

FINANCIAL ADVISOR EMPANELMENT FORM



Web:- www.licnomuramf.com

LIC NOMURA MUTUAL FUND ASSET MANAGEMENT CO. LTD

Name (organization/Individual)

(Block Letters)

ARN(attach copy of
ARN Card)

Valid upto

EUIN

Valid upto

(Please attach a separate sheet if more than one EUIN are attached under ARN Code (Name, EUIN, Validity))

PAN Number:

Address for
correspondence:

(In Block Letters)

City:

State

Telephone:

Mobile

e - mail id.

Status (Please tick):

Resident Individual

Partnership Firm

Pvt Ltd Co.

Public Ltd Co

Bank

Sole Proprietorship

Society/ Trust NRI

Others

(Please Specify) _____

Additional Information:

For Individuals

Date of Birth:

Wedding Anniversary

Educational
Information

For Non Individual

Date of Incorporation:

Authorised
Person

Designation

Bank Account Details (For Brokerage Payouts)

Type of Account:

Saving

Current

Others Please Specify _____

Account No

Account Name
(As per bank records)

Bank Name
&

Branch Add

City:

Pin Code:

I.F.S.C CODE

(for RTGS/ NEFT)*

MICR Code*

(*Please attach copy of cheque or a cancelled cheque with Agent's name printed on face of cheque)

Particulars of Key Personnel (Management/ Sales/ Product Head/Client Servicing):

Sr	Name	Designation	Contact No	Email Id
1				
2				
3				
4				

Nomination Details for Brokerage/ commission:

Name of Nominee:

Date of Birth: Relationship

(If Minor)
Guardian's Name
(In case of Minor)

Address
of
Nominee/ Guardian:

Specimen Signature of Nominee/ Guardian

Signature of Distributor

If LIC AGENT Code Club Membership BM/ DM/ ZM/ CM

Document Checklist

	Individuals	Non-Individuals
ARN Card/AMFI Registration Certificate	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Pan card copy	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Original/Certified True Copy Of MOA & AOA/partnership deed/trust deed Bye Laws/Incorporation certificate	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Original/Certified True Copy Of Board Resolution or original letter confirming that the org is authorized to undertake distribution of MF's	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Original/Certified True Copy of list of authorized signatories	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
KYD COPY	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
EUIN under ARN code with details viz. (NAME, EUIN., VALIDITY)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

Declaration:

I/we hereby declare that the information furnished is true and correct to the best of my knowledge and belief. I / we undertake to abide by the terms and conditions of empanelment as amended from time to time. I/we am/are not an employee of the AMC or a relative of a director/ Employee of the AMC/ sponsor or any of its associates.

Place: Date

Authorised Signatory: **Company Seal**

For Office use only

Date Of Receipt

Area Office	RM Name	ME Code	Sign	Date of Appointment

TERMS AND CONDITIONS FOR AGENCY OF LIC NOMURA MUTUAL FUND

- 1 The statements made by an applicant in answer to the questions in the agency application form & the declaration made therein shall be the basic of the agreement.
- 2 An agent is expected to take sustained interest in agency work and to popularise scheme of the LIC Nomura Mutual fund as an attractive form of investment.
- 3 An agent shall carry out such directions and instructions as may, from time to time, be issued by the LIC Nomura Mutual fund or person duly authorised by the LIC Nomura Mutual fund/LIC Nomura MF AMC for the purpose of fully and effectively carrying out the terms of agency.
- 4 An agent shall at all times conduct with propriety and decorum and in a manner which is not prejudicial to the interest of the LIC Nomura Mutual Fund / LIC Nomura MF AMC, if the LIC Nomura Mutual Fund / LIC Nomura MF AMC has reason to feel dissatisfied with the conduct of an agent, the agency would be terminated without assigning any reason whatsoever.
- 5 The agent is expected to canvass such minimum business under various schemes that may be introduced by the LIC Nomura Mutual Fund/LIC Nomura MF AMC in an agency year as may be communicated at any time while the agency is in force. Agent is also expected to carry out such other functions as may be decided by the LIC Nomura Mutual Fund/ LIC Nomura MF AMC in future.
- 6 An agent is not authorised to receive moneys on behalf of the LIC Nomura Mutual Fund / LIC Nomura MF AMC and issue any receipt thereof. Agent shall advise the applicants to lodge their applications together with the amounts with a branch of the specified bank / authorised officers of LIC Nomura Mutual Fund / AMC. Such banks / authorised offices of LIC Nomura Mutual Fund /LIC Nomura MF AMC alone are authorised to receive the money on behalf of the LIC Nomura Mutual Fund / LIC Nomura MF AMC and to issue receipts thereof.
- 7 An agent is eligible for commission on the business canvassed under each scheme at the rate prescribed by the LIC Nomura Mutual Fund / LIC Nomura MF AMC. The rates are subject to revision at the discretion of the LIC Nomura Mutual Fund / LIC Nomura MF AMC from time to time and the agent shall be bound by such revision.
- 8 Agents shall note that a distinctive application form will be prescribed for LIC Nomura Mutual Fund schemes. The agents should give their name and ARN Number by impression with a rubber stamp in the space provided in the application form. No claim for commission will be entertained by the LIC Nomura Mutual Fund / LIC Nomura MF AMC unless the application is filed in this prescribed application form bearing the name and Code number of the agent, so impressed.
- 9 Agents will not be entitled to any payment beyond the commission referred to above whether or work done by them as an-agent or for any cost, charges or expenses incurred by them, in connection with the .agency.
- 10 Agents shall protect and keep harmless and indemnify the LIC Nomura Mutual Fund / LIC Nomura MF AMC against and in respect of any loss, claim, cost, charges, expenses whatsoever which the LIC Nomura Mutual fund / LIC Nomura MF AMC may have to incur as a result of the agents not conforming to the instructions contained herein or which may be issued to them from time to time by the LIC Nomura Mutual Fund / LIC Nomura MF AMC.
- 11 LIC Nomura Mutual Fund / LIC Nomura MF AMC shall have the rights to terminate the appointment of an agent at any time .without assigning any reasons thereof. . .
- 12 In respect of all disputes arising under this agency the courts in Mumbai city alone shall have jurisdiction.
- 13 An agent shall not have any claim against the LIC Nomura Mutual Fund / LIC Nomura MF AMC for any loss incurred by him/her as not anticipated and arising out of any revision in the rate of commission for business canvassed.
- 14 Nomination facilities are only to receive the money due as commission in case of death of the agent. The agency itself cannot be succeeded by or entailed to the nominee. The name of the nominee should be clearly written in the space provided in the application form. Minors cannot be appointed as nominees. The nomination will become invalid on termination of the agency.
- 15 Code of conduct is to be followed as per SEBI guidelines.

It may be mentioned however, that such nomination is subject to the other provisions of law. In the event of dispute between heirs and consequent litigation's in that behalf, resulting in a court decree devolving on a basis different from that indicated in the nomination, such court order will prevail over the nomination and to that extent, the nomination facility is not final. As between the mutual fund and the nominee the nomination is binding and effective subject- to above.
- 16 An Agent shall only use advertisement material approved by LIC Nomura MF AMC for canvassing business under the schemes of the Mutual Fund .