

# PMS SIP REGISTRATION / MODIFICATION / CANCELLATION CUM MANDATE FORM

## NJ ASSET MANAGEMENT PRIVATE LIMITED (Formerly known as NJ Advisory Services Private Limited)

**Registered Office:** Block No.901, 6Th Floor, 'B' Tower, Udhna Udyog Nagar Sangh Commercial Complex, Central Road No.10, Udhna, Surat – 394210, Gujarat

**Corporate Office:** Unit No. 101A, 1st Floor, Hallmark Business Plaza, Bandra (East), Mumbai – 400051, Maharashtra

(Please fill all the details in the form to avoid rejection)

**For Office use only: Reference No.**

**Inward Date**

### PMS Account Details:

PMS Client Code:

First Name

Middle Name

Last Name

1st Holder Name

First Name

Middle Name

Last Name

2nd Holder Name

First Name

Middle Name

Last Name

3rd Holder Name

### SIP Registration / Modification / Cancellation Details:

SIP Registration Request

SIP Modification Request

SIP Cancellation Request

Sr. No.	Investment Approach <small>(SIP allowed only in existing Investment Approach where the Client has investment. SIP request for investment in New Investment Approach shall be rejected)</small>	Frequency <small>(Minimum 12 Installments)</small>
1		Monthly
2		Monthly
3		Monthly
4		Monthly
5		Monthly

Approach	Each SIP Amount (Rs.) <small>(Minimum Amount – Rs. 50000/- And in multiples of Rs. 1,000/-)</small>	SIP Date <small>(Select any one date)</small>					Not Required to be filled in case of SIP Cancellation									
							SIP Start Month				SIP End Month					
											Perpetual SIP	OR	Month & Year (Not required in Case of Perpetual)			
Approach 1		<input type="checkbox"/>	10	OR	<input type="checkbox"/>	25	M	M	Y	Y	<input type="checkbox"/>	OR	M	M	Y	Y
Approach 2		<input type="checkbox"/>	10	OR	<input type="checkbox"/>	25	M	M	Y	Y	<input type="checkbox"/>	OR	M	M	Y	Y
Approach 3		<input type="checkbox"/>	10	OR	<input type="checkbox"/>	25	M	M	Y	Y	<input type="checkbox"/>	OR	M	M	Y	Y
Approach 4		<input type="checkbox"/>	10	OR	<input type="checkbox"/>	25	M	M	Y	Y	<input type="checkbox"/>	OR	M	M	Y	Y
Approach 5		<input type="checkbox"/>	10	OR	<input type="checkbox"/>	25	M	M	Y	Y	<input type="checkbox"/>	OR	M	M	Y	Y

I/We agree to and understand the terms and conditions given overleaf. I/We understand that the amount transferred towards corpus shall be considered to be credited to my/our PMS account on realization of funds. I/We understand the investment objectives of the Investment Approach(es) as mentioned above and have read and understood the Disclosure Document. I/We understand the Portfolio Management Agreement entered with NJ Asset Management Private Limited shall continue to remain in force and shall be applicable to my/our investments in above mentioned "Investment Approach" as well. Further I/We confirm that I/We have read and understood the schedule of fees & charges, which shall be applicable to me/us hereafter with regard to my/our investment in the specified Investment Approach(es). I/We agree and confirm that the fees & charges charged by the Portfolio Manager for providing me/us the Portfolio Management Services with respect to the other Investment Approaches availed by me/us as per the PMS Fees & Charges (Schedule - C) signed by me/us from time to time shall continue to remain applicable.

Client Signature			
	1st Holder	2nd Holder	3rd Holder

**NACH/ECS/AUTO DEBIT**

UMRN

Date

**MANDATE INSTRUCTION FORM**

Tick (✓)

Sponsor Bank Code

Utility Code

CREATE

I/We hereby authorize

to debit (tick ✓)

MODIFY

CANCEL

Bank a/c number

with Bank

IFSC

or MICR

an amount of Rupees

₹

FREQUENCY  Mthly  Qtly  H-Yrly  Yrly  As & when presented

DEBIT TYPE  Fixed Amount  Maximum Amount

Reference 1 (Mandate Reference No.)

Phone No.

Reference 2 (Unique Client Code-UCC)

Email ID

I agree for the debit of mandate processing charges by the bank whom I am authorizing to debit my account as per latest schedule of charges of the bank.

**PERIOD**

From

To

Or  Until Cancelled

Signature of First Holder

Signature of Second Holder

Signature of Third Holder

1.  Name as in Bank record

2.  Name as in Bank record

3.  Name as in Bank record

- This is to confirm that the declaration has been carefully read, understood & made by me/us. I am authorizing the user entity/ Corporate to debit my account, based on the instructions as agreed and signed by me.  
- I have understood that I am authorised to cancel/amend this mandate by appropriately communicating the cancellation / amendment request to the User entity / Corporate or the bank where I have authorized the debit.

# BANK MANDATE TERMS & CONDITIONS

1. Investor agrees to abide by the terms and conditions of NACH / ECS / Auto Debit / ECS facility of RBI
2. Bank Mandate shall be in favor of 'NJ Asset Management Private Limited'.
3. In case the mandate is from the bank account already registered with the Portfolio Manager, no additional bank account proof is required. However, if the client wish to provide Bank mandate of any other bank which is not registered with the Portfolio Manager, any of the below Bank proof is mandatory:
  - Copy of cheque with Bank account and Name of client printed, or
  - Copy of canceled cheque along with Bank passbook, if name/account number not printed on cheque, or
  - Copy of Bank statement not older than 3 months having details of IFSC & MICR
4. Client Signature on bank mandate must be as per bank records. Signature of all bank account holders required if mode of holding in account is "Joint"
5. NJ Asset Management Private Limited ("Portfolio Manager") reserves the right to register bank mandate in any available modes i.e. Auto Debit, ACH, ECS, .
6. Bank Mandate may take upto 30 working days to get registered from the date of submission of Mandate to the Registered Office of the Portfolio Manager (subject to Client's Bank confirmation).
7. Client bank may charge client account for activating any such services. Neither the Portfolio Manager nor its service provider shall be held responsible or bear any such charges.
8. Mandate format is subject to change as per the guidelines received from RBI/Bank or other concerned governmental or statutory authorities. On receiving any such intimation from RBI or Bank, the Portfolio Manager or its service provider may change the Mandate without prior notice to the Clients. .
9. This mandate covers all the fund obligations of the Client including client's transaction and other charges etc and on account of any default thereon.
10. The Portfolio Manager reserves all the rights to change these terms and conditions from time to time.
11. Any dispute shall be subject to jurisdiction of Courts at Surat only.

Client Signature			
	1st Holder	2nd Holder	3rd Holder

# SIP SPECIFIC TERMS & CONDITIONS

1. These Terms and Conditions shall govern the Systematic Investment Plan (SIP) registration, modification and cancellation with NJ Asset Management Private Limited ("Portfolio Manager").
2. SIP facility can be availed by only clients who have existing investments in the Portfolio Management Services of NJ Asset Management Private Limited. SIP investment in the new Investment Approach or new option/plan where the Client does not have investment shall be rejected.
3. SIP registration cum mandate form will be applicable only after the minimum amount prescribed by SEBI is fulfilled.
4. SIP registration cum mandate to be submitted atleast 30 days before the date of first SIP debit.
5. In case the first SIP/Auto Debt start date, as mentioned in this form, is not submitted atleast 30 days before the first SIP debit, the first SIP date shall be rolled over to begin from the immediately following month.
6. In case the mandate registration takes more than 30 days by the client's banker, the SIP registration timeline would change accordingly.
7. In case the SIP falls on non-business day, the immediate next business day would be taken as the date of SIP.
8. The Portfolio Manager would invest the funds after every SIP date subject to realization of funds.
9. Portfolio Manager reserves the right to reject any application without assigning any reason thereof.
10. The SIP facility will be discontinued in case where three consecutive SIP installments are not honored or the Bank Account [for ECS (Debt Clearing)/ Standing Instruction / Direct Debit] is closed and request for change in Bank Account [for ECS (Debt Clearing)/ Standing Instruction / Direct Debit] is not submitted atleast 30 days before the next SIP installment.
11. An incomplete form or Form with incorrect information will be subject to rejection by the Portfolio Manager at its sole discretion.
12. Any correction / modifications in the form should be counter signed by the Client.
13. In case client does not select either of the options for SIP registration, SIP modification or SIP cancellation, the default option will be considered as SIP registration.
14. In the case, where Bank Mandate is already registered with the Portfolio Manager under the SIP facility and Client wish to start additional SIP against the existing Mandate Limit, the SIP registration form should be submitted to the Registered office of Portfolio Manager atleast 5 working days before the next SIP due date.
15. The SIP instruction can be cancelled by submitting this form 7 working days prior to the next SIP installment date.
16. In case Client fails to mention the SIP period or select Perpetual option along with mentioning SIP end date, default period shall be 'Perpetual'.
17. The minimum amount criteria is applicable to per SIP registration. So, if a client submits 2 SIP registration request in single Form, the minimum amount criteria is applicable to per SIP registration and not in total. Illustration is as follows:
  - ABC Investment Approach – Rs. 50000 minimum SIP installment
  - XYZ Investment Approach – Rs. 50000 minimum SIP installment
  - SIP registration date : 10th and 25th of every month

Scenario 1 : Client wish to select both Investment Approach for SIP in the same form:

  - Minimum of Rs. 50000 SIP mandate would be for ABC Investment Approach
  - Minimum of Rs. 50000 SIP mandate would be for XYZ Investment Approach

Scenario 2 : Client wish to register two SIPs under XYZ Investment Approach for 10th and 25th of every month

  - Minimum of Rs. 50000 SIP mandate would be for 10th of every month under XYZ Investment Approach
  - Minimum of Rs. 50000 SIP mandate would be for 25th of every month under XYZ Investment Approach

Please note that in both the above scenario minimum SIP amount cannot be split between two Investment Approach or two different dates.
18. Client's Bank Account shall be debited between one or two working days prior to SIP installment date. eg: if the SIP installment date is 10th, Client bank account will get debited between 8th or 9th assuming all days are working day.
19. If the Transaction(s) are delayed / not processed due to any reason including delay / non realization of the funds to the Portfolio Manager from Client's bank account, then in no circumstances, the Portfolio Manager shall be held liable or responsible to Client or any third party, whatsoever.
20. If the transaction(s) are delayed / not processed due to any reason on the SIP due date, no back dated impact will be given in any circumstances whatsoever.
21. Payment collection will be done by the Portfolio Manager or its service provider for any SIP which is registered on the Mandate registered with the Portfolio Manager.
22. SIP installment will be processed only after the Fund and the bank MIS is received by the Portfolio Manager. Accordingly, if the installment amount or MIS is received after the SIP date, SIP installment will be processed with delayed date depending on the Fund and MIS receipt.
23. Portfolio Manager reserves rights to change the terms and conditions from time to time.
24. Any dispute shall be subject to jurisdiction of Courts at Surat only and shall be dealt in a manner provided in the PMS Agreement entered between the client and the Portfolio Manager.
25. All the terms and conditions of the respective Investment Approach as per the fee structure would be applicable and each SIP installment would be processed as a top-up in the respective Investment Approach.
26. Please refer the Disclosure Document, fee structure and product information for risk factors, charges and other information.

Client Signature			
	1st Holder	2nd Holder	3rd Holder