

### Systematic Transfer Form

Date: \_\_\_/\_\_\_/\_\_\_.

|                       |  |
|-----------------------|--|
| PMS Account Details   |  |
| Investor Name         |  |
| First Applicant Name  |  |
| Second Applicant Name |  |
| Third Applicant Name  |  |

| Systematic Transfer Plan (STP) Cum Switch from Liquid to New / Existing Equity Strategy |                                      |                         |                                      |   |                             |
|---|--------------------------------------|-------------------------|--------------------------------------|---|-----------------------------|
| Liquid investment approach - PMS Code   | Switch To Equity Investment Approach | Total Investment Amount | STP frequency                        | STP Start Date  | % Switch in Each STP        |
|   |                                      |                         | <input type="checkbox"/> Monthly     | <input type="checkbox"/> 1st or <input type="checkbox"/> 15th | 20% monthly of Capital*     |
|   |                                      |                         | <input type="checkbox"/> Fortnightly | <input type="checkbox"/> 1st or <input type="checkbox"/> 15th | 10% fortnightly of Capital* |

\* Switch from Liquid Bees will be made on 1<sup>st</sup> / 15<sup>th</sup> of every month / fortnight. If 1<sup>st</sup> / 15<sup>th</sup> is a holiday, then a switch will be made on subsequent business day.

**Kindly note the below points for STP Cum Switch:**

- On receipt the total investment amount / funds in the designated bank account, minimum of Rs.25,00,000 (Rupees Twenty Five Lakhs) of the total investment amount will be transferred to the Equity investment approach specified in the attached STP form on an Immediate basis and the balance amount will be used for purchase of liquid bees.  
In case an existing client opts for the STP then a minimum of 5 installments of Rs. 1,00,000/- each would be applicable.
- The second STP will start in the following month after the first / immediate transfer (For instance: If funds are transferred on 1<sup>st</sup> April, the next transfer will either be initiated on 1<sup>st</sup> or 15<sup>th</sup> May based on the preferred date mentioned in the STP form)
- Monthly / fortnightly switch from liquid bees will be made on 1st / 15th of every month. If 1st / 15th is a holiday, then Switch will be made on subsequent business day.
- The 5th STP amount can be more or less than the 20% considering accumulated returns in Liquid bees / custody & other expenses.
- Cancellation/Modification during the STP period is not permitted. During the course of the STP the client cannot instruct to transfer the partial amount to equity investment approach however the client is free to transfer the entire amount to the equity investment approach.
- In case of additional capital, we will require a new STP form from the client and the same process as above needs to be followed.
- Funding can be initiated only after the account is setup.

**Declaration & Signature:**

- I/We understand that pursuant to this request the Portfolio Manager shall now manage the assets i.e., funds and /or securities managed under the liquid STP investment approach and shall transfer funds and/or securities to the new Equity Strategy specified above on a periodic basis.
- I/We further understand that the Portfolio Manager may at its discretion transfer the assets in the same form (funds and / or securities) as invested under the liquid STP investment strategy or may liquidate any/all securities managed under the liquid STP investment strategy and thereafter the funds and / or securities standing to my/our credit (net of all expenses) may be invested as per the Equity investment approach specified above.
- I/We further understand that due to fluctuations in the prices of securities/ transfer of marketable lot of the securities, the resultant value of the securities transferred may not be exactly equal to

the amount requested hereinabove. I/We agree to hold o3 Securities Private Limited and its employees harmless and not liable and agree that I/We shall raise no claims for any loss that is suffered due to delay in deployment or transfer of funds/ securities.

- If the transaction(s) are delayed / not processed due to any reason on the STP due date, no back dated impact will be given in any circumstances whatsoever.
- I/We understand the investment objectives under the liquid STP investment approach and the Equity investment approach to which funds and/or securities will be subsequently transferred and have read and understood the Disclosure Document.
- I/We understand that the Portfolio Investment Management Agreement and Supplemental Agreement (if any) entered into between me/us and o3 Securities Private Limited shall continue to remain in force and be applicable to my/our investment in liquid STP investment approach as well as the Equity investment approach specified above. Further, I/We confirm that I/We have read and understood the schedule of fee and that the fees applicable for the Equity investment approach shall be applicable to me after the change in the investment approach.
- In case of a partial re-balancing to the Equity investment approach specified above, I/We agree and confirm that the fees and charges charged by the Portfolio Manager for providing me / us the Portfolio Management Services with respect to the other Investment Strategies availed by me as per the PMS fee schedule(s) signed by me/us from time to time shall continue to remain applicable.
- I/ We understand that upon redemption request, the portfolio will be liquidated, and proceeds will be paid as per redemption payout timelines, irrespective of exposure to equity/liquid funds.

|            | First / Sole Applicant  | Second Applicant | Third Applicant |
|------------|---|------------------|-----------------|
| Name       |   |                  |                 |
| Signatures |  |                  |                 |

Date: \_\_\_\_\_

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