

DISCLOSURE DOCUMENT

The particulars given in this Disclosure Document have been prepared in accordance with the SEBI (Investment Advisers) Regulations, 2013, as amended from time to time (hereinafter "the IA Regulations").

This purpose of this Disclosure Document is to provide essential information about the Investment Advisory Services provided by Mr. Rushabh U. Shah Principal officer of UFICS Investment Advisory LLP (hereinafter collectively referred to as "UFICS") in a manner to assist and enable the prospective client/ client in making an informed decision for engaging UFICS for Investment Advisory services.

About UFICS:

UFICS is a Limited Liability Partnership, a registered Investment Advisory firm under the IA Regulations vide Registration No. INA000017587.

Disclosures in accordance with the SEBI (Investment Advisers) Regulations, 2013:

1. Investment Advisory services shall be provided to the Investment Advisory client(s) (hereinafter "The client(s)" by Mr. Rushabh U. Shah.
2. UFICS will provide Advisory Services which shall be in the nature of investment advice. The detailed terms and conditions will be as per the agreement executed between the Client and UFICS.
3. UFICS aligns its interests with those of the Client and seeks to provide the best-suited advice based on the Client's risk profile and investment objectives.

Compliance officer: Jagdish Surti

EMAIL: STAFF.UFICS@GMAIL.COM | PHONE: 0261-3538472

Principal Officer: Rushabh Shah

EMAIL: RUSHABHSHAH87@GMAIL.COM | PHONE: 0261-3538472

Grievance officer: Jagdish Surti

EMAIL: STAFF.UFICS@GMAIL.COM | PHONE: 0261-3538472

SEBI Registration no. INA000017587

Validity of SEBI registration : Perpetual

Type of SEBI registration: Non-individual

Address: 705, International Business Center,
Nr. Sunshine Global Hospital, Dumas Rd., Surat 395007.

Phone: 0261-3538472 | email: staff.ufics@gmail.com

SEBI Regional office

Address: SEBI Bhavan, Western Regional Office,
Panchvati 1st Lane, Gulbai Tekra Road,
Ahmedabad - 380006, Gujarat.

LLPIN: AAX-2387 | BASL Membership No : BASL1943

Standard Warning:

Investment in securities market are subject to market risks.
Read all the related documents carefully before investing.

Disclaimer:

Registration granted by SEBI, membership of BASL and certification from NISM in no way guarantee performance of the intermediary or provide any assurance of returns to investors.

UFICS Investment Advisory LLP

COMPOUNDING PROSPERITY

4. UFICS first tries to determine the Client's risk profile, return expectations, risk taking ability, investment objectives & goals, which in turn helps UFICS and the Client to mutually arrive at a recommended asset allocation suitable for the Client.
5. UFICS does not provide distribution services.
6. The Client shall not be under any obligation to avail the implementation services, if any, offered by UFICS.
7. UFICS shall not receive any consideration by way of remuneration or compensation or in any other form, whatsoever, from any person other than the Client being advised.
8. Any fees and charges, payable by the Client for the execution/distribution services availed, must be paid directly to the respective service provider and not through the UFICS.
9. UFICS shall draw Client's attention to the warnings, disclaimers in documents, advertising materials relating to an investment products which are recommended for consideration by the Client.
10. Before acting on UFICS's advice, Clients shall read and understand all the relevant information available in the offer documents including key features, performance track record, underlying collateral, lock-in and risk factors about the products provided to the Client and seek requisite clarification about the same.
11. UFICS shall conduct periodic portfolio reviews along with the Client, at mutually agreed frequency.
12. UFICS shall maintain complete confidentiality of all information provided by the Client and shall not disclose any such information, without prior consent of the Client except if such disclosure is required to be made in compliance with any applicable law or regulatory direction.
13. UFICS does not provide free trial for any products/services to prospective clients.
14. UFICS completes the risk profile of the Client based on information provided by them and provides advices only after completing risk profiling of the client and ensuring suitability of the product.

Compliance officer: Jagdish Surti

EMAIL: STAFF.UFICS@GMAIL.COM | PHONE: 0261-3538472

Principal Officer: Rushabh Shah

EMAIL: RUSHABHSHAH87@GMAIL.COM | PHONE: 0261-3538472

Grievance officer: Jagdish Surti

EMAIL: STAFF.UFICS@GMAIL.COM | PHONE: 0261-3538472

SEBI Registration no. INA000017587

Validity of SEBI registration : Perpetual

Type of SEBI registration: Non-individual

Address: 705, International Business Center,
Nr. Sunshine Global Hospital, Dumas Rd., Surat 395007.

Phone: 0261-3538472 | email: staff.ufics@gmail.com

SEBI Regional office

Address: SEBI Bhavan, Western Regional Office,
Panchvati 1st Lane, Gulbai Tekra Road,
Ahmedabad - 380006, Gujarat.

LLPIN: AAX-2387 | BASL Membership No : BASL1943

Standard Warning:

Investment in securities market are subject to market risks.
Read all the related documents carefully before investing.

Disclaimer:

Registration granted by SEBI, membership of BASL and
certification from NISM in no way guarantee performance of
the intermediary or provide any assurance of returns to investors.

15. UFICS Obtains consent from the Client on completed risk profile either through registered email or physical document.
16. UFICS does not accept part payments (where some part of the fee is paid in advance) for any product/service.
17. UFICS accepts fees strictly by account payee crossed cheques / demand draft or by way of direct credit into their bank account through NEFT/ RTGS/IMPS/UPI. It is clarified that, UFICS will not accept cash deposits from clients.
18. UFICS does not have any affiliations with any other intermediaries of the securities market.
19. 19. UFICS will inform to the Client about the holding or position, if any, of any of their partner(s), in the financial products or services which are subject matter of advice to avoid any actual or potential conflict of interest.

Disciplinary History:

No disciplinary action has been taken against UFICS or it's partner(s) by any regulator.

Standard Risk Factors and Disclaimers as perceived by UFICS:

1. Investments in securities/ instruments are subject to market risks and there is no assurance or guarantee that the objective of the investment will be achieved. Past performance does not indicate future performance. There is no assurance that past performances will be repeated. Investors are not being offered any guaranteed or indicative returns.
2. As with any investment in securities/ instruments, the NAV/ prices of the investment may go up or down depending upon the factors and forces affecting the securities markets, including changes in economic policies, interest rates, foreign exchange conversion rates, trading volumes, liquidity, issuer rating, etc.

Compliance officer: Jagdish Surti

EMAIL: STAFF.UFICS@GMAIL.COM | PHONE: 0261-3538472

Principal Officer: Rushabh Shah

EMAIL: RUSHABHSHAH87@GMAIL.COM | PHONE: 0261-3538472

Grievance officer: Jagdish Surti

EMAIL: STAFF.UFICS@GMAIL.COM | PHONE: 0261-3538472

SEBI Registration no. INA000017587

Validity of SEBI registration : Perpetual

Type of SEBI registration: Non-individual

Address: 705, International Business Center,
Nr. Sunshine Global Hospital, Dumas Rd., Surat 395007.

Phone: 0261-3538472 | email: staff.ufics@gmail.com

SEBI Regional office

Address: SEBI Bhavan, Western Regional Office,
Panchvati 1st Lane, Gulbai Tekra Road,
Ahmedabad - 380006, Gujarat.

LLPIN: AAX-2387 | BASL Membership No : BASL1943

Standard Warning:

Investment in securities market are subject to market risks.
Read all the related documents carefully before investing.

Disclaimer:

Registration granted by SEBI, membership of BASL and
certification from NISM in no way guarantee performance of
the intermediary or provide any assurance of returns to investors.

3. The names of the products/nature of investments do not in any manner indicate their prospects or returns. The performance in the equity products may be adversely affected by the performance of individual companies, changes in the market place and industry specific and macro-economic factors.
4. The IA clients should consult their legal, tax and financial advisors before investing in any financial products/ securities/ instruments.

Indemnities

1. Without prejudice to the right of indemnity available to UFICS under any law, the Client agrees to indemnify and hold harmless UFICS to the full extent against:
 - i. any and all lawful claims, losses, damages, liabilities, costs and expenses as incurred in connection with investigation of, preparation for and defense of any pending or threatened claim and any litigation or other proceeding arising out of or related to any actual or proposed acts done or not done or UFICS's engagement hereunder;
 - ii. any negligence/mistake or misconduct by the Client and
 - iii. any breach or non-compliance by the Client of the governmental, statutory regulations/rules/terms and conditions stated in this document.
2. In consideration of the Client agreeing to accept instructions for securities (including financial instruments) transactions by telephone/email/facsimile message, at the Client's request, the Client agree to indemnify UFICS and /or any of its officers, employees etc. and hold each such person harmless for all and any costs, expenses or losses incurred/suffered by any such person as a consequence of any action UFICS take (or decline to take) with respect to the Client's transactions pursuant to the telephone/e-mail/ facsimile instruction, and the Client further agrees to confirm such instructions in writing (in any form whatsoever), if UFICS so requests.

Compliance officer: Jagdish Surti

EMAIL: STAFF.UFICS@GMAIL.COM | PHONE: 0261-3538472

Principal Officer: Rushabh Shah

EMAIL: RUSHABHSHAH87@GMAIL.COM | PHONE: 0261-3538472

Grievance officer: Jagdish Surti

EMAIL: STAFF.UFICS@GMAIL.COM | PHONE: 0261-3538472

SEBI Registration no. INA000017587

Validity of SEBI registration : Perpetual

Type of SEBI registration: Non-individual

Address: 705, International Business Center,
Nr. Sunshine Global Hospital, Dumas Rd., Surat 395007.

Phone: 0261-3538472 | email: staff.ufics@gmail.com

SEBI Regional office

Address: SEBI Bhavan, Western Regional Office,
Panchvati 1st Lane, Gulbai Tekra Road,
Ahmedabad - 380006, Gujarat.

LLPIN: AAX-2387 | BASL Membership No : BASL1943

Standard Warning:

Investment in securities market are subject to market risks.
Read all the related documents carefully before investing.

Disclaimer:

Registration granted by SEBI, membership of BASL and
certification from NISM in no way guarantee performance of
the intermediary or provide any assurance of returns to investors.

The Client further understand that telephone/ e- mail/facsimile instructions are not secure means of communication and the Client therefore agree that the Client shall not hold UFICS and/or any of its officers, employees etc. responsible for any action UFICS may take (or decline to take) in the belief that the said telephone/e-mail/facsimile instruction has been sent by the Client, notwithstanding that the said telephone/email/facsimile instruction may not have been sent by the Client.

3. The Client understands that UFICS reserves the right to refuse to accept any instruction transmitted by telephone/e-mail/facsimile.

Investors Services:

In case of any queries, grievances or complaints, the Client may contact:

Name: Jagdish M. Surti

Address: 705, International Business Centre,
Nr. Sunshine Global Hospital,
Dumas Road, Surat.

Telephone: 0261-3538472

Compliance officer: Jagdish Surti

EMAIL: STAFF.UFICS@GMAIL.COM | PHONE: 0261-3538472

Principal Officer: Rushabh Shah

EMAIL: RUSHABHSHAH87@GMAIL.COM | PHONE: 0261-3538472

Grievance officer: Jagdish Surti

EMAIL: STAFF.UFICS@GMAIL.COM | PHONE: 0261-3538472

SEBI Registration no. INA000017587

Validity of SEBI registration : Perpetual
Type of SEBI registration: Non-individual

Address: 705, International Business Center,
Nr. Sunshine Global Hospital, Dumas Rd., Surat 395007.

Phone: 0261-3538472 | email: staff.ufics@gmail.com

SEBI Regional office

Address: SEBI Bhavan, Western Regional Office,
Panchvati 1st Lane, Gulbai Tekra Road,
Ahmedabad - 380006, Gujarat.

LLPIN: AAX-2387 | BASL Membership No : BASL1943

Standard Warning:

Investment in securities market are subject to market risks.
Read all the related documents carefully before investing.

Disclaimer:

Registration granted by SEBI, membership of BASL and certification from NISM in no way guarantee performance of the intermediary or provide any assurance of returns to investors.