



AUTHORIZED PERSON PROGRAM DETAILS

Upstox is the cutting-edge trading platform powered by RKS V Securities India Private Limited. We are a tech-first low cost broking firm in India providing trading opportunities at unbeatable prices. We provide trading on different segments such as equities, commodities, currency, futures, options which are available on our Upstox Pro Web and Upstox Pro Mobile trading platforms.

Founded by Ravi Kumar, Raghu Kumar and Shrini Viswanath, Upstox is proud to be the best innovator of sophisticated technology in the brokerage industry. We are backed by a group of investors including Tata group interim chairman Ratan Tata, Kalaari Capital, and GVK Davix.

WHY SHOULD CLIENTS USE UPSTOX?

We offer Rs. 20 per trade for IntraDay trading irrespective of the volume of the order placed. Additionally, we offer free equity deliveries. Account opening is completely paperless and free with Upstox.

We have recently branched into programmatic trading and are offering Upstox API to traders who want to build their own trading strategies. Moreover, Upstox MF platform is the most user friendly interface for clients looking to expand their portfolio by investing in mutual funds.

AUTHORIZED PERSON MODEL

Upstox started the Authorized Person Model in order to partner with members of the trading community to increase the reach of Upstox. This model is based on brokerage sharing concept. You help others trade with Upstox while making profits yourself.

Here's why you should partner with us.

1. Upstox is one of the few leaders in offering cutting-edge trading platforms at unbeatable prices. There's no hidden fees and we are known for our transparent interactions with our clients.
2. We equip traders to trade smartly by giving them free access to powerful charting tools with more than 100 indicators.
3. Upstox offers trading platforms on both the mobile and web portals. If you purchase a stock via one, you can sell it using a different platform.

As a partner we expect you to

1. Have efficient and meaningful interactions with a prospective client or an existing one.
2. Present a strong, unique idea on how you plan to introduce Upstox to potentially new users.
3. Never misrepresent/mislead any prospective client with any other information except for the one available on www.upstox.com. In case of misrepresentation or misleading or instance of spreading misinformation among prospective/existing clients, there will be a warning and it can also result in termination/suspension of existing partnership with Upstox.

WORK PROFILE

As an Upstox Authorized Person, you will be given a login ID and password to access the Upstox Dashboard. You can check the leads that have been assigned to you on the Upstox Dashboard and you can add your independent leads to the same. In that way, you and the Team Leader assigned to you, both can keep track of existing leads, new leads and the list of leads that are converted into account holders. The Dashboard will help you collect the data about all prospective leads such as their phone numbers and email IDs.

Once you familiarise yourself with our Dashboard, keeping a track and check on the list of prospective clients will become easy and you can efficiently manage your leads and customer lists. The Upstox team will be available to help you in case you have any questions or doubts regarding the services provided, pricing plans and product updates.

With RKS Securities, you can be rest assured that we value the potential that is associated with networking among other members in the trading community. As an Upstox Authorized Person, you are expected to tap into this potential and work in a diligent and efficient manner. Working as partners in the financial space would not only help the organisation but also you as an Authorized Person to expand your reach and interact with more members in the community.

The Brokerage Sharing model will be discussed in detail in the following section of this document.

BROKERAGE SHARING

We will be following a slab-wise sharing system based on the sum of brokerage generated by all the clients introduced directly by you and by the clients passed on as leads to you and all the clients who were referred by your clients.

Brokerage Slab	Sharing
0 to 1 Lakh	30%
1 Lakh to 2 Lakh	40%
2 Lakh and above	50%

OTHER POINTS TO BE CONSIDERED

1. Brokerage sharing for the clients referred to by RKS/UPSTOX would be 30%.
2. Registration charge of Rs. 3000/- per exchange (exclusive of Service Tax) would be collected from the AP.
3. Rs. 100 will be paid for each account opening to AP.
4. After termination of agreement by either party, the brokerage entitlement of AP would be 20 % .
5. Approval from RKS/UPSTOX in case of any advertisements to be published by the AP.
6. RKS/UPSTOX reserves the right to modify/alter any points if the terms and agreement after mutual discussion.

For all the clients who were referred by your clients the share of your client will be deducted from your share and the rest will be credited to you.

For example, assume your client mapped to you introduces his friends than that client would also be mapped to you for servicing purpose. Now suppose together they generate a brokerage of Rs 10,000. (Assume you are in the 30% sharing slab) – As per the 30% sharing slab your share would be Rs 3000, but because the other client was introduced by your client and not directly by you in that case your client (who introduces) is also entitled for 10% of this which is Rs 1000. Rs 1000 will be deducted from your Rs 3000 and the remaining Rs 2000 will be credited to you. In that scenario both you and the clients gets benefited.

Few guidelines for an Authorized Person are as follows:

a) Activate at least 50 clients in the first 3 months of appointment.

OR

b) Generate minimum brokerage revenue of Rs. 15,000 per month, at least by the third month as an AP.

This target is a basic requirement and is designed to be fair and encourage you to perform accordingly. If none of the conditions are met, the AP status will be revoked and the normal referral status restored.

What we look in our Authorized Person:

1. To be efficient in all interactions with the client/prospect.
2. To have a unique idea on how you intend to introduce Upstox/RKS to a prospective client.
3. To not misrepresent/mislead any prospect/client with information other than what is available on our website. If any such instances are found, you will be warned and it can also result in suspension of this partnership.
4. Utmost care and diligence to be adhered by you.
5. No advisory in the name of the Company to be provided.
6. Approval from the Company to be obtained for any marketing and sales development/strategy.

AMIT LALAN (DIRECTOR)	NAME OF THE AP

APPLICATION FORM FOR AUTHORIZED PERSON (CORPORATE)

(This information is the sole property of RKS/UPSTOX and would not be disclosed to any one unless required by law or except with the express permission of clients)

Please fill this form in ENGLISH and in BLOCK LETTERS

RKS/ Securities India Private Limited
Sunshine Tower, 30th Floor,
Senapati Bapat Marg, Dadar (W),
Mumbai 400013

Paste recent passport
size photograph and
SIGN ACROSS

SEBI Registration No. _____

IDENTITY

Name of Applicant	
Date of Incorporation	
Registration Number	
Unique Identification Number (UID)/Aadhaar, if any	
PAN No.	
TAN No.	
Correspondence Address	
Telephone Number	
Fax Number	
Email Address	

BANK INFORMATION

Bank Name	
Branch Address	
Bank Account No.	
IFSC Code	
Account Type	

Name of the AP

Signature of
the AP

X

Stamp of the AP