

Terms and conditions for APs.

Sharing Ratios for APS

Sharing Ratio	Monthly Target	Quarterly Target	Achievement Milestone
60%	10 NEW Active UCCs	20 NEW Active UCCs	Achieve 20 NEW Active UCCs within 90 days to retain 60% sharing.
50%	5 NEW Active UCCs	10 NEW Active UCCs	Achieve 10 NEW Active UCCs within 90 days to retain 50% sharing.
40%	3 NEW Active UCCs	5 NEW Active UCCs	Achieve 5 NEW Active UCCs within 90 days to retain 40% sharing.
30%	1 NEW Active UCC	3 NEW Active UCCs	Achieve 3 NEW Active UCCs within 90 days to retain 30% sharing.

Code of Conduct.

1. **Organic Lead Generation:** APs must have an organic lead source for acquiring clients. Leads should be generated without using paid advertising or non-organic methods, such as trade inducement.
2. **Visitor Records:** APs are required to maintain visitors register and ensure all clients visiting the branch sign it daily.
3. **Investor Grievance Register:** APs must maintain a detailed investor grievance register, recording client complaints and the associated exchange.
4. **Complaint Resolution:** Ensure that all client grievances are resolved within the stipulated time, with the resolution duly recorded.
5. **Required Documents:** APs must maintain the following records under the AP.
 - o Attendance Register
 - o Employee Leave Book
 - o Visitors Book

- Salary Register
 - Complaints Register
6. **Notice Boards:** APs must display notice boards with ALICEBLUE registration details prominently in their offices.
 7. **Password:** APs must never ask for or accept a client's password and should prevent unauthorized use of passwords.
 8. **Communication Approval:** APs cannot issue any communication to clients or third parties (via social media, SMS, email, letters, circulars, etc.) without prior approval from Alice Blue's Head Office and Alice Blue strictly prohibits the use of its logo, content, or messages on social media or any other platform without prior permission
 9. **No Guaranteed Returns:** APs must not promise or guarantee any returns or profits. They should not misrepresent the features of products or services or provide misleading information to clients. No commitments outside of Alice Blue policies or any legal requirements are allowed without prior written approval from Alice Blue.
 10. **Staff Training:** APs must ensure their staff is adequately trained and compliant with regulatory and Alice Blue requirements.
 11. **Branding Materials:** APs should only use letterheads, envelopes, visiting cards, etc., approved by Alice Blue. All branding materials must follow the specifications provided by Alice Blue.
 12. **Prohibited Activities:** APs must not tamper with or forge any client documents or financial instruments. They are also prohibited from associating with advisory firms or directly introducing clients to advisory services without a valid SEBI registration.
 13. **Restricted Names:** APs must not use misleading names that include terms like "Portfolio/Wealth Management" or "Advisory" without valid SEBI registration.
 14. **Unauthorized Activities:** APs are not allowed to undertake activities like assured return schemes, unauthorized portfolio management, or investment schemes.
 15. **No Direct Payments:** APs must not accept or deliver funds or securities directly to/from clients. They should not charge clients for services rendered on behalf of Alice Blue.
 16. **Brokerage Transparency:** APs must inform clients and obtain written permission regarding "Brokerage" during account opening. Clients should be fully briefed on available brokerage plans.
 17. **No Unauthorized Brokerage Changes:** APs must not change or modify a client's brokerage plan without obtaining their written consent.
 18. **Trading on Behalf of Clients:** APs must not trade on behalf of clients, with or without their permission.
 19. **No Assignment of Staff:** APs must not assign Relationship Managers (RMs) or other staff to clients without proper authorization. They must not make false

promises or take responsibility for client losses or excessive brokerage charges.

20. **ID Cards:** APs cannot issue Alice Blue identity cards to their staff or representatives without company approval. These should not be shared with clients.
21. **Unauthorized Trade Practices:** APs found engaging in unauthorized trade practices then Disciplinary action will be taken.
22. **Company Branding & Advertising:** APs can represent themselves as agents of Alice Blue but must refrain from using the company's name or logo for promoting schemes, publishing articles, market analysis, or advertising without prior approval.
23. **Audits:** APs will be subject to reasonable audits by Alice Blue and its representatives. Alice Blue reserves the right to audit APs during working hours on any weekday.

Breach of Code

Any AP found violating this code of conduct will be penalized, and actions may include suspension or termination. Actions taken by Alice Blue do not preclude SEBI or exchanges from taking action in case of statutory regulation violations.

This code is supplementary to the code of conduct, rules, regulations, bylaws, and notifications issued by SEBI, exchanges, or other regulatory authorities, which are subject to amendment from time to time. APs must adhere strictly to these rules.