

Process for MLD Trade During Lockdown when Printing of Documents is not Possible

Non IIFL Clients can open an Insta Account with IIFL and follow the below process

For IIFL Clients

- (1) **Details to Client** – RM will send Authorisation Letter, Term Sheet, KRA and Sale Price Per Debenture as per Trade Date and Total Consideration to client via email.
- (2) **Self-Declaration & Authorisation by Client** – Client will provide a self-declaration on email (from their registered email id) regarding their acceptance of features, terms and conditions regarding the MLD and their willingness to proceed with their investment. They will also authorize IIFL Securities Ltd to debit their ledger with the respective investment amount on the Trade Date. They will also provide pics of their PAN and Aadhar Card.
- (3) **Transfer Funds to Ledger** – Client will then immediately proceed with transfer of required amount to their Ledger Account. RM has to ensure transfer happens before 4:00 p.m. on or before the previous day of trade.
- (4) **Email to Zonal Coordinators** – RM will send the pics of client's PAN & Aadhar & self-declaration mail along with the MIS file to their respective Zonal Coordinators.
- (5) **Email to Operations Team** – Zonal Coordinators will verify all the documents/self-declaration mail and MIS file & then send to Operations Team before the specified Cut-Off Time.
- (6) **Execution of Trade** – Operation team will process the trade i.e. they will transfer MLD to respective client's DP based on supporting docs, MIS file & receipt of funds.
- (7) **Sending of Deal Confirmation** – Post transfer of MLD to client's DP, Operations Team will send deal confirmations to respective Zonal Coordinators.

Format of Email from IIFL Client

I/We, _____ (Name & IIFL Client Code) would like to invest in _____ (MLD Name). Issue Price Per Debenture = Rs. _____, No. of Debentures = _____, Total Issue Price = Rs. _____, Brokerage & Taxes = Rs. _____, Total Consideration = Rs. _____.

I/We authorize IIFL Sec to facilitate for the purchase of the same us through the Stock Exchanges/Off-Market on Spot/OTC basis.

I/We have read and understood the terms and conditions of the said securities and all the risk associated with the same including credit and liquidity risk of the underlying issuer, before placing an order. Further in case of any changes in the ratings / default of the issuer, I/We will not hold IIFL Sec responsible and will not have any claim against IIFL Sec.

I/We acknowledge that IIFL Sec is acting as a facilitator as in case of Spot/OTC transactions, the same would be entered into between me/us and the selling investor. Further, I/We do not hold IIFL Sec legally liable for any losses, damages etc. if any, incurred in respect of the purchase made or other decisions taken by me/us.

I/We further understand that purchase of the said securities is made through the Stock Exchange platform or reported on the Stock Exchange Platform for Spot/ OTC, from the proprietary investments of IIFL Sec or from any of the group/ associate entities as the selling investor.

I/We therefore authorize IIFL Sec to consider appropriate balances in my/our ledger account maintained with IIFL Sec towards the purchase consideration of the value of the securities and pay the same to the seller.

I/We authorize IIFL Sec to credit the securities purchased from seller preferably to my/our Demat Account held with IIFL Sec.

I/We, hereby confirm that original documents and other supporting documents will be handed over to my/our Relationship Manager as soon as the lockdown period is over.