



(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 | Call us on 022 - 43037303 | Visit us at 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 _____

[illegible]

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"> If redeemed before or on completion of 1 year from the date of inflow: ___ % of redemption amount. If redeemed after completion of 1 year but before or on completion of 2 years from the date of inflow: ___ % of redemption amount. If redeemed after completion of 2 year but before or on completion of 3 years from the date of inflow: ___ % of redemption amount. 	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 ___ % ___ % 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"> If redeemed before or on completion of 1 year from the date of inflow: ___ % of redemption amount. If redeemed after completion of 1 year but before or on completion of 2 years from the date of inflow: ___ % of redemption amount. If redeemed after completion of 2 year but before or on completion of 3 years from the date of inflow: ___ % of redemption amount. 	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 ___ % ___ % 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 ⁶
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	<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:

A. Total Investment (Minimum of ₹ 7.50 Lacs & in multiple of ₹ 0.50 Lacs only)	<input type="text"/>
B. Initial Rebalancing Installment (Minimum of ₹ 2.50 Lacs & in multiple of ₹ 0.50 Lacs only)	<input type="text"/>
C. Balance Investment (A - B)	<input type="text"/>
D. No. of Rebalancing Installment (Minimum 2 months, Maximum 11 months)	<input type="text"/>
E. Monthly Rebalancing amount (C = D X E) (Minimum of ₹ 2.50 Lacs & in multiple of ₹ 0.50 Lacs only)	<input type="text"/>

☐ I want to opt for Hold Option⁸ 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,
