REQUEST FORM FOR ADDITIONAL INVESTMENT IN NEW STRATAGY

Application Date: D D M M Y Y Y Y **Distributor Name:** ______________________

To
Tradeswift Broking Private Limited
4th Floor, Baid House, 1-Tara Nagar, Ajmer Road,
Jaipur-302006 (Rajasthan)

Dear Sir,

Client Code: ______________________ **PAN Card No.:** ☐☐☐☐☐☐☐☐☐☐

Account Name: ______________________

I/We the undersigned has/ have executed Portfolio Management Services (PMS) Agreement dated ______________ with TRADESWIFT BROKING PRIVATE LIMITED

Pursuant to the terms of the PMS Agreement, I/we wish to infuse additional funds to my aforesaid PMS Account, details of which are as follows:

Investment Approach details		Amount
Scheme Name:		**In Figure:**
Lumpsum: ☐	**STP Option:** ☐ Yes ☐ No **STP Frequency:** ☐ 2 STP ☐ 4 STP	**In Words:**

GOODS AND SERVICE TAX (GST) DETAILS	
☐ We have GST number for availing credit	☐ We don't have GST number and do not wish to avail credit
GST Number	

**Please note that the minimum investment in New Strategy is INR 50 lacs (Rupees Fifty lacs only).
**Duly filled fee Page must be provided in case of STP Investment mode

RM Name: ______________________ **Service Manager Name:** ______________________

RM Email ID: ______________________ **Service Email ID:** ______________________

RM Contact No.: ______________________ **Service Contact No.:** ______________________

Details of payment:

Cheque No. / NEFT / RTGS Ref. No. ______________________ **dated** ______________________**, Bank Name** ______________________ **Branch** ______________________**. (Please note that Third party cheques or demand drafts are not accepted for the purpose of investments, if received same will be refunded).**

Note: Fund Transfer proof is mandatory (Bank Statement).

☐ I / We understand that the terms and conditions of the PMS Agreement wherein Risk Profiling, Exclusions, Fees and Expenses, KYC and other documents executed earlier shall apply to these investments as well. I/We have received the disclosure documents and have considered all risk factor of the said approach for investment. Also in case of my existing strategy I/We agree and confirm that I/We have been furnished and delivered all monthly / quarterly / annual reports, audited financial statements, statement of accounts, investor charter, monthly investor factsheets, regulatory disclosures including but not limited to Disclosure Document, Most Important Terms and Conditions (MITC), etc. as required under applicable SEBI regulations read along with amendments & circulars issued from time to time.

Thanking you.
Yours truly,

SIGNATURES

1st Applicant	2nd Applicant	3rd Applicant
PAN Card No.: ☐☐☐☐☐☐☐☐☐☐	☐☐☐☐☐☐☐☐☐☐	☐☐☐☐☐☐☐☐☐☐

Application Date: | D | D | M | M | Y | Y | Y | Y | Distributor Name: ____

To
Tradeswift Broking Private Limited
4th Floor, Baid House, 1-Tara Nagar, Ajmer Road,
Jaipur-302006-Rajasthan

Subject: Addendum to PMS Agreement for investment in additional variants/concepts

Reference Client Code:

Dear Sir/Madam,

I/We having a Portfolio Management Account with Tradeswift Broking Private Limited dated ____________________________ in name & style as ________________ Client code________________would like to invest in the (new) Strategy investment. I/We hereby request you to utilize/link our existing Demat account having DP ID ____ & Client ID _______________________ for this new strategy as well.

I/We hereby agree to all the terms and conditions of the aforesaid Portfolio Management Services Agreement including schedules and confirm that all the data mentioned in the aforesaid application cum KYC form and clauses in the agreement are valid and the KYC documents and supporting documents provided earlier remain the same and valid for new investment account. If there are any changes to my/our KYC documents, I/we undertake to inform you at the earliest and produce all necessary documents. The taxation, legal or other implications, if any, arising on account of you acting on our above instructions will be solely borne by me/us & I/us shall indemnify you fully on account of the same.

I/We hereby confirm that I/we have received and read the Disclosure Documents for Portfolio Management Services two days prior signing of this document.

Thanking you,

Applicants name: ____

SIGNATURES

1st Applicant	2nd Applicant	3rd Applicant
Pan Card No		

SCHEDULE-E
DISCLOSURE OF INTEREST AND INVESTMENT RESTRICTIONS

1. I/We am/are interested directly/through my relative(s), which enables me/us to obtain unpublished price sensitive information in the following corporate bodies:

No.	Name of bodies corporate in which I am interested directly/ through my relatives. (First holder, Second holder, Third holder)	Designation	Nature of Interest	Qty	% of Paid up capital

Investment Restrictions		
No.	Name of the Company	ISIN

2. I/We hereby undertake to intimate Portfolio Manager in case of any modification to the above change in name, if any, of the body corporate.
3. In case any of the above-mentioned body corporate(s) are not listed on any Recognized Stock Exchange(s), I/we undertake to intimate the Portfolio Manager atleast 15 days prior to its being listed.
4. I/We understand that the Portfolio Manager may not invest in the equity shares of the above-mentioned companies on my/our behalf unless specified otherwise in writing by me/us.
5. I/We confirm and declare that the above declarations constitute compliance with the provisions of the SEBI (Prohibition of Insider Trading) Regulations, 2015 SEBI (Prohibition of Fraudulent and Unfair Trade Practices relating to Securities Market) Regulations, 2003 and SEBI (Substantial Acquisition of Shares and Takeovers) Regulations, 2011, as may be applicable and updated from time to time.
6. I/We further acknowledge that in event of investments made by the portfolio Manager prior to above disclosure then such Securities shall continue to form part of the Portfolio, unless otherwise instructed by the investor. In the event of sale of securities, I/we agree that such sale may have short term/long term capital gain/loss impact or other taxation impact.
7. I/We hereby authorize the Portfolio Manager to mark a permanent freeze on such Securities of the companies in which I/We am/are a Designated Person(s). I/We undertake to check the client master and inform any changes.
8. I/We shall not hold the Portfolio Manager responsible for any lapse in marking freeze on such Securities.

Sign *First/Sole Holder*	Sign *Second Holder*	Sign *Third Holder*

SCHEDULE C
PORTFOLIO MANAGEMENT FEES

APPLICATION OF THE CLIENT:
INVESTMENT APPROACH SELECTED AND AGREED APPLICABLE FEES.

To
Tradeswift Broking Private Limited
Registered Address: 4th Floor, Baid House, 1-Tara Nagar,
Ajmer Road, Jaipur-302006 (Rajasthan)

Dear Sir
I/ We wish to avail the Discretionary Portfolio Management Services as offered by Tradeswift Broking Private Limited as a portfolio manager. I/ We wish to inform you that I/ We have read and understood the contents of the Disclosure Document along with enclosed certificate in Form C as specified in the Securities and Exchange Board of India (Portfolio Managers) Regulations, 2020 and provided to me/ us at least two (2) days prior of entering into the Portfolio Management Service Agreement. I/ We am/ are enclosing herewith the documents/ agreements as required for registering as a client for availing the Portfolio Management Services.
I/ We hereby place Rs. ____/-
Rupees____Only)

Bank Payment Details:
Bank & Branch Name:
Cheque No.___________________________ Cheque Date:________________
RTGS Transaction No.___________________________ RTGS Date:________________

AND/ OR
List of Securities as detailed Below

Sr. No.	**Name of Security**	**Quantity**
1.		
2.		
3.		

(Please attach separate list of securities, if required)
As initial corpus under the Discretionary Portfolio Management in the following Product(s).

Investment Approach	☐ Dynamic Gems Allocation Amount: ________________ ☐ Sparkling Gems Allocation Amount: ________________
Investment Option	Lumpsum

* You are strongly advised to remit funds, in line with your allocation, directly to the designated bank account(s) of the relevant Investment Approach. If funds are remitted to a single bank account, the Portfolio Manager will, upon receipt, apportion and transfer such funds to the designated bank account(s) of the relevant Investment Approach(s) as per your allocation.

Particulars	**Year**											
	1	2	3	4	5	6	7	8	9	10	11	12
Fixed Management Fee												
Hurdle Rate												
Performance Fee												
Exit Load				-	-	-	-	-	-	-	-	-

AS PER TARIFF SHEET SIGNED AND ENCLOSED

First Applicant

(Client's Signature) **(14A)**

Second Applicant

(Client's Signature) **(14B)**

SCHEDULE -C
PORTFOLIO MANAGEMENT FEES

Minimum Investment	INR 50,000,00/-
Suitability	For investors with moderate/high risk appetite and investment horizon over a period of 3 to 5 years and above.
Charges on Actual Basis.	Custody charges, DP charges, brokerage & transaction costs, registrar fee, notary charges, stamp duty charges, audit fees, certification & professional charges, service-related expenses like courier expenses, stamp duty, Goods and Services Tax, postal, telegraphic any other out of pocket expenses as may be incurred, incidental and ancillary expenses, etc.
Taxes as applicable	GST and other statutory levies including stamp duty charges on the agreement, as per the law.
Exit Terms	2% of NAV - If Exit before 12 months 1.5% of NAV - If Exit before 24 months 1% of NAV - If Exit before 36 months NIL - If Exit after 36 months
Performance Fee	*As per Table-A*

* Performance shall be computed on the basis of high-water mark principle over the life of the investment for charging of performance/ profit sharing fee. High Water Mark shall be the highest value that the portfolio/account has reached. Value of the portfolio for computation of high watermark shall be taken to be the value on the date when performance fees are charged. The performance fees will be charged on crossing of Hurdle Rate of the NAV of Portfolio. For the purpose of charging performance fee, the frequency shall not be less than quarterly. The portfolio manager shall charge performance-based fee only on increase in portfolio value in excess of the previously achieved high water mark.

Terms & Conditions:

a) Fee Schedule is an integral part of Portfolio Management Service agreement and should be read in conjunction with Portfolio Management Service agreement.

b) Fixed Management Fee & Incidental Charges will be calculated on daily closing asset under management and will be charged monthly in arrears or on full withdrawal date which-ever is earlier.

c) Performance Linked Management Fee is charged by the Portfolio Manager to the Client for management of Portfolio at an agreed rate on returns generated (realized and unrealized). The fee is charged upon exceeding the hurdle rate specified in the Fees Schedule. The fee is computed on the basis of daily closing asset under management of the Portfolio (after adjusting for subscriptions and redemptions) and is charged on Financial Year End/full withdrawal date whichever is earlier. In case of early withdrawal, the returns generated will be annualised for calculating the fees.

d) Upon early termination of Portfolio Management Services, the Portfolio Manager shall be entitled to charge the client an Exit Load. The exit load charged shall not exceed SEBI permissible limits.

e) The brokerage, Goods & Service Tax thereon, stamp duty, transaction charges, turnover charges and other expenses wherever incurred for purchase and sale of securities are charged on actual basis and are debited to the Client Portfolio as and when the same becomes due for payment.

f) Audit Fee are charges paid to the Auditors for certification of Client Accounts. The Audit Charges are charged on actual basis and are debited to the Client Portfolio as and when the same becomes due for payment.

g) AII other applicable statutory levies including Stamp Duty, Securities Transaction Tax, and Goods & Services Tax on all fee & expenses heads etc. would be levied separately as per the prevailing rates from time to time. AII the fees, charges, expenses and other levies would be directly debited and recovered from the Client Portfolio.

h) In addition to the specific expenses mentioned above, the Client shall be charged expenses, charges and levies as incurred by Portfolio Manager in terms of Disclosure Document and Portfolio Management Services Agreement.

i) Partial withdrawal will be allowed only if, the residual asset under management is above the minimum threshold prescribed by the portfolio manager and/ or as stipulated under the Regulations, as amended from time to time.

(Client Signature) **(11A)**

(Client Signature) **(11B)**

Table -A- (Performance Fee)

Fee Schedule	Fee Type		Management Fee (p.a)	Hurdle Rate (%)	Performance Fee above hurdle rate
Schedule "A"	**Fixed + Variable**	Less than 1 cr	**1.75%**	**10.00%**	**20.00%**
		Rs 1 cr upto 3cr	**1.60%**	**10.00%**	**18.00%**
		Rs 3 cr upto 5 cr	**1.50%**	**10.00%**	**16.50%**
		Greater than 5 cr	**1.25%**	**10.00%**	**15.00%**
Schedule "B"	**Variable**	Rs 50 lakh upto Rs 5 cr	**Nil**	**0.00%**	**20.00%**
		Greater than Rs 5 cr	**Nil**	**0.00%**	**17.50%**
Schedule "C"	**Fixed**	Rs 50 lakh upto Rs 5 cr	**2.50%**	**N.A**	**Nil**
		Greater than Rs 5 cr	**2.00%**	**N.A**	**Nil**

Please sign against the Fee Schedule Opted by you and strike off, which is not applicable

Declaration:
The Client is required to state in its own handwriting that **"I/ We have understood the fees and charges structure of the Portfolio"** ______________________________

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Please sign against the Fee Schedule Opted by you and strike off, which is not applicable

Schedule "A"	(Client Signature) **(11A)**	(Client Signature) **(11B)**
Schedule "B"	(Client Signature) **(11A)**	(Client Signature) **(11B)**
Schedule "C"	(Client Signature) **(11A)**	(Client Signature) **(11B)**

SCHEDULE D
MOST IMPORTANT TERMS AND CONDITIONS (MITC)

Most Important Terms and Conditions (MITC) for the clients of the Portfolio	
Name of the Portfolio Manager & SEBI Registration Number	**TRADESWIFT BROKING PVT LTD** **INP000008446**
Contact details of Portfolio Manager	Phone : 0141-4050505 | Email : pms@tradeswift.net
Name of the Client (Details of all the holders)	
Distributor Name	
Service Opted by the Client	Discretionary ✔ Non-Discretionary Advisory Co-Investment Services
Amount Invested	
Date of PMS Agreement	
Risk Tolerance of the Client	**Risk Profile** ☐ Low ☐ Medium ☐ Medium Aggressive ☐ Aggressive **Risk Tolerance** Low ☐ Medium ☐ High ☐
Strategy	Equity Debt Hybrid Multi Asset
Investment Approach	☐ Dynamic Gems ☐ Sparkling Gems
Benchmark for the Investment Approach	Nifty multi asset index 2 for Dynamic Gems & BSE 500 TRI for Sparkling Gems
Investment tenure/horizon	Medium to Long Term
Related party investments	Allowed/Not allowed
Fees & Charges including exit load, if any levied by the Portfolio Manager	As per the Fee schedule signed by the client.
Details of bank and demat accounts where client's funds and securities are kept	☐ A/c No :201028684126 Bank Name : **Indusind Bank Limited** IFSC : **INDB0000033** ☐ A/c No :44458270026 Bank Name : State Bank of India IFSC : SBIN0009995 Demat Account details will be shared through the Welcome E-mailer.
Tenure of PMS Agreement	As per Agreement Terms
Client	Yes/No
Nominee along with share of each nominee in PMS, Demat and Bank accounts	First Nominee & % Share Second Nominee & % Share
Name of Guardian, in case the Nominee is a minor	
Name and contact details of Investor Relation Officer	Rakesh Sharma 0141-4050501
Other important T&Cs	As per Schedule C of PMS agreement

The MITC and all information provided here above are applicable to you. The MITC is in addition to and are to be read in conjunction with the PMS-Client Agreement executed between you and the Portfolio Manager.

First Applicant

✍

(Client's Signature) **(15 C)**

Name : ______________________

Date :

Place : ______________________

Second Applicant

✍

(Client's Signature) **(15 D)**

Name : ______________________

Date :

Place : ______________________

CLIENT'S INVESTMENT PROFILE

Investment Parameters	First/Sole Applicant	Second Applicant	Third Applicant
Do you understand Equity Market are subject to market risk and there is no guaranteed returns	☐ Yes [2] ☐ No [1]	☐ Yes ☐ No	☐ Yes ☐ No
Investment Experience regarding securities	☐ <3 years [1] ☐ 3-5 years [2] ☐ 5-10 years [3] ☐ >10 years [4]	☐ <3 years ☐ 3-5 years ☐ 5-10 years ☐ >10 years	☐ <3 years ☐ 3-5 years ☐ 5-10 years ☐ >10 years
Risk Tolerance	☐ Low [1] ☐ Medium [2] ☐ High [3]	☐ Low ☐ Medium ☐ High	☐ Low ☐ Medium ☐ High
What is the percentage of total portfolio proposed to be invested with the Portfolio Manager	☐ <25% [3] ☐ 25-50% [2] ☐ >50% [1]	☐ <25% ☐ 25-50% ☐ >50%	☐ <25% ☐ 25-50% ☐ >50%
Overall Investment Goals	☐ Capital Appreciation 3 ☐ Capital Appreciation and Regular Income 2 ☐ Regular Income 1	☐ Capital Appreciation ☐ Capital Appreciation and Regular Income ☐ Regular Income	☐ Capital Appreciation ☐ Capital Appreciation and Regular Income ☐ Regular Income
YourPortfolio Constituents (Max)	☐ Equity [5] ☐ Balanced [4] ☐ Debt [2] ☐ Mutual Fund [3] ☐ Others [1]	☐ Equity ☐ Balanced ☐ Debt ☐ Mutual Fund ☐ Others	☐ Equity ☐ Balanced ☐ Debt ☐ Mutual Fund ☐ Others
Time period for which investments are proposed to be made with the portfolio manager	☐ 5 Years [1] ☐ Above 5 Years [2]	☐ 5 Years ☐ Above 5 Years	☐ 5 Years ☐ Above 5 Years
Your current Annual savings (income less expenses) are	☐ <2 lac [1] ☐ Between 2 to 5 lac [2] ☐ Between 5 to 10 lac [3] ☐ Above 10 lac [4]	☐ <2 lac ☐ Between 2 to 5 lac ☐ Between 5 to 10 lac ☐ Above 10 lac	☐ <2 lac ☐ Between 2 to 5 lac ☐ Between 5 to 10 lac ☐ Above 10 lac
Are you alright with Investment in equity derivatives like future and options which may be used to take fresh position to hedge the existing portfolio	☐ Yes [2] ☐ No [1]	☐ Yes ☐ No	☐ Yes ☐ No

I hereby confirm that such investment is in accordance with my needs and I am investing in the above referred portfolio basis is/our professional skills and my own assessment of the risk involved in the portfolio.

21. APPLICANT DECLARATION

- I/We hereby declare that the details furnished above are true and correct in all aspects. I/We agree to promptly inform the Portfolio Manager of any Change in such information(s). In case any of the above information is found false or untrue or misleading or misrepresenting, I/We am/are aware that I/We may be held liable for it.
- I/We hereby declare that I/We shall not act in the capacity of a sub-broker/agent and all the transactions entered into will be on my/our own account.
- I/We agree to abide by the Terms and Conditions, Rules and Regulations as stipulated in PMS Agreement.
- I/We confirm that the amount invested by me/us is through legitimate sources/channels only and does not involve and is not designed for the purpose of any contravention or evasion of the provisions 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.
- I/we understand that the details furnished in this form (like PAN, Date of Birth, Aadhaar etc) would be utilised by the Portfolio Manager to fetch my/our KYC details from central databases like CVL KRA and CKYC database or ITD database or any other database. We hereby provide our consent for fetching of such information.
- I/We hereby declare that I am/we are not a US person, within the meaning of the United States Securities Act, 1933, as amended from time to time; and that I am/we are not applying on behalf of proxy Applicants of a person who is a US person.
- I/We undertake to provide all the disclosures as required under SEBI (Prohibition of Insider Trading) Regulations, 2015, Prevention of Money Laundering Act 2002, SEBI (Substantial Acquisition of Shares and Takeovers) Regulations, 2011 as amended from time to time or any other Act/Regulation. I/we hereby declare that I/we will immediately inform the Portfolio Manager in case I am/we are convicted under any grounds or any action is taken against me/us by any authority.
- Distributor had informed me/us about the advisory fees/distribution commission that would be earned related to my investment.
- I/we hereby agree that though my/our risk profile may be different from the risk of the approach chosen i.e. of high risk (aggressive) and decision to avail services have/has been taken by me/us and agree that the approach is suitable to me/us.

Sign *First/Sole Holder*	Sign *Second Holder*	Sign *Third Holder*

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Conclusion of Client Investment Profile Total Score : ________

Client Investment Profile : ☐ Low (Score <12) ☐ Medium (Bet 12-18) ☐ Medium-aggressive (Bet 19-21) ☐ Aggressive (Above 21)

Employee Name		**Employee Signature**	Sign
Date	D D M M Y Y Y Y	**Place**	