

REGISTRATION FORM FOR INTRODUCER

(All fields to be compulsorily filled)

Affix photo
&
Sign across

- 1) Applicant Name Mr / Mrs / Ms. _____
- 2) Date of Birth / Date of Incorporation (DD/MM/YYYY) _____
- 3) Status: Individual HUF Partnership Company Trust
Other (Pl. Specify) _____
- 4) AMFI Registered* Yes No
- 5) AMFI Certificate No* _____ ARN Code* _____
- 6) Correspondence to be sent to
 - a) Residence address _____

 - b) Office address (Name of the contact person, if any) _____

- 7) Contact
 - a) Telephone _____ b) Mobile _____ c) Fax _____
 - d) Email ID _____
- 8) Investor Client Base (in Figures) _____
- 9) No of years in Capital Market _____
- 10) Occupation: Business Professional Service Other (Pl. Specify)
- 11) PAN No. _____
- 12) Existing AUM in Mutual Funds _____
- 13) Bank Details
 - a) Account Holder Name _____ b) Bank Name _____
 - c) Account Type: Saving Account Current Account
 - d) Account No. _____ e) Bank Branch address _____

 - f) IFSC _____ g) MICR Code _____
- 14) Existing Client with Emkay Yes No
If yes, please mention Client Code

Documents Required

Copy of PAN Card (Mandatory for all types of franchisees)

For Individual, HUF & Others (Any one of the following)

- Copy of Address proof-Electricity Bill, Telephone Bill / Bank Statement verified by Bank Passport copy
- Copy of Driving License Copy of Ration Card

For Corporate

- Copy of Board Resolution Copy of Memorandum & Articles of Association
- Bank Statement / Passbook copy verified by Bank Officer with Bank Stamp
- Copy of Certificate of Commencement of Business
- Copy of Address proof-Electricity Bill, Telephone Bill / Bank Statement verified by Bank
- List of Authorised Person

For Partnership

- Copy of Partnership Deed Copy of Memorandum & Articles of Association
- Copy of Certificate of Commencement of Business

For Private / Public Trust

- Copy of Trust Deed Address proof List of Authorised Signatories

Application, Declaration & Undertaking

I/We declare that the above information is true and fair to the best of my/our knowledge and belief, and I undertake to immediately inform Emkay Global Financial Services Limited. About changes, if, any, in the above details I/We hereby apply to become an Introducer of Emkay Global Financial Services Limited. I/We have read and understood the attached terms and conditions of Emkay Global Financial Services Limited and I/We agree to abide the rules and regulations of Emkay Global Financial Services Limited. that may be in force from time to time.

Terms & Conditions

Forms bearing the stamp of Emkay Global Financial Services Limited in Brokers / Introducers column & in case of Mutual Fund Forms Code ARN-1563 in code column should be used. Stamped Forms will be supplied to you on request. We are not liable for making any payments on forms that do not bear our stamp & code or are collected from other sources & Code No. written by hand or stamped by a third person. Please note that tampering with any stamps affixed in broker or sub-broker column on the application form is a criminal offense & liable for penal action.

Introducer code allotted to you are to be stamped in the sub-broker column on the application form supplied to you. No claim for sub-brokerage/ professional fee will be entertained if you do not affix introducer code allotted to you or affix incorrect code on forms. We are not liable for any errors in introducer column, which may arise on account of incorrect information as per the allotment statements provided to us from RTA / manufacturer

The Introducer shall indemnify Emkay Global Financial Services Limited or any of its group companies against any loss, expenses, liability, charges that Emkay Global Financial Services Limited may have to incur as a result of any acts of commission or omission which do not conform to the Terms & Conditions of the agency or any specified instructions or direction communicated from time to time.

Introducer shall be eligible to receive commission / professional fees on amount mobilized under respective product and undertake not to rebate commission back to the investor or attract investor through temptation of rebate / gifts, pass back etc.

Introducer is not authorized to deal in cash with any of the investor, further it undertakes that the Introducer will disclose the actual commission / professional fees receivable from Emkay Global Financial Services Limited to the end investor.

Definition: Introducer is an individual / HUF / corporate body identity who will generate a significant data base of customers who are keen to invest in the products distributed by Emkay Global Financial Services Limited., the final closure of the deal would be done by the employees of the Emkay Global Financial Services Limited. or its group companies

Branch Name _____

Branch Code _____

Name - Introducer

Signature & date - Introducer

Name - BH/AH/RH

Signature & date - BH/AH/RH

For HO Use Only

Introducer Code allotted _____ Agreement w.e.f : DD/MM/YYYY _____

Introducer fee sharing: Introducer - % Emkay - %

Signature & date - Manager Operation

Signature & date - Head Operation - PWMG

PROCESS NOTE

- 1) Registration form along with the supporting documents should be sent to head office for further processing.
- 2) Please note that all the supporting documents should be self attested by the applicant and should be signed by concerned Branch manager/Area head/regional head and the form should be sent to head office for further processing.
Dispatch Address: Ms. Madhu Nemani, Paragon Centre, C-06, Ground Floor, Pandurang Budhkar Marg, Worli, Mumbai 400013.
- 3) The referral code would be allotted within 2 working days on receipt of all the documents.
- 4) Once the code is allotted, a welcome letter to authorize ARN holder would be dispatched to the referral agents/financial advisors in the next 2 working days.
- 5) Payout terms:
 - i) Payout would be given only after proper reconciliation of transaction and income.
 - ii) Upfront Payout would be given on monthly basis and trail on calendar quarterly basis only; both on actual receipts.
 - iii) In case of SIP, payout would be based only on unit allotted for that particular month.
 - iv) In case of IPO/NFO, payout would be given only after complete processing of the forms and receipt of commission by Emkay.

Also provide the below documents (self attested) which is mandatory for RTGS of Commission Pay out.

1. Copy of a cancelled cheque with pre printed name of the beneficiary.
2. If the above is not in order then along with cheque copy please submit latest Bank Statement or Pass Book copy.