

In order to safeguard your interest, it is important that all the documents are duly completed and signed by you, prior to being handed over to the Bank/Bank Employee.

### CORPORATE INVESTMENT DECLARATION FORM

**IMPORTANT - PLEASE READ CAREFULLY BEFORE COMPLETING THIS DECLARATION FORM OF RISK APPETITE**

The series of questions below help inform bank of the risk appetite of the Partnerships/ Non-Profit Organizations (only societies)/ Private Limited Companies/ Public limited Companies (the "Investor") prior to the Investor's selection of and investment in appropriate investment / treasury product(s).

**Based on the information you (the authorized representative of the Investor) provide hereunder, bank will assist the Investor in identifying the products that meet the Investor's risk appetite. It is thus very important that accurate and complete information in relation to the Investor is provided, as it will affect the appropriateness of our product offering(s).** You hereby acknowledge and agree for and on behalf of the Investor that if inaccurate and / or incomplete information is provided, and / or certain information is not disclosed, such action will adversely affect the appropriateness of our product offering(s), for which bank shall take no responsibility.

Please note that your investment risk profile generated through Risk Profile Questionnaire (RPQ) is valid for a period of 12 months from date of profiling and requires renewal atleast once in 12 months.

Once the validity of your risk profile expires after 12 months, you will be unable to perform any incremental investment transaction on your account until the risk profile is renewed. This helps us to better understand your risk profile in this changing environment.

## Axis Bank is an AMFI registered Mutual Fund Distributor

### 1. CORPORATE INFORMATION

Company Name :  (the "Investor") Date : 

D	D	M	M	Y	Y	Y	Y
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Bank Account No. : 

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Account Type :

### FINANCIAL INFORMATION

**1. What is your total liquid net worth?**

Liquid net worth or shareholder's equity is your total assets minus your total liabilities. Please do not include real estate or the value of this or other businesses you own. \_\_\_\_\_ INR

Note: Only investments in INR will be considered for investments in this account.

### INVESTOR RATING

The following questions are designed to help us evaluate your risk appetite in taking investment/portfolio risks in your investment services account. Tick the appropriate answer to each question.

#### RISK ATTITUDE

- 1. Which of the following statements best describes your investment objectives for the account(s) in this relationship?**
- |  |          |
|--|----------|
| a. <input type="checkbox"/> Capital Preservation - A preference for preservation / relative safety of invested capital with returns in line with short-term money market rates.  | Upto IR1 |
| b. <input type="checkbox"/> Defensive - A preference for preservation of capital and the generation of regular income slightly above short-term money market rates.  | Upto IR2 |
| c. <input type="checkbox"/> Income Oriented - A preference for investments primarily intended to generate income rather than achieve appreciation of capital.  | Upto IR2 |
| d. <input type="checkbox"/> Income & Growth - A preference for investments or investment strategies that aim to provide a balance of income and capital appreciation.  | Upto IR3 |
| e. <input type="checkbox"/> Growth Oriented - A preference for investments or investment strategies that typically aim to provide mostly capital appreciation with less emphasis on regular income returns.                                  | Upto IR4 |
| f. <input type="checkbox"/> High Growth - A preference for investments or investment strategies that seek exclusively to provide aggressive capital appreciation over time.  | Upto IR4 |
| g. <input type="checkbox"/> Market Speculation - A preference for investments or trading strategies that seek exclusively to provide aggressive capital appreciation through exploiting short-term pricing anomalies among financial assets. | Upto IR6 |
- 2. Which of the following statements best describes the amount of risk fluctuation you will tolerate in the value of your investments?**
- |   |          |
|---|----------|
| a. <input type="checkbox"/> Safety Oriented - Investors who hope to experience minimal fluctuations in portfolio value over a rolling one year period and are generally only willing to buy investments that are priced frequently and have a high certainty of being able to sell quickly (less than a week) at a price close to the recently observed market value.   | Upto IR1 |
| b. <input type="checkbox"/> Conservative - Investors who hope to experience no more than small portfolio losses over a rolling one-year period and are generally only willing to buy investments that are priced frequently and have a high certainty of being able to sell quickly (less than a week) although the investor may at times buy individual investments that entail greater risk.  | Upto IR2 |
| c. <input type="checkbox"/> Moderate - Investors who hope to experience no more than moderate portfolio losses over a rolling one year period in attempting to enhance longer-term performance and are generally willing to buy investments that are priced frequently and have a high certainty of being able to sell quickly (less than a week) in stable markets although the investor may at times buy individual investments that entail greater risk and are less liquid. | Upto IR3 |
| d. <input type="checkbox"/> Aggressive - Investors who are prepared to accept greater portfolio losses over a rolling one year period while attempting to enhance longer-term performance and are willing to buy investments or enter into contracts that may be difficult to sell or close within a short time-frame or have an uncertain realizable value at any given time.  | Upto IR4 |
| e. <input type="checkbox"/> Very Aggressive - Investors who are prepared to accept large portfolio losses up to the value of their entire portfolio over a one year period and are generally willing to buy investments or enter into contracts that may be difficult to sell or close for an extended period or have an uncertain realizable value at any given time.  | Upto IR5 |
| f. <input type="checkbox"/> Most Aggressive - Investors who are prepared to put their entire portfolio at risk over a one year period, and may even be required to provide additional capital to make up for portfolio losses beyond the amount initially invested, are generally willing to buy investments or enter into contracts that may be difficult to sell or close for an extended period or have an uncertain realizable value at any given time.                     | Upto IR6 |

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## RISK CAPACITY

3. How long would you consider investing to achieve your investment objective as selected in question 1?

a. <input type="checkbox"/> Upto 3 years	Upto IR4
b. <input type="checkbox"/> Upto 7 years	Upto IR5
c. <input type="checkbox"/> Upto 10 years	Upto IR6
d. <input type="checkbox"/> Upto 15 years	Upto IR6
e. <input type="checkbox"/> Upto 30 years	Upto IR6

The investor rating definition section is to be filled in by the Bank official

### INVESTOR RATING DEFINITION

Based on the information that you have provided above your current investment profile has been evaluated as : \_\_\_\_\_

- |     |                          |  |
|-----|--------------------------|--|
| IR1 | <input type="checkbox"/> | Investors who hope to experience minimal fluctuations in portfolio value over a rolling one year period and are generally only willing to buy investments that are priced frequently and have a high certainty of being able to sell quickly (less than a week) at a price close to the recently observed market value.  |
| IR2 | <input type="checkbox"/> | Investors who hope to experience no more than small portfolio losses over a rolling one-year period and are generally only willing to buy investments that are priced frequently and have a high certainty of being able to sell quickly (less than a week) although the investor may at times buy individual investments that entail greater risk.  |
| IR3 | <input type="checkbox"/> | Investors who hope to experience no more than moderate portfolio losses over a rolling one year period in attempting to enhance longer-term performance and are generally willing to buy investments that are priced frequently and have a high certainty of being able to sell quickly (less than a week) in stable markets although the investor may at times buy individual investments that entail greater risk and are less liquid. |
| IR4 | <input type="checkbox"/> | Investors who are prepared to accept greater portfolio losses over a rolling one year period while attempting to enhance longer-term performance and are willing to buy investments or enter into contracts that may be difficult to sell or close within a short time-frame or have an uncertain realizable value at any given time.  |
| IR5 | <input type="checkbox"/> | Investors who are prepared to accept large portfolio losses up to the value of their entire portfolio over a one year period and are generally willing to buy investments or enter into contracts that may be difficult to sell or close for an extended period or have an uncertain realizable value at any given time.   |
| IR6 | <input type="checkbox"/> | Investors who are prepared to put their entire portfolio at risk over a one year period, and may even be required to provide additional capital to make up for portfolio losses beyond the amount initially invested, are generally willing to buy investments or enter into contracts that may be difficult to sell or close for an extended period or have an uncertain realizable value at any given time.                            |

## 4. INVESTORS ACKNOWLEDGEMENT

Based on the information that you have provided, your current risk profile has been evaluated as: \_\_\_\_\_

I/we am fully aware and understand the associated risks arising from my/our investment decision made for and on behalf of the investor. I/we confirm that I/we have given you the instruction to proceed with me/our investment made for and on behalf of the investor. I/we understand that the Investor's investment risk profile is valid for a period of 24 months from the date of profiling and is renewable atleast once in 24 months.

The form should be signed after all the details are completely filled.

Signature (with Stamp)

- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_


## 5. BANK USE ONLY

### Section 1 - RM Checks.

Verified by \_\_\_\_\_  
RM Signature and Name

\_\_\_\_\_  
Date/Time

### Section 2 - RM Supervisor Checks.

If the investment risk profile is being increased for the second time in the last six months, provide rationale \_\_\_\_\_

Verified by \_\_\_\_\_

\_\_\_\_\_  
Date/Time

\_\_\_\_\_  
Supervisor's Signature

### Section 3 - Service Checks

- All signatories as per the BR to have signed the form
- RM to have signed in Section above
- Signatures of the authorized representatives verified
- RM supervisor has signed off if the profile has been increased twice in the last 6 months.
- The RM supervisor, if signing in Section 2 of the Bank use section, is certified on investments

Verified by \_\_\_\_\_  
SRM Signature and Name

\_\_\_\_\_  
Date/Time

#### Disclaimer:

Bank provides investment services as a distributor of third party investment products (shortly referred as investment products). Bank does NOT provide investment advisory services in any manner of form. To view the complete terms and conditions applicable to your account, please visit the investments page on [www.axisbank.com](http://www.axisbank.com)

INVESTMENT PRODUCTS: NO BANK GUARANTEE: NOT GOVERNMENT INSURED. SUBJECT TO MARKET RISK: POSSIBLE LOSS OF PRINCIPAL. PLEASE READ THE OFFER DOCUMENT(S) BEFORE INVESTING

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