

ADDITIONAL INVESTMENT IN NEW STRATEGY

Application Date:

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

To
 ABAKKUS ASSET MANAGER PRIVATE LIMITED (Formerly known as Abakkus Asset Manager LLP)
 Abakkus Corporate Center, Param House,
 6th Floor, Shanti Nagar, Near Grand Hyatt,
 Off Santacruz Chembur Link Road, Santacruz East, Mumbai – 400 055.

Dear Sir,

Client Code: _____

Account Name: _____

I/We the undersigned has/ have executed Portfolio Management Services (PMS) Agreement dated _____ with ABAKKUS ASSET MANAGER PRIVATE LIMITED (Formerly known as Abakkus Asset Manager LLP).

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: Rs.
STP / LUMPSUM:	In Words:
STP Frequency: <input type="checkbox"/> 2 STP <input type="checkbox"/> 4 STP	

**Please note that the minimum investment in New Strategy is INR 50 lacs (Rupees Fifty lacs only).

**Fee Page is mandatory in case of investment in New Strategy.

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).

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.

Thanking you.

Yours truly,

SIGNATURES

 1st Applicant

PAN Card No.:

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 2nd Applicant

PAN Card No.:

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 3rd Applicant

PAN Card No.:

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NOTE

- (i) Fund Transfer proof is mandatory (Bank Statement).
- (ii) Switch form to be affixed in case STP mode of investment is opted.
- (iii) 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.

Application Date:

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Distributor Name: _____

To
ABAKKUS ASSET MANAGER PRIVATE LIMITED (Formerly known as Abakkus Asset Manager LLP)
Abakkus Corporate Center, Param House,
6th Floor, Shanti Nagar, Near Grand Hyatt,
Off Santacruz Chembur Link Road, Santacruz East, Mumbai – 400 055.

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 ABAKKUS ASSET MANAGER PRIVATE LIMITED (Formerly known as Abakkus Asset Manager LLP) 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 Client ID _____ & DP 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.

Further, request you to kindly note the special instruction for my/our account with reference to restriction of any stock/s purchase in my/our portfolio as follows:

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,

SIGNATURES

1st Applicant

2nd Applicant

3rd Applicant

ANNEXURE A – FEES SCHEDULE

Particulars	Frequency of deduction of Fees	Approach _____	STP - Liquid approach
		Lumpsum <input type="checkbox"/>	STP Options Yes <input type="checkbox"/> No <input type="checkbox"/> If yes, 2 STP <input type="checkbox"/> 4 STP <input type="checkbox"/>
<input type="checkbox"/> Option I	Quarterly in arrears	Management Fees: 2.50% p.a. of AUM	Management Fees: 0.25% p.a. of AUM
<input type="checkbox"/> Option II	Quarterly in arrears Annually at every investment anniversary	Management Fees: 1.75% p.a. of AUM Performance Fees: 15% over 9% (pre-tax) hurdle rate (Subject to high water mark principle)	
Termination Fees	On termination / partial withdrawal	1.5% of the amount withdrawn on termination/partial withdrawal within 1 year from the date of Investment and NIL thereafter	
Operating expenses other than Brokerage		At actuals (Subject to a cap of 0.50% p.a. of the AUM or as may be provided under the SEBI Regulations).	
Brokerage expenses		At actuals	

- The Termination Fee shall be calculated as a percentage of the Fair Market Value / marked to market basis (as applicable) of the Portfolio / withdrawn Portfolio. Inter approach transfer from Liquid Approach will not attract any exit load.
- Charges in a financial year for transactions through self or associates (e.g., Broking, Demat services, custody etc.) if any, shall be upto 20% by value per associate (including self) per service. In any case the fees paid to Associate shall not be more than the fees paid to the non-associate providing similar services.
- Management fees and Operating expenses shall be calculated per folio on the basis of the average value of the daily Assets Under Management for the previous quarter.
- All applicable taxes (including goods and service tax) and levies, if any (together with surcharge and additional surcharge, as may be applicable) leviable on any fee provided above, shall be charged to the Client Portfolio.
- I/we understand that we may have a liability of paying TDS on Fees charged to me/us for the services provided by the Portfolio Manager and I/we will deposit the same at the prevailing rates and shall provide TDS certificate to the Portfolio Manager within requisite time period.
- For STP Client, generally, the transfer from liquid ETF would be processed on T+3 working days from processing date and on sighting of clear cash balance, the money would be deployed between T+5 working days (at the discretion of Portfolio Manager). If any of the said days is a holiday the deployment would be subject to the next available business day. However, Portfolio Manager shall not be liable for any notional loss incurred by STP client due to delay in process from liquid ETF beyond the timeline mentioned under this clause.
- I/We confirm that I/We have read and understood all the terms and conditions associated with the transfer, if any and I/We accept and agree to be bound by the same.
- In all other aspects the terms of client agreement executed with Abakkus Asset Manager Private Limited (Formerly known as Abakkus Asset Manager LLP) shall remain unaffected and be in full force and effect.

I/ We have read and understood the above fees and charges structure. I/We am/are in agreement with the same". (Confirmation of fees in client's own handwriting)

Sign <small>First/Sole Holder</small>	Sign <small>Second Holder</small>	Sign <small>Third Holder</small>	<p>For Abakkus Asset Manager Private Limited</p> <p>Authorised Signatory</p>
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ANNEXURE C - 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.

First/Sole Holder	Second Holder	Third Holder
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