



**SUNDARAM ALTERNATES**

Account No. : .....

DP ID : .....

Client ID : .....

RM Name : .....

Branch : .....

## Portfolio Management Services

Client Name:.....

Strategy:.....

Date:.....

Distributor Name & ARN.....

Portfolio Manager

**Sundaram Alternate Assets Limited**

CIN: U65990TN2018PLC120641

**Registered Office:** 21, Patullos Road, Chennai 600 002

**Corporate Office:** Sundaram Towers, I and II Floor, 46, Whites Road, Royapettah, Chennai 600 014

**Administrative Office:** Deshbandhu Plaza, I Floor, No. 47, Whites Road, Royapettah, Chennai 600 014

Tel: +91 44 28510040, 28569900 Fax: +91 44 28583156

E-mail: [spmsupport@sundaramalternates.com](mailto:spmsupport@sundaramalternates.com)

[www.sundaramalternates.com](http://www.sundaramalternates.com)

Sundaram Towers, 2<sup>nd</sup> Floor, 46, Whites Road,  
Chennai - 600 014. Ph: 044-2851 0400  
E-mail: [spmsupport@sundaramalternates.com](mailto:spmsupport@sundaramalternates.com)  
URL: [www.sundaramalternates.com](http://www.sundaramalternates.com)



Distributor/Agent Code	Distributor/Agent Name	Sub-Distributor/Agent Code	Sub-Distributor/Agent Name
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### Details of First Applicant

[illegible]

Permanent Account Number (PAN)									Date of Birth	D	D	M	M	Y	Y	Y	Y
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[illegible][illegible][illegible][illegible]

☐ Others (please specify) .....

Financial Status - Income earned for the last three financial years

[illegible]

Year 1-Rs	Year 2-Rs	Year 3-Rs
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Permanent Address					

Correspondence Address

Permanent Address										Correspondence Address											
								Pin Code										Pin Code			
City / State										City / State											
Tel. Off. / Resi.										Tel. Off. / Resi.											
Mobile										Mobile											
Email										Email											

### Details of Second Applicant

Details of Second Applicant		Date of Birth
Name		

Mr.	Mrs.	M/s.		D	D	M	M	Y	Y	Y	Y
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[illegible]☐ Others (please specify) \_\_\_\_\_[illegible][illegible]

Financial status net worth as on 31st March

Financial Status - Income earned for the last three financial years

[illegible]

Year 1-Rs	Year 2-Rs	Year 3-Rs
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Details of Third Applicant					
1	2	3	4	5	6
7	8	9	10	11	12
13	14	15	16	17	18
19	20	21	22	23	24
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391	392	393	394	395	396
397	398	399	400	401	402
403	404	405	406	407	408
409	410				

Details of Third Applicant	
Name	Date of Birth

Mr.	Mrs.	M/s		D	D	M	M	Y	Y	Y	Y
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Address	
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☐ Others (please specify) \_\_\_\_\_

Permanent Account Number (PAN)								
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[illegible]

Financial status net worth as on 31st March

<b>Financial Status - Income earned for the last three financial years</b>								

[illegible]

Year 1-Rs	Year 2-Rs	Year 3-Rs
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**Nomination:** Please Provide The Nomination Details in the Demat Account Opening Form attached to this kit.

Risk Profile of the Client:

a.

Investment experience regarding securities-number of years

b.

Indicative percentage of total investment portfolio proposed to be invested with the portfolio manager (Optional)

c.

Overall investment goals: ☐ capital appreciation (or) ☐ capital appreciation &regular income (or) ☐ regular income

d.

Risk tolerance: ☐ Low ☐ Medium ☐ High

e.

Time period for which investments are proposed to be made with the portfolio manager-No. of years

f.

Provisions for systematic withdrawal basis: ☐ monthly ☐ quarterly ☐ annual ☐ not applicable

g.

Current Asset Allocation

i

Balanced: % Debt % Equity %

ii

Debt: Government Bonds, Corporate Debt etc. -NA-

iii

Mutual funds % venture funds %

iv

Others:.....

Detailed Investment Objective of the Client:

a.

Equity: Nature of equities in which investments are desired, may be indicated

Portfolio	Benchmark
<input type="checkbox"/> Sundaram India Secular Opportunities Portfolio	CNX 500
<input type="checkbox"/> Sundaram Emerging Leadership Fund (S.E.L.F) Portfolio	CNX MIDCAP
<input type="checkbox"/> Sundaram Small-cap Portfolio	BSE Small Cap
<input type="checkbox"/> Sundaram PACE Portfolio	CNX 500
<input type="checkbox"/> Sundaram Microcap Portfolio	BSE Small Cap
<input type="checkbox"/> Sundaram Opportunities Portfolio-Financial Services strategy	S&P BSE 500
<input type="checkbox"/> Others.....	.....

S1

**Affix photo  
&  
sign across**

First Applicant

⊗ Signature across the photo

**Affix photo  
&  
sign across**

Second Applicant

⊗ Signature across the photo

**Affix photo  
&  
sign across**

Third Applicant

⊗ Signature across the photo

### DECLARATION

"I/We have received the Disclosure Document provided by the portfolio Manager atleast two days prior to entering into portfolio management service Agreement and have read and understood the same.

I/We have received the copy of the Portfolio Management Agreement and hereby agree to comply with and bound by it.

I/We declare that entering into this Agreement by me/us is in conformity with the applicable laws /Regulation and that the particulars furnished above are correct and complete to the best of my/our knowledge/ belief.

I/We undertake to provide all the disclosures as required under SEBI (insider Trading) Regulations, and SEBI (Substantial Acquisition of Shares and Takeovers) Regulations, 1997, Prevention of Money-laundering Act, 2002 as amended from time to time or any other Act/Regulations.

I/We hereby declare that the amount given/to be given by me/us to the portfolio Manger for investing on my/our behalf is derived through legitimate sources and is not held or designed for the purpose of contravention of any act, law, rules, regulations or any statute or legislation including Prevention of Money-Laundering Act, 2002 or any other applicable laws or any notifications, directions issued by any governmental or statutory authority from time to time.

I/We hereby confirm that proceeds of the funds transferred for PMS investments are through approved modes of transfer and securities are transferred from my/our demat account(s).

I/We confirm that the above mentioned risk profile accurately represents my/our knowledge on various investment options.I/We have read and understood the product features associated with the same.

I/We hereby provide my/our consent for the use of FATCA, C-KYC and all other documents for use by Sundaram Alternate Assets Limited to meet statutory and regulatory compliance.

I/We agree to abide by the terms and conditions of this Agreement as amended/applicable from time to time.

I/We agree to indemnify Sundaram Alternate Assets Limited in the event of any claim/loss by Sundaram Alternate Assets Limited , its Directors / Employees/ Agents in case of any false declaration(s) by me/us."

I/We hereby authorise Sundaram Alternate Assets Limited to disclose, share, remit in any form, mode or manner, all/any of the information provided by me/ us, including all changes, updates to such information as and when provided by me/us, to any Indian or foreign governmental or statutory or judicial authorities/agencies, the tax/revenue authorities and other investigation agencies without any obligation of advising me/us of the same. I/We hereby agree to provide any additional information/documentation that may be required in connection with this application.

Applicable to NRIs only: I/We confirm that I am/we are not United States persons within the meaning of Regulation (S) under the United States Securities Act of 1933, as amended from time to time.

Signature of First Applicant

S2

⊗ Signature

Signature of Second Applicant

S

⊗ Signature

Signature of Third Applicant

S

⊗ Signature

Place: \_\_\_\_\_

Date

D	D	M	M	Y	Y	Y	Y
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**Risk Factors:** • Securities investments are subject to market risks and there is no assurance or guarantee that the objectives of the portfolios will be achieved. • As with any securities investment, the value of the portfolio can go up or down depending on the factors and forces affecting the capital markets. • Past performance of the portfolio Manager may not be indicative of the performance in the future. • Sundaram Alternate Assets Limited is not responsible or liable for losses resulting from the operations of the portfolios. • The value of the portfolios offered in this document may be affected by changes in the general market conditions, factors and forces affecting capital markets in particular, level of interest rates, various market related factors and trading volumes, settlement periods and transfer procedures. • The liquidity of the portfolio investments are inherently restricted by trading volumes in the securities in which it invests. • investors in the portfolios are not being offered any guaranteed returns. • Derivatives are specialised instruments that require an understanding not only of the underlying instrument/security but of the derivative itself. Derivatives require the maintenance of adequate controls to monitor the transactions entered into and the ability to forecast price or interest rate movement correctly. There is the possibility that a loss may be sustained by the portfolio as a result of the failure of another party (referred to as counterparty) to comply with the terms of the derivatives contract. Other risks in using derivatives include the risk of mispricing or improper valuations of derivatives, lack of liquidity and the inability of derivatives to correlate perfectly with underlying assets, rates and indices.