

DISCLOSURES

The particulars given in this Disclosure Document have been prepared in accordance with SEBI (Investment Advisers) Regulations, 2013.

The purpose of the Document is to provide essential information about the Investment Advisory Services in a manner to assist and enable the perspective client/client in making an informed decision for engaging Investment Advisor before investing.

For the purpose of this Disclosure Document, Investment Advisor is **Pioneer Wealth Management Services Limited** (“Investment Advisor”)

A. Descriptions about “Investment Advisor”

- **History, Present business and Background** Investment Advisor is registered with SEBI as Portfolio Manager (SEBI Reg. no. INP000005883), Research Analyst (SEBI Reg. no. INH000010052) and Investment Advisor with Registration No. INA000017259). The Company got its registration on 19/10/2022 and is engaged in advisory services thereafter.

The focus of Investment Advisor is to provide investment advice to the clients. Advisor aligns its interests with those of the client and seeks to provide the best suited advice based on clients risk profile. Investment Advisor first tries to understand the client's return expectations, risk taking ability & goals, which in turn helps to arrive at an asset allocation suitable for the client. Investment Advisor conducts frequent portfolio reviews and suggests any corrective action/s if required.

- **Terms and conditions of Advisory Services** are detailed in the client agreement. Please refer to the same for details.
- **Disciplinary history** i. No penalties / directions have been issued by SEBI under the SEBI Act or Regulations made there under against the Investment Adviser relating to Investment Advisory services. ii. There are no pending material litigations or legal proceedings, findings of inspections or investigations for which action has been taken or initiated by any regulatory authority against the Investment Adviser or its Directors, or employees.

- **Affiliations with other intermediaries** : Investment Advisor has no affiliation with any other SEBI registered intermediaries, except its own SEBI Registration as disclosed above and its Holding Company namely Pioneer Investcorp Limited holding SEBI Merchant Banker registration under (SEBI INM000002988) and its Associate Company/ Group Company namely Infinity.Com Financial Securities Limited holding BSE and NSE membership under SEBI Reg. No. INZ000232136 and its another Associate Company namely PINC Finserve Private Limited holding license of AMFI Distributor (ARN-243558), the company has several tie-ups with Asset Management Companies for distributing their mutual funds.

B. Disclosures with respect to Investment Advisor's own holding position in financial products / securities:

Investment Advisor may hold position in the financial products/ securities advised in its personal portfolio. Details of the same may be referred through the disclosures made at the time of advice.

C. Disclosures with respect to any actual or potential conflicts 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.

There are no actual or potential conflicts 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. Such conflict of interest shall be disclosed to the client as and when they arise.

D. 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. Such product materials may also be available to www.sebi.gov.in or www.bseindia.com www.nseindia.com or respective issuers website.

E. Drawing client's attention to warnings, disclaimers in documents, advertising materials relating to investment products.

Investment Advisor draws the client's attention to the warnings, disclaimers in documents, advertising materials relating to an investment product/s which are being recommended to the client/s. A brief regarding the risk associated with the investment products are available in client agreement, same may be referred before investing in advised product or securities.

Pioneer Wealth Management Services Limited

SEBI Registered Investment Advisers
Registration No. INA000017259

Updated as of 16th June 2023

Pioneer Wealth Management Services Limited

SEBI Registered Investment Advisers Registration No. . INA000017259
(Type of Registration- Non-Individual, Validity of Registration- Perpetual)

Address:

1218, Maker Chambers V, Nariman Point, Mumbai – 400 021
Contact No.+91-022- 66186633
Email: riacompliance@sebi.gov.in

SEBI office address:

Plot No. C 4-A , G Block, Near Bank of India, Bandra Kurla Complex, Bandra East, Mumbai, Maharashtra 400051

Principal Officer:

Mr. Rushil Selarka
Contact No: +91-022-6618 6633
Email: rushil.selarka@pinc.co.in