



## **Sub-Broker Registration Form**

**Name** :

**Contact Person** :

**Office Address** :

**Residential Address** :

**Telephone No.** : (O) - \_\_\_\_\_ (R)- \_\_\_\_\_

**Mobile No.** :

**Fax** :

**Email** :

**Occupation** :

**PAN No. / GIR No.** :  
(In case there is no PAN No. / GIR No. Please mention 'Not Allotted', 'Not Applied For' or 'Not Assessed')

**AMFI Registration No.** :

**Referred by** :

### **Declartion**

We are prepared to work as Sub-Broker for New Issues / Bonds / Mutual Funds / Fixed Deposits with you on terms and conditions given and same are acceptable to us.

**Place:**

**Date:**

**Seal & Signature of Sub-Broker**

## **TERMS & CONDITIONS**

1. It is expressly agreed that only, the Forms bearing the stamps of ENAM Securities Pvt. Ltd. & **Code No. 01/0509-1** in the Syndicate Member's /Broker's/Agent's Stamp & Code column should be used.
2. The Sub-Broker code allotted to you shall be duly stamped in the Sub-Broker's code column on the application forms supplied to you. No claim for Sub-Brokerage shall be entertained if you do not affix the Sub-Broker code allotted to you, or affix an incorrect code on the forms. ENAM shall not be liable in any manner whatsoever, for any error in the Sub-Broker code column, which may arise on account of incorrect information as per the allotment statements provided to ENAM in any issue.
3. You shall do your best to promote the Business to all your clients, having regard to the investment objectives and risk profiles of the clients.
4. We shall endeavor to provide the following services;
  - a. Up to date information and a detailed list of public issues open for subscription and the rates of sub-brokerage payable thereon.
  - b. Payment of sub-brokerage in respect of all applications collected by you using forms of ENAM.
  - c. Application forms and other relevant material may be obtained from our collection office at the address given above. However, distribution of number of forms shall generally be related to past performance and subject to availability of the same with ENAM.
5. You agree and undertake to inform your clients at all times that ENAM shall not in any manner whatsoever be responsible, for any transactions / dealings effected between you and your clients.
6. You are Sub-Broker of ENAM for New issues of Bonds/Equity Shares, Mutual Funds, Fixed Deposits and Government of India's tax Free Relief Bonds ONLY and shall not describe yourself as affiliate of ENAM in any other capacity whatsoever.
7. You shall promptly get yourself registered or licensed in such manner as may be required. If so required by the Securities and Exchange Board of India or by any other Authority under any law.
8. You expressly agree that in the event of any change, such as, a change in your office address, change in the constitution of the firm, receipt of any show cause notice from any Regulatory Body etc., the same shall be notified to ENAM forthwith in writing.
9. Sub-brokerage will be paid at rates specified on our receiving the same from the Company and on basis of Sub-Broker wise allotment statement furnished to ENAM by the Company/Registrar to the Issue/FD Scheme.
10. Sub-brokerage will be paid at rates specified by Cheque, demand draft or any other direct credit arrangements at the discretion of ENAM in the name of the Sub-Broker (and not, to any nominee or other person. In case of outstation Sub-Brokers Sub-brokerage will be paid by cheque or demand draft (Net of Charges). No sub-Brokerage will be paid in cash.
11. All payments to the Sub-Brokers shall be subject to the relevant provisions of the Income Tax Act and other applicable laws.
12. In case of brokerage for a particular issue or a batch/lot of issues processed is less than Rs.100/- the same will be carried forward till such time that it exceeds above for a period of 6 months.
13. All claims, disputes or differences shall be subject to the exclusive jurisdiction of the courts at MUMBAI.

I/We accept the above terms and conditions

**Seal & Signature of Sub-Broker**