

7. Nominee Details

Nomination details for Brokerage/ Commission (Incase of individual agents only)

I hereby nominate the person named below to receive the amounts of brokerage to my credit in the event of my death.

*Nominee Name		
*Date of birth (If Minor)		
*Guardian's Name (Incase of Minor)		*Relationship
*Address of Nominee/ Guardian		
*City	*State	*Pin
Specimen Signature of Nominee/ Guardian		Signature of Associate

8. Declaration

Note: All fields marked with * are mandatory

I/We hereby declare that the information furnished herein is complete and correct in all respects. I/We undertakes to abide by (a) such guidelines, code of conduct and other circulars etc. Issued by SEBI and /or AMFI that may be applicable to me/us, and (b) the terms and conditions stated overleaf as amended from time to time.

Date	Signature
Place	

For Office use only

Recommended by Relationship Manager/Associates: _____			
Classification (any one)	FD (any one)	MF (any one)	Empanelment Fee Details
<input type="checkbox"/> National <input type="checkbox"/> IFA	<input type="checkbox"/> Premium	<input type="checkbox"/> Gold	Amount: Rs _____ Cheque No. _____
<input type="checkbox"/> Regional <input type="checkbox"/> Bank	<input type="checkbox"/> Super Premium	<input type="checkbox"/> Base	Bank Name _____ Cheque Date. _____
	<input type="checkbox"/> Base		Note: (Cheque of Rs. 1000/- in favour of RR IT Solutions Pvt. Ltd.)
Remarks : _____			
RM Name : _____		Region Name _____ Regional Head: _____	
Approved by : _____		Approved By : _____	
Signature		Signature	

Check List

Please check the following documents are enclosed:-

For Individual	For Corporates	For Partnership Firm
<input type="checkbox"/> Copy of the AMFI Certificate	<input type="checkbox"/> Copy of the AMFI Certificate	<input type="checkbox"/> Copy of the AMFI Certificate
<input type="checkbox"/> Copy of ARN Card	<input type="checkbox"/> Copy of ARN Card	<input type="checkbox"/> Copy of ARN Card
<input type="checkbox"/> Copy of Pan Card	<input type="checkbox"/> Memorandum of Association	<input type="checkbox"/> Partnership Resolution on deeds
<input type="checkbox"/> Copy of Address Proof	<input type="checkbox"/> Authorised Signatory list.	<input type="checkbox"/> Authorised Signatory list.
<input type="checkbox"/> Cancelled Cheque Leaf	<input type="checkbox"/> Board Resolution	<input type="checkbox"/> Copy of Pan Card
	<input type="checkbox"/> Copy of Pan Card	<input type="checkbox"/> Cancelled Cheque Leaf
	<input type="checkbox"/> Cancelled Cheque Leaf	
Please check if the following Mandatory details are filled		
<input type="checkbox"/> Complete Address	<input type="checkbox"/> Complete Address	<input type="checkbox"/> Complete Address
<input type="checkbox"/> Contact No.	<input type="checkbox"/> Contact No.	<input type="checkbox"/> Contact No.
<input type="checkbox"/> Registration Number(ARN)	<input type="checkbox"/> Registration Number(ARN)	<input type="checkbox"/> Registration Number(ARN)
<input type="checkbox"/> Bank Account Details	<input type="checkbox"/> Bank Account Details	<input type="checkbox"/> Bank Account Details

TERMS AND CONDITIONS GOVERNING APPOINTMENT OF ASSOCIATE /MARKETING ASSOCIATE

- THE APPOINTMENT OF MARKETING ASSOCIATE IS SUBJECT TO THE FOLLOWING TERMS AND CONDITIONS AND MARKETING ASSOCIATE HAS UNDERSTOOD AND AGREED TO ABIDE BY THE SAME AS ARE SET OUT HEREIN
- THE MARKETING ASSOCIATE has never been convicted of any criminal offence involving moral turpitude as also no legal proceeding are pending against him and also undertakes to inform RRIRS forthwith in case any legal proceedings are initiated against in the future.
 - THE MARKETING ASSOCIATE shall not represent RRIRS in any manner whatsoever and shall not either directly or indirectly indulge in any acts/activities which may be prejudicial to the interest of RRIRS or its group companies.
 - THE MARKETING ASSOCIATE should sufficiently generate business that will entitle him to minimum Brokerage every year as may be prescribed by RRIRS and in case the target is not achieved, RRIRS reserves the right to cancel the registration forthwith and forfeit the amount of Brokerage payable to the FINANCE BROKER, if any.
 - THE MARKETING ASSOCIATE shall not accept CASH from any investor for any product / services under any circumstances.
 - THE MARKETING ASSOCIATE shall not accept CHEQUE in his name whether directly or indirectly from any investor for any product services under any circumstances.
 - THE MARKETING ASSOCIATE shall send all application(s) to office of RRIRS accompanied by local cheque(s) / Draft(s) only. Broker- age will be paid to the MARKETING ASSOCIATE only by cheque/draft and in no case, cash will be paid.
 - The rate of Brokerage will differ from company and client to client which shall be intimated to the MARKETING ASSOCIATE by RRIRS from time to time.

- 8 Marketing Associates who are not AMFI certified will not be eligible for doing business in Mutual Fund.
- 9 No canvassing or inducement shall be done orally or in writing by the MARKETING ASSOCIATE for making investments in any of the products i.e. Fixed Deposits/ shares etc. The discretion in this regard should always be that of the investor.
- 10 No guarantee shall be given with regard to any of the products proposed to be sold or serviced by the MARKETING ASSOCIATE in any capacity or manner whatsoever.
- 11 RRIRS in its absolute discretion reserves the right to discontinue/terminate at any time, the appointment of MARKETING ASSOCIATE without assigning any reason. This agreement shall forthwith terminate on the violation of any of the term(s) and/ or condition(s) of this agreement by the FINANCE BROKER. On termination, the MARKETING ASSOCIATE shall remain liable for such liability as may be caused to RRIRS. On termination, the MARKETING ASSOCIATE shall not solicit business for any product or service from the clients who were serviced by it and shall forthwith dissociate from all such and other clients of RRIRS. The liability and indemnity of the MARKETING ASSOCIATE shall survive the expiry of this agreement.
- 12 RRIRS shall not be liable or have any responsibility of any kind for any loss or damage thereby incurred or suffered by the client of the MARKETING ASSOCIATE resulting from acts, event or circumstances not reasonably within its control or RRIRS including but not limited to force majeure conditions.
- 13 THE MARKETING ASSOCIATE shall maintain a high profile of RRIRS and its group companies and maintain a high degree of integrity and honesty in dealing with its clients, investors and public in general & render all possible co-operation and guidance to the investors with regard to the product and the services.
- 14 THE MARKETING ASSOCIATE shall send -periodical reports with regard to sale of products and business and market trends from time to time as per system in manner defined by RRIRS and send all material information, which may be relevant to the sale of products / services and/or matter connected therewith to RRIRS
- 15 Whereas RRIRS for its associate concerns will not use the database of clients of the associate to market any scheme directly unless these clients are not satisfied with the associate and approaches RRIRS in writing.
- 16 THE MARKETING ASSOCIATE shall abide by all laws related to transaction of RRIRS including Laws, Rules and Regulation of Securities and Exchange Board of India, Reserve Bank of India, Insurance Regulation Development Authorities, Companies Act, 1956 etc.
- 17 THE MARKETING ASSOCIATE is not registered/ affiliated / associated with similar entity as RR Investors Retail Services Pvt. Ltd.(RRIRS) in securities business and under- take to discontinue such registration/ affiliation / association with in a period of two months from the date hereof.
- 18 THE MARKETING ASSOCIATE shall not be paid any brokerage by RRIRS in case of deposit(s) if application is/are returned by the company for any reason whatsoever. In case any deposit is withdrawn before the expiry of maturity period, the Brokerage payable or paid on such deposit(s) shall be liable to deduction from future payments to the FINANCE BROKER.
- 19 In case of product marketing, a company/ firm / individual may be nominated to pay Brokerage and such payment shall be effective discharge of any liability on account of Brokerage payable for such product
- 20 THE MARKETING ASSOCIATE shall initiate and take all steps for the promotion of business and canvass and conduct business for products and services of RRIRS in accordance with Association of Mutual Funds of India (AMFI) Guidelines and Norm for intermediaries including code of conduct any Rules and Regulations that may be framed or amended by AMFI from time to time.
- 21 THE MARKETING ASSOCIATE shall guarantee total confidentiality and secrecy of the entire information gained during the continuance of this agreement to any third party and shall never disclose without the express written consent of RRIRS except to any regulatory authority pursuant to any inquiry or investigation or by requirement of law or to an arbitrator or a court of law in the course of proceedings in which both parties to this agreement are involve. This obligation shall survive even after the termination of this agreement.
- 22 Complaints(s), if any of the MARKETING ASSOCIATE will be entertained by RRIRS only when these are referred by quoting Registration code and within a period of six months of giving relevant business to RRIRS.
- 23 RRIRS reserves the right to alter any of the term(s) and/or conditions(s) mentioned herein from time to time which amendments shall be effective upon RRIRS giving the MARKETING ASSOCIATE not exceeding seven days notice in writing.
- 24 THE MARKETING ASSOCIATE also unconditionally and irrevocably agrees to indemnify RRIRS and shall always keep RRIRS indemnified, harmless from and against all claims, demands, actions, proceedings, loss, damages, liabilities, charges and / or expenses that are occasioned or may be occasioned to RRIRS directly or indirectly, owing to the transaction undertaken for the client or on account of any act or omission or negligence by the MARKETING ASSOCIATE or his/ its employees.
- 25 RRIRS shall not be liable for any loss(es) that may be incurred on account of any inability to execute transactions due to any restrictive action taken by the RRIRS on the MARKETING ASSOCIATE warranted by the former's risk management strategy.
- 26 The rights and remedies herein are cumulative and not exclusive of any rights or remedies provided by law. No failure to exercise or delay in exercising the same shall operate as a waiver thereof, nor shall any single or partial exercise thereof preclude any other or further exercise thereof.
- 27 It is understood that the appointment of MARKETING ASSOCIATE shall not constitute any arrangement whereby any employer/ employee relationship may be constituted between the parties to this agreement.
- 28 Any and all disputes arising out of or in connection with this agreement or its performance shall be settled by arbitration by Sole Arbitrator to be appointed by RRIRS. The arbitration shall be held, in New Delhi. MARKETING ASSOCIATE and RRIRS hereby agree in ensuring quick settlement of any arbitration proceedings,
- 29 All disputes shall be subject to exclusive jurisdiction of Courts at Delhi.

Date: _____

Place: _____

Name : _____

Signature: _____