



Form Type



DM0001

 Demat Branch Sole ID

 LC Code

 LG Code

 Lead ID

I/We wish to open a new Non Resident Indian (NRI) Demat & Trading Account with Axis Securities Ltd.

Trading	Type	New Demat A/c	Existing Demat A/c in the name of Applicant (Axis Securities Ltd.-NSDL DP ID-IN304295)
1. NRE PIS <input type="checkbox"/>	PIS Repatriable	<input type="checkbox"/>	<input type="checkbox"/> A/C NO _____
2. NRO PIS <input type="checkbox"/>	PIS Non Repatriable	<input type="checkbox"/>	<input type="checkbox"/> A/C NO _____
3. NRE Non PIS <input type="checkbox"/>	Non PIS Repatriable	<input type="checkbox"/>	<input type="checkbox"/> A/C NO _____
4. NRO Non PIS <input type="checkbox"/>	Non PIS Non Repatriable	<input type="checkbox"/>	<input type="checkbox"/> A/C NO _____

1. Occupation of Holders (Please Tick)

1st : Private Sector <input type="checkbox"/>	Public Sector <input type="checkbox"/>	Govt.Service <input type="checkbox"/>	Business <input type="checkbox"/>	Professional <input type="checkbox"/>
Agriculturist <input type="checkbox"/>	Retired <input type="checkbox"/>	House-Wife <input type="checkbox"/>	Student <input type="checkbox"/>	Other <input type="checkbox"/>
2nd : Private Sector <input type="checkbox"/>	Public Sector <input type="checkbox"/>	Govt.Service <input type="checkbox"/>	Business <input type="checkbox"/>	Professional <input type="checkbox"/>
Agriculturist <input type="checkbox"/>	Retired <input type="checkbox"/>	House-Wife <input type="checkbox"/>	Student <input type="checkbox"/>	Other <input type="checkbox"/>
3rd : Private Sector <input type="checkbox"/>	Public Sector <input type="checkbox"/>	Govt.Service <input type="checkbox"/>	Business <input type="checkbox"/>	Professional <input type="checkbox"/>
Agriculturist <input type="checkbox"/>	Retired <input type="checkbox"/>	House-Wife <input type="checkbox"/>	Student <input type="checkbox"/>	Other <input type="checkbox"/>

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

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

NSE-Cash S1 of 7
1st Holder Signature

 NSE-F&O S1 of 7
1st Holder Signature

 BSE-Cash S1 of 7
1st Holder Signature

*If the client wants to trade in F & O segment, application, for allotment of NRI Client Code and Member – Constituent (Custodial Participant) Agreement are required to be submitted. The formats are available on the website www.axisdirect.in Further, the client is required to submit an additional document on financial/income proof as prescribed.

4. Standing Instructions for DP

I/We authorize you to receive credits automatically into my/our account-PIS (If not indicated, standing instruction will be treated as “Yes” for NRE-PIS, NRO-PIS & NRO-Non PIS, and for NRE- Non PIS Standing instruction will be always “No”)
 Account to be operated through power of Attorney (POA)
 I/We want to receive the Delivery Instruction Slip (DIS) booklet (if not indicated it will be treated as”No”)

5. Bank Details for Dividend Purpose & Debiting Charges (for Demat) & Trading A/c

 NRE A/c

 NRO Ac

NRE RBI Reference No.: _____ RBI Approval Date ___/___/___

PIS A/c Details

 A/c No.

 Scheme Code

 A/c No.

 Scheme Code

I/We hereby authorize you to debit my/our above operative bank A/c with Axis Bank for all the charges relating to my/our demat account. Please treat this authorization as irrevocable till further instruction from my/our side is received in writing and duly acknowledged by you.

6. Nomination (Demat / Trading)

- I / We wish to make a nomination
(Please fill up attached nomination form)
- I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and Understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s) my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat which may also include documents issued by Court or other such competent authority based on the value of assets held in the trading / demat account.

7. Additional details

- Mode of receiving Demat statement and annual report : Physical Electronic Both
Share the email ID With RTA Y N
- Account statement frequency: As per SEBI Regulation Daily Weekly Fortnightly Monthly
- I/We request you to send electronic transaction cum holding statement at the email ID Yes No
- I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any further instruction from my or our end (if not marked the default option would be "No") Yes No
- I/we hereby state : I do not have GST Number I have GST Number as _____ Name of State _____
- SMS alerty facility (Mandatory if POA is given) Mobile Number : +91- Same as mentioned in KYC form

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. 2500/-

Fixed Brokerage Plan

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

9. 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/Wefurther 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, Investor Charter, Policy & Procedures, Guidance Note, Additional Terms and 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 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 as 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.

Date _____

Place _____

S2 of 7
1st Holder Signature 

SH 1 of 4
2nd Holder Signature 

TH 1 of 4
3rd Holder Signature 

NRI Customers could call us on 91-22-61480809

OR write to

nri@axisdirect.in for Trading related query | dphelp@axisdirect.in for Demat related query

In case of grievance, Customers could write to us at customer.grievance@axisdirect.in

Form Type



KR0001

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

Acknowledgement No.

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

(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

 1. Name of the Applicant

 2. Father's / Husband Name

 3. a. Gender: Male Female 3 b. Marital status: Single Married

 3. c. Date of Birth

 4. a. Nationality Indian Other (Please specify)

 4. b. Status: Resident Individual Non-Resident Foreign National

 5. a. PAN 5. b. Aadhaar Number, if any

 6. Specify the proof of Identity submitted: PAN Card Any Other (Please Specify)

PHOTOGRAPH

 Please affix
your recent
colour passport size
photograph

 sign across
photograph

B) ADDRESS DETAILS

 1. Residence / correspondence Address Correspondence Address Residence Address

 City / Town / Village PIN Code

 State Country

 2. Specify the proof of Address submitted for Residence / Correspondence Address:

 3. Contact Details Tel (Off)

 Fax No.

 Tel. (Res.)

 Mobile No.

 E-mail ID

 4. Permanent Address (If different from above. Mandatory for Non-Resident Applicant to specify overseas address)

 City / Town / Village PIN Code

 State Country

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:

S3 of 7

Signature of the Applicant



OFFICE USE ONLY

 Originals verified and Self-Attested Document copies received

 In-Person-Verification (IPV) Done:

 a. Name of the Person

 b. Designation

 c. Name of Organisation

 Signature of
The Authorised Signatory

 Seal / Stamp
of the Branch

 e. Date


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

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

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:	IFSC Code:	MICR 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: Same as mentioned in KYC form
- 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. _____
- Mode of Operation for Demat account (Mandatory in case of Joint Demat account holders) Jointly
 Anyone of the holder or survivor
- Communications to be sent to (Mandatory in case of Joint Demat account holders) First holder
 All joint account holders

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 :

DEALING THROUGH AUTHORISED PERSON

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

INTRODUCER DETAILS (OPTIONAL)

 Name of the Introducer: _____ Phone No.: _____
 Address of Introducer : _____
 Status of the Introducer: Sub-broker/Remisier/Authorized Person/Existing Client/
 Others, please specify _____

Signature of the Introducer

FATCA - CRS DECLARATION
 I am a tax resident of india not resident of any other country OR I am a tax resident of the country/ies mentioned in the table below:

Please indicate the country/ ies in which the entity is a resident for tax purposes and the associated Tax ID Numbers below:

 City of Birth Country of Birth

 Address Type of Tax Purpose Residential Business Registered Office

Country#	Tax Identification Number %	Identification Type (TIN or Other, please specify) %	Address for Tax Purpose		
			<input type="checkbox"/> Communication	<input type="checkbox"/> Permanent	<input type="checkbox"/> Please note the address below

 Date: Place: _____

To also include USA, where the individual is a citizen/green card holder of USA

% In case Tax Identification Number is not available, kindly provide functional equivalent. FATCA-CRS Certification: I hereby understood the information requirements of this Form and hereby confirm that the information provided by me/us on this form is true, correct and complete and hereby accept the same.

Declaration: I hereby declare that the details furnished above are true and correct to the best of my/our 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/We am/are aware that I/We may be held liable for it.

Signature 



VOLUNTARY DOCUMENT

BANK MANDATE IN FAVOR OF AXIS SECURITIES LIMITED

To,
Axis Bank Limited

Sub.: Request to add Axis Securities Limited as a mandate holder for my / our below mentioned bank account with Axis Bank Limited

Dear Sir / Madam,

- I / We hold the below mentioned account with Axis Bank Limited.
- I / We have applied for opening bank account with Axis Bank Limited vide below mentioned application number.

I / We have / have applied for opening, a Trading and / or Demat account with Axis Securities Limited as mentioned below, to enable me / us to invest / trade in securities market and other products offered by Axis Securities Limited.

Particulars	Type	Bank Account	Trading Account	Demat Account
Application No.				
CRN				
Account Number				
Bank Account	NRE-PIS			
	NRO-PIS			
	NRE-NONPIS			
	NRO-NONPIS			
Name of First / Sole Holder				
Name of Second Holder				
Name of Third Holder				

I / We understand that the price fluctuation in the securities market is dynamic and as an investor / trader in the securities mark, I / We are required to ensure that I / We maintain required margin/s, at all times clear my / our funds obligation towards my Trading Member and / or Depository Participant for their services opted by me / us.

For the purpose of facilitating my / our securities transaction through my above mentioned Axis Securities Limited account, to avail seamless trading experience, operational convenience, to honour my / our settlement obligations / margin requirement and / or for recovering any outstanding amount due in connection with the trades executed by me / us through Axis Securities Limited and / or for meeting obligations arising out of any subscription to such other products / facilities / services availed by me / us through Axis Securities Limited like Mutual Funds, Public Issues (shares as well as debentures), rights issue, offer of shares etc. and / or further towards monies / fees / charges due from me / us to Axis Securities Limited (in its capacity as a stock broker and/or depository participant) for its services availed by me / us relating to stock broking, depository and other financial services as well as investment in Mutual Funds, PMS, Alternate Investment Fund. Venture Capital Funds. Sovereign Gold Bond's. Corporate Fixed Deposit's. any and all such investments etc. on my / our behalf, I / We hereby voluntarily appoint Axis Securities Limited as my / our Mandate Holder and authorize

Axis Securities Limited for the following:

- a) To link my aforesaid Bank, Trading and Demat accounts
- b) To Operate, block and / or debit the above mentioned Bank Account on demand from Axis Securities Limited in any manner, to meet all my obligations in terms of the rights and obligations document for transactions done on National Stock Exchange of India Limited, BSE Limited, Metropolitan Stock Exchange of India Limited, Multi Commodity Exchange of India Limited, National Commodity and Derivatives Exchange Limited or any towards any other services including but not restricted Depository Services, Investment Advisory Services, Research Services, Portofolio Management Services, Distribution Service etc. opted by me / us from Axis Securities Limited. Debit account opening charges

VOLUNTARY DOCUMENT

c) Continue the attempt to debit my/our above referred bank account till successful debit from my/our bank account

I / We declare that,

a) the decision of Axis Securities Limited, towards my / our obligations or liabilities or commitments shall be final and binding upon me / us and any demand made on the Bank by Axis Securities Limited shall be conclusive as regards the amount due and payable by me / us.

b) I / We shall not have any demur, protest or contestation and without any reference to me / us pay to Axis Securities Limited such sum as may be demanded by Axis Securities Limited.

c) I / We agree that Axis Bank execute instructions received through Axis Securities Limited in any form and manner as agreed between Axis Securities Limited and Axis Bank Limited from time to time including but not limited to Net banking, Payment Gateway, Phone Banking, Electronic mails, Fascimile or in any form. Further Bank is entitled to transfer funds in any from and manner including but not limited to by way of debit/credit of my/our said bank account(s), and issue pay- orders/demand drafts/ bankers cheques, wire transfer etc. from my/our account to honour all instructions given by Axis Securities Limited as aforesaid to its client / settlement bank account/s as updated on its website www.simplehai.axisdirect.in from time to time.

d) any disputes arising out of transactions between us and Axis Securities Limited shall be resolved between us mutually and that I shall not raise it with Axis Bank Limited and shall not send any contrary instructions to Axis Bank Limited with respect to the bank account.

e) I / We agree, that if in any case funds cannot be transferred to Axis Securities Limited toward my / our any obligation/s, may it be before or after the blocking of funds by Axis Securities Limited, I / We shall be responsible for any action including penalty levied by Exchanges / Clearing Corporation / any other authority.

f) I / We understand that the said Mandate can be revoked by us by submitting a written revocation request, upon ensuring that the there are no open positions in my / our account with Axis Securities Limited and the debit or any other obligation in my / our account with Axis Securities Limited is cleared. I / We understand that the Mandate Holder shall not act subsequent to receipt of the intimation of such revocation. I / We also understand that, 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 Mandate.

g) all terms and conditions as applicable to the bank account with Axis Securities Limited shall continue to be applicable

Thanking you,

Signature

1st Holder Signature

(1st / Sole Holder)

Name: _____

2nd Holder Signature

(2nd / Sole Holder)

Name: _____

3rd Holder Signature

(3rd Holder)

Name: _____

ANNEXURE - A

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 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 DOCUMENT

DEMAT DEBIT AND PLEDGE INSTRUCTION (THIS DOCUMENT IS VOLUNTARY)

I/ We hold or in the process of opening Demat account with Axis Securities Limited (ASL), a depository participant (DP) Registered with SEBI (The "DP").
I/ We have / have applied for opening, a Trading and / or Demat account with Axis Securities Limited and Bank account with Axis bank Limited as mentioned below, to enable me / us to invest / trad in securities market and other products offered by Axis Securities Limited.

Application No	DEMAT ACCOUNT TYPE	<input type="checkbox"/> NSDL-IN304295
		<input type="checkbox"/> CDSL-12049200

DEMAT ACCOUNT DETAILS

NRE PIS	Client ID	NRE Non PIS	Client ID
NRO PIS	Client ID	NRO Non PIS	Client ID

I/We understand that the price fluctuation in the securities market is dynamic and as an investor / trader in the securities mark,
I/We are required to ensure that I / We maintain required margin/s and to honor settlement obligation/s arising out my / our transaction in securities market.
I / We understand that DDPI is voluntary, however, for the purpose of facilitating my / our securities transaction through my above mentioned Axis Securities Limited account and to avail seamless trading experience operational convenience, I / We Voluntarily request Axis Securities Limited to give effect to this DDPI.

I/We declare that,

1. This DDPI shall enable Transfer / Pledge / Re-pledge / Tendering of any securities from my / our account to the account of axis Securities Limited as updated on its website www.simplehai.axisdirect.in from time to time
2. Instruction and any such act, initiated basis this DDPI by Axis Securities Limited on my / our behalf shall be final and binding upon me / us.
3. In the event of any overriding instructions of the Regulator or any court of law or other agency resulting in any unavailability of securities, Axis Securities Limited shall not be obliged to honor my / our obligation or initiate any action for the purpose/s mentioned in the table below.
4. this DDPI shall be revoked only upon written request by me / us. However the revocation of this DDPI shall be affected only after fulfillment of my / our obligation pertaining to unsettled transactions and outstanding dues payable to Axis Securities Limited as per the terms and conditions of the services / products availed by me / us.

I/ We hereby Authorise Axis Securities Limited dor the following purpose:

Sr. No.	Purpose	Signature of Client(s)
1	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same Stock Broker.	
2	Pledging / re-pledging of securities in favour of trading member (TM) / Clearing Member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	
3	Mutual Fund transactions being executed on Stock Exchange order entry platforms.	
4	Tendering shares in open offers through Stock Exchange platforms.	

Name of the client (Demat account First holder)	
Name of the client (Demat account Second holder)	
Name of the client (Demat account Third holder)	

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 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 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 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 bidding on the client. 17. The Client acknowledges that he/itis 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). 22. I/We hereby expressly consent to and authorize Axis Securities Limited (whether acting by itself or whether in an automated manner or otherwise), to seek/ share my personal information regarding my demat / bank account from/ with Axis Bank Limited including details of transactions effected by me/ us, and Funds/Securities (demat account) balances in relation of the securities held in my/our name, for the purposes of displaying such details on app/website of Axis Bank for the sake of my convenience and better viewing experience of my account balances on one platform, and for completing settlement of transactions.

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 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 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)

 1st Holder Signature

 2nd Holder Signature

 3rd Holder Signature

UCC code allotted to the client _____

	Documents verified with Originals	Clients Interviewed by	In-Person Verification done by
Name of the Employee			
Designation & Employee Code			
Signature and 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.

Date:

 Signature of Authorised Signatory (ASL)

Seal/Stamp of the Stock Broker (ASL)

Form Type



DN001

FORM FOR NOMINATION

(To be filled in by individual applying singly or jointly)

Nomination Registration No. _____

Date: NSDL CDSL (Please select any one)Trading ID NSDL DP ID CDSL DP ID Demat Client ID

NOMINATION OPTION




I/we the sole holder / joint holders hereby declare that :




- I wish to nominate Demat & Trading Account [As per details given below]
- I / We hereby confirm that I / we do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assests held in the trading / demat account.

NOMINATION DETAILS

I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all securities held in the Depository by me / us in the said beneficiary owner account in the event of my / our death. This nomination shall supersede any prior nomination made by me/us and also any testamentary document executed by me/us.

Nomination can be made upto three nominees in the account.

		Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
1	Name of the nominee(s) (Mr./Ms./Others)			
	First Name			
	Middle Name			
	Last Name			
2 Share of each Nominee				
A)	For NSDL	Equally <input type="checkbox"/> [If not equally, please specify percentage]	%	%
	Any odd lot after division shall be transferred to the first nominee mentioned in the form.			
B)	For CDSL	Percentage of allocation of securities		
		Residual Securities (please tick any one nominee. If tick not marked default will be first nominee):	<input type="text"/>	<input type="text"/>
Note: Residual securities in case of multiple nominees, please choose any one nominee who will be credited with residual securities remaining after distributing of securities as per percentage of allocation. If you fail to choose one such nominee, then the first nominee will be marked as nominee entitled for residual shares, if any.				
3 Relationship With the Applicant (If Any)				
4 Address of Nominee(s)				
		City:		
		State:		
		Pin:		
		Country:		
5 Mobile/Telephone No. of nominee(s)				
6 Fax No.				
7 Email ID of nominee(s)				
8 Nominee Identification details - [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature		 <small>Affix Colour Photograph of Nominee & Sign across</small> Signature of Nominee	 <small>Affix Colour Photograph of Nominee & Sign across</small> Signature of Nominee	 <small>Affix Colour Photograph of Nominee & Sign across</small> Signature of Nominee
		<input type="checkbox"/> PAN		
		<input type="checkbox"/> Aadhaar / UID		
		<input type="checkbox"/> Saving Bank account No.		
		<input type="checkbox"/> Proof of Identity		
		<input type="checkbox"/> Demat Account No.		
		<input type="checkbox"/> DP ID		

9	Date of Birth	D	D	M	M	Y	Y	Y	Y	D	D	M	M	Y	Y	Y	Y	D	D	M	M	Y	Y	Y	Y	
	Age																									
Sr. Nos. 10-16 should be filled mandatorily if nominee(s) is a minor:																										
10	Name of Guardian (Mr./Ms./Others)																									
	First Name																									
	Middle Name																									
11	Last Name																									
	Address of Guardian(s)																									
	City:																									
	State:																									
	Pin:																									
12	Country:																									
	Mobile/Telephone No. of Guardian																									
13	Fax No.																									
14	Email ID of Guardian																									
15	Relationship of Guardian with nominee																									
16	Guardian Identification details – [Please tick any one of following and provide details of same]																									
	<input type="checkbox"/> Photograph & Signature	 Affix Colour Photograph of Guardian & Sign across Signature of Guardian										 Affix Colour Photograph of Guardian & Sign across Signature of Guardian										 Affix Colour Photograph of Guardian & Sign across Signature of Guardian				
	<input type="checkbox"/> PAN																									
	<input type="checkbox"/> Aadhaar / UID																									
	<input type="checkbox"/> Saving Bank account No.																									
	<input type="checkbox"/> Proof of Identity																									
<input type="checkbox"/> Demat Account No. DP ID																										
17	Name & Signature of Account Holder(s)	Sole/1st Holder										2nd Holder										3rd Holder				
	Name(s) of holder (s)																									
	Signature(s) of holder (s)	Signature of 1st Holder										Signature of 2nd Holder										Signature of 3rd Holder				
18	Details of Witness for Nomination																									
	Name of the Witness	Address of Witness										Signature of Witness														
Place :																						Date				
		D	D	M	M	Y	Y	Y	Y	D	D	M	M	Y	Y	Y	Y	D	D	M	M	Y	Y	Y	Y	

Notes:

- The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non- individuals including society, trust, body corporate and partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly, all joint holders will sign the nomination form.
- A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
- The Nominee(s) shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a power of Attorney holder. A non-resident Indian can be a Nominee subject to the exchange controls in force, from time to time.
- Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
- Transfer of securities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant against the legal heir.
- Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees. The first nominee of Demat account will be considered as default nominee for Trading account.
- On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned in the FORM at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees.
- Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents.
- Savings bank account details shall only be considered if the account is maintained with Axis Bank Ltd.
- DP ID and client ID shall be provided where demat details is required to be provided.

LETTER OF AUTHORITY FOR NRE NON PIS TRANSACTIONS

I hereby authorize you to honour all claims in the form of contract notes for purchases received from my share broker M/s **Axis Securities Limited** having SEBI Registration no. **INZ000161633** and its registered office at **Axis House, 8th Floor, Wadia International Centre, Pandurang Budhkar Marg, Worli, Mumbai-400025**, who have been authorized by me/us to execute sale and purchase transactions of shares on my/our behalf.

I hereby authorize you to debit my NRE account no _____ to the equivalent value of the purchase contract received from the aforesaid Stock broker and issue a banker's cheque favoring my above mentioned Stock Broker / transfer to the above mentioned broker's account for the purchase value as and when such purchase contract are presented by the above broker to the Bank.

I further authorize you to accept and credit to my account cheques / transfer received from the said broker representing sale proceeds of shares sold on my behalf.

I hereby authorize you to disclose the outstanding balance in my above account to my above mentioned broker whenever required by them. I hereby authorize you to debit my SBNRE account No. _____ on account of purchase of NONPIS shares and for recovery of your charges on account of NONPIS transactions.

I hereby solemnly declare that I, my legal heirs, executors agree to indemnify and keep indemnified AXIS Bank from any claims of any nature including damages for following such a transaction based on this Letter of Authority.

I further confirm that I shall not raise any objection or a claim against AXIS Bank for acting on such instructions and in debiting and crediting my account. I confirm that I shall ratify all the credits and debits which AXIS Bank may carry out based on the instructions of this Letter of Authority and it shall be deemed as if the said transactions have been carried out by me.

I confirm that this Letter of Authority shall remain binding and irrevocable till such time this said Letter of Authority is revoked in writing by me. I confirm that notwithstanding the revocation AXIS Bank shall continue to be indemnified for all the actions done prior to the said revocation.

Schedule of Charges for Non PIS Transactions

Type	Normal	Prime	Priority	Burgundy	Burgundy Private
Non PIS Reporting Charges*	200	200	150	100	NIL
*Non PIS Reporting Charges will be levied per trade date – separate for purchase and sale					

Yours faithfully



Customer's Name & Signature

LETTER OF AUTHORITY FOR NRO NON PIS TRANSACTIONS

I hereby authorize you to honour all claims in the form of contract notes for purchases received from my share broker M/s **Axis Securities Limited** having SEBI Registration no. **INZ000161633** and its registered office at **Axis House, 8th Floor, Wadia International Centre, Pandurang Budhkar Marg, Worli, Mumbai-400025**, who have been authorized by me/us to execute sale and purchase transactions of shares on my/our behalf.

I hereby authorize you to debit my NRO account no _____ to the equivalent value of the purchase contract received from the aforesaid Stock broker and issue a banker's cheque favoring my above mentioned Stock Broker / transfer to the above mentioned broker's account for the purchase value as and when such purchase contract are presented by the above broker to the Bank.

I further authorize you to accept and credit to my account cheques / transfer received from the said broker representing sale proceeds of shares sold on my behalf.

I hereby authorize you to disclose the outstanding balance in my above account to my above mentioned broker whenever required by them. I hereby authorize you to debit my SBNRO account No. _____ on account of purchase of NONPIS shares and for recovery of your charges on account of NONPIS transactions.

I hereby solemnly declare that I, my legal heirs, executors agree to indemnify and keep indemnified AXIS Bank from any claims of any nature including damages for following such a transaction based on this Letter of Authority.

I further confirm that I shall not raise any objection or a claim against AXIS Bank for acting on such instructions and in debiting and crediting my account. I confirm that I shall ratify all the credits and debits which AXIS Bank may carry out based on the instructions of this Letter of Authority and it shall be deemed as if the said transactions have been carried out by me.

I confirm that this Letter of Authority shall remain binding and irrevocable till such time this said Letter of Authority is revoked in writing by me. I confirm that notwithstanding the revocation AXIS Bank shall continue to be indemnified for all the actions done prior to the said revocation.

Schedule of Charges for Non PIS Transactions

Type	Normal	Prime	Priority	Burgundy	Burgundy Private
Non PIS Reporting Charges*	200	200	150	100	NIL
*Non PIS Reporting Charges will be levied per trade date – separate for purchase and sale					

Yours faithfully



Customer's Name & Signature

LETTER OF AUTHORITY FOR PIS TRANSACTIONS

I hereby authorize you to honour all claims in the form of contract notes for purchases received from my share broker M/s Axis Securities Limited having SEBI Registration no. INZ000161633 and its registered office at Axis House, 8th Floor, Wadia International Centre, Pandurang Budhkar Marg, Worli, Mumbai-400025, who have been authorized by me/us to execute sale and purchase transactions of shares on my/our behalf.

I hereby authorize you to debit my NREPIS / NROPIS account no. _____ to the equivalent value of the purchase contract received from the aforesaid Stock broker and issue a banker's cheque favoring my above mentioned Stock Broker / transfer to the above mentioned broker's account for the purchase value as and when such purchase contract are presented by the above broker to the Bank.

I further authorize you to accept and credit to my account cheques / transfer received from the said broker representing sale proceeds of shares sold on my behalf.

I hereby authorize you to debit my SBNRE / SBNRO account no. _____ with highest balance and transfer the funds to my above NREPIS / NROPIS account as and when funds are required on account of purchase of shares through secondary markets and for recovery of charges / tax relating to my PIS accounts.

I shall report all secondary market transactions done through SEBI registered Stock Broker on recognized stock exchange and on the same day arrange to submit the original contract note of the transactions to the Bank from such Stock Broker.

I hereby solemnly declare that I, my legal heirs, executors agree to indemnify and keep indemnified AXIS Bank from any claims of any nature including damages for following such a transaction based on this Letter of Authority.

I further confirm that I shall not raise any objection or a claim against AXIS Bank for acting on such instructions and in debiting and crediting my account. I confirm that I shall ratify all credits and debits which AXIS Bank may carry out based on the instructions of this Letter of Authority and it shall be deemed as if the said transactions have been carried out by me.

I confirm that this Letter of Authority shall remain binding and irrevocable till such time this said Letter of Authority is revoked in writing by me.

I confirm that notwithstanding the revocation AXIS Bank shall continue to be indemnified for all the actions done prior to the said revocation.

I hereby authorize you to allow my above mentioned broker to have a "view only" access to my PLS account through i-connect.

I hereby authorize you to disclose the outstanding balance in my above account/s to my above mentioned broker whenever required by them.

Customer's Name & Signature 

REVOCATION OF LETTER

Date:-

To,
Axis Bank Limited,
PIS operations Team,
Mumbai.

Dear Sir / Madam,

Subject: - Revocation of Letter of Authority/Mandate/given to M/S _____

Please be advised that, with immediate effect M/s _____ is no longer authorized to handle any of my trade transactions on my behalf. I have revoked their authority and have also notified the same to them.

You are requested NOT to honor any transactions initiated/given by M/s _____ on my behalf. Accordingly, you should immediately make a notation in your records to reflect the fact that M/s _____ has no more power to execute my trades.

You are also requested not to grant access to any of details or any of my personal information to them.

Incase of any further any clarifications on this matter, please contact me on below numbers. My account details are as below.

PIS account Number _____

Contact Number _____

Thanking you.

Customer's Name & Signature 

Date:

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Place: _____

1. Your trading account has a “Unique Client Code” (UCC), different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/ mobile trading login credentials with anyone else.
2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock broker's Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.
4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).
6. You will get a contract note from the stock broker within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.
8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.

 1st Holder Signature 2nd Holder Signature 3rd Holder Signature

First Holder

I state that mobile number _____

Belonging to Self Spouse Dependent Children Dependent Parent

And Email ID _____

Belonging to Self Spouse Dependent Children Dependent Parent

Request to consider the same for updation in my trading/demat account.

Second Holder

I state that mobile number _____

Belonging to Self Spouse Dependent Children Dependent Parent

And Email ID _____

Belonging to Self Spouse Dependent Children Dependent Parent

Request to consider the same for updation in my trading/demat account.

Third Holder

I state that mobile number _____

Belonging to Self Spouse Dependent Children Dependent Parent

And Email ID _____

Belonging to Self Spouse Dependent Children Dependent Parent

Request to consider the same for updation in my trading/demat account.


✍ 1st Holder Signature
✍ 2nd Holder Signature
✍ 3rd Holder Signature