

**MAHESH B P, CFA
INVESTMENT ADVISER**

DISCLOSURE DOCUMENT

1. The purpose of this document is to provide essential information about the investment advice offered by Mahesh B P, in a manner to assist and enable prospective clients and/or their nominees to make informed decisions in engaging Mahesh B P as an Investment Adviser.

2. Details of the Investment Adviser

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|-----------------------|--|
| Name: | Mahesh B P |
| SEBI Registration No: | INA200002361 |
| GSTIN/UIN: | 29AGNPP9058Q1Z2 |
| Registered Address: | #434,13 th Main,3 rd Cross, Srinivasnagar 2 nd Phase, Bengaluru-560050, Karnataka |
| Office Address: | #37(Suryalaya), 5 th Floor, Shankar Mutt Road, Shankarpuram, Bangalore-560004,Karnataka |
| Mobile: | +91 98803 66277 |
| Email: | maheshbp@mbpia.in |
| Portal: | www.mbpia.in |

3. The necessary information about the Investment Adviser, required by a client is provided in the document and the investor is advised to retain the document for future reference.

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1. DISCLAIMER

This document has neither been approved nor verified by any government authority or third party.

2. DEFINITIONS

In this disclosure document unless the context otherwise requires:

- i. 'Investment Adviser' refers to Mahesh B P, who has received certificate of registration in an Individual capacity (INA200002361) under the Securities and Exchange Board of India (Investment Advisers) Regulations, 2013.
- ii. 'Investment advice' means advice relating to investing in, purchasing, selling or otherwise dealing in securities or investment products, and advice on investment portfolio containing securities or investment products, whether written, oral or through any other means of communication for the benefit of the client and shall include financial planning
- iii. 'risk profiling' means an assessment of the risk tolerance and capability of the client
- iv. 'Securities' shall mean all the securities as defined in Securities Contract Regulation Act, 1956
- v. 'Net Asset Value' means the sum total of Market Value of the investments held in the portfolio and cash plus dividend
- vi. 'gross of fees' means the value before deduction of advisory fees
- vii. 'net of fees' means the value after deduction of advisory fees
- viii. 'High Water Mark' means an adjusted Net Asset Value below which the investment adviser earns no fees. The High Water Mark is typically adjusted post the payment of fees, inflow of funds, outflows of funds.
- ix. 'year end' means the last day of the financial year ending 31st March.
- x. 'Derivatives' means a contract traded on the exchange whose value is based on an underlying entity like stock.
- xi. 'Futures ' means an agreement between two parties to buy or sell an asset at a certain time in the future at a certain price.
- xii. 'Options' means a contract which gives the right , but not an obligation, to buy or sell the underlying at a stated date and at a stated price.

3. DESCRIPTION

i. History, present business and background of the investment adviser

Mahesh obtained certificate of registration as an Investment Adviser (INA 200002361) in an individual capacity from SEBI in November 2014 under the Securities and Exchange Board of India (Investment Advisers) Regulations, 2013.

As per the applicable regulations, Mahesh is prohibited from generating income from ANY financial intermediary and will charge the clients directly for services provided. Mahesh will provide 100% non-discretionary advice for the client. i.e the client is not bound by the investment advice given by Mahesh and can choose to act or not act upon any advice given by the investment adviser. The services offered are listed under section 4. All funds and/or investments will be maintained in client's name and Mahesh will not take custody of client assets.

Mahesh graduated in Civil Engineering from R.V.C.E, Bangalore University in 1999. He had a stint in the financial IT services industry from 2000-2010 in various roles. This includes the period of 2000-2003 with erstwhile Deutsche Software Ltd and 2003-2010 with Fidelity Business Services India Pvt Ltd.

Mahesh started investing in stock markets in 2001 and soon a casual interest turned into a serious inclination towards the subject. Interests in the financial markets were further complemented by the financial domain exposure Mahesh got at both the institutions where he worked.

During 2005-2010 Mahesh worked as an offshore Quantitative Analyst (functional) for Global Equity Trading Desk, Boston. He worked with Senior Quant Analyst and Program Traders on pre-trade, post-trade and a range of analytics during this period. This enriched the understanding of financial markets and added a new dimension to the CV.

Mahesh quit Fidelity in 2010 to pursue his passion full time and spent the next few years fine tuning his investment philosophy. He also obtained his CFA charter from USA in Sep 2012.

In October 2013, Mahesh took the role of Chief Investment Officer for Kuberre Velocity Trading (a partnership firm) and was managing assets close to One

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crore by October 2014 when he resigned from the position and applied for an Investment Adviser License from SEBI.

Mahesh has renewed the Investment Adviser License in 2019 and the current validity is Perpetual

As of Dec 2022, Mahesh advises clients on equity assets with a market value ~24 crore.

Mahesh pursues an investment philosophy based on Connect The Dots concept using both Quantitative & Qualitative data and offers investment advice aligned with the investors financial goals, risk appetite, time frame etc

Mahesh is a long distance runner and has done HM (Mumbai 2013), full Marathon (Mumbai 2014, 2015 & 2016).

4. SERVICES OFFERED

At present Mahesh offers the following services:

- i. Investment Policy Statement
- ii. Overall Portfolio Advice

5. SCOPE OF SERVICE AND INVESTMENT ADVISER FEES

i. Investment Policy Statement

The investment adviser will summarize the risk profile; return objective, liquidity needs, current portfolio, tax bracket, legal & regulatory environment and any unique circumstances applicable to the client. Based on all of the above, the investment policy statement will provide a broad framework of what the client must do to achieve her needs and goals. This will form the basis for asset allocation. The fees per investment policy statement will be based on the effort required to collate all information and the time spent to put together the investment policy statement.

ii. Overall Portfolio Advice

The Investment Adviser will provide overall portfolio advice in line with client's Investment Policy Statement. The Investment Adviser will not generate any income from brokerage or commission from any financial intermediary for this advice. The fee schedule will be detailed to the client in the investment

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advisory agreement signed between the investment adviser and the client subsequent to clarifying and signing this disclosure document.

I, THE CLIENT hereby declare on this ___ (date) of ___(Month) , ____ (Year), that I have read this disclosure document presented to me by Mahesh B P and understand its contents

THE CLIENT
Date:

Mahesh B P, CFA
Investment Adviser
Date: