

Mahindra FINANCE

MAHINDRA & MAHINDRA FINANCIAL SERVICES LIMITED

2nd Floor Sadhana House, 570, P.B Marg, Worli, Mumbai - 400 018 Tel: +91 22 6652 3500.

PROFILE - CUM-REGISTRATION FORM [FOR INDEPENDENT FINANCIAL ADVISOR / FD AGENT (FA)/NATIONAL DISTRIBUTOR (ND)]

(Tick whichever is applicable)

Applicant's Name: Mr./Mrs./Ms. _____ Date of Birth /Date of incorporation: <input type="text"/> / <input type="text"/> / <input type="text"/> / <input type="text"/> Status: <input type="checkbox"/> Individual <input type="checkbox"/> HUF <input type="checkbox"/> Partnership <input type="checkbox"/> Company <input type="checkbox"/> Trust <input type="checkbox"/> Others (Please specify): _____	Please affix your Photograph & Sign across it
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Contact Details

Name: _____
(First) (Middle) (Last)

Relationship with the IFA FA ND
 (If contact person is other than IFA / FA / ND): _____

Tel. (Office) : _____ Tel. (Res) : _____ Mobile No. : _____
 Email : _____ Fax : _____

Address: Flat/Bldg. No./Name: _____
 Street No. /Name: _____
 Area: _____
 City : _____ Pin Code : _____ State : _____

● Do you have any of your relatives working with MMFSL? If yes, Please provide their name & contact number.
 Name of the Employee Contact number

Kindly note that the address printed on the TDS Certificates (if tax is applicable) issued to you will be the address you had given at the time of making an application for PAN with Income Tax. The TDS certificates will be dispatched at the address as printed on the TDS certificates. If there is any changes in the address kindly update the same in the Income Tax Department database, by applying for PAN change request through NSDL or UTITSL.

Educational Qualification

SSC HSC Graduate CA MBA Engineer Other (Please specify) _____

AMFI/NISM/IRDA/CFA/CFP Certification Number] _____ Not applicable

Documents to be Submitted

In case of Individual

● Proof of Identity : (Any one of the below)

PAN Card Passport Voters' ID Driving License

● Proof of Residence : (Any one of the below)

Passport Voters' ID Driving License Ration Card Electricity Bill Telephone Bill

In case of Non-individual [all of the below]
 (For Company) Memorandum of Association, Articles of Association Board Resolution, Specimen Signatures of Authorised Signatory
 (For Partnership Firm) Partnership Deed, (for Trust) Trust Deed, (for HUF) HUF declaration by Karta

Income Tax Details

● PAN : (PAN Card Copy Mandatory)

If PAN is not furnished or PAN furnished is invalid, then Tax will be deducted at the higher rate as per Income Tax

Bank Details

Bank Name: _____ Account Type: _____ Branch: _____
 Account Name: _____ Address: _____

DECLARATION

I/We hereby give my/our consent to work as an IFA/FA/ND for primary Market product mobilization with MSM Financial Services Limited on the terms and conditions mentioned herein which are acceptable to me/us. I/We declare that the particulars furnished above by me/us are true and correct and that no material information has been concealed by me/us. I/We undertake to inform, in writing, of changes in the particulars furnished above. In case if any of the above the information is found to be false or untrue, I/We shall be held liable for it. I/We hereby declare and undertake to abide by and strictly adhere to the terms and conditions contained in these documents and the changes that would be made by MSM Financial Services Limited from time to time. I/We hereby declare that I/We/am/are AMFI certified persons and my/our registration number is _____ OR: I/We am/are not AMFI certified but undertake to pass the AMFI Certification examination within 60 days from the date hereof, I/We further undertake that I/We shall not distribute Mutual Fund Units till I/We/am/are AMFI certified. I/We hereby declare and undertake to abide by and strictly adhere to the AMFI code to conduct for the mutual funds intermediaries.

Signature of IFA/FA/ND: _____ Date: _____
 Name of IFA/FA/ND: _____ Place: _____

For Office Use

I hereby declare the above mentioned Agent is not related to me & this application is processed solely based on the request from the Agent.

IFA/FA/ND Code No: _____ Allotted On: _____ RM's Name: _____
 Introducer Name*: _____ Branch Head's Signature: _____ RM's Signature: _____
 [* If introduced by RM any other business segment other than FA/ND group]

Terms & Conditions governing the appointment of IFA/FA/ND

1. The arrangement between M&M Financial Services Limited (the Company) and the IFA/FA/ND shall be exclusively on 'Principal to Principal' basis. In no event, the relationship between the Company and the IFA/FA/ND should be construed as that Principal and Agent and that of the Employer and the Employee as there is no such intention to create such kinds of relationship.
2. The IFA/FA/ND shall not at anytime represent to the outsiders that he/she/it is the employee of the Company. He/ She shall promptly pass on the cheques received by him/her/it from the clients/investors to the Company along with relevant application forms. At no point of time, the IFA/FA/ND shall accept any cash or cash equivalent from any of his/her/its clients.
3. The IFA/FA/ND shall be responsible for all his/her/its acts of deeds prior to the termination. The termination will not absolve him/her/it from all the acts of deeds done by him/her/it during the tenure of agency. Not with standing anything contained herein, the IFA/FA/ND ship's shall expire either by efflux of time or any happening of any of the following events: (1) if the IFA/FA/ND commits breach of any of the terms mentioned herein. (2) If the Company, goes into voluntary liquidation. (3) If the IFA/FA/ND is guilty of any conduct which the Company believes prejudicial to the interest of the Company of the investors. If any event happens this makes the performance of this arrangement impossible by reason of any force majeure or otherwise.
4. The IFA/FA/ND shall not transfer his/her/its rights and benefits to any other party without the prior written consent of the Company.
5. The IFA/FA/ND hereby agrees that he/she/it shall strictly comply with all laws, rules and regulations of RBI, AMFI SEBI and all public authorities where the IFA/FA/ND conducts his/her/its business relating to the performance of or obligations under this agreement with the Company, the IFA/FA/ND also agrees to obtain all the permission necessary for running its business.
6. The IFA/FA/ND shall indemnify and keep the Company indemnified against every and all claims, demands, damages, liabilities, proceedings, losses, charges and expenses made, whether directly or indirectly, to the Company, by the reason of commission of any wrongful act or omission on the part of the IFA/FA/ND. The provision of this clause shall survive the termination or expiry of this arrangement.
7. As a condition of engagement, the IFA/FA/ND agrees that the Company shall have exclusive ownership of, and any and all right, title and interest in all copyrights, trademarks, services mark rights, patents of processes associated with any work, mark, invention or process produced during the course of the engagement, which was originated or developed in connection with the engagement. Any proprietary rights with respect to any invention or process originated or developed in connection with such engagement reduced to practice following the termination of such engagement if the invention or process existed in an identifiable from prior to such termination.
8. As a further condition of engagement, IFA/FA/ND's agree to execute any and all documents necessary to protect and preserve the Company's proprietary rights in copy rights, trademarks, service marks, patents, processes and trade secrets, even if no longer engaged by the firm. The IFA/FA/ND further agrees, at the Company's request, to confirm such rights in writing.
9. The IFA/FA/ND will be eligible for Brokerage /sub-brokerage on the business procured at the rate/rates prevailing on that day and as may be decided by the Company from time to time. Such Brokerage /sub-brokerage rates will be subject to revision at the sole discretion of the Company and without prior intimation.
10. A code number will be allotted to the IFA/FA/ND only after a Personal Interview with the prospective IFA/FA/ND. Incomplete Application Forms or inappropriate information's are liable to be rejected.
11. It is the responsibility of the IFA/FA/ND to affix his/her/its "code number" on all applications procured by him/her/its. In the absence/unclear of the "code number" the brokerage will not be paid. In case of multiple codes appearing then application will be considered under "MMFSL Code"
12. Brokerage/ sub-brokerage paid / payable will be inclusive of all taxes as applicable. Tax will be deducted at source as per income tax laws. Brokerage is only applicable subject to submission of all required KYC documents within 15 days from the date of Deposit.
13. An agent is not entitled to any Commission, if he/she is the 1st deposit holder in the FD application form.
14. Brokerage is subject to recovery, if the Depositor pre-closes the FD before the date of maturity (other than death claim) at the discretion of the company.
15. The Company reserves right to alter any of the terms and conditions governing appointment of IFA/FA/ND and to terminate this arrangement without assigning any reason.

Corporate Office:
2nd Floor, Sadhana House, 570, P.B. Marg,
Worli, Mumbai – 400 018
Tel: (91 22) 6652 3500.

Date:

Place: _____ Signature of IFA/FA/ND: _____