

## STAR MFSS (MUTUAL FUND) FACILITY ACTIVATION

To,

Date: \_\_\_\_\_

**LKP Securities Ltd**  
203 Embassy Centre,  
Nariman Point,  
Mumbai - 400 093.

### **SUB: STAR MFSS (MUTUAL FUND) FACILITY ACTIVATION**

Dear Sir,

I/We \_\_\_\_\_ am/are registered as your client with Client Code No. \_\_\_\_\_ and have executed the Rights and Obligations of stock brokers sub-brokers and client for the purpose of trading in the Capital Market segment of National Stock Exchange of India Ltd / Bombay Stock Exchange.

I/We am/are interested in availing the facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with. For the purpose of availing the facility, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose and I/we further confirm that the details contained in same remain unchanged as on date.

I/We am/are willing to abide by the terms and conditions as mentioned in the SEBI circular no SEBI/IMD/CIR No. 11/ 183204/2009 dated November 13, 2009, Exchange circular no NSE/MFSS/003/2009 dated November 24, 2009 and any other related circulars issued from time to time by the Exchange, SEBI, AMFI and other regulators. I/We shall also ensure compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India 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, addendum 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 for using MFSS facility , rules and regulations of the Mutual Fund Schemes.

I/We therefore request you to register me/us as your client for participating in the \_\_\_\_\_ ( please specify MFSS / BSE Star MF).

### **Details of terms & conditions for the Investor / Client for using New MFSS facility**

#### **1 Pre-requisites for becoming Investor / Client for the New MFSS facility**

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

#### **2 Terms and Conditions**

- 2.1 The client shall be bound by circulars issued by NSEIL, Rules, Regulations 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 in writing if there is any change in the to the services that Participant renders to the Client information in the 'client registration form' provided by the I have read and understood the above and I agree to abide by the same.

- client to the Participant at the time registering as a client for participating in the New MFSS or at any time thereafter.
- 2.3 The client shall submit to the Participant a completed application form in the manner prescribed format for the purpose of placing a subscription order with the Participant.
- 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 the NSEIL, SEBI and AMFI.
- 2.7 The Client shall pay to the Participant fees and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and
- 2.8 The client will furnish information to the Participant 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, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of NSEIL or NSCCL.
- 2.10 In case of any dispute between the Participants and the investors arising out of the MFSS facility, NSEIL and / or NSCCL agrees to extend the necessary support for the speedy redressal of the disputes.

**#**

**Client Signature**

Date:

To,

LKP Sec. Ltd.,

203, Embassy centre, Nariman point,

Mumbai- 400021

Dear Sir/Madam,

I, ..... having PAN no. ....

hereby authorize Mr./Ms/M/s..... (SB/AP/representative of LKP Sec Ltd) bearing address as ..... to acquire by subscribing to or purchase of any investment product including but not limited to units of Mutual Funds, Initial Public Offerings, Follow on Public Offering and such related products and to sell/ transfer/ endorse/ pledge/ redeem or otherwise deal in such products as it may deem fit. LKP Sec. Ltd.is hereby authorized to act on instruction of the above-mentioned person/entity. All such acts carried out by LKP shall be final and binding on me. LKP shall not be held responsible and be kept indemnified for all such transactions carried put in my account.

I also acknowledge that following three clauses form part of the POA signed by me with LKP.

- To receive intimation from the Exchange/RTA/Company/ Bank/DP or any other party regarding the allocation/allotment/rejection/regret of the securities or such other "Investment Product" applications / subscriptions/withdrawal or any other communications.
- To debit my /our any account(s) towards monies/fees/charges etc. payable to LKP or to a Third Party Service provider or to any of the affiliates/ subsidiaries of LKP by virtue of my/our using/subscribing to any of the facilities/ services provided either by LKP or through a third Party Service Provider or by any other security or financial instrument on behalf of me/us though LKP or any third party.
- I/we agree that LKP is entitled to credit the refund amount on account of application rejection due to whatsoever reason in the designated bank account.

Yours Faithfully,

\_\_\_\_\_  
Signature

Client name:

Date :

To,  
LKP SECURITIES LTD.  
13th Floor, Raheja Center,  
Free Press Road, Nariman Point,  
Mumbai-400 021.

Dear Sir,

**Unique Client code no. \_\_\_\_\_ Demat A/c No.: 1203000000 \_\_\_\_\_**

**SUB.: Digital Contract notes/account statements/Transaction cum holding Statement**

I/We agree to receive contract notes/ transaction confirmation slip/ statements/securities transaction statements / demat statements/ margin statement, notices, circulars, etc. of my/our dealings in Cash, currency derivative, F&O segments & Mutual of the exchanges I./we am/are registered with by way of digital contract notes only through email from you in accordance with the SEBI circular SMDRP/POLICY/CIR-56/00 dated December 15, 2000. I/We also authorize the member to stop issuing physical copies of contracts/ transaction confirmations slip unless required by me / us and if deemed suitable to the member.

I/We also agree that the dispatch of the digital contract note from the member's end shall constitute deemed delivery of the same, unless bounced back, and it shall be my /our responsibility to check my / our emails for the same. I/We also agree to bring to the member's notice any discrepancy as early as possible (As prescribed by exchange) of receipt of the statement or any sort of document failing which the contract shall be considered as accepted and acknowledged in toto without any discrepancies, save and except typographical and technical errors.

I/We also authorize the member to send quarterly financial account statements/securities transaction statements / other statements periodically through the email mode and in physical mode only under specific requests from me / us. The email address or addresses to be used for the purpose of sending digital contracts and other documents such as account statements/securities transaction statements / demat statements/ margin state-ment, notices, circulars, etc. is/are mentioned below :

Email address :

Email address :

Pursuant to the amendment in Clause 3 of the agreement (Annexure C to the Bye Laws of CDSL), I/We confirm having opted to receive the statement of accounts pertaining to the above mentioned BO account in electronic mode in lieu of physical copy of the statement of account.

I also have noted that the digital contracts would also be available to me on [www.lkpsec.com](http://www.lkpsec.com).

This authority is valid till we continue maintain association with your company or can be revoked by me / us at any point of time.

Yours truly,

\_\_\_\_\_  
Sole / First Holder

\_\_\_\_\_  
Second holder

\_\_\_\_\_  
Third Holder

Date: \_\_\_\_\_

Date:

## VOLUNTARY

To,  
LKP SECURITIES LTD.  
13th Floor, Raheja Center,  
Free Press Road, Nariman Point,  
Mumbai-400 021.

Unique Client Code No. \_\_\_\_\_

**Ref: Authority letter for adjustment of funds and shares across all segments and maintaining running account**

Respected Sir,

I/We \_\_\_\_\_ have entered into Rights and obligations of stock brokers, sub-brokers and clients & Mutual Regulation prescribed for trading on NSE, BSE and MCX-SX. Pursuant to completion of registration formalities you have allocated the above said client code to me/ us and we wish to commence trading on

BSE  NSE  MCX-SX  All segments.

I/We hereby willfully and unconditionally issue following standing instructions with references to personal discussion between us for my our operational convenience.

- I / we will make payments to you for bills raised by you. I / we am / are agreeable for maintaining running account and instruct you that no Cheque / Shares be issued to me / us towards credit balance in my account, unless specifically demanded by me / us and only to the extent of amount demanded by me / us or as directed by exchanges as the case may be.
- I / we are agreeable that the credit balance of funds and shares be treated as margin for currency derivatives cash, Fno segment & Mutual Fund.
- I / we am / are agreeable for transfer of credit balances in margin account /client account of all segment including Mutual Fund against debit balance in margin account /client account of cash, currency, derivatives segment & Mutual fund of the respective exchanges subscribed by me or to invest in mutual fund.
- I / we am / are agreeable for inter-settlement transfer of securities towards pay-in/pay-out of securities in the future /past settlements.
- I / we am / are agreeable for and authorise you to withheld funds pay-out towards all the applicable margins and debits.

As regards the placement of orders, although you had insisted on written instruction for placing orders, considering the practical difficulties faced by me / us in complying the same, I / we would request you to accept orders placed orally on telephone.

I/we am/are aware that the above mentioned points are voluntary and I have an authority to set aside or revoke any of them whenever I want to. These standing instructions are valid from the date the account is opened and will be valid until revoked.

I / We instruct you to settle my account on  monthly basis  quarterly basis

Thanking You,  
Yours Faithfully,  
Signature of the client

**#**

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

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