



(Formerly Reliance Portfolio Management)

## Nippon Life India Asset Management Limited

(formerly known as Reliance Nippon Life Asset Management Limited)

### Client Profiling Form

Investor Code : \_\_\_\_\_

Investor Name : \_\_\_\_\_

Distributor Name : \_\_\_\_\_

Corporate Office : 4th Floor, Tower A, Peninsula Business Park, Ganapatrao Kadam Marg, Lower Parel (W), Mumbai 400013.

Reach us at [pms@nipponindiaamc.com](mailto:pms@nipponindiaamc.com) | Call us on 022 - 43037303 | Visit us at [www.nipponindiapms.com](http://www.nipponindiapms.com)

Good gets *better*



**Portfolio Manager: Nippon Life India Asset Management Limited (NAM India)**  
 (Formerly known as Reliance Nippon Life Asset Management Limited)  
 Corporate Office Address: 4th Floor, Tower A, Peninsula Business Park,  
 Ganapatrao Kadam Marg, Lower Parel (W), Mumbai 400013.

Date of Application

Distributor Name \_\_\_\_\_ ARN \_\_\_\_\_

☐ New Investor ☐ Existing Investor (If Exiting) Client Code \_\_\_\_\_

#### Applicant Details

Name of Sole/First applicant Mr./Ms./M/s.

Date of Birth/  
Date of Incorporation

Name of Parent/Guardian in case of Minor Mr./Mrs.

Date of Birth

CKYC Number

Gender: ☐ Male ☐ Female ☐ Other

Marital Status: ☐ Single ☐ Married

PAN: \_\_\_\_\_

Residential Status: ☐ Resident ☐ Non-Resident

KRA KYC Complaint: ☐ Yes ☐ No

Nationality: ☐ Indian ☐ Others

Bank Account Details:

A/c No.

IFSC Code

Bank Name & Address

A/c Type: ☐ Saving ☐ Current ☐ Other

Proof of identity submitted: ☐ Yes ☐ No

Regn no. \_\_\_\_\_ DIN of whole time Directors ☐ Yes ☐ No DIN \_\_\_\_\_ Date of commencement of business \_\_\_\_\_

TAN (mandatory for Non-Individual Applicants): \_\_\_\_\_ GST Number: \_\_\_\_\_

**Nature of Business/** ☐ Employed Name of an Employer \_\_\_\_\_ ☐ Self-Employed ☐ Please Specify (if self-employed) \_\_\_\_\_  
**Occupations** ☐ Student ☐ Professional ☐ Retired ☐ Housewife ☐ Others \_\_\_\_\_

**If the following is additional applicable** ☐ Civil Servant ☐ Politician ☐ Current/Formal MP/MLA/Head of State ☐ Political-Party Official  
☐ Senior Executive of State owned corporation ☐ Forex Dealer ☐ PEP/Related to PEP

Income Details ☐ Upto Rs.25 Lakhs ☐ Rs.25 Lakhs to Rs.1 Crore ☐ Crore Rs.1 Crore to 5 Crore ☐ Rs.5 Crore & above

Mobile No. \_\_\_\_\_ Email Id \_\_\_\_\_

Name of Second applicant Mr./Ms.

Date of Birth

CKYC Number

Gender: ☐ Male ☐ Female ☐ Other

Marital Status: ☐ Single ☐ Married

KRA KYC Complaint: ☐ Yes ☐ No

Residential Status: ☐ Resident ☐ Non-Resident

Proof of identity submitted: ☐ Yes ☐ No

**Nature of Business/** ☐ Employed ☐ Self-Employed ☐ Please Specify (if self-employed) \_\_\_\_\_  
**Occupations** ☐ Student ☐ Professional ☐ Retired ☐ Housewife ☐ Others \_\_\_\_\_

**If the following is additional applicable** ☐ Civil Servant ☐ Politician ☐ Current/Formal MP/MLA/Head of State ☐ Political-Party Official  
☐ Senior Executive of State owned corporation ☐ Forex Dealer ☐ PEP/Related to PEP

Income Details ☐ Upto Rs.25 Lakhs ☐ Rs.25 Lakhs to Rs.1 Crore ☐ Crore Rs.1 Crore to 5 Crore ☐ Rs.5 Crore & above

Mobile No. \_\_\_\_\_ Email Id \_\_\_\_\_

Name of Third applicant Mr./Ms.

Date of Birth

CKYC Number

Gender: ☐ Male ☐ Female ☐ Other

Marital Status: ☐ Single ☐ Married

KRA KYC Complaint: ☐ Yes ☐ No

Residential Status: ☐ Resident ☐ Non-Resident

Proof of identity submitted: ☐ Yes ☐ No

**Nature of Business/** ☐ Employed ☐ Self-Employed ☐ Please Specify (if self-employed) \_\_\_\_\_  
**Occupations** ☐ Student ☐ Professional ☐ Retired ☐ Housewife ☐ Others \_\_\_\_\_

**If the following is additional applicable** ☐ Civil Servant ☐ Politician ☐ Current/Formal MP/MLA/Head of State ☐ Political-Party Official  
☐ Senior Executive of State owned corporation ☐ Forex Dealer ☐ PEP/Related to PEP

Income Details ☐ Upto Rs.25 Lakhs ☐ Rs.25 Lakhs to Rs.1 Crore ☐ Crore Rs.1 Crore to 5 Crore ☐ Rs.5 Crore & above

Mobile No. \_\_\_\_\_ Email Id \_\_\_\_\_

#### General Details

Permanent Address

City

State

Landmark

PIN

Address for Correspondence (Foreign address in respect of NRVFI Applicants) ☐ Same as above

Proof of address submitted:

City

State/Country

ZIP

Tel No. STD/ISD code \_\_\_\_\_ Office \_\_\_\_\_ Residence \_\_\_\_\_ Fax \_\_\_\_\_

Mode of Operations ☐ Single ☐ Joint ☐ Any one or Survivor

**For Non- Individual Clients only**

Legal Status:

☐ Partnership Firm ☐ FII ☐ Society ☐ AOP/BOI bank ☐ FI ☐ Trust ☐ Charitable Organisation  
☐ Company/Body Corporate ☐ HUF ☐ Government Body ☐ NGO ☐ Defense Establishment ☐ Other \_\_\_\_\_

**Aadhar Copy of Authorised Signatory/officers/employees/directors/managers/ person holding an attorney on behalf of the company/Partnership firm/Trust**

☐ Yes ☐ No **Date of Incorporation** ☐ Yes ☐ No **Listed on Stock Exchange**

**Networth (last 3 years) (Mandatory)**

|             |   |   |  |   |
|-------------|---|---|--|---|
| First Year  | <input type="checkbox"/> Upto Rs.25 lakhs | <input type="checkbox"/> Rs.25 Lakh to Rs.1 crore | <input type="checkbox"/> Rs.1 Crore to 5 Crore | <input type="checkbox"/> Rs.5 Crore & Above |
| Second Year | <input type="checkbox"/> Upto Rs.25 lakhs | <input type="checkbox"/> Rs.25 Lakh to Rs.1 crore | <input type="checkbox"/> Rs.1 Crore to 5 Crore | <input type="checkbox"/> Rs.5 Crore & Above |
| Third Year  | <input type="checkbox"/> Upto Rs.25 lakhs | <input type="checkbox"/> Rs.25 Lakh to Rs.1 crore | <input type="checkbox"/> Rs.1 Crore to 5 Crore | <input type="checkbox"/> Rs.5 Crore & Above |

**Applicant Details**

Initial Investment Amount By cheque (₹) \_\_\_\_\_  
By Securities Worth (₹) \_\_\_\_\_  
Cheque / Draft No. \_\_\_\_\_ Bank Drawn on \_\_\_\_\_ Date \_\_\_\_\_

**Investment Details**

**Overall Investment Goal (Please specify):** ☐ Capital Appreciation ☐ Capital appreciation & Regular Income ☐ Regular Income  
**Risk tolerance (please specify):** ☐ Low risk ☐ Medium risk ☐ High risk  
**Time Horizon for your Investments (please specify)\*:** ☐ 7 years ☐ 8 years ☐ 9 years ☐ 10 years  
Investment experience regarding securities \_\_\_\_\_ years  
I wish to opt for Systematic Withdrawal Option (Please specify): ☐ Yes ☐ No Frequency (if yes) \_\_\_\_\_

**Investment Options (Please specify) :**

Investment Approach \_\_\_\_\_ Amount \_\_\_\_\_  
Investment Approach \_\_\_\_\_ Amount \_\_\_\_\_  
Investment Approach \_\_\_\_\_ Amount \_\_\_\_\_  
Total \_\_\_\_\_

For details of investment objective under various Investment Approaches, provision for withdraw etc. please refer to the Disclosure Document, the Portfolio Management Agreement and the Product Brochures.

**Details investment objectives of the client:**

☐ Equity: Nature of equities in which investments are desired, may be indicated ☐ Balanced: Percentage of debt/equity  
☐ Debt: Government Bonds, Corporate debt etc. ☐ Mutual Funds ☐ Others

\*The period of portfolio investments shall be co-terminus with the term of the agreement as provided under clause 27 of the client agreement.

**Nomination**

☐ I wish to Nominate ☐ I do not wish to Nominate

Nominee's Name: Mr./ Mrs/ Master

Date of Birth \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Guardian (In case of Minor Nominee)

\_\_\_\_\_  
\_\_\_\_\_

Nominee/Guardian (In case of Minor Nominee) Identity Proof

\_\_\_\_\_  
\_\_\_\_\_

Nominee Address

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

PLEASE AFFIX  
A RECENT  
PASSPORT SIZE  
PHOTOGRAPH  
& SIGN  
ACROSS THE  
PHOTO  
Nominee

PLEASE AFFIX  
A RECENT  
PASSPORT SIZE  
PHOTOGRAPH  
& SIGN ACROSS THE  
PHOTO  
Guardian if  
nominee is minor

Specimen Signature of Nominee/  
Minor Nominee's Guardian

(Sign)

**Applicant's Latest Photograph to be Affixed**

Sole/ 1st applicant & Guardian incase of minor

PLEASE AFFIX A  
RECENT PASSPORT  
SIZE PHOTOGRAPH  
& SIGN ACROSS THE  
PHOTO

(First Holder)

PLEASE AFFIX A  
RECENT PASSPORT  
SIZE PHOTOGRAPH  
& SIGN ACROSS THE  
PHOTO

(Second Holder)

PLEASE AFFIX A  
RECENT PASSPORT  
SIZE PHOTOGRAPH  
& SIGN ACROSS THE  
PHOTO

(Third Holder)

**Declaration**

I/ We have read and understood the terms and conditions of the Portfolio Management Services Agreement, the Disclosure Document and the product brochure and undertake and agree to abide by and be bound with the provision of the same. All the information and particulars given by myself/us are true and correct in all respect. I /We agree to promptly inform the Portfolio Manager of any change in such information(s). I/We confirm that the amount invested by me/us is through legitimate sources/ channel only and does not involve and is not designed for the purpose of any contravention or evasion of the provision of any Act, Rules, Regulations, Notifications or Directions of Income Tax Act, Prevention of Money Laundering act, Anti Corruption Act or any other applicable laws, as may be in force from time to time.

(Sign)

(Sign)

(Sign)

Sole/ 1st applicant / Authorised Signatory

2nd applicant / Authorised Signatory

3rd applicant / Authorised Signatory

Place: \_\_\_\_\_ Date: \_\_\_\_\_

**Applicable to NRIs Only**

I/ We confirm that I am/ we are Non-Resident Indian(s) by me/us. I/we hereby confirm that the funds for investment have been remitted from abroad through approved banking channels or from in my/our Non-Resident External/ Non-Resident/ ordinary account/ FCNR Account.

## Acknowledgment

To,  
Nippon Life India Asset Management Limited  
Portfolio Management Services  
4th Floor, Tower A, Peninsula Business Park, Ganapatrao Kadam Marg,  
Lower Parel (W), Mumbai 400013.

Dear Sir,

**Subject : Acknowledgment for receipt of PMS Disclosure document**

I / We \_\_\_\_\_  
hereby acknowledge receipt of the PMS Disclosure Document issued by Nippon Life India Asset Management Limited (for, along with a certificate in Form C (part of the Disclosure Document)), prior to entering into the PMS agreement with Nippon Life India Asset Management Limited.

Regards,

(Sign)

(Sign)

(Sign)

Date: \_\_\_\_\_

Place: \_\_\_\_\_

### Illustration to explain the methodology for charging of fees and charges

Please note that the sample portfolio and the calculations given below are only illustrative. They may be used primarily to understand how the fees and charges are levied on the portfolio. The actual fees and charges applicable to each client's portfolio may vary from the illustration.

The assumptions for the illustration are as follows:

1. Size of portfolio: ₹ 50 lakhs\*
2. Period: 1 year.
3. Brokerage, Securities transaction tax etc. charges are assumed to be at 25 basis points for the year. However, in actual practice charges are a function of the volume of purchase/ sale trades and therefore may differ from strategy, period to period etc.
4. Management fee 1.25% p.a. shown below as charged at the end of the year, in actual practice may be charged monthly/quarterly, depending on fee schedule signed by the investor.
5. Hurdle Rate: 15% of the amount invested for the first year.
6. Performance fee to be charged at 20% of profits over hurdle rate subject to High Water Mark at the end of each portfolio account's inception anniversary or financial year end i.e. 31st March of every year.

#### Scenario 1: Performance fees applicable: Gain of 20% at the end of 12 Months/ Financial Year end

| Nature of Fees  | Amt ₹     | Amt ₹     |
|---|-----------|-----------|
| Capital Contribution*   | 50,00,000 |           |
| Less: Any other fees (please enumerate)   | -         |           |
| Assets under Management/ Amount invested  | 50,00,000 |           |
| Add: Profits on investment during the year @20% on assets under management          | 10,00,000 |           |
| Gross Value of the portfolio at the end of the year (A)                             |           | 60,00,000 |
| Less: Equity Brokerage, Securities transaction tax : 0.25% p.a. on (A) plus GST 18% | 17,700    |           |
| Less: Management Fees: 1.25% P.a. on (A) plus GST 18%                               | 88,500    |           |
| Less: Performance Fees: 20% - working given below)#                                 | 59,000    |           |
| Less: Operating Expenses @ 0.50% p.a. on (A) plus GST 18%                           | 35,400    |           |

|   |  |           |
|---|--|-----------|
| Total Charges during the year                     |  | 2,00,600  |
| Net value of the portfolio at the end of the year |  | 57,99,400 |
| % change over capital contributed                 |  | 16.0%     |

#### # Calculation of Performance Fees for above

| Sr. No | Nature of Fees   | Amt ₹     |
|--------|--|-----------|
| I.     | Profit for the year  | 10,00,000 |
| II.    | Less: Minimum profit level (Hurdle Rate @15 % on 50,00,000)  | 7,50,000  |
| III.   | Amount on which Profit sharing- Fees to be calculated (I-II) | 2,50,000  |
| IV.    | Performance Fees (@20% of III) plus GST 18%                  | 59,000    |

#### Scenario 2: Performance fees not applicable: Loss of 20% at the end of 12 months/ financial year end

| Nature of Fees  | Amt ₹     | Amt ₹     |
|---|-----------|-----------|
| Capital Contribution*   | 50,00,000 |           |
| Less: Any other fees (please enumerate)   | -         |           |
| Assets under Management/ Amount invested  | 50,00,000 |           |
| Less: Losses on investment during the year @20% on assets under management          | 10,00,000 |           |
| Gross Value of the portfolio at the end of the year (A)                             |           | 40,00,000 |
| Less: Equity Brokerage, Securities transaction tax : 0.25% p.a. on (A) plus GST 18% | 11,800    |           |
| Less: Management Fees: 1.25% P.a. on (A) GST 18%                                    | 59,000    |           |
| Less: Performance Fees: 20%   | -         |           |
| Less: Operating Expenses @ 0.50% p.a. on (A) plus GST 18%                           | 23,600    |           |
| Total Charges during the year   |           | 94,400    |
| Net value of the portfolio at the end of the year                                   |           | 39,05,600 |
| % change over capital contributed   |           | -21.9%    |

#### Scenario 3: Performance fees not applicable: No profit No loss at the end of 12 months/ financial year end

| Nature of Fees  | Amt ₹     | Amt ₹     |
|---|-----------|-----------|
| Capital Contribution*   | 50,00,000 |           |
| Less: Any other fees (please enumerate)   | -         |           |
| Assets under Management/ Amount invested  | 50,00,000 |           |
| No Profits No loss on investment during the year on assets under management         | -         |           |
| Gross Value of the portfolio at the end of the year (A)                             |           | 50,00,000 |
| Less: Equity Brokerage, Securities transaction tax : 0.25% p.a. on (A) plus GST 18% | 14,750    |           |
| Less: Management Fees: 1.25% P.a. on (A) GST 18%                                    | 73,750    |           |
| Less: Performance Fees: 20%   | -         |           |
| Less: Operating Expenses @ 0.50% p.a. on (A) plus GST 18%                           | 29,500    |           |
| Total Charges during the year   |           | 1,18,000  |
| Net value of the portfolio at the end of the year                                   |           | 48,82,000 |
| % change over capital contributed   |           | -2.4%     |

Note: Please note that certain statutory Taxes and charges/ levies are taken in the above illustration at rates applicable at present (e.g. plus GST @18% on all Fees/charges) which may differ From time to time as per relevant changes in Tax Laws. These charges include, GST, Stamp duty, Securities Transaction Tax (STT) etc.

\*For illustration purpose only.

The minimum amount of Capital contribution shall be as per minimum amount prescribed under SEBI Guidelines from time to time or any other higher amount as per the PMS strategy, if any.

## Fees Schedule

### Investment Approach

1 \_\_\_\_\_

2 \_\_\_\_\_

The exact basis of charge relating to services rendered is as follows:

| Sr No. | Particulars  | Basis of calculations  | Frequency of charge                                    |
|--------|--|--|--|
| 1.     | Management Fees *  | _____ % p.a. of Daily Average portfolio value  | Monthly in arrears                                     |
| 2.     | Equity Brokerage   | at actuals   |  |
| 3.     | Exit Fees applicable on full / partial redemption on investors request*  | <ul style="list-style-type: none"> <li>If redeemed before or on completion of 1 year from the date of inflow: ___ % of redemption amount.</li> <li>If redeemed after completion of 1 year but before or on completion of 2 years from the date of inflow: ___ % of redemption amount.</li> <li>If redeemed after completion of 2 year but before or on completion of 3 years from the date of inflow: ___ % of redemption amount.</li> </ul> | On redemption amount at the time of redemption payout  |
| 4.     | Operating Expenses including but not limited to Custodian / Depository fees, Registrar & Transfer agent fee and charges, Professional charges, Securities lending & borrowing charges and Account activation expenses.*# | At Actuals upto the limit as may be specified by regulations from time to time.  | Monthly/ Incidental                                    |
| 5.     | Performance Fee subject to High Water Mark*  | 0% upto ___ %<br>___ % above ___ %   | Quarterly / Inception anniversary / Financial year end |
| 6.     | Any other charges, please specify*   |  |  |

\*Plus, applicable GST and other statutory levies which may differ from time to time as per changes in Tax Laws.

#For further details please refer to PMS Agreement

**I hereby declare that I have read and understand the fees structure as above.** (to be written by investor)

\_\_\_\_\_

(Sign) \_\_\_\_\_ (Sign) \_\_\_\_\_ (Sign) \_\_\_\_\_

## Fees Schedule

### Investment Approach

1 \_\_\_\_\_

2 \_\_\_\_\_

The exact basis of charge relating to services rendered is as follows:

| Sr No. | Particulars  | Basis of calculations  | Frequency of charge                                    |
|--------|--|--|--|
| 1.     | Management Fees *  | _____ % p.a. of Daily Average portfolio value  | Monthly in arrears                                     |
| 2.     | Equity Brokerage   | at actuals   |  |
| 3.     | Exit Fees applicable on full / partial redemption on investors request*  | <ul style="list-style-type: none"> <li>If redeemed before or on completion of 1 year from the date of inflow: ___ % of redemption amount.</li> <li>If redeemed after completion of 1 year but before or on completion of 2 years from the date of inflow: ___ % of redemption amount.</li> <li>If redeemed after completion of 2 year but before or on completion of 3 years from the date of inflow: ___ % of redemption amount.</li> </ul> | On redemption amount at the time of redemption payout  |
| 4.     | Operating Expenses including but not limited to Custodian / Depository fees, Registrar & Transfer agent fee and charges, Professional charges, Securities lending & borrowing charges and Account activation expenses.*# | At Actuals upto the limit as may be specified by regulations from time to time.  | Monthly/ Incidental                                    |
| 5.     | Performance Fee subject to High Water Mark*  | 0% upto ___ %<br>___ % above ___ %   | Quarterly / Inception anniversary / Financial year end |
| 6.     | Any other charges, please specify*   |  |  |

\*Plus, applicable GST and other statutory levies which may differ from time to time as per changes in Tax Laws.

#For further details please refer to PMS Agreement

**I hereby declare that I have read and understand the fees structure as above.** (to be written by investor)

\_\_\_\_\_

(Sign) \_\_\_\_\_ (Sign) \_\_\_\_\_ (Sign) \_\_\_\_\_



## Systematic Rebalancing Plan

### 1. PMS Account Details

|                            |                      |
|----------------------------|----------------------|
| Client ID                  | <input type="text"/> |
| PMS strategy Name          | <input type="text"/> |
| Name of Sole/ First Holder | <input type="text"/> |
| Name of Second Holder      | <input type="text"/> |
| Name of Third Holder       | <input type="text"/> |

### 2. Details of Switch Strategy (Mandatory)

Considering the various factors like market conditions, my/ our profile, risk appetite and my/ our overall investment objectives. I/ We hereby wish to rebalance my/ our assets in the following manner as mentioned below:

|     | Initial Lumpsum Investment |                          |  | Balance Investment via No. of Equal Monthly Rebalancing Switches |                          |   |                          |   |                          |   |                          | Hold <sup>6</sup>        |
|-----|----------------------------|--------------------------|--|--|--------------------------|---|--------------------------|---|--------------------------|---|--------------------------|--------------------------|
| I   | 20%                        | <input type="checkbox"/> |  | 3  | <input type="checkbox"/> | 4 | <input type="checkbox"/> | 5 | <input type="checkbox"/> | 6 | <input type="checkbox"/> | <input type="checkbox"/> |
| II  | 30%                        | <input type="checkbox"/> |  | 3  | <input type="checkbox"/> | 4 | <input type="checkbox"/> | 5 | <input type="checkbox"/> | 6 | <input type="checkbox"/> | <input type="checkbox"/> |
| III | 40%                        | <input type="checkbox"/> |  | 3  | <input type="checkbox"/> | 4 | <input type="checkbox"/> | 5 | <input type="checkbox"/> | 6 | <input type="checkbox"/> | <input type="checkbox"/> |
| IV  | 50%                        | <input type="checkbox"/> |  | 3  | <input type="checkbox"/> | 4 | <input type="checkbox"/> | 5 | <input type="checkbox"/> | 6 | <input type="checkbox"/> | <input type="checkbox"/> |

Date of Rebalancing: 10th  25th

- I/ We have read and understood the fee schedule for this investment in PMS.
- I/ We have understand that the Management Fees will be charged on the entire amount invested in PMS including the portion set aside for rebalancing at regular intervals including amount set aside under hold option.
- I/We fully understand that Exit Load if any will also be applicable on the amount set aside for rebalancing at regular intervals including amount set aside under hold option.

### 3. Terms & Conditions

- As per SEBI guidelines, the minimum investment amount (aggregated at a PAN level) needs to be ₹.50 Lakhs.
- The rebalancing of the portfolio will commence from the month subsequent to the month of activation of the portfolio
- In case there is a public holiday on the applicable rebalancing date, the same will be processed on the Next working Day
- The amount set aside for rebalancing will be invested in Bank Fixed Deposit, Liquid Fund, Overnight Fund or Short Term Fixed Income instruments as deemed appropriate by the portfolio manager.
- Opting STP route of investing is purely investor's personal choice and he/she understands that the portfolio performance may differ from other investors who invest in lumpsum amounts.
- For investors opting the hold option, portfolio manager will invest the intial lumpsum amount into equities, balance amount will be invested in Bank Fixed Deposit, Liquid Fund, Overnight Fund or Short Term Fixed Income instruments as deemed appropriate by the portfolio manager, till further instructions from the investor. These instructions are to be given via dully filled and signed PMS transaction form.

### Signature

1. \_\_\_\_\_ 2. \_\_\_\_\_ 3. \_\_\_\_\_

NOTE: TO BE FILLED IN CAPITAL LETTERS.

## Systematic Rebalancing Plan - Additional Purchase Form

(Applicable only to Existing Investor)

### 1. PMS Account Details

Client ID

PMS strategy Name

Name of Sole/ First Holder

Name of Second Holder

Name of Third Holder

### 2. Details of Switch Strategy (Mandatory)

Considering the various factors like market conditions, my/ our profile, risk appetite and my/ our overall investment objectives. I/ We hereby wish to rebalance my/ our assets in the following manner as mentioned below:

A. Total Investment  
(Minimum of ₹ 7.50 Lacs & in multiple of ₹ 0.50 Lacs only)

B. Initial Rebalancing Installment  
(Minimum of ₹ 2.50 Lacs & in multiple of ₹ 0.50 Lacs only)

C. Balance Investment (A - B)

D. No. of Rebalancing Installment  
(Minimum 2 months, Maximum 11 months)

E. Monthly Rebalancing amount (C = D X E)  
(Minimum of ₹ 2.50 Lacs & in multiple of ₹ 0.50 Lacs only)

☐ I want to opt for Hold Option<sup>8</sup> for the Balance Investment (C)

Date of Rebalancing: 10th

25th

- I/ We have read and understood the fee schedule for this investment in PMS.
- I/ We have understand that the Management Fees will be charged on the entire amount invested in PMS including the portion set aside for rebalancing at regular intervals including amount set aside under hold option.
- I/ We fully understand that Exit Load if any will also be applicable on the amount set aside for rebalancing at regular intervals including amount set aside under hold option.

### 3. Terms & Conditions

- As per SEBI guidelines, the minimum investment amount (aggregated at a PAN level) needs to be ₹ 50 Lakhs.
- The Minimum investment for existing clients under this option is ₹ 7.5 lacs
- In case there is a public holiday on the applicable rebalancing date, the same will be processed on the Next working Day
- The amount set aside for rebalancing will be invested in Bank Fixed Deposit, Liquid Fund or Short Term Fixed Income instruments as deemed appropriate by the Portfolio Manager.
- Opting STP route of investing is purely investor's personal choice and he/ she understands that the portfolio performance may differ from other investors who invest in lump-sum amounts.
- First Rebalancing installment will be processed on the date of acceptance of the additional purchase amount in the Portfolio. Balance installments will be processed from the month subsequent to the acceptance of the additional purchase amount in the portfolio.
- For Existing Investors, in the portfolio under the Systematic Rebalancing Option, the date of processing subsequent installments under additional purchase option will be same as date of processing installment for initial investment under Systematic Rebalancing Plan.
- For investors opting the hold option, portfolio manager will invest the intial lumpsum amount into equities, balance amount will be invested in Bank Fixed Deposit, Liquid Fund, Overnight Fund or Short Term Fixed Income instruments as deemed appropriate by the portfolio manager, till further instructions from the investor. These instructions are to be given via dully filled and signed PMS transaction form.

### Signature

1. \_\_\_\_\_  
Name of Sole/ First Holder

2. \_\_\_\_\_  
Name of Second Holder  
Authorized Signatory

3. \_\_\_\_\_  
Name of Third Holder  
Authorized Signatory

NOTE: TO BE FILLED IN CAPITAL LETTERS.

## Transaction Form

Date: \_\_\_\_ / \_\_\_\_ / 20

To

Fund Manager, Nippon India PMS  
Nippon Life India Asset Management Limited  
4th Floor, Tower A, Peninsula Business Park, Ganapatrao Kadam Marg,  
Lower Parel (W), Mumbai 400013.

Client Code : \_\_\_\_\_ Client Name : \_\_\_\_\_

Would request you to perform following action from my PMS Investment with you.

☐ Investment in equity      ☐ Switch      ☐ Partial Redemption      ☐ Full Redemption

Please redeem Rs. \_\_\_\_\_ from liquid funds in my portfolio & make it available to fund manager for investment in equity shares as per product structure.

Please switch my investments From \_\_\_\_\_ (Existing Scheme)

to \_\_\_\_\_ (New Scheme)

In case of Part/Full Redemption, Proceed by using following action

☐ By way of Stock      ☐ Sale By way of Stock transfer      ☐ From Liquid MF/Cash & Equivalent in portfolio\*

In Case of Partial Redemption, Amount: Rs. \_\_\_\_\_

In Case of Partial / full Redemption by shares transfer – Please Provide CML copy / Personal Demat account statement. Partial Share transfer requires list of stocks to be transferred as separate annexure.

Reason for Redemption \_\_\_\_\_

Request you to Credit the Proceeds in my bank account registered at your end.

(Kindly attach a self attested copy of a cheque or bank Statement for verification purpose)

If payout is needed in bank account other than registered bank account, please provide change of bank mandate request. Redemption will be processed after recording new bank mandate in the system.

Thanking you

\_\_\_\_\_  
Signature  
(First Holder)

\_\_\_\_\_  
Signature  
(Second Holder)

\_\_\_\_\_  
Signature  
(Third Holder)

Note:

Applicable Exit load will be charged as per fee structure.

\*Includes investments in Bank Fixed Deposit, Liquid Fund, Overnight Fund or Short Term Fixed Income instruments

## Form For Systematic Withdrawal Plan

Date: \_\_\_\_ / \_\_\_\_ / 20

To

Fund Manager, Nippon India PMS  
Nippon Life India Asset Management Limited  
4th Floor, Tower A, Peninsula Business Park, Ganapatrao Kadam Marg,  
Lower Parel (W), Mumbai 400013.

Client Code (for existing investors) : \_\_\_\_\_

Client Name : \_\_\_\_\_

Investment Approach : \_\_\_\_\_

I/we want to opt for Systematic Withdrawal Plan (SWP) for my/our investment in the above mentioned investment approach.

### **Frequency**

### **Applicable withdrawal dates**

- |                                      |   |
|--------------------------------------|---|
| <input type="checkbox"/> Monthly     | 15th of every month                                   |
| <input type="checkbox"/> Quarterly   | 15th April, 15th July, 15th October and 15th January. |
| <input type="checkbox"/> Semi Annual | 15th April and 15th October                           |
| <input type="checkbox"/> Annual      | 15th April  |

Amount to be withdrawn (in multiples of Rs. 1 lakh) \_\_\_\_\_

Period of withdrawal ☐ 1 year ☐ 2 years ☐ 3 years

### **Terms and Conditions:**

1. The withdrawals under SWP are subject to the minimum investment guidelines at PAN level, as per SEBI Regulations.
2. No withdrawal will be processed, if the same results in asset under management falling below the minimum threshold as specified in SEBI regulations.
3. Withdrawals under SWP will be subject to applicable exit load as per the duly signed fee schedule.
4. Opting for SWP is a personal choice of the investor and he /she understands that the performance may differ from other investors who do not opt for the same.
5. On the applicable withdrawal date, Portfolio Manager will process the same, subject to the adherence of minimum investment guidelines as per SEBI regulations.
6. In case, there is a public holiday on the applicable withdrawal date, then the same will be processed on the next working day.
7. For the withdrawals under SWP, payment will be made to the registered bank account within 7 working days of the processing date, subject to adherence of minimum investment guidelines on the date of payment.
8. Portfolio manager may sell securities to create liquidity in the portfolio for processing of the SWP instalment. The tax liability arising if any because of selling of securities shall borne by the investor.
9. The withdrawals under SWP will commence from the applicable withdrawal date of the month subsequent to the month of receipt of the request.

Thanking you,

\_\_\_\_\_