

APPLICATION FOR EQUITY SIP INVESTMENT SCHEME

To,
DBFS Securities Limited,
Research Dept.
Vazhakkala, Kochi-682021

Sub: Application for Equity/Mutual Fund SIP

Ref. Trading Account Number: _____

Name of the Customer: _____

Client Category: Resident/ Non-Resident

SIP Scheme	Monthly SIP Amount (Approx .in Rs.)	Trigger Date (1 st /7 th /14 th /21 st /21 st)	Tenure (12/18/24/ 36Months)	Payment Mode (NACH/Cheque/ Fund Transfer)
Aggressive Portfolio				
Defensive Portfolio				
Shariah Portfolio				
Gold ETF Portfolio				
Own Portfolio				

Declaration

I am fully aware that:

- DBFS Securities' Equity/Mutual Fund SIP is a service that does not constitute an offer to sell or a solicitation to any person in any jurisdiction.
- The scheme in Annexure 1(a)/ (b) is not a PMS or mutual fund and all transaction happen with my consent only.
- In order to facilitate the execution of SIP transaction, I would be required to keep clear balances in my ledger account with DBFS.
- The individual securities selected for building the SIP portfolio is provided in Annexure 1(a)/ (b).

I have understood the terms and conditions attached herewith as **Annexure2** (incase of Equity SIP) and agreed to the same.

Yours truly,

Signature of the Account Holder:

Name : _____

E-Mail Id : _____

Mobile no : _____

Date : _____

Place : _____

Sample Investment Portfolio for Equity SIP (5000)

Aggressive Portfolio	SL. NO	Scrip	Qty	Rate	Amount(Rs.)
	1	ADANI PORTS	2	330.45	660.90
	2	JAIN IRRIGATION	9	114.2	1027.80
	3	IRB INFRA	4	253.9	1015.60
	4	RELIANCE CAPITAL	2	638	1276.00
	5	ICICIBANK	4	276.15	1104.60
				Total	5084.90
Deffensive Portfolio	SL. NO	Scrip	Qty	Rate	Amount(Rs.)
	1	DLF	4	186.8	747.20
	2	ENGINERSIN	6	166.5	999.00
	3	JINDALSTEL	9	113.05	1017.45
	4	SBIN	4	285.3	1141.20
	5	ICICIBANK	4	275.4	1101.60
				Total	5006.45
Shariah portfolio	SL. NO	Scrip	Qty	Rate	Amount(Rs.)
	1	ADANI PORTS	3	325.9	977.70
	2	JISLJALEQS	8	113.35	906.80
	3	JINDALSTEL	9	113.05	1017.45
	4	SOBHA	3	376.6	1129.80
	5	IRB	4	253.2	1012.80
				Total	5044.55
GOLD ETF	SL. NO	Scrip	Qty	Rate	Amount(Rs.)
	1	GOLDBEES	2	2630	5260.00
				Total	5260.00

CMP figures—closing price as on 2017 April 21st , 2017

Sample Investment Portfolio For Equity SIP(5000)

SIP details of the customer(Portfolio Categories for Investment)

a. (Please mark your SIP portfolio)

- Aggressive Portfolio Shariah Portfolio
 Defensive Portfolio Gold ETF

b. Details of scrip (if different from sample portfolio)

Sl. No.	Name of Scrip	Qty	Price CAP (if any)

Signature : _____
Name of the Client : _____
Client Code : _____

Terms and Conditions of Equity SIP

DBFS Equity is a scheme in which the customer builds a portfolio by way of monthly investment in securities from a broader list as advised by DBFS, as per the risk appetite of the customer. However, the customer reserves the right to select other securities also for monthly investment.

1. General

- a. New Customers can opt for the product at the time of account opening.
- b. No separate Trading or Demat account required to be opened by the existing customers for availing the scheme.
- c. The reports / calls as may be made by DBFS shall only be recommendatory in nature and the investors must make their own investment decisions.
- d. DBFS Securities Ltd. Reserves the right at any time, without prior notice to add, alter, modify, change or vary all or any of the terms and conditions or to replace wholly or in part, the above offers by another offers, whether similar to above offers or not, or to withdraw it together.
- e. DBFS Equity SIP is a special service from DBFS and nothing contained herein shall prejudice or affect the terms of service/terms and conditions of the member client agreement/Rights and Obligations. The terms of the above scheme shall be in addition to and not in derogation of the terms contained in the member client agreement/Rights and Obligations.
- f. The clients who are participants of the scheme will not hold DBFS Securities Ltd. Responsible for, or liable for, any actions, claims, demands, losses, damages, costs, charges and expenses which they may suffer, sustain or incur by way of above scheme.

2 Renewal/Redemption

The Scheme shall run for the period as selected in the Application Form. However, scheme can be renewed with the consent of the customer. The customer may sell the shares accumulated through the scheme at any time on his own discretion.

3 Brokerage/ Fee Structure and order execution

- a. Normal brokerage as applicable to the customer will be charged on the scrips accumulated through the scheme.
- b. The Company reserves the right to modify the amount of brokerage, charges from time to time by displaying the same on the Company's website www.dbfsindia.com and the customer agrees to keep himself/ herself updated in respect thereof.
- c. SIP orders will be executed in exchange during market hours at market rate on best efforts basis.

4 Cancellation/Modification/Pause

- a. If the customer wishes to cancel the existing scheme, the customer shall intimate the same to SIP department at least 7 days prior to the trigger date.
- b. In case of any modification in the list of securities, intimation needs to be sent to customer care desk at least 7 days in advance (of the SIP date) by sending a request via phone or through email (registered mail id only).
- c. In case of skipping a particular month/s cycle (pause) requests needs to be furnished 7 days in advance before sip trigger date. For removal of pause also, similar intimation is required.
- d. On successful processing of request for modification /pause /cancel the Client will be intimated.

5 Product terms and conditions

- a. On submission of SIP Application Form, Clients may be called to confirm the application details and necessary tagging will be done. Subsequently, SIP will be triggered in an automated mode and client will not be called prior to entry of order on trigger date.
- b. Unless modification in the portfolio composition, quantity or weight age is intimated to SIP Helpdesk at DBFS before the Trigger Date, purchase will be initiated by DBFS on every trigger date as per list provided in Annexure 1(a). In cases where no. of shares to be purchased is not specified in the Annexure, the number of shares to be purchased as per the weight age shall be arrived based on the market price of the selected scrips. Efforts shall be made to match the purchase value closest to the Monthly SIP amount. Weight age as mentioned in the Annexure shall only be indicative and may not be strictly followed
- c. SIP will be triggered on 1st, 7th, 14th, and 21st as specified by the customer. on best effort basis, in case of Holiday, the same will be triggered on next business day. However, the customer may change the trigger date during the current month, well in advance.
- d. DBFS Securities Limited will only trigger buy leg based on the broad instructions received from the Customer. Selling will be at the sole discretion of the customer.
- e. DBFS reserves the right to close out the positions, if the purchase amount is not paid by the customer.

- f. If SIP amount exceeds the CAP amount, if any, specified by the client for the scrip, then the SIP will not be triggered.
- g. On trigger date, if selected scrips reach upper circuit, the order will be kept live till market ends.
- h. Customer is free to discontinue further installments of SIP by giving intimation to DBFS; the shares already bought under SIP can be retained in the Demat Account till the customer chooses to sell the same.
- i. When the shares are sold, the proceeds are credited to the ledger of the client and he/se needs to Place a request online to transfer the funds to his/her bank account.
- j. Clients already having a trading & demat a/c with DBFS need not have to open separate DP a/c.
- k. In case of any regulatory reason, if your trading account is deactivated, then the SIP will be automatically get cancelled.
- l. Securities investments are subject to market risks and there can be no assurance or guarantee that the objectives will be achieved. Each client is advised to consul this/her own financial advisor/ professional tax advisors before availing of scheme.
- m. The Company may discontinue the scheme completely or partially without any notice to the customer. All other exchange conditions viz. Shortages, Auction etc. Will be applicable.
- n. The terms and conditions of the scheme are subject to change from time to time at the absolute discretion of the Company.
- o. Client would be provided with the contract notes and other communication as per the normal practice.
- p. The terms and conditions of the scheme will always be read and construed in conjunction with the provisions of the client member agreement entered in to between the Company and the customer /Rights and Obligations as confirmed by the client.
- q. For any further queries or request processing, please contact helpdesk@dbfsindia.com OR call on 04842566280/282/283/284.

6 Additional Terms for NRI–SIP

- a. All the rules, terms and conditions applicable for NRI transaction will be applicable for SIP execution.
- b. NRI SIP Order execution will be subject to screening against the BAN scrip (as specified by RBI or any other Regulatory entity) list as on trigger date. At the time of SIP enrollment, scrip may be NOT be included in ban list and becomes a part of ban list later. In such event, such scrip will not be bought on trigger date.

7 Terms for Auto Debit (ECS-NACH) SIP customers

We have tied up with NACH, National automated clearing house for automatic debit from customer account. Customer need to provide the signature verification form along with cancel cheque so that our bankers will verify through national payment clearance corporation and we will get and an approval to debit funds from customer account as described in customer application. These processes normally take 21 working days time on our submission of document. Customers are requested to provide sufficient amount in trading account for monthly purchases until we give confirmation on signature verification approval.

Signature: _____ **Date:** _____

SEBI Registration Nos.: INB231323230, INF231323230 (NSE) INB011323236 (BSE)
Admin Off: Smart Centre, MKK Nair Road, Vazhakkala, Kochi–21 Ph: 0484 2566280/284
Website: www.dbfsindia.com Email: sip@dbfsindia.com