

# Annexure to Trading & Demat Account Opening Form

The execution of this document by the client is voluntary. However in case the client wish to avail of the online trading services with the linkage of Broking, Bank and Demat account, then execution of this document by the client is required in order to facilitate seamless and hassle free trading and settlement of transactions.

NON-MANDATORY DOCUMENTS

## POWER OF ATTORNEY (THIS DOCUMENT IS VOLUNTARY)

This Power of Attorney ("Power of Attorney") is given on the \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_ by  
 a) The person(s) specified in the Schedule [A] hereinafter referred to as the "Bank Account Holder(s)"  
 b) The person(s) specified in the Schedule [B] hereinafter referred to as the "Securities (Demat) Account Holder(s)"

**WHEREAS:**

A. The Client (the person set out in Schedule [E]) has read and understood the SEBI prescribed Rights and Obligations and desirous of entering into a broking relationship with Axis Securities Limited(ASL), a company, incorporated under the provisions of the Companies Act, 1956, being a Member of BSE Limited, National Stock Exchange of India Ltd., MCX Limited & NCDX Limited, having its registered office at Axis House, 8th Floor, Wadia International Centre, Pandurang Budhkar Marg, Worli, Mumbai – 400 025 (hereinafter called the "Stock Broker") for dealing in Securities and commodities broking services and other services as may be availed by the Client from time to time;

B. The Bank Account Holders hold bank account/s with the bank (the "Bank"), and bearing bank account number/s as mentioned in the Schedule [C] hereunder under title "Bank Account Details" (hereinafter referred to as the "Bank Account");

C. The Securities (Demat) Account Holders hold securities account/s with Axis Securities Limited (ASL), a depository participant (DP) registered with SEBI (the "DP") details whereof are mentioned in the Schedule [D] hereunder under title "Securities (Demat) Account Details" (hereinafter referred to as the "Securities Account");

D. The Bank Account Holder(s) and the Securities (Demat) Account Holder(s) are collectively referred to as the "Joint Account Holder";

E. To facilitate proper execution of the Client's transactions, the Joint Account Holder(s) are granting this power of attorney in favour of the Stock Broker for the purpose of executing instructions, orders or requests and/or handling obligations in respect of transactions made with the Stock Broker.

**I. DEFINITIONS:**

- a) "Rights and Obligations" means the Rights and Obligations document as prescribed by SEBI.
- b) "Client" means the persons set out in Schedule [E] hereto.
- c) "Securities" includes "Securities" as defined under the Securities Contracts (Regulation) Act, 1956;

**II. POWER OF ATTORNEY**

I/We, the Joint Account Holders do hereby authorize/nominate/appoint the Stock Broker for the purpose hereof acting through any of its officers or employees or any sub-agents or delegates, to be my/our true and lawful agent and attorney for me/us and on my/our behalf (the "Attorney") and in my /our name from time to time to do and exercise or cause to be done and exercised all or any of the following acts, powers and authorities:

1. To operate and debit the Securities Account(s) in my/our name for facilitating transactions in Securities/Commodities through the Stock Broker to meet all margin / delivery obligations due from me/us to the Stock Broker and to do the following for the above purpose:
  - a. to transfer Securities from the Securities Account to the account of the Stock broker to effect delivery of securities or for margin purposes and to meet margin/delivery obligations for transactions done on any of the Exchange(s) for me/us;
  - b. to create pledge on/and/or transfer the Securities lying in the Securities Account(s) in favour of Stock Broker for the limited purpose of meeting the margin /settlement requirements of the client in connection with the trades executed/ to be executed by the client on the stock exchange through the same Stock Broker.
  - c. to transfer Securities from my/our Securities Account to the account of the Stock Broker to effect delivery of the Securities sold through the Stock Broker on my/our behalf against issuance of contract notes by the Stock Broker;
  - d. to sign necessary slips/forms/documents etc. which are required for performing the powers hereby conferred;

2. To operate and to transfer funds from the Bank Account in my/our name, for facilitating transactions in Securities/Commodities by the Stock Broker as a stock broker, for meeting my/ our settlement obligations/ margin requirements in connection with the trades executed by me/us on the Stock Exchange through the Stock broker and for recovering any outstanding amounts due from me/ us to the Stock Broker arising out of my/ our trading activities on the stock exchanges through the Stock broker, towards any monies/ fees/ charges outstanding or payable by virtue of me /us using / availing / subscribing to any of the products/facilities/ services offered by the Stock Broker.  
 To block and/or hold and/or create lien on all or any of the monies lying in the Bank Account(s) in accordance with the instructions of the Stock Broker in accordance with the powers given hereby. To block and transfer funds for meeting obligations arising out and pursuant to I/we subscribing to such other products/facilities/services through the Stock broker like mutual funds, public issues (shares as well as debt instruments), rights, offer of shares, tendering shares in open offers pursuant to my/our instructions , including applying for redemptions.
3. Transfer funds from the Bank account towards monies/fees/charges etc. due to the Stock broker/Depository Participant/Principal payable by virtue of, I/We using/subscribing to any of the facilities/services availed by me/us, at my/our instance.
4. To make applications for or to renounce and sign renunciation forms in respect of Mutual Funds/Securities/bonds/debentures, corporate fixed deposits, debt instruments, right shares and additional shares of any Company/ Body/ Authority.
5. To comply and/or cause to be complied with all statutory and other requirements.  
 I/we hereby agree to ratify and confirm the acts of the said attorney done lawfully or cause to be done by virtue of these presents.

The Attorney and/or the DP is authorized to send to me / us consolidated summary of scrip wise buy and sell positions taken by me/us with average rates by way of short messaging services or e-mails on a daily basis. The Bank / DP accordingly is authorized and has consented to follow the instructions of my/our said Attorney with respect to the powers set forth with respect to my/our Bank Account/Securities Account.

The Attorney may appoint and remove at its discretion any authorized signatories for or under the Attorney in respect of all or any of the matters contained herein upon such terms and conditions as the Attorney may think fit.

The Attorney may request the DP to mark a hold on the required securities balances so that the actual transfer of securities towards margins/settlement obligations, could take place in a seamless manner. The Stock Broker shall return to me / us the Securities or funds that may have been received by it erroneously or those securities or funds that it was not entitled to receive from me/us.

This Power of Attorney (POA) shall continue in full force and effect until the Attorney shall receive intimation of revocation or in the event of the termination thereof by my/our death until the Attorney shall have received actual intimation thereof. The Attorney shall not act on any instructions received subsequent to the intimation of such revocation. However, such revocation shall not be applicable for any outstanding settlement/margin obligation arising out of the transactions carried out prior to receiving request for revocation of Power of Attorney.

To induce any depository, stock exchanges, clearing corporation/house, mutual funds, body corporates, banks, approved intermediaries and registrars and share transfer agents (hereinafter collectively referred to as "Transfer Agent") or other third party to act, I/we hereby agree that any Transfer Agent or other third party receiving a certified true copy of this Power of Attorney may act upon it, and that revocation or termination hereof shall be ineffective as to such Transfer Agent or other third party, unless and until actual notice or knowledge of such revocation or termination shall have been received by such Transfer Agent or other third party.

I/We do hereby agree that in case the constitution is changed in case of non individual client, I/We shall execute a fresh POA to the satisfaction of the Stock Broker.



Sole/1st Holder



2nd holder in Bank account



3rd holder in Bank account

(In case of joint bank/demat account, signature of all holders is mandatory.)

I/We specifically agree that any matter or issue arising hereunder shall be governed by and construed exclusively in accordance with the Indian laws. In respect of disputes arising out of transactions or matters governed by the relevant stock exchange(s), the same shall be subject to the regional arbitration centres of the relevant stock exchange(s). In all other cases, disputes shall be subject to the jurisdiction of the courts at Mumbai in India.

This Power of Attorney does not intend to give any exclusive rights to operate to Stock Broker on the Bank Account and /or the Securities Account. The Stock Broker as my/our constituted Attorney may seek from the DP/Bank information regarding my/our funds/Securities balances for the transactions effected/to be effected by me/us or on behalf of me/us through the Stock Broker and the Stock Broker may also provide transaction information to DP/Bank, from time to time, in order to complete settlement of transactions. In case of merger/demerger of ASL with another entity/into another entity, the scheme of merger/demerger should be approved by High Court and one month prior intimation given to me/us about the corporate restructuring to facilitate me/us to continue or discontinue with ASL.

### III. INSTRUCTIONS TO THE DP

- i. The Joint Account Holder(s) authorize the DP to honour all instructions received from the Stock Broker pursuant to this power of attorney.
- ii. In case of death, disability, winding up or liquidation of any Joint Account Holder, the surviving Joint Account Holder/s and/or the heirs, nominees, executors, administrators, liquidator, successors and legal representatives of the Joint Account Holder who has died or been disabled, dissolved, wound up or liquidated shall forthwith inform the Stock Broker of the same in writing. This power of attorney shall not be revoked as regards such Joint Account Holder on account thereof for all pending obligations and dues of the Client towards the Stock Broker until the same have been fulfilled to the satisfaction of the Stock Broker and shall continue to subsist and bind (and shall be deemed to have been given by) the heirs, executors, administrators, liquidator, successors or legal representatives of such Joint Account Holder, and the Stock Broker in the capacity of a broker shall be entitled to continue to act on the basis hereof.
- iii. In the event of any change in the number, nature of securities and/or the ISIN number of the securities (during any period in which any securities are blocked /pledged pursuant to this power of attorney) as a consequence of any corporate action of the concerned company implemented by the Depository, the Stock Broker, as an Attorney shall be entitled to accordingly modify the block/pledge created to accommodate the changes in the ISIN number, the number / nature / quantity of securities maintaining the block/pledge at the same percentage of the share capital of the company as originally blocked.

#### SCHEDULE 1-Stock Broker Bank & Securities (Demat) Account Details

Name of DP - Axis Bank Ltd (NSDL - DP ID : IN300484)		Name of DP - Axis Securities Ltd(CDSL - DP ID : 12049200)		
Client IDs : 16892364, 13645375, 16892389, 13645383, 13594118		Client IDs: 00000586, 00000590, 00000611, 00000630, 00001366		
Name of Bank	Bank Account No.	CDSL Early Pay-in Accounts	DP ID	Client ID
Axis Bank Ltd.	910020019944317, 910020019950516, 912020040140939, 918020234363910, 918020023249622, 918020023038723, 9180200023510940, 918020023113387	BSE Early Pay-in Account (Indian Clearing Corporation Ltd (ICCL))	11000010	00015852
		NSE Early Pay-in Account (NSE Clearing Ltd)	11000011	00016449

Any other Account(s) of the Stock Broker substituted for or in addition to the above as may be notified on the website and/or by way of electronic mail and as decided by the Stock Broker from time to time. In case of any changes in the Bank and Demat accounts, the same shall be communicated accordingly.

SCHEDULE A-Name of Bank Account Holders	Sole/1st Holder	Second Holder	Third Holder
SCHEDULE B-Name of Securities (Demat) Account Holders	Sole Holder		
SCHEDULE C-Bank & Branch details	Account No. :		
SCHEDULE D-Name of DP: AXIS SECURITIES LIMITED	<input type="checkbox"/> NSDL-IN304295	<input type="checkbox"/> CDSL-12049200	Client ID:
SCHEDULE E-CLIENT DETAILS-Name of the Client :	Client Code:		
Address:			

IN WITNESS WHEREOF I/We have hereunto set and subscribed our respective hands on the day and date as first mentioned in the Schedule.

Sr. No.	Holder	Name	Signature
1.	Sole/1st Holder		
2.	2nd holder in Bank account		
3.	3rd holder in Bank account		

Name of Witness : _____	Accepted for Axis Securities Limited
Witness Signature : _____	Authorised Signatory _____
Address : _____	Place : _____ Date : ____/____/____

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## TERMS AND CONDITIONS (THIS DOCUMENT IS VOLUNTARY)

1. The Client shall maintain such Margin as may be stipulated by Axis Securities Limited (ASL) from time to time. In case the Client does not provide the required Margin within the time frame stipulated by ASL, then ASL shall take such other action as it may think fit and proper. ASL may require the Client to pay additional Margin immediately in case of high volatility. 2. The Client undertakes to monitor the adequacy of the collateral and the market value of such collateral on a continuous basis. 3. ASL as risk containment measure shall have the discretion to square off/sell all or some of the client positions/ collaterals/ securities, without any notice to the client. 4. The Client is responsible for all orders, including any orders that may be executed without the required Margin in the Client's account. 5. ASL shall have the discretion to allow or disallow trading by the client in certain scrips / contracts / products / services. 6. No transaction request shall be assumed to be executed / modified until a confirmation from ASL is received by the Client. 7. The client authorizes ASL to close out the transactions in case the Client fails to make full payment to ASL or if there is debit in client's account with ASL. Also, ASL may square off open client's margin/leveraged positions in case the scrip price is nearing its daily price band or due to any adverse development concerning the client's position or scrip. 8. The client agrees that ASL shall not be liable for non-execution or delay in the execution of any order due to system/network issue or due to any reason beyond the control of ASL. 9. The client shall pay to ASL outstanding debit balance if any in his/her account from time to time without any delay. In case of delay, interest on delayed payment @ 18 % per annum shall be charged on outstanding amount including on interest amount already charged. 10. The losses incurred on client's account will be to the account of the client only. Neither ASL nor any of its employees/agents shall in any circumstances be liable for any loss, lost profits, cost, liability, expense or damage occurred to the client. 11. The client authorises ASL to obtain details in relation to the transactions and balances in respect of the securities held in his/her demat account for the purpose of collating and displaying details in the personalised portfolio watch page. The client acknowledges that the services under 'Portfolio Watch' being provided are as an add on facility and for client convenience only and ASL shall not be liable for any inaccurate display of data due to any unintended error etc. 12. The client authorizes ASL to deposit from time to time client's collateral and deposits with the Exchanges/Clearing Corporation for meeting client's margin requirements and other obligations. 13. The client authorises ASL to provide the communications through SMS and/or telephone calls on the registered mobile number(s), even if the client's contact number is registered with the National Do Not Call Registry etc. The client confirms that he/she shall not make any complaint to the TRAI/Service provider in relation to any call/communications received from ASL and shall not hold ASL liable. 14. The client authorizes ASL to place Mutual Fund transactions as per the instructions provided. 15. The client authorise ASL to set off outstanding in any of the account of the client against credits available or arising in any other accounts/segments/exchanges maintained with ASL. 16. The client authorizes ASL to use the client account details/KYC details/Bank Debit card details/registered telephone numbers/TPIN etc. as method of verification of the client's identity as the caller and then take orders, instructions from the caller over the phone. All such orders, instructions etc. shall be deemed to have been placed by the client and binding on the client. 17. The Client acknowledges that he/it is fully aware of and understands the risks associated with availing of the services for routing orders over the telephone including the risk of misuse and unauthorized use of his/its details and/or username and/or TPIN and/or Bank Debit card details by a third party. The Client agrees that he/it shall be fully liable and responsible for any and all unauthorized transactions and unauthorized use of the above. 18. The client shall not have recourse to dispute redressal mechanism/arbitration mechanism/investor protection schemes of the Stock Exchanges/SEBI, in case the client avails services under any schemes/leagues/competitions etc. offered by any third party/group company/associate of ASL, and concerning such services. 19. The client agrees that non-receipt of bounced mail notification by ASL shall amount to delivery of the contract note at the email ID of the client. 20. The Trading Member may keep the unutilised margin deposits of the client in bank deposits. However, no interest shall be passed on to the client earned for such deposits. 21. I have opted to receive Part B comprising of Rights & Obligations (Trading and Demat separately), Uniform Risk Disclosure document and Guidance Note etc. in the form of  Physical  Electronic (If the applicant does not select the check box, default option is physical for forms received in Physical and Electronic for others).

### TERMS & CONDITIONS FOR SIGNATURE

I hereby, state that the signature uploaded on Axis Direct website for opening of Demat and Trading Account to be used for signing the KYC Documents which includes :1) C-KYC 2) KRA Page 3) Demat Page 4) Trading Account Details and 5) Terms and conditions page and all other relevant KYC pages other than POA.

### RUNNING ACCOUNT AUTHORISATION

I/We hereby authorise ASL as follows, in respect of my/our trading account with ASL:

To maintain my account, on a running account basis, i.e. instead of paying to me/us any amounts or securities representing payouts, settlement dues, marked to market profits on the settlement date, to retain, withhold, set-off and / or appropriate for such purposes and in such manner as ASL may deem fit, including towards settling outstanding obligations on a settlement date. I/We understand and agree that no interest will be payable to me/us on the deposits or amounts or securities lying to my/our credit with ASL. This authorization may be revoked by me/us at any time by giving ASL written intimation.

I/We request you to settle my/our account on a  Monthly  Quarterly basis (If the client does not select the checkbox, default option is Quarterly)

### ADDITIONAL TERMS & CONDITIONS OF BROKERAGE PLANS


I/We hereby agree and confirm the following terms & Conditions of Brokerage plans (applicable only if the client subscribes to the same).

1. On completion of the Validity period of the Plan, client may choose to subscribe to the existing or new plan, on the terms and conditions applicable at that time. Client needs to submit physical request in any other manner prescribed by ASL.
2. The plan is subject to regulatory norms in force from time to time and may be discontinued under any regulatory directions of for any reason, without giving prior intimation to the client.

### GST Declaration

I/We hereby state:  I do not have GST Number.  I have GST Number \_\_\_\_\_ Name of State \_\_\_\_\_

Date : \_\_\_\_\_

  
Sole/1st Holder