

To,  
**Angel Broking Pvt. Ltd.**  
 G-1, Ackruti Trade Centre,  
 MIDC, Road No. 7, Marol,  
 Andheri (E), Mumbai - 400 093.

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

**Sub: Client/Investor consent on terms and conditions for dealing in Mutual Fund Service System (MFSS) facility / BSE StAR MF or mutual fund facility offered by SEBI recognized Stock Exchange from time to time (hereinafter jointly referred to "Mutual Fund Transaction Facilities")**

Dear Sir,

I/We am/are registered as your client and have executed Know Your Client form and certain other documents for the purpose of trading in securities market on the recognized Stock Exchange (herein after referred as "Exchange").

I/We am/are interested in availing the trading facility of the Exchanges for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the SEBI recognized Stock Exchanges.

For the purpose of availing Mutual Fund Transaction Facilities, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of Mutual fund transaction facilities and I/We further confirm that the details contained in the same remain unchanged as on date.

I/We am/are willing to abide by the terms and conditions as mentioned in the circulars as may be specified by the Exchanges from time to time in this regard.

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 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, rules and regulations of the Mutual Fund Schemes.

I/we therefore request you to register me/us as your client for participating in Mutual Fund Transaction Facilities.

#### **Details of terms & conditions for the Investor / Client for using Mutual Fund Transaction facility**

##### **1 Pre-requisites for becoming Client/Investor for Mutual Fund Transaction Facilities:**

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

SEBI and relevant notifications of Government authorities as may be in force from time to time.

- 2.2. The client shall notify Angel in writing if there is any change in the information in the 'client registration form' provided by the client to Angel at the time of registering as a client for participating in the Mutual Fund Transaction Facilities or at any time thereafter.
- 2.3. The client shall submit to Angel a completed application form in the manner prescribed format for the purpose of placing a subscription order with Angel.
- 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 Exchanges, SEBI and AMFI.
- 2.7. The Client shall pay to Angel 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 Angel renders to the Client.

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

- 2.1. The client shall be bound by circulars issued by the Exchanges, Rules, Regulations and Notices/circulars issued there under by

- 2.8. The client will furnish information to Angel 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 Angel, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of Exchanges or its Clearing Corporation.

2.10. In case of any dispute between the Angel and the investors arising out of Mutual Fund Transaction Facilities Exchanges and/or Clearing Corporation agrees to extend the necessary support for the speedy redressal of the disputes.

### 3. Additional Terms and conditions:

3.1. Mutual fund Transaction Facilities provided by Angel shall be available for the units of the eligible schemes which are in dematerialized form. The said facility shall not be provided for the units of the schemes which are not available in dematerialized form.

3.2. Fees: Angel reserves the right to charge such fees from time to time as it deems fit for providing the services to the Client and the Client agrees and undertakes to pay fees / brokerage and statutory levies /charges as may be levied by Angel from time to time.

3.3. The Client agrees and understands that Angel is only a facilitator for the client for applying in the Mutual Fund units. Allotment of units shall be at the sole discretion of the respective Asset Management Company ("AMC") and the Angel shall not be held liable or responsible for any act/ deed / non-action of the AMC.

3.4. The Client agrees and undertakes to provide funds to Angel equivalent to the subscription amount and applicable brokerage/ fees / charges before applying for mutual fund units through the Angel. The client further agrees and authorizes the Angel to utilize the surplus funds in the client's Broking account held with the Angel in its capacity as a Stock Broker and transfer funds to the extent of subscription amount and / or applicable brokerage, fees and charges (in case of both subscription and redemption) to meet the debit in the clients Mutual fund transaction account.

3.5. The Client and Angel agree to refer any claims and / or disputes to the Arbitration under the Indian Arbitration and Conciliation Act, 1996.

3.6. The Client have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by Angel from time to time.

### 4. Internet based trading facility:

4.1. Client is fully aware about the features, risks, responsibilities, obligations and liabilities associated with internet based trading facility and same has been brought to client notice by Angel for Mutual Fund Transaction Facilities.

4.2. Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the internet based trading facility offered by Angel and undertakes to ensure that the password will not be revealed to any third party including employees and dealers of the Angel.

4.3. Client shall immediately notify Angel in writing if client forgets password, discovers security flaw in internet based trading facility, discovers/suspects discrepancies/ unauthorized access through client username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.

4.4. Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet based trading facility and shall be fully liable and responsible for any and all acts done in client's Username/password in any manner whatsoever.

4.5. Client is fully aware that trading over the internet based trading facility involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Angel and the Exchange do not make any representation or warranty that internet based trading facility will be available to client at all times without any interruption.

4.6. Client shall not have any claim against the Exchange or the Angel on account of any suspension, interruption, non-availability or malfunctioning of internet based trading facility offered by Angel or Service or the Exchange's service or systems or non-execution of client's orders due to any link/system failure at client/ or Angel or Exchanges end for any reason beyond the control of Angel /Exchanges.

I have read and understood the above and I agree to abide by the same.

(19/19) ✍

Client Signature