

6. Additional details for DP Nominee and Guardian

☐ Nominee (same as per SB Opening Form) ☐ Do not Nominee

a) PAN of Nominee _____	a) PAN of Guardian _____
b) Aadhaar Number of Nominee _____	b) Aadhaar Number of Guardian _____
c) SB A/C No. of Nominee maintained with Axis Bank Bank A/c No.: _____	c) SB A/C No. of Guardian maintained with Axis Bank Bank A/c No.: _____
d) Copy of any Proof of Identity document _____ (accompanied by original for verification or duly attested)	d) Copy of any Proof of Identity document _____ (accompanied by original for verification or duly attested)
e) Demat Account details of Nominee	e) Demat Account details of Guardian
DP ID	DP ID
Client ID	Client ID

(Any one of the Above)

(Any one of the Above)

☐ Update Multiple Nominee for Demat (Please fill Separate Form)

7. Additional details

Mode of receiving Demat statement and annual report: Physical ☐ Electronic ☐ Both ☐

Share the email ID with RTA ☐ Y ☐ N

1st Holder ☐ A ☐ A ☐ D ☐ H ☐ A ☐ A ☐ R ☐ N ☐ O ☐ ☐ C ☐ U ☐ S ☐ T ☐ I ☐ D ☐ ☐

2nd Holder ☐ A ☐ A ☐ D ☐ H ☐ A ☐ A ☐ R ☐ N ☐ O ☐ ☐ C ☐ U ☐ S ☐ T ☐ I ☐ D ☐ ☐

3rd Holder ☐ A ☐ A ☐ D ☐ H ☐ A ☐ A ☐ R ☐ N ☐ O ☐ ☐ C ☐ U ☐ S ☐ T ☐ I ☐ D ☐ ☐

8. Tariff Plan(Demat/Trading)

I/we read & understood the terms & conditions and wish to avail the following plan

(Pl. tick) ☐ Fixed Brokerage Plan ☐ Demat Tariff for Retail ☐ Other Plan Code

(Trading)

Trading Account Opening
Charges - Rs. 2,500/-

Fixed Brokerage Plan

Delivery (Each Leg)	Future (Each Leg)	Options (Each Lot)
0.75%	0.05%	Rs.100

9. Mutual Fund SIP Application Form

ARN - 64610 EUIN : _____

(Please ✓ whichever is applicable)		Investment & Scheme Details								
No.	Investment & Scheme Details	SIP Amount (RS.)	SIP Start Date				Period Start (in Months)			
405	<input type="checkbox"/> ICICI Prudential Value Discovery Fund		<input type="checkbox"/> 3rd	<input type="checkbox"/> 10th	<input type="checkbox"/> 20th	<input type="checkbox"/> 25th	<input type="checkbox"/> 36	<input type="checkbox"/> 48	<input type="checkbox"/> 60	<input type="checkbox"/> 72
406	<input type="checkbox"/> SBI Magnum Midcap Fund		<input type="checkbox"/> 3rd	<input type="checkbox"/> 10th	<input type="checkbox"/> 20th	<input type="checkbox"/> 25th	<input type="checkbox"/> 36	<input type="checkbox"/> 48	<input type="checkbox"/> 60	<input type="checkbox"/> 72
407	<input type="checkbox"/> HDFC Small Cap Fund		<input type="checkbox"/> 3rd	<input type="checkbox"/> 10th	<input type="checkbox"/> 20th	<input type="checkbox"/> 25th	<input type="checkbox"/> 36	<input type="checkbox"/> 48	<input type="checkbox"/> 60	<input type="checkbox"/> 72
			<input type="checkbox"/> 3rd	<input type="checkbox"/> 10th	<input type="checkbox"/> 20th	<input type="checkbox"/> 25th	<input type="checkbox"/> 36	<input type="checkbox"/> 48	<input type="checkbox"/> 60	<input type="checkbox"/> 72

Note: 1. SIP frequency will be selected as "Monthly" by default. 2. The investment option will be "Growth" by default.

10. Declaration

I / we hereby declare that the details furnished above are true and correct to the best of my / our knowledge and belief, and I / we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am / we are aware that I / we may be held liable for it. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet. I/we further confirm having read and understood the contents of Part B of the Account opening form comprising of Rights and Obligations of the Beneficial Owner and Depository Participant, Rights & Obligations of Stock Brokers, Sub- brokers and clients, Trading, Risk Disclosure Document, Policy & Procedures, Guidance Note, Additional Terms & Conditions & Schedule of charges. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/we acknowledge the receipt of copy of above Part B document. I/We have also been informed that the standard set of documents has been displayed for Information on website www.axisdirect.in. The rules and regulations of the Depository and Depository participant, pertaining to an account which are in force now, have been read by me/ us and I / we have understood the same and I / we agree to abide by, and to be bound by the rules are in force from time to time for such account. I/We also declare that I/We have complied, and will continue to comply with FEMA Regulation. I/We hereby undertake that I/we would comply with the guidelines prescribed by RBI vide its notification reference number FEMA.361/2016-RB dated 15th February, 2016. I/We will not invest in securities prohibited for purchase vide above said RBI notification dated 15th February, 2016 or in any future RBI notification in this regard.

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1st Holder Signature



SH 1 of 4
2nd Holder Signature



TH 1 of 4
3rd Holder Signature



Form Type



KR0001

☐ **NEW** ☐ **CHANGE REQUEST (Please tick ✓ the appropriate)**

Acknowledgement No.

Please fill the form in **ENGLISH** and in **BLOCK LETTERS**

(Please tick ✓ the box on left margin of appropriate row, where CHANGE / CORRECTION is required, and provide the details in the corresponding row)

A) IDENTITY DETAILS

<input type="checkbox"/>	1. Name of the Applicant	<input type="text"/>	<div style="border: 1px solid black; padding: 5px; text-align: center;"> PHOTOGRAPH Please affix your recent colour passport size photograph <div style="border: 1px solid black; padding: 2px; font-size: small;">sign across photograph</div> </div>	
<input type="checkbox"/>	2. Father's / Husband's Name	<input type="text"/>		
<input type="checkbox"/>	3 a. Gender: <input type="checkbox"/> Male <input type="checkbox"/> Female	3 b. Marital status: <input type="checkbox"/> Single <input type="checkbox"/> Married		
<input type="checkbox"/>	3 c. Date of Birth	<input type="text"/>		
<input type="checkbox"/>	4 a. Nationality: <input type="checkbox"/> Indian <input type="checkbox"/> Other (Please specify)	<input type="text"/>		
<input type="checkbox"/>	4 b. Status: <input type="checkbox"/> Resident Individual <input type="checkbox"/> Non-Resident <input type="checkbox"/> Foreign National			
<input type="checkbox"/>	5 a. PAN	<input type="text"/>	5 b. Aadhaar Number, if any	<input type="text"/>
<input type="checkbox"/>	6. Specify the Proof of Identity submitted:	<input type="checkbox"/> PAN Card <input type="checkbox"/> Any Other (Please Specify)	<input type="text"/>	

B) ADDRESS DETAILS

<input type="checkbox"/>	1. Residence / Correspondence Address: <input type="checkbox"/> Correspondence Address <input type="checkbox"/> Residence Address	<input type="text"/>
<input type="checkbox"/>	<input type="text"/>	
<input type="checkbox"/>	City / Town / Village	<input type="text"/>
<input type="checkbox"/>	State	<input type="text"/>
<input type="checkbox"/>	Country	<input type="text"/>
<input type="checkbox"/>	2. Specify the Proof of Address submitted for Residence / Correspondence Address:	<input type="text"/>
<input type="checkbox"/>	3. Contact Details: Tel. (Off.)	<input type="text"/>
<input type="checkbox"/>	Fax No.	<input type="text"/>
<input type="checkbox"/>	Tel. (Res.)	<input type="text"/>
<input type="checkbox"/>	Mobile No.	<input type="text"/>
<input type="checkbox"/>	E-mail ID	<input type="text"/>
<input type="checkbox"/>	4. Permanent Address (If different from above. Mandatory for Non-Resident Applicant to specify overseas address)	<input type="text"/>
<input type="checkbox"/>	<input type="text"/>	
<input type="checkbox"/>	City / Town / Village	<input type="text"/>
<input type="checkbox"/>	State	<input type="text"/>
<input type="checkbox"/>	Country	<input type="text"/>

C) DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief, and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue, or misleading or misrepresenting, I am aware that I may be held liable for it.

Date:

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Signature of the Applicant

OFFICE USE ONLY

<input type="checkbox"/>	Originals verified and Self-Attested Document copies received	
<input type="checkbox"/>	In-Person-Verification (IPV) Done:	
<input type="checkbox"/>	a. Name of the person	<input type="text"/>
<input type="checkbox"/>	b. Designation	<input type="text"/>
<input type="checkbox"/>	c. Name of Organisation	<input type="text"/>
<input type="checkbox"/>		<div style="border: 1px solid black; padding: 5px; text-align: center;">Signature of The Authorised Signatory</div>
<input type="checkbox"/>	e. Date	<input type="text"/>
<input type="checkbox"/>		<div style="border: 1px solid black; padding: 5px; text-align: center;">Seal / Stamp of the Branch</div>


OTHER KYC DETAILS FOR TRADING ACCOUNT (THIS DOCUMENT IS MANDATORY)
KRA CONFIRMATION

I have already done my KYC KRA registration/documentation through a SEBI registered intermediary ☐ Yes ☐ No
Date :

BANK ACCOUNT (DETAILS)

NRE SB Account	NRO SB Account
Name of Bank:	Name of Bank:
Bank A/c No.:	Bank A/c No.:
Type of Account:	Type of Account:
Cust. Id:	Cust. Id:
MICR Code:	MICR Code:
IFSC Code:	IFSC Code:
Branch Address:	Branch Address:

OTHER ADDITIONAL DETAILS

- Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please tick): ☐ Physical ☐ ECN
- Specify your Email id, for ECN: _____
- Whether you wish to avail of the facility of internet trading/ wireless technology (please tick): ☐ Yes ☐ No
- Number of years of Investment/Trading Experience: _____ Any other information: _____
- Income Range per Annum : Rs ☐ <1 Lac ☐ 1 to 5 Lac ☐ 5 to 10 Lac ☐ 10 to 25 Lac ☐ More than 25 Lac **OR**
- Net-worth as on (date) (Optional) (Net worth should not be older than 1 year) Rs. _____

PAST ACTIONS

- Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/ constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years: ☐ Yes ☐ No If yes, provide details : _____

DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

- Whether client is dealing through the sub-broker, ☐ Yes ☐ No (pl. tick). If Yes, provide the following details:
Sub-broker's Name: _____ SEBI Reg. No.: _____ Ph: _____
Registered Off. Add.: _____ Fax: _____ Website: _____
- Whether dealing with any other stock broker/sub-broker(in case dealing with multiple stock brokers/sub-brokers) ☐ Yes ☐ No.
(If Yes, provide details of all) Name of Stock Broker: _____ Exchange: _____
Name of Sub-Broker, if any: _____ Client Code: _____
Details of disputes/dues pending from/to such stock broker/sub- broker: _____

INTRODUCER DETAILS (OPTIONAL)

Name of the Introducer : S U R N A M E N A M E M I D D L E N A M E Phone No. : _____

Address of Introducer : _____

Status of the Introducer: Sub-broker/Remisier/Authorized Person/Existing Client/
Others, please specify _____

Signature of the Introducer

NOMINATION DETAILS (FOR TRADING ACCOUNT)

I/We wish to nominate ☐ I/We do not wish to nominate ☐ Name of the Nominee: _____
Relationship with the Nominee: _____ PAN of Nominee:(if available) DOB of Nominee:
Address of the Nominee: _____
Phone No. of Nominee: _____ If, nominee is minor, details of guardian : _____
Name of Guardian _____ Phone No. of Guardian _____
Address of Guardian _____

Signature of Guardian _____

Witness (Only applicable incase the account holder has made nomination)

1.Name _____ 2.Name _____

Address _____ Address _____

Signature _____ Signature _____





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, a company, incorporated under the provisions of the Companies Act, 1956, being a Member of BSE Limited & National Stock Exchange of India Ltd., 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, 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 Bank Limited, 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 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 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 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.

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 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 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.

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.

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Sole/1st Holder

SH 2 of 4



2nd Holder in Demat/Bank A/c.

TH 2 of 4



3rd Holder in Demat A/c.

SH 2 of 4



**2nd Holder in Bank A/c.
(If different in Demat A/c.)**

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 and Securities(Demat) Account Details

Name of Bank	Bank Account No.	Name of DP-Axis Bank Ltd DP ID - IN300484	NSDL	
Axis Bank Ltd.	910020019944317	Client ID	13645375	13645383
Axis Bank Ltd.	910020019950516		16892389	16892364
Axis Bank Ltd.	912020040140939			

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-BANK ACCOUNT HOLDERS

Name of Bank Account Holders	First Holder	Second Holder
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SCHEDULE B-SECURITIES (DEMAT) ACCOUNT HOLDERS

Name of Securities (Demat) Account Holders	First Holder	Second Holder	Third Holder
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SCHEDULE C-BANK ACCOUNT DETAILS

Axis Bank Ltd	NRE PIS		NRE Non PIS	
Axis Bank Ltd	NRO PIS		NRO Non PIS	

SCHEDULE D-SECURITIES (DEMAT) ACCOUNT DETAILS




DP Name - Axis Bank Ltd. DP ID - IN300484

NRE PIS	Client ID		NRE Non PIS	Client ID	
NRO PIS	Client ID		NRO Non PIS	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		S6 of 7 
2.	2nd Holder in Demat/ Bank Account		SH 3 of 4 
3.	3rd Holder in Demat Account		TH 3 of 4 
4.	2nd Holder in Bank Account (if different in Demat a/c)		SH 3 of 4 

Accepted for Axis Securities Limited

Name of Witness : _____

Witness Signature : _____

Address: _____

Authorised Signatory

Place : _____

Date : ____/____/____

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.

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. 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 maintained with Axis Bank 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 deposits with the Exchanges/Clearing Corporation for meeting client's own 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 clients 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 hereby 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. 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 (PI. tick) (If the applicant does not select the check box, default option is physical).

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)

Date : _____

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SH 4 of 4

TH 4 of 4

Sole/1st Holder

2nd Holder in Demat A/c.

3rd Holder in Demat A/c.

FOR OFFICE USE ONLY

UCC Code allotted to the Client

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee			
Designation & Employee Code			
Signature & Date			

I/ We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.

Signature of Authorised Signatory (ASL)

Date : _____ / _____ / _____

Seal/Stamp of the Stock Broker (ASL)