose, divulge or distribute any information or documents given to it and/or to which it may be given access to, pursuant to this arrangement to any person whomsoever.
7. The arrangement between the Referrer and IIFL shall be exclusively on principal to principal basis. Neither the Referrer nor anyone employed by or acting for or on behalf of the Referrer shall ever be construed as an employee of IIFL and IIFL shall not be liable for employment respecting the Referrer or any employee of the Referrer;
8. The Referrer shall not involve in any kind of trade inducement or shall not place orders on behalf of client.
9. The Referrer shall maintain confidentiality with respect to details / information pertaining to client and shall not disclose unless specifically required under law / regulations or with express written permission of the client.
10. The Referrer shall not accept contract notes, daily margin statements, statement of accounts, Annual Global Transaction statement or any such correspondences on behalf of the client.

11. The Referrer shall ensure that in no circumstances the Referrer will advise the client for trading in any manner and any form of selling/advisory activities with respect to securities and should not manage the portfolio of the referee.
12. Referrer shall ensure that there is no financial transaction between the client and Referrer under the arrangement.
13. It is understood that the Referrer is acting as an agent only and shall have no authority to enter into agreements, obligations or commitments on IIFL's behalf, or to negotiate the terms of Potential Customers agreements with IIFL.
14. The Referrer shall comply with all the applicable provisions, Circulars if any, governing the services to be provided by it and such other requirements, instructions and procedures as may be intimated by the Referrer to it from time to time.
15. IIFL reserves the right to terminate the appointment at any time upon fifteen (15) days prior written notice to the Referrer without assigning any reasons.
16. It shall comply with instructions and procedures as mutually agreed between each other for rendering the services to be provided by it from the time to time.
17. The Referrer shall indemnify, defend and hold the other party (and all officers, directors, employees and affiliates thereof) harmless from and against any and all claims, demands, actions, losses, damages, assessments, charges, liabilities costs and expenses (including without limitation interest, penalties, and attorney's fees and disbursements) which may at any time be suffered or incurred by, or be assessed against, any and all of them, directly or indirectly, on account of or in connection with breach of Terms & Conditions as agreed between the Parties. \
18. In the event of a dispute, IIFL shall have the sole and final discretion in deciding the first Referrer.
19. IIFL reserves the right to modify/change all or any of the Terms and Conditions applicable without assigning any reasons or without any prior intimation whatsoever.
20. In respect of all disputes arising out of this appointment, the courts at Mumbai alone have the jurisdiction, in accordance with the laws of India. The dispute shall be resolved as per Arbitration and Conciliation Act, 2015 as amended from time to time with the appointment of sole arbitrator at the choice of IIFL.

I HEREBY CONFIRM AND DECLARE THAT I HAVE READ AND UNDERSTOOD THESE TERMS AND CONDITIONS OF APPOINTMENT AS REFERER AND AGREE TO ABIDE BY THE SAME.

Signature

ANNEXURE - SEBI's Code of Conduct

(To be complied with by the Marketing Associate at all times)

1. Take necessary steps to ensure that the client's interest is protected;
2. Adhere to SEBI (Mutual Fund) Regulations, 1996, as amended, and the guidelines related to selling, distribution and advertising practices. Be fully conversant with the key provisions of the SID/SAI as well as the operational requirements of IIFL.
3. Provide full and latest information in respect of business of IIFL to investors in the form of offer documents, performance reports, fact sheets, for the investor's situation and needs.
4. Highlight risk factors of each scheme, avoid misrepresentation and exaggeration, and urge investors to go through SID/SAI/ KIM before deciding to make investments.
5. Disclose all material information related to the schemes/plans while canvassing for business.
6. Abstain from indicating or assuring returns in any type of scheme, unless the SID is explicit in this regard.
7. Maintain necessary infrastructure to support IIFL in maintaining high service standards to investors, and ensure that critical operations such as forwarding forms and cheques to IIFL and dispatch of statement of account and redemption cheques to investors are done within the time frame prescribed in the SID/SAI and SEBI Mutual Fund Regulations.
8. Not colluding with clients in faulty business practices such as bouncing cheques, wrong claiming of dividend/redemption cheques, etc.
9. Not undertake brokerage driven malpractices such as:
 - (a) recommending inappropriate products solely because the intermediary is getting higher brokerages therefrom.

- (b) encouraging over transacting and churning of mutual fund investments to earn higher brokerages, even if they mean higher transaction costs and tax for investors.
10. Not make negative statements about IIFL or any scheme of IIFL and ensure that comparisons, if any, are made with similar and comparable products.
11. Ensure that all investor related statutory communications (such as changes in fundamental attributes, exit/entry load, exit options, and other material aspects) are sent to investors reliably and on time.
12. Maintain confidentiality of all investor deals and transactions.
13. When marketing various schemes, remember that a client's interest and suitability to their financial needs is paramount, and that extra brokerage or incentive earned should never form the basis for recommending a scheme to the client.
14. Not rebate brokerage back to investors and not attract clients through temptation of rebate/gifts etc.
15. A focus on financial planning and advisory services ensures correct selling, and also reduces the trend towards investors asking for passback of brokerage.
16. All your employees engaged in sales and marketing should obtain AMFI certification. Employees in other functional areas should also be encouraged to obtain the same certification.

I/We, having read the above, agree and undertake to abide by aforesaid SEBI's code of conduct.

ARN Name																										
ARN Code																										
Place																										
Date	D	D	M	M	Y	Y	Y	Y																		

Signature

FOR OFFICE USE ONLY

Recommended by Relationship Manager																RM Code									
For Marketing Associate																									
Classification (any one) FD (any one) MF (any one)										<input type="radio"/> National <input type="radio"/> Regional <input type="radio"/> IFA <input type="radio"/> Bank					Signature										
RM Name																									
Region Name											Region Head														
Approved By																									
Remarks																									