

# TRADING BELLS

## BELLS BUDDY PROGRAM

### Remisier Application Form

[www.tradingbells.com](http://www.tradingbells.com)

Powered By

**Swastika Investmart Limited**

Group Member of NSE, BSE, MCX, NCDEX, MSEIL & DP:CDSL & NSDL

**SEBI Regn. No. :** NSE - INB/F/E 231129736, BSE - INB/F 011129732, MSEIL - INE 261129736, INB/F 261129739,  
Merchant Banking - INM000012102

**FMC Regn. No. :** NCDEX- NCDEX/TCM/CORP/0832, MCX - MCX/TCM/CORP/1419,  
**DPID :** NSDL - IN -DP-115-2015, CDSL - IN-DP-115-2015

**FORM B**

**Form for Approval of Appointment as Remisier**  
(To be filled in by the Remisier who is an Individual)

1. Name: \_\_\_\_\_

2. Trade Name : \_\_\_\_\_

3. Address, Telephone/Fax Numbers :

(a) Residence Address: \_\_\_\_\_

\_\_\_\_\_

(b) Telephone No / Mobile: \_\_\_\_\_

(c) Office Address : \_\_\_\_\_

\_\_\_\_\_

4. Date of Birth : \_\_\_\_\_

5. Gender (Please tick) : Male / Female

6. Educational Qualification : \_\_\_\_\_

7. Present Occupation : \_\_\_\_\_

8. Residential Status : Resident Indian / Non-Resident Indian / Others\*  
**(Strikeout whichever is not applicable)**

9. Particulars of the Bank A/c :  
(Any one)

• Name of the Bank : \_\_\_\_\_

• Branch Address & Tel. No. : \_\_\_\_\_

\_\_\_\_\_

• Bank Account Number : \_\_\_\_\_

• Date of opening of a/c : \_\_\_\_\_

10. Income Tax No. (PAN/GIR) : \_\_\_\_\_

Please attach latest  
photograph & **SIGN**  
across the photograph

11.\* (a) A self-attested copy of any PAN Card for proof of identity should be submitted:

(b) A self-attested copy of any one of the following proof of address should be submitted

- Ration Card       Electricity Bill       Passport       Voters Identity Card  
 Driving license    BSNL / Landline Bill    Copy of Nationalized Bank Passbook

\*Copies of PAN card, Residence Proof & Educational proof issued by Board/ University are mandatory.

12. State any other relevant information, which in your opinion, should be disclosed to the Exchange: \_\_\_\_\_  
\_\_\_\_\_

I hereby further declare that

13. \* I am/was a Remisier of \_\_\_\_\_  
and I am sending herewith copy of their clearance / discharge certificate.

14. I shall not issue contracts, bills or any confirmation memo for shares and securities in my own name.

15. I have read the present Rules, Byelaws and Regulations of the Exchange & undertake to abide by them & any modifications/amendments thereof.

16. I undertake that if any claim or dispute arises between us in respect of any transactions, contracts, etc. entered into, with or through him/on account of my clients or in relation to any stock exchange matter during my continuance as a Remisier of Swastika Investmart Ltd. I shall be bound to refer the same to Arbitration as per the Rules, Bye-Laws, Regulations and conventions of BSE which are applicable to Remisiers and that any decision in such Arbitration shall be final and binding on me.

17. During my continuance as a Remisier of Swastika Investmart Ltd. I shall not work as an employee/sub-broker/remisier of any trading member, individual, firm or organization.

The information furnished above is true to the best of my knowledge and belief, and I undertake to inform you of any change therein immediately in writing.

\* Please strike off if not applicable.

Signature of Remisier Applicant

**Undertaking: B**

**DECLARATION-CUM-UNDERTAKING GIVEN BY REMISIER TO TRADING MEMBER**  
**(Name & Address of Applicant)**

To  
Name of the Trading Member : Swastika Investmart Ltd.  
Address : 48 Jaora Compound, Indore - 01  
Clearing No :

Sub : Remisier Application.

As per the Rules, Regulations & Bye-laws of BSE, I/We Mr./Ms./M/s\_\_\_\_\_ would like to engage myself /ourselves as Remisier/(s) of M/s Swastika Investmart Ltd. I/We hereby declare that all particulars and information furnished by me/us to Swastika Investmart Ltd. in the enclosed Remisier Application Form is true & correct. I/we hereby undertake to inform you and Bombay Stock Exchange Ltd. about any change in the details mentioned in the said application form immediately in writing.

Further, I /We hereby declare that myself or ourselves or any partner or any director of the organization have not ever been suspended, expelled or declared a defaulter by BSE or by any other stock exchange or by SEBI or any other Regulatory Authorities and I/we have not been convicted of and presently not on trial for any offence involving fraud or dishonesty.

Further, I /We hereby declare that I /We have read and understood the present Rules, Bye-laws and Regulations of BSE pertaining to Remisiers and undertake to abide by them and any modifications / amendments thereof.

Signature of Applicant : \_\_\_\_\_

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

Place : \_\_\_\_\_

Date \_\_\_\_/\_\_\_\_/\_\_\_\_\_  
(DD / MM / YYYY)

**AGREEMENT**

This agreement is executed at \_\_\_\_\_ this \_\_\_\_\_ day of \_\_\_\_\_  
20\_\_\_\_\_ between

Special Adhesive  
Stamp of Rs.  
100/-

**M/s. Swastika Investmart Ltd.**, a public limited company having its Registered Office at **305, Madhuban Building, Cochin Street, S.B.S. Road, Fort, Mumbai, Maharashtra – 400001** and corporate office at **48 Jaora Compound, M.Y.H Road, Indore – 452001** hereinafter referred to as the **“Member”** of the **One Part**;

**And**

Mr./Ms. \_\_\_\_\_ S/o/W/o/D/o \_\_\_\_\_

Proprietor of M/s (if applicable) \_\_\_\_\_

having a place of business at \_\_\_\_\_

\_\_\_\_\_ **(Sign.)**  
hereinafter referred to as the **“Business Associate”** of the **Other Part**.

**WHEREAS**

- The Member is the trading member of Bombay Stock Exchange Ltd. (SEBI Registration No. INB/F011129732), National Stock Exchange of India Ltd. (SEBI Registration No. INB/F/E231129736) and MCX Stock Exchange Ltd. (SEBI Registration No. INE261129736, INB/F261129739) (hereinafter referred to as “Exchanges”) and carrying on the broking and investment business in stock, shares, equity derivatives and currencies derivatives etc.
- The Business Associate is desirous to work as a ‘Remisier’ with the Member and has represented to the Member that he has requisite infrastructure and competence to the satisfaction of Member to work as intended and will carter to the requirements pursuant to the rules framed by the Member.

NOW THEREFORE this agreement witnessed and it is hereby agreed by and between the parties hereto as under –

**1. GENERAL**

The business associate shall, within the scope of the authority given under presents, introduce and refer the clients who are desirous of dealing through the Member and to participate in various services offered by Member from time to time and will not solicit business of any other Member broker. The Business Associate will be ethical business participant and will follow all the rules and regulations laid down by the Member.

\_\_\_\_\_  
[Swastika Investmart Ltd.]

\_\_\_\_\_  
[Business Associate]

**2. BROKERAGE SHARING/SERVICE CHARGES**

All brokerage generated by clients directly introduced by the Business Associate will be shared in the following manner. It will be slab-wise sharing system and subject to other conditions mentioned in this agreement.

Brokerage Slab per-month	Business Associate's Share
Rs. 0 to Rs. 1 Lakh	30%
Rs. 1 Lakh to Rs. 2 Lakh	40%
Above Rs. 2 Lakh	50%

**Points to Note:**

- a) Brokerage will only include the clients introduced directly by you. If any client introduced by the Business Associate introduces any other new client, then the new client will be considered as Member's (i.e TradingBells') direct client. This new client will not be added as the Business Associate's client hence, brokerage generated by this new client will not be shared with the Business Associate.
- b) The Business Associate shall complete the eKYC / Physical KYC of the client and get the account opening charges paid by them before forwarding the form and details to TradingBells. In-person verification shall remain the responsibility of TradingBells.
- c) The registration charges of this agreement shall be borne by the Business Associate.
- d) You may advertise or put hoardings of TradingBells, however prior approval for all such cases needs to be taken from TradingBells Management.
- e) All pay-outs will be done in your client margin account before the 10<sup>th</sup> of the following month.
- f) TradingBells reserves the right to modify/alter any points if the terms and agreement after mutual discussion.

**Guidelines for Business Associate**

- i) Add atleast 50 clients in the first 6 months of appointment

**OR**

Generate a minimum brokerage revenue of atleast Rs. 50,000 in the first six months

**AND**

- ii) Add atleast 5 clients per month after the first six months

This target is a basic requirement and is designed to be fair and encourage you to perform accordingly. If none of the conditions are met, the Business Associate status will be revoked and the normal referral\* status restored.

-----  
[Swastika Investmart Ltd.]-----  
[Business Associate]

\* (normal referral status means the referral policy of TradingBells as mentioned on our website at the time of above revocation and updated from time to time).

If after the first six months the Business Associate is unable to add 5 accounts in any particular month, the brokerage sharing slabs above will not apply, and sharing would be done in accordance of TradingBells' normal referral policy as mentioned on our website.

### **3. OBLIGATION OF BUSINESS ASSOCIATE**

- i. The Business Associate shall not send any communication to the clients on its letter heads as the representatives of the Member. The Business Associate shall also refrain from sending any SMSs/reports/messages etc. to the clients introduced by the Business Associate which does not have a prior of the Member. Any loss arising due to this action of the Business Associate shall amount to misconduct and all losses/damages shall be recovered from the Business Associate.
- ii. The Business Associate shall ensure that the e-mail ids and mobile numbers of the respective clients are submitted/attested in the KYC so as to enable the Member to send Digital Contract Notes, Ledger Statements and other Circulars etc. to all clients directly from the Head Office.
- iii. Business Associate is liable for all the registration and closure charges along with the applicable exchange closure fees.
- iv. Business Associate is not eligible for BOLT terminal.

### **4. RESTRICTIONS ON BUSINESS ASSOCIATE**

During the continuance of this Agreement, the Business Associate agrees:

- i. Not to do or omit to do or permit or suffer any act or thing which may bring disrepute to the Member or damage or conflict with its business interests.
- ii. Not to engage whether by itself or in association with any other person, firm or company, in any capacity whatsoever in any business or render services specified hereunder or similar nature therero.
- iii. Not to be interested/concerned in any business which in the sole opinion of the Member is similar to or competitive or in conflict with the Member's business
- iv. No advisory services to be provided to the client in the name of TradingBells or Swastika Investmart Ltd.
- v. Not to employ or seek to employ any person who is at that time or has at any time previously been employed by the Member and not to solicit costumers or former customers of the Member nor divert or seek to divert any customer from the Member.
- vi. Not to collect any amount other than account payee cheque, demand draft, pay order in favour of the Member and not to deal in cash.
- vii. Not to get transferred client's shares/securities in any Demat account other than Member's account taken as a representative of the Member

-----  
[Swastika Investmart Ltd.]

-----  
[Business Associate]

**5. TERMINATION OF AGREEMENT**

The agreement can be terminated from either side by giving 30 days' notice. However, the Member reserves the right to immediately terminate the agreement if the Business Associate fails to comply with the rules, regulations and bye-laws of Exchanges and terms and conditions laid down by the Member and doing any activity which is detrimental to the business of the Member.

**6. JURISDICTION**

Courts in Indore shall have exclusive jurisdiction to entertain and try all disputes arising out of this agreement by and between the parties hereto. The parties agree to exclude all Courts outside Indore from the purview of this Agreement.

**IN WITNESS WHEREOF THE PARTIES HERETO HAVE HEREUNDER SET AND SUBSCRIBED THEIR RESPECTIVE HAND AND SEALED THE DAY AND YEAR FIRST HEREINABOVE WRITTEN**

**Signed and Delivered by the  
within named Member, M/s.  
Swastika Investmart Ltd.**

**Signed and Delivered by the  
within named Business  
Associate,**

By \_\_\_\_\_  
(Authorised Signatory)

By \_\_\_\_\_  
(Authorised Signatory)

Witness 1:

Witness 2:

Signature:

Signature:

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

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

Address: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Date:

Date:

Place:

Place: