

HDFC securities Trading a/c

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no:

Client Name : \_\_\_\_\_

I/We am/are registered as your client with above mentioned Trading a/c no. for the purpose of trading in the Capital Market segment of National Stock Exchange of India Ltd. (Exchange) / BSE Ltd.

- I/We am/are interested in availing the MFSS / BSE StAR MF facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the MFSS / BSE StAR MF of the Exchange.
- For the purpose of availing the MFSS / BSE StAR MF facility, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of MFSS / BSE StAR MF and I/we further confirm that the details contained in same remain unchanged as on date.
- I/We are willing to abide by the terms and conditions as mentioned in the Circular dated November 24, 2009 (NSE) / December 02, 2009 (BSE) and as may be specified by the Exchange from time to time in this regard.
- I/We shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India (SEBI) and Association of Mutual Funds of India (AMFI).
- I/We shall read and understand the contents of the of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund schemes with respect to which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund schemes.
- I/We therefore request you to register me/us as your client for participating in the MFSS / BSE StAR MF.
- I/We hereby confirm having read and understood the terms & conditions and disclosures provided overleaf.

**\* Declarations:**

➤ I / We confirm that my income range and occupation details is (please tick the relevant box)

- ☐ >1 lakh      ☐ 1 lakh to 5 lakh      ☐ 5 lakh to 10 lakh      ☐ 10 lakh to 25 lakh      ☐ Above 25 lakh
- ☐ Public Sector      ☐ Private Sector      ☐ Govt. Service      ☐ Business      ☐ Professional      ☐ Others (Pls.specify) \_\_\_\_\_

Employer Name : \_\_\_\_\_ ( Private Sector )

Thanking you,

Yours faithfully

X signature of the client

For MFSS (NSE)

X signature of the client

For BSE StAR MF

**Details of terms & conditions for the Investor / Client for using New MFSS facility/ BSE StAR MF platform****1. Pre-requisites for becoming Investor / Client for the New MFSS facility/ BSE STAR MF platform**

- 1.1. The client who is desirous of investing in units of mutual fund schemes through the New MFSS/ the BSE STAR MF.
- 1.2. The Client intends to execute his instruction for the subscription/redemption of units of Mutual Fund Schemes through the Participant/ the broker who is a Mutual fund Intermediary (MFI) of the New MFSS/ BSE STAR MF platform.
- 1.3. The client has satisfied itself of the capacity of the Participant/MFI to deal in Mutual Fund units and wishes to execute its instruction through the Participant/MFI and the client shall from time to time continue to satisfy itself of such capability of the Participant/MFI before executing transacting through the Participant/MFI.
- 1.4. The Client has approached to the Participant/MFI with the application for availing the New MFSS facility/ BSE STAR MF platform.
- 1.5. The client has submitted relevant KYC (Know Your Client) details to the Participants/MFIs.

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## 2. Terms and Conditions

- 2.1 The client shall be bound by circulars/notices issued by NSEIL/BSE from time to time including the Circulars issued by NSEIL since 2009 onwards and circulars issued thereafter and circulars issued there under by SEBI and relevant notifications of Government authorities as may be in force from time to time.
- 2.2. The client shall notify the Participant/MFI in writing if there is any change in the information in the client registration form' provided by the client to the Participant/MFI at the time registering as a client for participating in the New MFSS/ STAR MF platform or at any time thereafter.
- 2.3. The client shall submit to the Participant/MFI a completed application form in the manner prescribed format for the purpose of placing a order with the Participant/MFI.
- 2.4. The client has read and understood the risks involved in investing in Mutual Fund Schemes.
- 2.5. The client shall be wholly responsible for all his investment decisions and instruction.
- 2.6. The client shall ensure continuous compliance with the requirements of NSEIL/BSE, SEBI and AMFI.
- 2.7. The Client shall pay to the Participant/MFI fees and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that Participant/MFI renders to the Client.
- 2.8. The client will furnish information to the Participant/MFI in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
- 2.9. In the event of non-performance of the obligation by the Participant/MFI, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of NSEIL/BSE or NSCCL/ Indian Clearing Corporation Ltd. (ICCL).
- 2.10. In case of any dispute between the Participants/MFIs and the investors arising out of the MFSS facility/ BSE STAR MF platform, NSEIL/BSE and / or NSCCL/ICCL agrees to extend the necessary support for the speedy redressal of the disputes.

### Disclosure

As per SEBI circular: SEBI/IMD/CIR No. 4/168230/09, following are the details of the comparative commission earned by HDFC securities Limited (AMFI Reg. No. 13549) from various fund-houses, whose products are being distributed:

Fund Schemes	Upfront Brokerage/Upfront Commission	Trail year 1	Trail year 2 onwards
Equity and Balanced	0% to 1.5%	0% to 1%	0% to 1%
Index	0% to 1%	0% to 0.75%	0% to 0.75%
ELSS	0% to 2%	0% to 0.75%	0% to 0.75%
Asset Allocation	0% to 1.5%	0% to 1%	0% to 0.1%
Arbitrage Funds	0% to 1%	0% to 1%	0% to 0.50%
Monthly Income Plans	0% to 1.5%	0% to 1%	0% to 0.50%
Gilt	0% to 1%	0% to 1%	0% to 0.50%
Income	0% to 1.5%	0% to 1%	0% to 1%
Short Term	0% to 0.05%	0% to 0.50%	0% to 0.50%
Liquid & Floating Rate	0% to 0.05%	0% to 0.50%	0% to 0.50%

HDFC securities could also get reimbursements towards promotion and marketing related activities conducted by HDFC securities on behalf of AMCs. These reimbursements are event based and the same may or may not be received from AMCs in a particular period. Further, since such activities may be carried out at AMC level, reimbursement amount received cannot be attributed to any specific scheme being offered by such AMC.

This is on a best effort basis and rates are updated as and when actual rates are received from AMCs.

The above Schedule of Commissions is as of 1st August 2009. It is subject to change, without any prior consent and at a sole discretion and agreement between HDFC securities and the respective Mutual Fund houses.

### Declaration I am fully aware that

- ☞ I would need to keep clear balances in my linked Bank/DP accounts for the transaction to be processed.
- ☞ I have understood the terms and conditions attached herewith and agreed to the same.
- ☞ I have understood HDFC securities will place my order on a best effort basis.
- ☞ Mutual Fund investments are subject to market risk, please read the Statement of Additional Information (SAI)/Offer document (OD)/Scheme Information Document (SID) carefully before investing.

\*HDFC securities limited offers execution based services only