

BASANT MAHESHWARI WEALTH ADVISERS LLP

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DISCLOSURE DOCUMENT OF INVESTMENT ADVISER

Basant Maheshwari Wealth Advisers LLP is registered with SEBI with INA000018498 as the SEBI registered Investment Adviser. The registered office address of Basant Maheshwari Wealth Advisers LLP is Office No. 701, 7th Floor, Plot - 211, Dalamal Tower, Free Press Journal Marg, Nariman Point, Mumbai - 400021. The manager is a member of BASL with Membership Number BASL2079.

An adjudication order was previously passed, which has been challenged before the Securities Appellate Tribunal (SAT) and is presently sub judice.

The content and data available in the material prepared by the company and on the website of the company, including but not limited to index value, return numbers and rationale are for information and illustration purposes only. Charts and performance numbers do not include the impact of transaction fee and other related costs. Past performance does not guarantee future returns and performances of the portfolios are subject to market risk. Data used for calculation of historical returns and other information is provided by exchange approved third party vendors and has neither been audited nor validated by the Company. Detailed return calculation methodology is available [here](#). Detailed volatility calculation methodology is available [here](#).

Information present in the material prepared by the company and on the website of the company shall not be considered as a recommendation or solicitation of an investment. Investors are responsible for their investment decisions and are responsible to validate all the information used to make the investment decision. Investor should understand that his/her investment decision is based on personal investment needs and risk tolerance, and information present in the material prepared by the company and on the website of the company is one among many other things that should be considered while making an investment decision.

Scope of Services to be provided by the Advisor will be limited/ subject to the Advisory services which are permitted activity under SEBI (Investment Advisers) Regulations, 2013 including guidelines issued by SEBI and the Advisor shall act in a fiduciary capacity.

The Scope of Services covered is as follows:

- a) Advise the Client regarding the Securities to be purchased or sold or Investments to be made as per the applicable law for the time being in force and Investment Pattern applicable to class of investor;
- b) Review, evaluate, structure and monitor Investments so as to achieve the Client's objectives;

Basant Maheshwari Wealth Advisers LLP for its own proprietary purposes may invest / divest in various securities / investments, from time to time at its own discretion. Such proprietary investment transactions may at times be contrary to the investment advice. Basant Maheshwari Wealth Advisers LLP does not recommend services of any stock broker or intermediary to a client. Basant Maheshwari Wealth Advisers LLP does not have any commission sharing agreement with any intermediary for recommending the services either as a stock broker or as other intermediary. Basant Maheshwari Wealth Advisers LLP does not have Actual or potential conflict of interest arising from any connection to or association with any issuer of products/ securities, including any material information or facts that might compromise its objectivity or independence in the carrying on of investment advisory services. Disclosure of all material facts relating to the key features of the products or securities, particularly, performance track record, warnings, disclaimers etc. Clients are requested to go through the detailed key features, performance track record of the product, or security including warnings, disclaimers etc. before investing as and when provided by the Investment Advisor.

- Investments in debt instruments are subject to reinvestment risks as interest rates prevailing on interest amount or maturity due dates may differ from the original coupon of the bond, which might result in the proceeds being invested at a lower rate.
- If the client wants an opinion on specific positions taken by him/her, we will be able to suggest an appropriate view on the securities. Such suggestion/view shall be considered strictly as an **opinion (not advice)** and the final decision shall rest solely with the client. We will not be liable for any losses the client may incur based on this opinion.
- **Basant Maheshwari Wealth Advisers LLP**, its partners, associates and employees might have positions or might have advised clients which may be in line with or contrary to the views expressed. They or their family members may or may not trade or hold investments in the securities forming part of the advice.
- The names of the products/nature of investments do not in any manner indicate their prospects or returns. Performance in equity products may be adversely affected by company performance, market conditions, industry-specific factors and macro-economic changes.
- Investment in the market is subject to market risks. Although best efforts are made to analyse markets, **no guarantee of returns or accuracy** is assured.
- We do not guarantee any profit/return.
- The performance of investments/products may be affected by changes in government policies, interest rates, trading volumes, liquidity, and settlement systems in equity and debt markets.
- We do not provide any profit/loss sharing services, guaranteed profit services, or Demat services.
- If not satisfied with the response of the intermediary, you can lodge your grievances with SEBI at <https://scores.sebi.gov.in/scores-home> or you may also write to any of the offices of SEBI. For any queries, feedback or assistance, please contact SEBI Office on Toll Free Helpline at 1800 22 7575 / 1800 266 7575.
- After exhausting all available options for resolution of the grievance, if you are still not satisfied with the outcome, you can initiate dispute resolution through the ODR Portal. ODR is a common Online Dispute Resolution Portal (“ODR Portal”) which harnesses online conciliation and online arbitration for resolution of disputes arising in the Indian Securities Market. ODR Portal can be accessed via the following link – <https://smartodr.in/>

Disclaimers

- Registration granted by SEBI, enrolment as an Investment Adviser with an exchange, and certification from NISM in no way guarantee the performance of the intermediary or assure returns to investors.
- The securities quoted, if any, are only for illustration and **not recommendatory**.
- Investments in securities markets are subject to market risks. Read all related documents carefully before investing.

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