

SWITCH REQUEST

Date:

D	D	M	M	Y	Y	Y	Y
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Distributor Name: _____

Folio No.: _____

To
TRADESWIFT BROKING PRIVATE LIMITED
 4th Floor, Baid House, 1- Tara Nagar, Ajmer Road,
 Jaipur-302006 (Rajasthan)

Subject: Switch Request:

Dear Sir,

I/We the undersigned has/ have executed Discretionary Portfolio Management Services (DPMS) Agreement with Tradeswift Broking Private Limited.

I/We wish to switch the Investment Approach to the extent mentioned herein after.

From	Investment Approach/ Folio No.:		
Entire Amount	<input type="checkbox"/>		
Partial Amount	<input type="checkbox"/>	INR Rs.	(Rupees in figures)
		INR Rs.	(Rupees in words)
To	Investment Approach/ Folio No.:		
Frequency			

I/We confirm that I/We have read and understood all the terms and condition associated with this change and I also confirm that I have received, read and understood the Investment Approach document of new scheme. I/We accept and agree to be bound by the same.

In all other aspects the terms of Client Agreement along with Fees schedule executed with TRADESWIFT BROKING PRIVATE LIMITED shall remain unaffected and be in full force and effect.

I/We also 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.

SIGNATURES

 1st Applicant Name/Authorised Signatory

 2nd Applicant Name/Authorised Signatory

 3rd Applicant Name/Authorised Signatory

PAN Card No.:

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PAN Card No.:

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PAN Card No.:

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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	<input type="checkbox"/> Yes ² <input type="checkbox"/> No ¹	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Investment Experience regarding securities	<input type="checkbox"/> <3 years ¹ <input type="checkbox"/> 3-5 years ² <input type="checkbox"/> 5-10 years ³ <input type="checkbox"/> >10 years ⁴	<input type="checkbox"/> <3 years <input type="checkbox"/> 3-5 years <input type="checkbox"/> 5-10 years <input type="checkbox"/> >10 years	<input type="checkbox"/> <3 years <input type="checkbox"/> 3-5 years <input type="checkbox"/> 5-10 years <input type="checkbox"/> >10 years
Risk Tolerance	<input type="checkbox"/> Low ¹ <input type="checkbox"/> Medium ² <input type="checkbox"/> High ³	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
What is the percentage of total portfolio proposed to be invested with the Portfolio Manager	<input type="checkbox"/> <25% ³ <input type="checkbox"/> 25-50% ² <input type="checkbox"/> >50% ¹	<input type="checkbox"/> <25% <input type="checkbox"/> 25-50% <input type="checkbox"/> >50%	<input type="checkbox"/> <25% <input type="checkbox"/> 25-50% <input type="checkbox"/> >50%
Overall Investment Goals	<input type="checkbox"/> Capital Appreciation ³ <input type="checkbox"/> Capital Appreciation and Regular Income ² <input type="checkbox"/> Regular Income ¹	<input type="checkbox"/> Capital Appreciation <input type="checkbox"/> Capital Appreciation and Regular Income <input type="checkbox"/> Regular Income	<input type="checkbox"/> Capital Appreciation <input type="checkbox"/> Capital Appreciation and Regular Income <input type="checkbox"/> Regular Income
Your Portfolio Constituents (Max)	<input type="checkbox"/> Equity ⁵ <input type="checkbox"/> Balanced ⁴ <input type="checkbox"/> Debt ² <input type="checkbox"/> Mutual Fund ³ <input type="checkbox"/> Others ¹	<input type="checkbox"/> Equity <input type="checkbox"/> Balanced <input type="checkbox"/> Debt <input type="checkbox"/> Mutual Fund <input type="checkbox"/> Others	<input type="checkbox"/> Equity <input type="checkbox"/> Balanced <input type="checkbox"/> Debt <input type="checkbox"/> Mutual Fund <input type="checkbox"/> Others
Time period for which investments are proposed to be made with the portfolio manager	<input type="checkbox"/> 5 Years ¹ <input type="checkbox"/> Above 5 Years ²	<input type="checkbox"/> 5 Years <input type="checkbox"/> Above 5 Years	<input type="checkbox"/> 5 Years <input type="checkbox"/> Above 5 Years
Your current Annual savings (income less expenses) are	<input type="checkbox"/> <2 lac ¹ <input type="checkbox"/> Between 2 to 5 lac ² <input type="checkbox"/> Between 5 to 10 lac ³ <input type="checkbox"/> Above 10 lac ⁴	<input type="checkbox"/> <2 lac <input type="checkbox"/> Between 2 to 5 lac <input type="checkbox"/> Between 5 to 10 lac <input type="checkbox"/> Above 10 lac	<input type="checkbox"/> <2 lac <input type="checkbox"/> Between 2 to 5 lac <input type="checkbox"/> Between 5 to 10 lac <input type="checkbox"/> 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	<input type="checkbox"/> Yes ² <input type="checkbox"/> No ¹	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> 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 <i>First/Sole Holder</i>	Sign <i>Second Holder</i>	Sign <i>Third Holder</i>
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FOR TRADESWIFT OFFICE USE ONLY

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	<div style="background-color: yellow; padding: 2px 10px; display: inline-block;">Sign</div>
Date	D D M M Y Y Y Y	Place	

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	AS PER TARIFF SHEET SIGNED AND											
Performance Fee	ENCLOSED											
Exit Load				-	-	-	-	-	-	-	-	-

First Applicant

Second Applicant





(Client's Signature) (14A)

(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 whichever 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) All 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. All 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" _____

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)

