

INVESTOR LEVEL SHIFTING REQUEST FORM (V 4.2)

The investors desirous to shift their investment from sub-distributor code of their existing NJ Partner to the sub-distributor code of New NJ Partner are required to fill, sign and submit this form to NJ India Invest Private Limited with the requisite details.

Instructions:

- This form facilitates the shifting of relationship of assets/investments between NJ Partner Codes.
- Ensure all fields are completed accurately as all are mandatory.
- Asset shifting will be processed within approximately 15 (Fifteen) business days from receipt of valid form.

Partner Code (From which Client is to be shifted)	Client Name	PAN Number	New Partner Code & Name

Terms and Conditions:

The existing Partner, new Partner and the Investor duly acknowledge and agree to the following terms and conditions for the shifting of assets/investments under new Partner Code:

- The PAN of the Investor as the first holder will be mapped to the new Partner Code and relationship in respect of all the existing as well as future investments including but not limited to investments in Mutual Fund units, FDs, Bonds, NCDs, PMS, Equity Stocks/Shares etc. under the said PAN will be shifted under the sub-distributor code/relationship of the new Partner.

- Investor Level Shifting request will be processed with effect from the 1st date of the same month on the receipt of request.

Example: If the request is received and validated on 5th February 2024, the effective date of shifting will be 1st February 2024.

However, If enrollment of a new Partner with NJ occurred in February 2024, and the request for shifting is also received in the same month, then the effective date of shifting will be the 1st date of the next month i.e. 1st March 2024.

- Investors shifted to the new Partner Code can access the client desk only by using new login credentials.
- During shifting, if the client's PAN is already mapped with the New Partner Code, transactions will merge. Otherwise, investments will shift to the default group of New Partner.
- The investor level shifting request form 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.

6. Brokerage Processing :

- Brokerage payments will be processed to the New Partner from the effective date of shifting.
- New Partner who is AP and wishes to change the brokerage tariff for Capital Market must submit revised brokerage tariffs after the effective date of shifting,

otherwise, the tariff of the existing Partner will apply automatically.

- For referral partners, brokerage tariffs for Capital Market will be applicable as per defined tariff for the referrals.

7. Request Execution Process:

- The shifting process is contingent on the New Partner having all products in which the Investor has investments.

Example: The shifting request will be rejected if the Investor has the PMS active account and the New Partner is not servicing the PMS product.

- If the New Partner status is not Active due to whatsoever reason, the shifting request will be rejected.
- NOC from the Existing Partner must be attached if the existing Partner falls under Silver and above sub-category.

- NJ reserves the right to reject any shifting request form that is incomplete, inaccurate, or not meeting the specified criteria outlined in this form and accompanying terms and conditions.
- The Investor understands and agrees that NJ shall not be liable for any losses, damages, or claims arising directly or indirectly from effecting the shifting of investment between Partner Codes basis this form.
- NJ reserves the sole right to modify or amend the said form and terms and conditions, as and when required, without any prior intimation, which can also be applicable to the shifting request that has already been processed.
- In case of any dispute, the decision of NJ shall be final and binding.

By signing this form, the Investor and the Existing Partner and New Partner affirm that they have read, understood, and agreed to abide by all the terms and conditions outlined herein, and hereby authorize NJ to proceed with the shifting of investments as per the instructions provided in this form.

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

(New partner's signature)
(with stamp in case of non individuals)