

Regd. Office: Dhana Singh Processor Premises,
J B Nagar, Andheri - Kurla Road,
Andheri (E), Mumbai - 400 059.
Tel: (022) 6789 7777, Fax: (022) 6789 7968

(Please affix your
recent Photograph duly
signed across)

SUB-BROKER REGISTRATION APPLICATION FORM

Name (Mr\Mrs\Ms\M/S) : _____

Date of : Sex : M F

Permanent Address : _____

: _____ City: _____ Pin :

Telephone No. : Office _ Nos. _____

with STD Code : Resi - Nos. _____

Mobile No. _____

Email ID _____

Qualification : Graduate Post Graduate Professional

: Other (Please specify) _____

Constitution : Individual Registered Partnership Hindu Undivided Family

Statutory Corporation Private / Public Ltd. Company

Private / Public Trust Societies / Clubs / Association

Any Other [Pl. Specify]

Names of authorized Partners / Directors : _____

(In case of Firms / Company) _____

Document Required:

For Individual / HUF & Others

Address & Identity proof

- Copy of Ration Card
- Copy of Election Card
- Copy of Driving License
- Copy of Passport
- Copy of PAN Card
- Bank Statement / Passbook copy verified by Bank Officer with Bank Stamp

For Corporate

- Copy of Board Resolution
- Copy of Memorandum & Articles of Association
- Copy of Certificate of Commencement of Business
- Copy of Address proof - Electricity Bill, Tel Bill MTNL /BSNL / Bank Statement verified by Bank officer with Bank Stamp

For Partnership

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

For Private / Public Trust

- Copy of Trust Deed
- Copy of Bye - laws for Societies / Clubs / HUF
- Address proof

AMFI Certified [Mandatory]

: Yes No

If yes a) Enclosed copy of certificate b) Registration No: _____

Permanent Account Number issued by Income Tax Authorities **(Mandatory)** _____

MAPIN UIN No. : _____

Products Presently Dealing in : Mutual Funds Fixed Deposits IPO's Insurance
 Secondary Market

Agencies : UTI Insurance Small Saving

Currently Empanelled with : _____

Experience in Investment Advisory Business : _____ Years

Expected Business : 1-5 lakhs 5-25 lakhs 25-50 lakhs 50-1 cr.

Procurement (per month) 1 cr. & Above

References : _____
 (Name / Add / Tel No.) _____



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 HSBC InvestDirect Securities Limited about changes, if, any, in the above details. I/We hereby apply to become a Sub broker of HSBC InvestDirect Securities Limited. I have read and understood the attached terms and conditions of HSBC InvestDirect Securities Limited and I/We agree to abide the rules and regulations of HSBC InvestDirect Securities Limited that may be in force from time to time.

Date	Name	Signature
=====		

FOR BRANCH USE ONLY

Branch _____ **Sub broker/ Franchisee (Tick)**

Relationship Manager's Code : _____

Pass out Rates: MF _____ **% FD** _____ **% GB** _____ **% PB** _____ **%**

Pass out Rates to be given % of Incoming / Receivable Rate

Recommended by _____
Name & Designation Signature

Authorised by _____
Name & Designation Signature

FOR H.O. USE ONLY

Code No Allotted

No. of Additional Code _____ Series of Codes : From _____ To _____

Code Allotted by _____
Name Signature

TERMS & CONDITIONS

- ▶ Your area of operation is confined to dealings through our _____ Office & Sub broker code allotted to you is not valid at any of our branch offices anywhere in India.
- ▶ The agency will be valid for a period of 1 year from the date of appointment & will automatically stand renewed for further 1 year, unless it is terminated earlier as provided hereinafter.
- ▶ We expect minimum procurement of Rs. _____ /- per annum. The Sub broker shall make all efforts in marketing the products specified by HSBC InvestDirect Securities Limited & strive to achieve the minimum target of procurement.
- ▶ Besides marketing the products of HSBC InvestDirect Securities Limited, the Sub broker shall carry out other instructions & directions as may be issued from time to time issued by HSBC InvestDirect Securities Limited for the purpose of fully & effectively carrying out the terms of the agency.
- ▶ Forms bearing the stamp of HSBC InvestDirect Securities Limited in Brokers / Agents column & in case of Mutual Fund Forms Code ARN-0025 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.
- ▶ Sub broker code allotted to you is to be stamped in the sub-broker column on the application form supplied to you. No claim for sub-brokerage will be entertained if you do not affix sub-broker code allotted to you or affix incorrect code on forms. We are not liable for any errors in sub-broker column, which may arise on account of incorrect information as per the allotment statements provided to us in any issue.
- ▶ Sub-Brokerage will be paid at rates specified on our receiving the same form the company & on the basis of sub-broker wise allotment statement.
- ▶ Sub-Brokerage will be paid at rates specified on our receiving the same form the company & on the basis of sub-broker wise allotment statement.
- ▶ In case Sub-Brokerage for a particular New Issue(s)/Mutual Fund(s)/ Fixed Deposit(s)/ Government Bond(s)/Private Bonds(s) processed is less than Rs. 1000/-the same will be carried forward till such time that it exceeds Rs. 1000/-
- ▶ Change in the Sub broker code & Name will not be allowed except at our sole discretion. In any case such request will not be entertained in respect of business already canvassed & submitted to us.
- ▶ All applications should be collected by means of an Account Payee Cheque / DD & should be payable to the Company / Bankers as specified on the application form. We have not authorized & Sub broker to accept Cash / Money Orders, Postal Orders or any other form of remittance on our behalf. We are not liable to any such transaction entered into which involves handling of cash.
- ▶ The Sub broker shall at all time conduct themselves with propriety & decorum & in a manner, which is not prejudicial to the interest of HSBC InvestDirect Securities Limited.
- ▶ The Sub broker shall not represent HSBC InvestDirect Securities Limited to any third party, otherwise than as a Sub broker of HSBC InvestDirect Securities Limited & shall not use HSBC InvestDirect Securities Limited emblem, logo, name or trade marks except in the manner expressly authorized in writing by HSBC InvestDirect Securities Limited.

- ▶ The Sub broker shall indemnify HSBC InvestDirect Securities Limited against any loss, expenses, liability, charges that HSBC InvestDirect Securities 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.
- ▶ The Sub broker shall be eligible for Sub-Brokerage on the business they have canvassed & reported to HSBC InvestDirect Securities Limited at the rates communicated to them from time to time. The Sub broker shall not be entitled to receive any commission unless the mobilization figures are verified and confirmed by HSBC InvestDirect Securities Limited, Bankers, R&T or any other internal or external parties entrusted with such job.
- ▶ HSBC InvestDirect Securities Limited is not responsible for any errors, omissions or mistakes that may be committed by the third parties that may cause a loss of commission to the Sub broker. HSBC InvestDirect Securities Limited will not entertain any correspondence with the Sub broker on matters relating to such errors committed by the third parties.
- ▶ The rates of commission are subject to change from time to time & the Sub broker is bound by such changes. While HSBC InvestDirect Securities Limited shall make every effort to communication promptly the changes in commission rates applicable at any given point of time & HSBC InvestDirect Securities Limited is not responsible for any loss that may be incurred by the Sub broker in case of delay or failure on its part in communication the brokerage rates to the Sub broker.
- ▶ Whenever the Sub broker receives any commission wrongly in excess of what is due to him, he shall forthwith refund the commission so received within 10 days from date of receipt failing which he shall be liable to pay interest @ 18% on the outstanding amount in addition to the civil or criminal prosecution HSBC InvestDirect Securities Limited may launch against him for recovery of the amounts due.
- ▶ Without specifying any reason whatsoever, either party may terminate the agency at any time by giving 30 days prior notice in writing. Upon the termination of the agency, the Sub broker is liable to return to HSBC InvestDirect Securities Limited any unused publicity material, stationary etc. That may be lying with him within 15 days of termination of the agency & HSBC InvestDirect Securities Limited would settle his commission due in any, within 30 days from the date of termination or from the date of return of the unused material whichever is later.
- ▶ The appointment of the agency is liable to be terminated forthwith by HSBC InvestDirect Securities Limited in case of:
 - Breach of any of the Terms & Conditions mentioned above and/or
 - Breach of any instructions/directions are communicated to him subsequently from time to time
- ▶ HSBC InvestDirect Securities Limited reserves the right to modify, alter, amend, add or delete any of the above-mentioned terms without any prior notice.
- ▶ Any disputes arising out of this agency, if not amicably settled by the Parties within 21 days, then the disputes shall be finally settled by arbitration conducted in accordance with the provisions of the Arbitration & Conciliation Act, 1996.
- ▶ Any disputes arising out of this agency, if not amicably settled by the Parties within 21 days, then the disputes shall be finally settled by arbitration conducted in accordance with the provisions of the Arbitration & Conciliation Act, 1996.
- ▶ Any suit or legal proceedings arising out of this Agency only the Courts at _____ shall be the Courts having jurisdiction to entertain & try the same.

Date :

To,

HSBC InvestDirect Securities Limited.

Dhana Singh Processor Premises,
J B Nagar, Andheri - Kurla Road,
Andheri (E), Mumbai - 400 059.
Tel: (022) 6789 7777, Fax: (022) 6789 7968

Sub : Confirmation for Direct Credit through RTGS/NEFT

Dear Madam / Sir,

I/We hereby give my/our confirmation for receipt of Brokerage/Commission through electronic credit in my /our following bank account;

Sr No.	Particulars	
1	Name of the Bank	
2	Branch	
3	Address of the Bank	
4	Account Type	
5	Bank Account No.	
6	Nine Digit MICR No.	
7	RTGS/NEFT / IFSB Code	

Also please find the copy of cancelled cheque.

I hereby declare that the particulars given above are correct and complete. If the transaction is delayed or not effected at all for reason of incomplete or incorrect information. I would not hold you responsible for the delay.

Thanking You.

Your's Faithfully

Authorised Signatory