

Demat & Trading A/c. Opening Form

Form Type



DM0001



Demat Client ID

NSDL

CDSL



Demat Branch Sole ID

LC Code

LG Code

Lead ID

I/we wish to open a new Ordinary Resident Demat & Trading Account

*RGESS

Yes / No

1. Occupation of Holders (Please Tick)

*Please provide separate Declaration form to avail RGESS

1st : Private Sector	Public Sector	Govt. Service	Business	Professional
Agriculturist	Retired	House-Wife	Student	Other
2nd : Private Sector	Public Sector	Govt. Service	Business	Professional
Agriculturist	Retired	House-Wife	Student	Other
3rd : Private Sector	Public Sector	Govt. Service	Business	Professional
Agriculturist	Retired	House-Wife	Student	Other

2. Please tick, if applicable Politically Exposed Person (PEP) Related to (PEP)

3. Father's/Husband's Name

BSDA Yes / No (If not indicated it will be treated as 'No')

1st Holder :
2nd Holder :
3rd Holder :

4. Trading Preference (Exchanges & Segments) (Tick) (Segment not chosen should be struck off)

NSE-Cash NSE-F&O BSE-Cash

5. Standing Instructions for DP (if not indicated it will be treated as 'Yes')

I/we authorize you to receive credit automatically into A/c. A/c to be operated through Power of Attorney
I/we want to receive the Delivery Instruction Slip (DIS) booklet
I/we hereby authorize you to use my/our Bank A/c no with Axis Bank for dividend purpose, recovery of Demat related charges & linking to my "Axis Securities Trading A/c". Please treat this authorization as irrevocable till further instruction from my/our side is received in writing & duly acknowledged by you.

6. Additional details for DP Nominee and Guardian

Nominee (same as per SB A/c) Do not Nominate

Nominee : PAN No. Aadhaar No.
SB Account No. Demat Account DP ID Client ID
Guardian : PAN No. Aadhaar No.
SB Account No. Demat Account DP ID Client ID

7. Additional details Mode of receiving Demat statement and annual report: Physical Electronic Both

1st Holder 2nd Holder 3rd Holder
Share the email ID with RTA

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

9. Declaration (Trading)

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 and Obligations of Stock Brokers, Sub Brokers & clients, Rights and Obligations of Margin 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 & 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 as are in force from time to time for such account.

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1st Holder Signature

SH 1 of 4
2nd Holder Signature

TH 1 of 4
3rd Holder Signature

☐ **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"/>
<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"/>
<input type="checkbox"/>	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"/>

PHOTOGRAPH
 Please affix your recent colour passport size photograph
 sign across photograph

B) ADDRESS DETAILS

<input type="checkbox"/>	1. Residence / Correspondence Address: <input type="checkbox"/> Correspondence Address <input type="checkbox"/> Residence Address
<input type="checkbox"/>	<input type="text"/>
<input type="checkbox"/>	City / Town / Village <input type="text"/> PIN Code <input type="text"/>
<input type="checkbox"/>	State <input type="text"/> 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"/>
	Fax No. <input type="text"/>
	Tel. (Res.) <input type="text"/>
	Mobile No. <input type="text"/>
	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"/> PIN Code <input type="text"/>
<input type="checkbox"/>	State <input type="text"/> 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:
	a. Name of the person <input type="text"/>
	b. Designation <input type="text"/>
	c. Name of Organisation <input type="text"/>
	Signature of The Authorised Signatory <input type="text"/>
	Seal / Stamp of the Branch <input type="text"/>
	e. Date <input type="text"/>


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 AND DEMAT ACCOUNT (DETAILS)

Bank Account Details: Name of Bank: _____ Bank Account No.: _____
Type of Account : _____ Cust. ID.: _____ MICR Code _____ IFSC Code : _____
Branch Address : _____

Depository Account Details: Name of DP: _____ Name of Beneficiary.: _____
DP Name (NSDL/CDSL): _____ DP ID: _____ Beneficiary ID (BO ID): _____

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 _____



The Execution of this document is Voluntary

Mutual Fund SIP Application Form

(Please ✓ whichever is applicable)

Investment & Scheme Details

No.	Scheme Name	SIP Amount (Rs.)	SIP Start Date	Period (in Months)
405	<input type="checkbox"/> ICICI Prudential Value Discovery Fund	<input type="text"/>	<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="text"/>	<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="text"/>	<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"/>	<input type="text"/>	<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.

ARN - 64610 EUIN:

2. The investment option will be "Growth" by default.

Tariff Sheet

Plan Code	Account Opening Charges	Complimentary Delivery Turnover (CDT)	Special Brokerage rate Validity	Value Added Services
NN5555	Rs. 5,555/-	Rs. 12,00,000*	10 years	Direct trade terminal Free for 6 months
AP1500	Rs. 1,500/-	Rs. 3,00,000	6 Month	Trade on Phone (Rs. 20/- Post 20 th call p.m) (Free for 1 month)
Fixed Brokerage Plan	Rs. 999/-	Nil	NA	NA

Brokerage Rates (Post utilisation of CDT)

Plan Code	Delivery (Each Leg)	Intraday (Each Leg)	Future (Each Leg)	Option (Each Lot)	Charges with GST (18%) (Rs.)
NN5555	0.25%	0.03%	0.03%	Rs. 50/-	6,554.90
AP1500	0.50%	0.05%	0.05%	Rs. 100/-	1,770/-
Fixed Brokerage Plan	0.50%	0.05%	0.05%	Rs. 100/-	NA (999/-)

*Turnover=Buy + Sell transaction. CDT is valid only for 1 year.

Terms & Conditions: 1. In case of Complimentary Delivery Turnover, minimum brokerage of 1paise per share shall be charged till the complimentary delivery turnover limit, subject to utilization upto one year from commencement of plan date. 2. NN5555-Special Brokerage Rates will be applicable till plan validity of 10 years or subject to plan being active. For the plan to remain active, the client has to place minimum one trade in every financial year. Else, the Plan will lapse with all its benefits and the client will be shifted to default Fixed Brokerage Plan. 3. For turnover other than complimentary turnover, brokerage will be charged as per above applicable rates subject to a minimum of Rs. 20/- per executed order and a maximum of 2.5%. In case the minimum brokerage calculated comes to more than 2.5%, then the amount that will be charged as brokerage will be limited to 2.5%. Please refer page no. 8 for other Terms & Conditions.

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Sole/1st Holder

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/uploaded on our website after customer login, 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)



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	NSDL / CDSL	DP ID	Client ID
Axis Bank Ltd.	910020019944317	Axis Bank Limited	NSDL	IN300484	13645375
Axis Bank Ltd.	910020019950516	Axis Bank Limited	NSDL	IN300484	13645383
Axis Bank Ltd.	912020040140939	Axis Bank Limited	NSDL	IN300484	16892389
		Axis Bank Limited	NSDL	IN300484	16892364

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

Bank & Branch	AXIS BANK LIMITED	Account No. :	
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SCHEDULE D-SECURITIES (DEMAT) ACCOUNT DETAILS

Name of DP: AXIS BANK LTD	DP ID: IN300484/13027500	Client ID :	
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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		S7 of 8 
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 

Name of Witness : _____

Accepted for Axis Securities Limited

Witness Signature : _____

Authorised Signatory

Address: _____

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 (Pl. 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)

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 or 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 or for any reason, without giving prior intimation to the client. 3. Only new customers will have an option to subscribe to NN5555 and AP1500 at the time of account opening.

Date : _____

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Sole/1st Holder

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2nd Holder in Demat A/c.

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3rd Holder in Demat A/c.