

# TRADING BELLS

## **BELLS BUDDY PROGRAM**

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/BSE/MSEI: INZ000192732, MCX/NCDEX: INZ000072532, NSDL/CDSL: IN-DP-115-2015,  
Investment Adviser: INA000009843, RBI Reg. No.: B-03-00174**

## **FORM**

**For Approval of Appointment as Bells Buddy**  
*(To be filled in by the referrer who is an Individual)*

1. Name : \_\_\_\_\_
  
2. Address : \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
  
3. Date of Birth : \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_  
                                    DD                                    MM                                    YYYY
  
4. Email Address : \_\_\_\_\_
  
5. Contact Number : \_\_\_\_\_
  
6. PAN (Attach self attested copy) : \_\_\_\_\_
  
7. Aadhar (Attach self attested copy): \_\_\_\_\_
  
8. Particulars of the Bank A/c
  - Name of the Bank : \_\_\_\_\_
  - IFSC Code : \_\_\_\_\_
  - Bank Account Number : \_\_\_\_\_



Signature of Referrer

## **Declaration by the Referrer**

I am registering myself as a referrer with TradingBells c/o Swastika Investmart Limited (hereinafter referred to as "TradingBells") and hereby agree to introduce clients to TradingBells and bound by its Referral Policy. I also accept to agree with the below points with respect to my referral arrangement with TradingBells.

I hereby declare as under:

1. I am neither a Member Broker or in any other way connected with any Stock Exchange or SEBI, nor am I an employee of any Stock Broker.
2. There has not been any action initiated or taken against me by SEBI / Stock Exchange / Stock Broker / any other regulatory authority. I am not forbidden to do any business under the Rules, Bye-Laws and Regulations of National Stock Exchange (NSE), Bombay Stock Exchange (BSE), and Multi Commodity Exchange (MCX) or any Recognized Stock Exchange as defined by SEBI;
3. I have read and understood all the terms, conditions, clauses of the NSE, BSE, and MCX with respect to the "Byelaws" of all the Exchanges, "Referral Incentive Schemes Policy" rules, and rules with respect to marketing and incentives. I understand that by receiving referral incentives from TradingBells, I and TradingBells are both bound by the rules of the Exchanges;
4. I have read NSE Circular NSE/INSP/43029 dated December 26, 2019 and NSE/INSP/43824 dated March 11, 2020, have clearly understood all the terms of the circular.
5. I am accepting this incentive from TradingBells only for the referral of new clients/persons, and have not carried out any other activities, such as any financial advisory, inducing persons to use or trade/transact with TradingBells, providing stock tips, managing portfolios, etc;
6. I agree to abide by the terms and conditions mentioned in **Annexure A** attached to this referral form with respect to accepting any payment / incentives from TradingBells and/or Swastika.

The information furnished in the above form 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 Referrer

## Annexure A: Terms and Conditions:

### 1. GENERAL

The referrer 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 Referrer will be ethical business participant and will follow all the rules and regulations laid down by the Member.

### 2. BROKERAGE SHARING/SERVICE CHARGES/GUIDELINES

All brokerage generated by clients directly introduced by the Referrer will be shared in the following manner. The below brokerage sharing shall be subject to other conditions mentioned in this agreement.

Brokerage Plan of the clients	Referrer's Share
<b>Discount Plan</b>	<b>Flat 50%</b>
<b>Premium Plan</b>	<b>Flat 10%</b>

#### Points to Note:

- a) Brokerage will only include the clients introduced directly by you. If any client introduced by the Referrer 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 Referrer's client, hence brokerage generated by this new client will not be shared with the Referrer.
- b) The Referrer 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 Referrer amounting to Rs. 1,500 + GST plus any applicable charges from the Stock Exchanges based on actuals.
- d) The referral arrangement/scheme will not be applicable, if the referrer introduces his/her immediate family members such as parents, siblings, spouse or children and while referring them the referrer must disclose this fact.
- e) You may advertise or put hoardings of TradingBells, however prior approval for all such cases needs to be taken from TradingBells Management, and the same must be in accordance with the guidelines of the exchanges.
- f) All pay-outs will be done in your client margin account before the 10<sup>th</sup> of the following month. Once the Partner Dashboard is functional with the payout request option, the payout will be done on a request only basis.
- g) TradingBells reserves the right to modify/alter any points if the terms and agreement after mutual discussion, or withhold any such incentives to the referrer at its sole discretion, for any reason whatsoever.
- h) The following documents are to be submitted with this Registration Form:
  - Self-Attested copy of PAN Card
  - Self-Attested Copy of Aadhar Card / Address Proof\*
  - One Passport Size Photograph
  - Bank Proof (Statement/Passbook/Cancelled Cheque)

**Guidelines for Referrer**

- 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 or Rs. 5,000 brokerage 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 any of the above guidelines are not met, TradingBells reserves the right to revoke the Referrer status and restore the normal referral\* status for the referrer.

\* (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).

**3. OBLIGATION OF REFERRER**

- i. The Referrer shall not send any communication to the clients on its letter heads as the representatives of the Member. The Referrer shall also refrain from sending any SMSs/reports/messages etc. to the clients introduced by the Referrer which does not have a prior of the Member. Any loss arising due to this action of the Referrer shall amount to misconduct and all losses/damages shall be recovered from the Referrer.
- ii. The Referrer 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. Referrer is liable for all the registration and closure charges along with the applicable exchange closure fees for this arrangement.
- iv. Referrer is not eligible for BOLT terminal.
- v. Referrer is responsible for ensuring all debit balances and other dues owed by all his referred clients towards the Member are cleared before each month-end.
- vi. Referrer agrees to indemnify TradingBells and its Directors/agents/employees for any damages/claims that may arise due to me deviating from the Rules/Bye-Laws of the Exchanges, and any terms, conditions, Policies & Procedures of TradingBells.

**4. RESTRICTIONS ON REFERRER**

During the continuance of this Agreement, the Referrer 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 thereto.
- 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 collect any amount other than account payee cheque, demand draft, pay order in favour of the Member and not to deal in cash.
- vi. 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.
- vii. Not to get client's shares/securities transferred in any Demat account other than Member's account taken as a representative of the Member.

#### **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 Referrer fails to comply with the rules, regulations and bye-laws of Exchanges and terms and conditions as laid down by the Member above 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.

#### **AGREED AND SIGNED**



Signature of the Referrer

Name :

Date :