NJ IndiaInvest Pvt. Ltd.
Block No. 901 & 902, 6th Floor, 'B' Tower, Udhna Udyog Nagar Sangh Commercial Complex, Central Raod No. 10, Udhna, Surat-396210

Investor Level Shifting Form V 3.7

Use this form to transfer assets held under your Account/Unique Client Codefrom your existing servicing Partner Code to a New Partner Code.
Please complete the information requested below using ALL CAPITAL letters If you need more room for information, use a copy of the relevant page.

Instructions:

1. This form can only be used to Transfer assets between NJ Partner Codes.
2. **Please fill in the details as specified. All fields are mandatory.**
3. The assets will be transferred in approximately 10 business days from the date of receipt of instructions.

Part 1: Kindly provide the information regarding the New NJ Partner to whom you wish to transfer your investments:

New Partner Code	:	00002
New Partner Name	:	ABC

Part 2: Information regarding your accounts which are to be transferred to the New NJ Partner Code:

Partner Code (From which account is to be transferred)	Group Name	Account Name	PAN No. Of Account Name	Unique Client code (in case of eWealth Account)
00001	Patel family	Vijay Patel	ABCDE1234F	12345
00001				
	DETAILS should be as			
	per valuation Report			

Part 3: *Please Specify (Tick-Mark)* the products given below which are to be transferred to the New NJ Partner Code:

Sr No	Product	Mark with [v] against product
1	Mutual Fund	[✓]
2	PMS	[✓]
3	FD/BOND/NCD	[✓]

Vijay

Signature must tally with signature Proof.

Name on Proof must tally with NJ records.

(Investor's Signature)
(with stamp in case of non individuals)

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PART I

Terms and Conditions for NJ Partner code Change by Investor V3.7

1) Account Name is the investor name appearing on the client desk and Group Name is the group in which the account is mapped by the existing NJ Partner. In case the account is in the default group of the existing partner, please mention "Default" in the group name field.

2) Separate requests to be given for each unique investor.

3) In case the investor owns multiple accounts in the existing Partner Code(s), Please specify the details of all the accounts in Part 2 above. e.g.

Partner Code (From which account is to be transferred)	Group Name	Account Name	PAN No. Of Account Name	Unique Client code (in case of eWealth Account)
00001	Patel Family	Vijay Patel	XXXXX1111Z	12345
00001	Default	Patel Vijay	XXXXX1211Z	

4) The application for Transfer must be submitted with any one of the following self attested valid signature proofs* of the investor:

a) PAN Card Copy
b) Driving License Copy
c) Passport Copy
d) Banker's Signature Attestation

*Note: i) Please note that the Signature on the request form must tally with the signature proof.
ii) The name on the proof must be the same as appearing in our records.

5) All Brokerage Payments after the date of change of code will be processed in the name of New NJ Partner.

6) In case of the new NJ partner being a Non Individual Partner, rubber stamp is required along with the signature of the authorized person.

7) In future if the investor claims that he was not aware of said shifting of broker code then decision will be taken by NJ India invest Pvt Ltd.

8) Investments of only those products will be shifted to the new partner as are specified above.

9) In case of a minor investor, the form is required to be signed by the guardian alongwith the signature proof of the guardian.

10) Investor Level Shifting request will be processed after the request is received at H.O. and brokerages for the previous month has been processed. The merging shall be put into effect from the 1st date of the month in which the request is received i.e., if the request is received on 5th February 2015 and found proper in all aspects, the effective date of Investor Level Shifting for the purpose of brokerage payout shall be 1st February 2015 provided that the partner is enrolled with NJ as on 1st February 2015; else, the date of shifting shall be immediate 1st Day of the succeeding month i.e. If the partner is enrolled on 4th February 2015, the date of shifting shall be 1st March 2015. In the aforesaid example the request will be processed after the brokerages falling due for January 2015 are processed for the existing servicing partner provided that the new partner is enrolled with NJ as on 1st February 2015; else, the same will be processed after processing brokerages for February 2015.

Sign must tally with signature proof
Name on proof must be same as appearing in our records.

(Investor's Signature)
(with stamp in case of non individuals)

11)The Investors shifted to the new partner code will be required to login with new login credentials and the existing login credentials will be withdrawn.

12) Where the client account being shifted from the old partner is without PAN, there is a possibility that multiple client accounts under multiple groups may be generated in the new partner. The new partner shall be required to do the mapping and merging of these client accounts from his partner desk after the shifting is processed.

13) The request shall only be processed if it is duly received in specified formats as per the annexures attached. Acceptance or rejection of request shall be at the sole discretion of NJ IndiaInvest Pvt. Ltd.

PART II

A. Terms and Conditions for MF/PMS

1) New partner will be eligible for brokerage on previous assets transferred to his code only if on the effective date of transfer the new partner has a valid ARN & EUIN, has submitted the SDC and is KYD compliant. If the new partner is not compliant or is suspended on the effective date of transfer then he will not be eligible for any brokerages during the life of the transferred assets even though the partner completes the compliance at a later date.

2) A partner can not transfer his own Investment to another partner.

3) Any Request to change partner code by way of submitting a request to AMC/R&T shall not be accepted at NJ. Even if partner submits the request directly to AMC/RTA effect of same will not be given in NJ's records.

4) If the New partner is Terminated then the request for transfer will not be processed.

5) Where the client is registered under eWealth Account , the new partner should be an AP else the mutual fund transactions and eWealth Account & capital market transactions cannot be shifted.

6) If new partner wants to change the brokerage tariff then the same should be enclosed herewith else the tariff of old partner shall be applicable for both Mutual Fund & Capital Market.

7) Along with eWealth Account all the Mutual Funds transactions as well as transactions done in capital market through Stock Exchange platform will also be shifted to new Partner.

8) Any brokerage processed after the date of shifting will be processed to new partner.

9) Only Mutual Fund & PMS transactions alongwith eWealth Account Transactions will be shifted to the new partner as per the options selected above in Part 3

B. Terms and Conditions for FD/Bond/NCD

1) Only the Transactions of Bond/NCD/FD shall be transferred to the new partner code s per the options selected above in Part 3..
2) Any brokerage processed after the date of shifting will be processed to new partner.

Date: 11-02-2019

Place: SURAT

client sign must tally with signature proof
Name on proof must tally with NJ records.

New Partner Sign as per NJ records

(Investor's Signature)
(with stamp in case of non individuals)

(New NJ Partner's Signature)
(with stamp in case of non individuals)