AXIS SECURITIES

Axis Securities Limited - Investment Advisor

Account Opening Form

For Individual - Fixed Fee

V.1.4 12/11/25

Axis Securities Limited Investment Advisor Reg No. INA000000615, The certificate of registration granted under Investment Advisory Regulation 9 shall be valid until is suspended or cancelled by the Board. Reg Address: Axis Securities Ltd, Unit 002, Building - A, Agastya Corporate Park, Piramal Realty, Kamani Junction, Kurla West, Mumbai - 400 070. Principal Officer - Mr. Rahul Bijlani Email – compliance@axissecurities.in, Tel No. – 022-42274649, SEBI office addresses- https://www.sebi.gov.in/contact-us.html.

ACCOUNT OPENING CHECKLIST - INDIVIDUAL ACCOUNT

Individual Checklist for KYC documents

- ☐ Pan card copy - Mandatory for financial transactions in India.
- ☐ Valid Correspondence and Permanent address proof

1. Passport copy – with attested pages showing clients photo, name, address, and validity
2. Driving license – with attested pages showing clients photo, name, address, and validity
3. Copy of Aadhar Card
4. Copy of Voter's Id

- ☐ Proof of Bank Account details – (Latest Bank statement /Passbook copy / Personalised bank cheque leaf)
- ☐ FATCA declaration

NRI Checklist for KYC documents

- ☐ Pan card copy - Mandatory for financial transactions in India.
- ☐ Proof of Identity – Valid Passport copy
- ☐ In case of Indian passport - Valid passport, Place of birth as India, Valid Visa – Work/Student/employment/resident permit etc.
- ☐ In case of foreign passport : Valid passport and any of the following

  a. Place of Birth as India in foreign passport

  b. Copy of PIO / OCI Card as applicable in case of PIO/OCI

  Valid Overseas address proof (Officially valid document)

  a. Passport copy – with attested pages showing clients photo, name, address, and validity

  b. Driving license – with attested pages showing clients photo, name, address, and validity

  c. Copy of Bank statement - not more than 2 months old from the date of application - of Overseas or India based bank

  d. Copy of Utility Bill - electricity/ gas/phone/ water – not more than 2 months old from the date of application

  e. Copy of Foreign Government issued Identity Card.

- ☐ Valid Indian address proof

  a. Passport copy – with attested pages showing clients photo, name, address, and validity

  b. Driving license – with attested pages showing clients photo, name, address, and validity

  c. Copy of Aadhar Card

  d. Copy of Voter's Id

  e. Masked Aadhar copy

- ☐ FATCA declaration

  Proof of Bank Account.

  a. NRE-NonPIS :-SBNRE Bank Statement

  b. NRO-NONPIS:- SBNRO Bank statement

  Continuous Discharge Certificate for Mariner

GENERIC

All the documents must be

- ☐ Self-Attested by the Applicant
- ☐ 'Verified with Original' by Axis Bank/ Axis Securities Ltd. employee and other permitted entities Submitted copies must be clear & readable
- ☐ In Person Verification with Identity Proof/Pan Card

FORM FILLING

1. Please sign at all required places (initials below each Page of Agreement, signature of all Authorized signatories on all pages of account opening form)
2. Please fill in all details in the entire form only in ENGLISH & BLOCK LETTERS. Strike off whichever is not applicable.
3. Write only one alphabet in each square provided. Leave a square blank between words
4. Name should be as it appears in PAN card
5. Photographs of all applicants have to be affixed on the form, signed across
6. White Ink is not allowed for alteration/ correction on the Account Opening Form (hereinafter referred to as AOF)
7. Any alteration/ correction thereby should be attested by applicant full signature
8. Self attested copy of PAN card is mandatory for all clients
9. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification.
10. Sole proprietor must make the application in his individual name & capacity.
11. In case the original of any document is not produced for verification by NRI clients, then the copies should be properly attested by entities authorized for attesting the documents, as mentioned below:

i. Embassy

ii. Axis Bank branch

12. If any proof of identity or address is in a foreign language, then translation into English is required
13. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted
14. If Correspondence & Registered address are different, then proofs for both have to be submitted
15. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
16. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, Senior politicians, Senior Government/judicial/military officers, Senior executives of state owned corporations, important political party officials, etc.
17. Documents having an expiry date should be valid on the date of submission

MANDATORY DOCUMENT/INFORMATION/ REQUIREMENTS

1. Filling in telephone number (mobile or landline) is mandatory.
2. One passport-size photograph is required for all Advisory Account holders with cross signature on AOF & photo.
3. For an applicant who is a resident of Sikkim, where PAN Card is not available, Form 60/61 is mandatory in case of opening a Advisory account.
4. Complete postal address (city, state, PIN code) exactly as stated as it appears in the proof of residence submitted.
5. All communication shall be sent at the address of the First/Sole holder only. It should be ensured that the email address of the first holder is correct all electronic correspondence will be sent at this address.

AVAILING INVESTMENT ADVISORY SERVICES

To
Axis Securities Limited - Investment Advisor
Axis Bank Limited & other Axis Group entities
Axis Securities Ltd , Unit 002, Building - A,Agastya Corporate Park,
Piramal Realty, Kamani Junction, Kurla West, Mumbai - 400 070.

Dear Sir,
Sub: Availing Investment Advisory Services

I/We wish to avail the Investment Advisory services offered by Axis Securities Limited (ASL). I/we are aware that, as per Securities and Exchange Board of India (SEBI) guidelines (SEBI/HO/IMD/DF1/CIR/P/2020/182 dated 23rd September 2020), I/We and my dependent family members, can either opt for advisory (advising client for a consideration) or for Distribution (on behalf of the Product Provider for a commission) services (and not both) from entities of the same Group.

In this regard I/we would like to declare that currently (☑ Please tick appropriate boxes)

- ☐ I/We do not have any investment in Mutual Funds or any similar investment products under Distribution mode with Axis Group of companies
- ☐ I/We have availed Distribution service / financial Products from Axis Group Companies
- ☐ I/We shall continue to hold the existing investments till such time I/we decide to redeem or take any other permitted action. I/We understand and authorize all Axis Group entities not to execute any further investment transaction in the Distribution mode, with the exception of any SIP / STP transactions and dividend reinvestments for which the instructions have been provided by me/us prior to the date of signing up for Advisory Service or prior to April 01, 2021 as the case may be. I/ We understand that SIP / STP will stop in on-line / execution mode.
- ☐ I/We wish to liquidate / switch my/our investments to investment Advisory services and I/we will provide the requisite instructions for the same separately. I/We understand the tax implications and exit load, if any, that will be applicable on liquidation and the same will be borne by me / us.

I/We confirm that the above decisions have been taken solely by me / us and the decisions have not been forced on me/us or influenced by any Axis Group entity or any of its employees.

Further, I/we also understand that while availing the advisory services from ASL, I/we or any of my/our dependent family members shall not avail any distribution services from any of the Axis Group of companies as per the specified SEBI guidelines. In case of any such requirement, I/we will consult ASL in advance.

I/We authorize ASL, Axis Bank and other Axis Group companies to share with each other such details of me and my / our family, as may be required to verify compliance with the SEBI guidelines and also to block any further transactions, in the Distribution mode,in my/our investment account(s) with all Axis Group companies.

I/We have read and understood the terms and conditions of the investment advisory services agreement provided by ASL along with the fee structure and mechanism for charging and payment of fee.

I/we confirm that an opportunity was provided by the Investment Advisor to me/us to ask questions and interact with persons associated with the investment advice.

Based on the above, I/We hereby provide my/our consent to activate my/our Investment advisory account with Axis Securities Limited.

The details of all my dependent family members, are given below. *"family of client" shall include individual client, dependent spouse, dependent children and dependent parents. The dependent family members shall be those members whose assets on which investment advisory is sought/provided, originate from income of a single entity i.e. earning individual client in the family"

Sr. No.	Applicant & Dependent Family Members Name	Self/ Relationship	PAN*	Email ID	Signature

Notes :

**PAN copies to be provided.*

Separate consent letters can be provided if course of action decided for existing investments in distribution mode is different for each PAN.

I/We undertake to immediately inform the Investment Advisor (ASL) if there is any change / addition / deletion in the list of dependent family members given above and submit a revised declaration for the same and at such periodicity as required by the Investment Advisor under the regulations.

Primary Applicant Name _____

✍ Signature of Primary applicant

✍ Signature Secondary applicant

Other applicant Names (if any)

_____

_____

✍ Signature of Third applicant

Date: D D M M Y Y Y Y

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INVESTMENT ADVISORY SERVICE AGREEMENT

THIS AGREEMENT made on this day _____, 20 __between 1. Mr. / Mrs. / Ms. _____
2. Mr. / Mrs. / Ms. _____ 3. Mr. / Mrs. / Ms. _____
residing at _____(hereinafter referred to as "Client") which expression, shall unless it be repugnant to the context or meaning there of, include its successors, heirs and permitted assigns) of the One Part AND Axis Securities Limited - Investment Advisor, a company incorporated under the Companies Act, 1956, and having its Registered Office at Axis Securities Ltd , Unit 002, Building - A,Agastya Corporate Park, Piramal Realty, Kamani Junction, Kurla West, Mumbai - 400 070. (hereinafter referred to as the "Registered Investment Advisor (RIA)" or "Investment Advisor (IA)" or "ASL") which expression shall, unless it be repugnant to the context or meaning thereof, include its successors and assigns) of the other part.

(A) The Registered Investment Advisor (RIA) holds a valid certificate of registration under the Securities and Exchange Board of India (Investment Advisors) Regulations, 2013, to carry on the business of Investment Advisory Service vide Registration No. INA000000615;

(B) In accordance with the applicable laws, the client hereby appoints, entirely at his / her / its own risk, the Investment Advisor to provide the required services in accordance with the terms and conditions of this agreement as mandated under Regulation19(1)(d) of the Securities and Exchange Board of India (Investment Advisors) Regulations, 2013.

(C) The Investment Advisor and the Client hereby record their mutual understanding and their common intention in the manner as hereinafter provided.

i. The client hereby confirms that :

1) "I / We have read and understood the terms and conditions of Investment Advisory services provided by the Investment Advisor along with the fee structure and mechanism for charging and payment of fee.
2) Based on our written request to the Investment Advisor, an opportunity was provided by the Investment Advisor to ask questions and interact with 'person(s) associated with the investment advice'".

ii. The Investment Advisor hereby declares that

1) It shall neither render any investment advice nor charge any fee until the client has signed this agreement.

2) That Investment Advisor shall not manage funds and securities on behalf of the client and that it shall only receive such sums of monies from the client as are necessary to discharge the client's liability towards fees owed to the Investment Advisor.

3) That the Investment Advisor shall not, in the course of performing its services to the client, hold out any investment advice implying any assured returns or minimum returns or target return or percentage accuracy or service provision till achievement of target returns or any other nomenclature that gives the impression to the client that the investment advice is risk free and/or not susceptible to market risks and or that it can generate returns with any level of assurance.

4) Fees will be charged for Investment advisory services within the limits specified under SEBI Investment Advisor Regulations and relevant circulars issued thereunder. Limits specified under SEBI regulations for fees are :

A Fixed fee mode: The maximum fees that may be charged under this mode shall not exceed INR 1,25,000 per annum per client across all services offered by IA. In case "family of client" is reckoned as a single client, the fee as referred above shall be charged per "family of client".

B ASL will charge annually Rs. _____ as fees to clients for Investment advisory services described in detail in Annexure to this agreement

IT IS AGREED:

1. DEFINITIONS AND INTERPRETATIONS:

1.1 Definitions

a. "Act" means the Securities and Exchange Board of India Act, 1992;

b. "Agreement" means this Investment Advisory Agreement (also referred to as Investment Advisory Service Agreement) and shall include all modifications, alterations, additions or deletions thereto made in writing, upon mutual consent of the Parties hereto;

c. "Assets under Advice" shall mean the aggregate net asset value of securities and investment products for which the investment advisor has rendered investment advice irrespective of whether the implementation services are provided by investment advisor or concluded by the client directly or through other service providers;

d. "family of client" shall include individual client, dependent spouse, dependent children and dependent parents;
"Dependent family members" shall be those members whose assets on which investment advisory is sought/provided, originate from income of a single entity i.e. earning individual client in the family.

e. "Group" shall mean an entity which is a holding, subsidiary, associate, subsidiary of a holding company to which it is also a subsidiary or an investing company or the venturer of the company as per the provisions of Companies Act, 2013.

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Primary Authorized Signatory Name	Second Applicant Signatory Name	Third Applicant Signatory Name
✍ Signature of Primary Applicant	✍ Signature of Second Applicant	✍ Signature of Third Applicant

f. Investment Advice" means advice relating to investing in, purchasing, selling or otherwise dealing in securities or investment products, and advice on investment portfolio containing securities or investment products, whether written, oral or through any other means of communication for the benefit of the client and shall include financial planning. Provided that investment advice given through newspaper, magazines, any electronic or broadcasting or telecommunications medium, which is widely available to the public shall not be considered as investment advice for the purpose of these regulations;

g. “Investment advisor” means any person, who for consideration, is engaged in the business of providing investment advice to clients or other persons or group of persons and includes any person who holds out himself as an investment advisor, by whatever name called;

h. "Investment Terms" means the Terms and Conditions of Advisory Service as set out in this agreement;

i. "Party or Parties" means the Client and / or the Investment Advisor as the case may be or as the context may require;

j. “Portfolio” means the Securities held by the Clients pursuant to investments made on the advice of the Investment Advisor under this Agreement;

k. "Principal officer” shall mean the managing director or designated director or managing partner or executive chairman of the board or equivalent management body who is responsible for the overall function of the business and operations of non-individual investment advisor.

l. "Persons associated with investment advice” shall mean any member, partner, officer, director or employee or any sales staff of such investment advisor including any person occupying a similar status or performing a similar function irrespective of the nature of association with the investment advisor who is engaged in providing investment advisory services to the clients of the investment advisor;

m. “Regulations” shall mean the SEBI (Investment Advisors) Regulations 2013 issued by the Securities and Exchange Board of India, amended from time to time; and circulars issued therein from time to time.

n. "SEBI" means Securities and Exchange Board of India;

o. “Securities” mean securities as defined in clause (h) of section 2 of the Securities Contracts (Regulation) Act, 1956 and includes mutual fund units, shares, scrips, stocks, bonds, debentures, debenture stock or other marketable securities of a like nature in any incorporated company, or other body corporate, derivatives, units or any other instrument issued by any collective investment scheme to the investors in such schemes, government securities, and such other instruments as may be declared by the Central Government to be securities and rights or interest in securities.

1.2 Interpretations:

a. In this Agreement, the headings are for convenience only, and shall not affect interpretations;

b. Where a word or phrase is defined, other parts of speech and grammatical forms of that word or phrase shall have corresponding meanings;

c. Each defined terms stated in the singular or the plural, will include singular or plural of the term;

d. The recitals shall constitute an integral operative part of this Agreement;

e. The terms Registered Investment Advisor and Investment Advisor would be used interchangeably throughout the agreement

f. Any term not specifically defined in this Agreement will have the same meaning as defined in the Regulations

2 Appointment of the Investment Advisor:

2.1 The Registered Investment Advisor is engaged in the provision of Investment Advisory Services to its clients; and the Client desires to appoint and authorize the Investment Advisor to perform the Services for the Client.

3. Scope of Service:

The scope of service shall be subject to the activities permitted under the Securities and Exchange Board of India (Investment Advisors) Regulations, 2013. The Investment Advisor shall act in a fiduciary capacity towards its clients at all times.

3.1 The Client hereby appoints ASL as its Investment Advisor to provide advice on investing in, purchasing, selling or otherwise dealing in Securities or investment products including financial planning under the terms and conditions of this Agreement.

3.2 ASL shall provide investment advice on new investment opportunities & restructuring of existing portfolio of Client on a non-exclusive basis for agreed fee, entirely at the Client’s risk.

3.3 The Investment Advisor’s authority over the Client’s investments shall only extend to services as described above. The actual investment decisions shall be undertaken by the Client.

3.4 The Client has the sole discretion to decide on whether to act upon the advice tendered by the Investment Advisor and the Investment Advisor shall have no power, authority, responsibility or obligation to ensure or cause the client to act upon the advice rendered by Investment Advisor pursuant to this agreement.

3.5 The Investment Advisor provides implementation services to the advisory clients in securities market. Provided that the Investment Advisor shall ensure that no consideration, including any commission or referral fees, whether embedded or indirect or otherwise, by whatever name called is received, directly or indirectly, as the case maybe for these services . Also, Investment Advisor shall not charge any implementation fees from the client.

3.5.1 Investment Advisor shall provide implementation services to its advisory clients only through direct schemes/products wherever available, in the securities market.

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3.5.2 The client shall not be under any obligation to avail implementation services offered by the Investment Advisor.

4. Functions of the Investment Advisor:
Functions, obligations, duties and responsibilities of the Investment Advisor (including principal officer and all persons associated with the investment advice) will inter- alia cover,

4.1 The Investment Advisor (including principal officer and all persons associated with the investment advice) shall exercise due care and diligence and act in accordance with standard and prevalent practice in rendering the Services under this Agreement. However, it is understood that investments are made by the client at his/her sole discretion and there can be no assurance with regard to returns or even preservation of capital.

4.2 The Investment Advisor(including principal officer and all persons associated with the investment advice) agrees to handle all information provided by the Client with utmost care and confidentiality in accordance with applicable regulations.

4.3 ASL shall not divulge any confidential information of the client, which has come to its knowledge, without taking prior permission of its client, except where such disclosures are required to be made in compliance with any law or regulations for the time being in force.

4.4 The Investment Advisor (including principal officer and all persons associated with the investment advice) shall at all times be in compliance with the Securities and Exchange Board of India (Investment Advisors) Regulations, 2013 and its amendments, rules, circulars and notifications.

4.5 The Investment Advisor shall be in Compliance with the eligibility criteria as specified under the Investment Advisor Regulations at all times.

4.6 The Investment Advisor (through its principal officer or persons associated with the investment advice) shall conduct Risk assessment procedure of client including client's risk capacity and risk aversion.

4.7 . Reports and Information : The Investment Advisor shall provide reports to the client on potential and current investments either directly by email or by giving access to these reports on its website.
Portfolio statements provided by ASL are merely for reporting performance of the Assets under advice. They do not purport to be statement of holdings since the actual mutual fund holdings are maintained by respective Asset management companies with their registrars. Mutual fund Holdings reported by the said registrars represent the actual holding of clients. Similarly actual equities/securities holdings are maintained by respective companies with the registrars/Depositories. Holdings reported by the said registrars/Depositories represent actual holding of clients.

4.8 Maintenance of records: The Investment Advisor undertakes to maintain and preserve for 5 years, till resolution of dispute if any or as mandated by SEBI, in physical or electronic (digitally signed if requiring signature) format client-wise KYC, risk assessment, analysis reports of investment advice and suitability, agreement with clients incorporating the terms and conditions, related books of accounts and a register containing list of clients along with dated investment advice and its details and rationale in compliance with the Securities and Exchange Board of India (Investment Advisors) Regulations, 2013.

The Investment Advisor shall maintain records of interactions with the client including prospective client, where any conversation related to advice has taken place, in the SEBI prescribed form

Such records shall begin with first interaction with the client and shall continue till the completion of advisory services to the client.

4.9 Audit:

The investment advisor shall maintain on record an annual certificate from its statutory auditor confirming compliance with the client level segregation requirements.

Such annual certificate shall be obtained within 6 months of the end of the financial year and form part of compliance audit described below.

The investment advisor shall comply with the provisions regarding audit as per the Securities and Exchange Board of India (Investment Advisors) Regulations, 2013. The investment advisor shall ensure that annual audit is conducted in respect of compliance of SEBI Regulations. The audit to be completed within 6 months from the end of each financial year.

The adverse findings of the audit, if any, along with action taken thereof duly approved by the management of the Investment Advisor, shall be reported to respective SEBI office (based on the registered address of IA) within a period of one month from the date of the audit report but not later than October 31st of each year for the previous financial year starting with the financial year ending March 31, 2021.

5 REPRESENTATION, WARRANTIES AND DECLARATIONS OF THE CLIENT

The client hereby represents, warrants, declares and undertakes to the Investment Advisor as under:

5.1 The Client has full legal capacity and authorizations to execute this Agreement and it shall form a legal, valid and binding obligation on the Client, enforceable against the Client in accordance with its terms.

5.2 The execution, delivery and performance by the Client of this Agreement and the acts and transactions contemplated hereby do not and will not, with or without the giving of notice of lapse of time or both, violate, conflict with, require any consent under or result in a breach of or default under: a) Any law to which it is subject to; or b) Any order, judgment or decree applicable to it; or c) Any term, condition, covenant, undertaking, agreement or other instrument to which it is a party or by which it is bound.

5.3 The Client has read the Agreement and is aware of all the risks associated with the nature of the Services and the transactions contemplated under the Agreement, whether set out in the Agreement or not, and shall not hold the Investment Advisor and/or any person appointed by it, responsible for the same.

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✍ Signature of Primary Applicant	✍ Signature of Second Applicant	✍ Signature of Third Applicant

5.4 The Investment Advisor shall have the full liberty and absolute discretion to make necessary changes in the Agreement and/or do any act, deed, matter or thing necessary to comply with any law for the time being in force and the Investment Advisor shall not be held liable for the same.

5.5 The Client expressly agrees and undertakes not to hold ASL liable, financially or otherwise, in respect of the aforesaid under any circumstances whatsoever. Investment Advisor shall not be liable for any loss or damage except for gross and willful negligence on part of the Investment Advisor while rendering Advisory Services.

5.6 All disclosures required to be made to the client under Regulation 18 of the SEBI (Investment Advisors) Regulation have been posted by the Investment Advisor on the dedicated Advisory website / web page of ASL. The client confirms having read these disclosures and that the decision to avail the Advisory services of ASL has been taken after due consideration of these disclosures.

5.7 All signatories to this agreement listed out as "Client" jointly agree that all advice will be rendered by ASL to first / sole / primary signatory as their representative

5.8 Client shall provide a declaration with regard to investments under distribution services of any Axis Group company / entity, in the format provided by the Investment Advisor, and client undertakes to provide true and correct information and undertakes to update the Investment Advisor if there is any change in the information provided. The client is fully aware that the Investment Advisor and its Group can either provide Advisory or distribution services to the client. Hence, by signing this agreement the client has opted for advisory services. The client expressly permits ASL to share such personal / confidential information about the client with its other divisions and Group as may be required to comply with the said regulatory requirement by restricting future investments through the distribution mode. ASL and its Group will solely rely on declaration provided by the client and will not be liable for any independent verification of the same. Also, the client undertakes not to apply any distribution code of Axis Group companies in investments made after executing this Agreement.

6 LIMITATION OF LIABILITY OF ASL:

6.1 ASL shall not be under any liability on account of anything done or omitted to be done by it in good faith or anything suffered by the Client in pursuance of any advice given by ASL or action done by ASL under instructions from the client, under the service.

6.2 The Client shall not question any investment advice given/actions of the Investment Advisor and shall keep the Investment Advisor indemnified against any claims that Investment Advisor may suffer by virtue of it acting as the Client's Advisor.
The Investment Advisor shall not incur any liability by reason of any loss, which a client may suffer by reason of any depletion in the value of the assets under advice, which may result by reason of fluctuation in asset value, or by reason of non-performance or underperformance of the securities/funds or any other market conditions.

6.3 This Agreement shall be applicable only to financial advice contained in the financial analysis, investment recommendation individually prepared for the Client and shall not relate to any advice given by any person or persons not specifically designated by the Investment Advisor in writing to perform such services.

6.4 The Investment Advisor is not responsible for the actions, omissions or insolvency of any agent, broker or independent contractor that is chosen by the client to perform any action for the Client's account.

6.5 Investment advisor shall not be held responsible for acts done in good faith.

7 DISCLOSURE OF CONFLICT OF INTEREST :

7.1 The Client also understands that the Investment Advisor may give advice or take action in performing their duties to other clients, or for their own accounts that differs from advice given to or acts taken for the Client. The Investment Advisor is not obligated to buy, sell or recommend for Client any security or other Investment that the Investment Advisor may buy, sell or recommend for any other Client or for its own / Group accounts. This Agreement does not limit or restrict in any way Investment Advisor from buying, selling or trading in any security or other investments for their own accounts, subject to compliance with the Regulations.

7.2 ASL as an investment Advisor may rely on the expertise of third party analysis and software. Also, different products/ offerings of ASL have different objectives, themes and goals and differing investment terms / periods. Hence, the client agrees that there is a possibility of differing views /recommendations on the same stock / security under different Products / offerings subscribed / availed by the client with ASL. This can be driven by different strategies like interim profit booking, Portfolio rebalancing and other such reasons under different Products / offerings.

7.3 ASL and its Group companies also provide distribution and execution / implementation services. The Investment Advisor shall maintain an arm's length relationship between its activities as investment advisor and its other activities by providing advisory services through a separately identifiable department or division.

7.4 The Investment Advisor hereby declares that it will disclose all conflicts of interest as and when they arise and not derive any direct or indirect benefit out of the client's securities/investment products.

8. Investment objective and guidelines:

(a) Types of securities in which investment advice would be provided: The investment advice shall be provided for investment/ disinvestment in equity shares, debt instruments, mutual funds and other securities as defined in this agreement

The investment advisor undertakes to recommend direct implementation of advice i.e. through direct schemes/direct codes, and other client specifications / restrictions on investments, if any.

(b) Particulars regarding financial plan or model or strategy as agreed with the client (based on the risk profiling conducted for the client, total AUA of the client and time period for deployment):

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✍ Signature of Primary Applicant	✍ Signature of Second Applicant	✍ Signature of Third Applicant

A strategy / Portfolio agreed with client based on client's risk profile and investment objectives will be recorded in the investment Policy statement or the risk assessment document / account opening form as the case maybe

(c) Tax related aspects pertaining to investment advice and as applicable on the investment advisor's fee.
The client after taking his/her tax consultant advise may claim the amount of investment advisor's fee as an expense while calculating returns from his investments.

9. Risk Factors:
Standard risks associated with each type of investment in securities and investment products.

9.1. The Client expressly acknowledges and agrees that all investments are subject to third party risks, market risks etc., and in no circumstance shall the Investment Advisor be liable for any losses suffered by the Client as a result of any investment made pursuant to this Agreement.

9.2. The Client is aware of the investment risks and risk factors set out hereunder. The Investment Advisor does not provide any warranty (express or implied) as to the appreciation of the Securities advised. The Investment Advisor shall not be liable in case of depreciation in the value of the Securities advised to the client or any indirect or consequential losses.

9.3. Every Investment Advisor has a particular style of analysing and providing advice. The investment advice is provided on some basic assumptions which may or may not be right due to both internal circumstances relating to the company and external circumstances like monsoon, political developments, international events (terrorism/war/epidemics, etc.).

9.4. Although ASL will aim to achieve the investment objective by providing investment advice, it does not guarantee or otherwise provide assurance that the investment objective will be achieved. All investments involve a degree of risk. The value of investments and the income from them may go down. Past performance is no indicator of future performance and therefore the client may get back less than the amount the client Invested.

9.5. Securities' markets can show large fluctuations in price, even in short periods of time. The Client should be aware of this and only invest in Securities if his /her investment term is long enough to support these price movements.

9.6. Liquidity risk: This risk pertains to the ease at which the portfolio can be liquidated. Investments in shares having good transacted volumes on Exchanges, high market capitalization, etc. addresses this risk.

9.7. Concentration Risk: This pertains to the risk arising out of improper diversification. Concentration of the portfolio into specific sectors only indicates high risk. Any event affecting the specific sector will have a tremendous impact on the concentrated portfolio.

9.8. It is important to note that the capital value of, and income from, any investment may go down as well as up and the client may not get back the full amount invested

9.9. The investments are subject to normal market fluctuations and there can be no assurance that an investment will return its value or that appreciation will occur.

9.10. Liquidity constraints where MF subscriptions and redemptions are not available daily, or where lockups apply, mean that investors are subject to market risk during interim pricing periods and may not be able to access funds on short notice.

9.11. Portfolios with a single sector focus will typically be more volatile than portfolios which invest broadly across markets.

9.12. Smaller Company Risk – Small companies may be less liquid than larger companies and therefore price movements in securities of smaller companies may be more volatile and involve greater risk.

10. Code of Conduct

The investment advisor undertakes to abide by the Code of Conduct as specified in the Third Schedule of the Securities and Exchange Board of India (Investment Advisors) Regulations, 2013.

11. Validity of advisory services: Minimum period if any, and provision for renewal, if any, along with terms and conditions for such renewal.

Minimum period : 1 year (365 days)

Yearly Renewal – This agreement will initially be valid for 1 year and will be auto renewed unless amended or terminated by either party as per the provisions of this agreement. The Investment advisory fees will be charged for amount under advice on renewal.

12. Amendments – The agreement may be amended by mutual written consent of the parties or if so warranted by any regulatory changes.

13. Termination – This Agreement may be terminated under the following circumstances, namely- (a) Voluntary / mandatory termination by the Investment Advisor. (b) Voluntary / mandatory termination by the client. (c) Suspension/Cancellation of registration of Investment Advisor by SEBI. (d) Any other action taken by other regulatory body/ Government authority. In case of a voluntary termination of the agreement, the client would be required to give a 30 days prior written notice while the Investment Advisor would be required to give a 30 days prior written notice. In case of suspension of the certificate of registration of the IA, the client may be provided with the option to terminate the agreement.

The term of this Agreement shall begin on the date of execution hereof and shall continue unless and until the same is terminated in accordance with the terms of this Clause.

13.1 It is agreed that either party to this Agreement can solely or with mutual consent terminate this Agreement without having to assign any reasons, by providing the other party, a thirty (30) days' prior written notice of the same.

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✍ Signature of Primary Applicant	✍ Signature of Second Applicant	✍ Signature of Third Applicant

13.2 Without prejudice to any other remedy available at law or equity, in the event of default by either of the Parties, the non-defaulting Party shall have the right to terminate this Agreement forthwith in the event of the defaulting Party failing to perform or rectify such breach of its obligations under this Agreement within a period of thirty days from the date of notice to rectify such default.

13.3 In the event that the laws or regulation of India at any time be or become such that this Agreement cannot be continued, enforced or performed according to its terms, this agreement may be terminated subject to a reasonable notice period.

13.4 This agreement may also be terminated forthwith

(i) In the event that any Statutory or Government license or permission or registration is withdrawn, cancelled or nullified causing the terms of the Agreement to be inoperative or unenforceable.

(ii) In the event, the account of the Client is attached by the order of any Statutory or Governmental Authority.

(iii) Upon dissolution, bankruptcy, insolvency or liquidation of the Investment Advisor or the client.

13.5 Subject to prior written intimation to the Client, ASL may assign its rights or obligations under this agreement to any other company, person, firm or institution acceptable and approved by SEBI by executing an instrument in writing whereby assignee shall assume the obligations of Investment Advisor hereunder and agree to be bound by the provisions hereof, or to become the successor to the Investment Advisor and thereafter such assignee/ successor may exercise all of the powers and enjoy all of the rights and be subject to all the duties and obligations of the Investment Advisor.

13.6 Notwithstanding anything contained herein, the Investment Advisor reserves the right to terminate this Agreement with immediate effect in case the Client does not pay the fees as required to be paid by it within due date or on violation of the terms of this Agreement.

13.7 Death, permanent disability, of the Client shall result in the termination of the Agreement. However, upon succession, nomination, representation, the beneficiary of the Client may enter into a new agreement with the Investment Advisor on the same or new terms.

13.8 It is further agreed that in the event of termination of this Agreement, the Client shall be liable to pay the fees due till the date of termination of this Agreement on a pro-rata basis.

14. Implications of Amendments and termination: In case of Amendment, Termination and assignment of the agreement, if the Investment Advisor is unable to provide advisory services to the client then the Investment Advisor shall refund pro-rata fees received by the Investment Advisor for the remaining period, In the event of pre-mature termination of the advisory services in terms of agreement, the client shall be refunded the fees for unexpired period. However, RIA may retain a maximum breakage fee of not greater than one quarter fee. The above will also be applicable in case of cessation of the service pursuant to Amendment and assignment of the agreement. In case of termination of the agreement/cessation of service before end of the agreement period, proportionate fees received by the Investment Advisor for the remaining quarters, will be refunded,

15. Completion/termination of investment-in-progress: Since RIA provides only advice, the client has the option to invest or not based on advice and hence in case of termination of agreement it shall not effect any investment-in-progress. All investments for which client has already given instructions to implement shall be executed.

16. Transition support obligations of the Investment Advisor

RIA endeavors to provide all support to the client during Transition. The client can write for any queries/support required to Investment.advisory@axisdirect.in

17. Relationship with related parties: The Investment Advisor declares that it is carrying on its activities independently, at an arms-length basis with its related parties. Some of the related parties / group companies-of the Investment Advisor may be involved in distribution /execution/advisory of securities and financial products.

18. Investment Advisor engaged in other activities:

The Investment Advisor represents that it shall not provide any distribution services, for securities and investment products, either directly or through its group to an advisory client. That it shall not provide investment advisory services, for securities and investment products, either directly or through their group to the distribution client; Provided this may not apply to certain Products / services that are not not under the purview of Advisory services

ASL also provides execution services through a Separately Identifiable Department (SID) the services of which if availed by the Client will be at the sole discretion and express authorization of the client. It is expressly agreed between the parties that it is not mandatory for the customer to opt for the Execution services from ASL. Customers can just take the advice of the Investment Advisor and execute the same with any other intermediary of their choice.

19. Representation to client: The investment advisor shall ensure that it will take all consents and permissions from the client prior to undertaking any actions in relation to the securities or investment product advised by the investment advisor.

20. No right to seek Power of Attorney: The Investment Advisor declares that it shall not seek power of attorney or authorizations from the client for implementation of investment advice.

21. Maintenance of accounts and confidentiality: Investment Advisor shall be responsible for maintenance of client accounts and data as mandated under the Securities and Exchange Board of India (Investment Advisors) Regulations, 2013.

22. Representations and covenants of ASL

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✍ Signature of Primary Applicant	✍ Signature of Second Applicant	✍ Signature of Third Applicant

22.1 The Investment advisor shall ensure that its principal officer, persons associated with the investment advice, shall have necessary qualifications, experience and NISM or equivalent certification and will meet Fit and Proper criteria in terms of the SEBI (Investment Advisor Regulations) 2013

22.2 The Investment Advisor which is a company, is validly and legally existing, and is duly incorporated, under the laws of India.

22.3 it has the relevant authorizations, approvals, registrations as are required to enter into and perform the Services and its other obligations under this Agreement and will at all times maintain any authorizations, approvals, registrations to perform the Services and covenant to maintain them throughout the validity of advisory service.

22.4 The investment Advisor shall abide by all the applicable circulars/notifications/guidelines issued by the applicable regulatory body in India from time to time in respect of this Agreement;

23. Settlement of disputes and provision for arbitration:

The Investment Advisor shall ensure proper and timely handling of complaints from the Client and take appropriate action immediately in accordance with this Agreement.

Dispute resolution mechanism including arbitration shall be as specified under the Securities and Exchange Board of India (Investment Advisors) Regulations, 2013.

24. Adherence to grievance redressal timelines: Investment Advisor shall be responsible to resolve the grievances within the timelines specified under SEBI circulars.

If the client has any complaint with respect to the investment advisory services provided by ASL, he/she shall refer the same in writing to ASL by sending an email to investment.advisory@axisdirect.in. On receipt of the complaint, ASL shall use best efforts to resolve the complaint within 30 days. The client in case not satisfied with the resolution can escalate his complaint to the compliance officer of ASL by writing to compliance.officer@axisdirect.in.In case ASL still is not able to resolve client's complaint to his satisfaction, the client shall have a choice to raise the complaint to the SEBI complaint redressal system through the URL http://scores.gov.in.
In case of any dispute or difference between the Parties hereto, the Parties shall endeavor to resolve the dispute or difference by mutual dialogue within 30 days of the arising of the dispute or difference. If no resolution is reached within 30 days, then the dispute or difference between the Parties shall within 60 days of the non-resolution of the dispute or difference be referred to arbitration in accordance with the Arbitration and Conciliation Act, 1996. The parties shall endeavor to appoint a mutually agreeable arbitrator. In case of non agreement, each Party shall appoint one arbitrator and the two appointed arbitrators shall appoint a third arbitrator who shall act as the presiding arbitrator.The venue for conduct of the arbitration proceedings shall be Mumbai, India and the arbitration shall be in English language. The decision of arbitrator shall be final and binding.

This Agreement shall be governed by the laws of India and the courts at Mumbai shall have exclusive jurisdiction.

Investment Advisory services are are not considered as Exchange-traded products and for any dispute with respect to these services the client would not have access to investor redressal forum or Arbitration mechanism of the Exchange.

25. Severability If any provision of this Agreement shall be held or made invalid by a court decision, statute, rule or otherwise, the remainder of this Agreement shall not be affected thereby

26. Force Majeure. The Investment Advisor shall not be liable for delays or errors occurring by reason of circumstances beyond its control, including but not limited to acts of civil or military authority, national emergencies, work stoppages, fire, flood, catastrophe, acts of God, insurrection, war, riot, or failure of communication or power supply. In the event of equipment breakdowns beyond its control, the Advisor shall take reasonable steps to minimize service interruptions but shall have no liability with respect thereto

27. Miscellaneous. Each party agrees to perform such further actions and execute such further agreements as are necessary to effectuate the purposes hereof

28. OTHER TERMS & CONDITIONS

28.1 ASL shall provide the investment advice to the client depending on the Risk Profile of the Client. However, the final decision of acting on such advice on the investment will be entirely of the Client.

28.2 The risk profile of the client shall be arrived at by obtaining the questionnaire and the Investment Policy statement which will assist in determining the risk capacity of the client.

28.3 ASL cannot confirm or endorse any particular decision made by the client because ASL is not privy to all the other information that effective financial decision making requires.

28.4 The client shall have the option to review, modify or update his/her risk profile assessed through a questionnaire or if there is a change in client's circumstances.

28.5 While providing investment advice that is suitable to client, ASL shall base its advice on the information that the client had provided to it during the

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account opening process or that the client subsequently provides as part of the on-going service. For the purposes of ensuring that the investment advice is suitable to the client, the information ASL holds must be up to date and accurate. The client must therefore notify ASL if there are any changes to the information the client had provided to ASL. Any failure to notify ASL of a change may lead to the provision of unsuitable advice.

28.6 ASL shall have no obligation to verify the information provided by the client during the onboarding process/risk profiling exercise or to ask the client for updates on his personal circumstances except periodically as required under the regulations.

28.7 ASL does not confirm or represent that investment advice provided after assessment of risk profile reflects client's current state of financial capabilities or will predict client's future state of financial capabilities.

28.8 The risk profile of the client shall be arrived at by obtaining the questionnaire from the First/sole/primary signatory which will assist in determining the risk capacity and risk aversion.

28.9 In the event of the Client being a non-resident Indian ("NRI") (as defined in the Foreign Exchange Management Act, 1999) additional Terms & Conditions as given below will be applicable :

(a) The Client warrants and represents that the Client has obtained all relevant exchange control permissions required for the purpose of availing the investment advisory services and transacting in Indian secondary market (including without limitation approvals required from the RBI) and in mutual fund schemes. The Client shall adhere to all requirements of exchange control regulations applicable to the Client in this regard.

(b) In the event of any change in the residential status of the Client, the Client shall forthwith inform ASL of the same.

(c) All communications / intimations by the Client to ASL shall be accompanied by the requisite approvals from RBI and/or any other regulatory authorities.

(d) ASL shall not be liable for any loss caused to the Client as a consequence of any delay in approval of RBI or any other regulatory authority.

(e) The Client shall indemnify ASL for the consequences that ASL may suffer due to any non–compliance by the Client with any regulatory requirements.

(f) Without prejudice to the other provisions contained herein above, in all dealings with the Client, ASL shall be entitled to presume (without being bound to) that the Client has obtained all necessary approvals, pursuant to the applicable exchange control regulations.

29. Terms of fees and billing:

Advisory fees for Amounts under advise will be charged as per Annexure subject to maximum limits specified under the SEBI (investment Advisor) regulations 2013. GST @18% will be applicable on Advisory fees. The fee is subject to change from time to time with prior intimation to the client. The fee is subject to change from time to time with prior intimation to the client. The fees as agreed between the Parties is as described in the Annexure to this Agreement.

"Maximum fees that can be charged under the AUA mode is 2.5 % and under the fixed mode is Rs. 1,25,000. Fee can be charged in either of the modes and any change of mode shall be effected only after 12 months of on boarding/last change of mode. "

Fees can be charged for 2 quarters in advance

Mode of payment of fees: Direct debit to the client bank account or through cheque/fund transfer favouring the Investment advisor

The payment of fees shall be through a mode which shows traceability of funds. Such modes may include account payee crossed cheque/ Demand Drafts or by way of direct credit to the bank accounts through NEFT/ RTGS/ IMPS/ UPI or any other mode specified by SEBI from time to time. However, the fees shall not be accepted in cash.

ASL covenant that it shall receive all considerations by way of fee, remuneration or compensation or in any other form from the client only and not from any person other than the client being advised, in respect of the underlying securities or investment products for which the advice is to be provided.

In case of termination of the agreement, proportionate fees received by the Investment Advisor for the remaining quarters, will be refunded IA may retain a maximum breakage fee of not greater than one quarter fee

30. E-MAIL AND FAX INDEMNITY E-mail Id of the Client as registered with KRA and/or provided in application form or subsequently to ASL shall be used for sending reports to the Client. In case there is any change in the e-mail Id, the Client shall intimate/notify the same in writing to ASL. The client understands that communication sent via Facsimile machines, Internet, email, Diskettes or any other method over public lines is not encrypted, and these transmission methods are therefore not secure means of transmission of information. The client agrees to exempt ASL from any and/or all responsibility of any misuse of communication, and holds ASL harmless for any cost or loss that it may incur due to any error, delay or problem in transmission or otherwise caused by Facsimile machines, Internet, e-mail, Diskettes, or any method over public lines as a means of transmission, not attributable to any act or omission

Primary Authorized Signatory Name	Second Applicant Signatory Name	Third Applicant Signatory Name
✍ Signature of Primary Applicant	✍ Signature of Second Applicant	✍ Signature of Third Applicant

IN WITNESS THEREOF the parties hereto have set their hands to this document on the date, month, year and place written herein:

1. Primary Applicant Name

Signature of Primary Applicant

2. Second Applicant Name

Signature of Second Applicant

3. Third Applicant Name

Signature of Third Applicant

4. Witness Name

Signature of Witness

5. Authorized ASL Person Name

Signature of ASL Person

6. Witness of ASL Name

Signature of Witness of ASL

Place

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ANNEXURE A - MOST IMPORTANT TERMS AND CONDITIONS (MITC)

[Forming part of the Investment Advisory Agreement]

1. The Investment Adviser (IA) shall only accept payments towards its fees for Investment Advisory Services and is not permitted to accept funds or securities in its account on the client's behalf.

2. The IA does not guarantee returns, accuracy, or risk-free investments. All advice is subject to market risks, and there is no assurance of any returns or profits.

3. Any assured/guaranteed/fixed returns schemes or any other schemes of similar natureare prohibited by law. No scheme of this nature shall be offered to the client by the IA.

4. Investment advice, only related to securities shall fall under the purview of SEBI. In case of any services offered by IA related to products/services not under the purview of SEBI, IA shall make disclosure to the client and take appropriate declaration and undertaking from the client that such products/services and the services of IA in respect of such products/services do not come under regulatory purview of SEBI and that no recourse is available to the client with SEBI for grievances related to such products/services or services of IA in respect of such products/services.

5. This agreement is for the investment advisory services provided by the IA and IA cannot execute/carry out any trade (purchase/sell transaction) on behalf of the client without his/her/its specific and positive consent on every trade. Thus, the client is advised not to permit IA to execute any trade on his/her/its behalf without explicit consent.

6. The fee charged by IA to the client will be subject to the maximum of amount prescribed by SEBI/Investment Adviser Administration and Supervisory Body (IAASB) from time to time (applicable only for Individual and HUF Clients).

Note:

(i) The current fee limit under Fixed Fee mode is Rs 1,51,000/- per annum per family of client. Under Assets under Advice (AUA) mode, maximum fee limit is 2.5 per cent of AUA per annum per family of client.
(ii) The IA may change the fee mode at any time with the client's consent; however, the maximum fee limit in such cases shall be higher of fee limit under the fixed fee mode or 2.5 per cent of AUA per annum per family of client.
(iii) The fee limits do not include statutory charges.
(iv) The fee limits apply only for investment advice related to securities under purview of SEBI.
(v) The fee limits do not apply to a non-individual client / accredited investor.

7. IA may charge fees if agreed by the client, IAs may charge fees in advance, however, such advance shall not exceed fees for a period of one year. In case of premature termination of the IA services by the client or the IA, the client shall be entitled to seek refund of proportionate fees only for unexpired period. However, IA is entitled to retain a maximum breakage fee of not greater than one-quarter fee.

8. Fees to IA may be paid by the client through any of the specified modes like cheque, online bank transfer, UPI, etc. Cash payment is not allowed. Optionally the client can make payments through Centralized Fee Collection Mechanism (CeFCoM), managed by BSE Limited (i.e. currently recognized IAASB).

9. The IA is expected to know the client's financial details for providing services. Hence,the client is required to share the financial information (e.g. income, existing investments, liabilities, etc.) with the IA.

10. The IA is required to carry out the client's risk profiling and suitability analysis before providing services and thereafter on an ongoing basis. The services provided will be in line with the assessed risk profile. IA shall also communicate the assessed risk profile to the client.

11. As part of conflict of interest management, the client or the client's family members will not be provided any distribution services by IA or any of its group entity/ family members. IA shall, wherever available, advice direct plans (non-commission based) of products only. The IA shall endeavor to promptly inform the client of any conflict of interest that may affect the services being rendered to the client.

12. For any grievances,
Step 1: The client should first contact the IA using the details on its website or following contact details:
(IA to Provide details as per 'Grievance Redressal / Escalation Matrix')
Step 2 : If the resolution provided by IA is unsatisfactory, the client can lodge grievances through SEBI's SCORES platform at www.scores.sebi.gov.in
Step 3: If the client remains dissatisfied with the outcome of the SCORES complaint, the client may consider the Online Dispute Resolution (ODR) through the Smart ODR portal at https://smartodr.in

13. The SEBI registration, enlistment with IAASB, and NISM certification do not guarantee the performance of IA or assure returns to the client.

14. Clients are required to keep contact details, including email id and mobile number/s updated with the IA at all times.

15. The IA shall never ask for the client's login credentials and OTPs for the client's Trading Account, Demat Account and Bank Account. Never share such information with anyone including IA.

Primary Authorized Signatory Name	Second Applicant Signatory Name	Third Applicant Signatory Name
✍ Signature of Primary Applicant	✍ Signature of Second Applicant	✍ Signature of Third Applicant

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AXIS SECURITIES INVESTMENT ADVISORY FEE CONSENT FORM

Date: D D M M Y Y Y Y

I/We specifically understand and accept the following:

I/We hereby authorize Axis Securities Limited to debit my registered Axis Bank Account for the Investment advisory fees and along with applicable taxes* on quarterly basis.

*Taxes will be levied at the applicable rates in force on all taxable supplies with effect from 1st Oct 2020.

The details of my Axis Bank account for debiting the Investment advisory services fees (all inclusive) are as follows:

Account Holder Name _____

Account Number: _____

Bank Name: _____

Branch Address: _____

Account Type: _____

IFSC Code: _____

MICR No: _____

Account Holder Name _____ Signatureof1stApplicant

Account Holder Name _____ Signatureof 2nd Applicant

Account Holder Name _____ Signatureof 3rd Applicant

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FIXED FEE SCHEDULE

☐ Group level billing ☐ Account level billing

Fixed Fee:

Advisory fees for Amounts under advice will be a fixed fee of Rs. _____annually; GST @18% will be applicable on Advisory fees. The fee is subject to change from time to time with prior intimation to the client.

Yearly Renewal - The Investment advisory fees will be charged for amount under advice on renewal date. The fees will be automatically debited to the client's account on a quarterly basis.

(i) whether payment to be made in advance;
Payment of fees for a maximum of 2 quarters can be in advance;
(ii) type of documents evidencing receipt of payment of fee;
Copy of bank statement evidencing payment and transaction id for fund transfer
(iii) Periodicity of billing with clear date and service period.
Yearly Renewal - The Investment advisory fees will be billed for amount under advise on yearly renewal date. Service period will be yearly. However the fees will be debited to the client's account on quarterly basis.

Notes: Fees should be strictly paid by account payee crossed cheques / demand draft or by way of direct credit into Investment Advisor's bank account through NEFT/ RTGS/IMPS/UPI. However, the fees will not be accepted in cash.
AUA (Assets under Advice) will be identified as total investments done in the RIA (Advisory) code.

☐ I authorize ASL to bill the advisory fee (as applicable) for all the clients in the family to my account and I will be liable to pay their advisory fee. The details of the family members are mentioned below:

S. No.	Applicant & Dependent Family Members Name	Self / Relationship	PAN	Email ID	Signature
1					
2					
3					

Fee Schedule: As mentioned in the Agreement

☐ I authorize ASL to bill the advisory fee (as applicable) to the head of the family for my account. The detail of the account to be billed for the advisory free is mentioned below:

S. No.	Head of the Family Members Name	Relationship	PAN	Email ID	Signature
1					

Fee Schedule: As mentioned in the Agreement

Primary Authorized Signatory Name | Second Applicant Signatory Name | Third Applicant Signatory Name

✍ Signature of Primary Applicant | ✍ Signature of Second Applicant | ✍ Signature of Third Applicant

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AXIS SECURITIES

Debit Mandate Form
(only for Axis Bank customers)

NACH/ECS/AUTO DEBIT MANDATE INSTRUCTION

UMRN _____ Date: D D M M Y Y Y Y

Sponsor Bank Code _____ Utility Code _____

☐ CREATE ☐ MODIFY ☐ CANCEL

I/We hereby authorize _____

☐ SB ☐ CA ☐ CC ☐ SB-NRE ☐ SB-NRO ☐ Other

Bank a/c number _____

with Bank _____

IFSC _____ or MICR _____

an amount of Rupees _____ Rs. _____

FREQUENCY ☐ Mthly ☐ Qtly ☐ H-Yrly ☐ Yrly ☐ As & when presented

Reference 1 (Mandate Reference No.) _____ Phone No. _____

Reference 2 (Unique Client Code-UCC) _____ Email ID _____

I agree for the debit of mandate processing charges by the bank whom I am authorizing to debit my account as per latest schedule of charges of the bank.

PERIOD

From Date: D D M M Y Y Y Y To Date: D D M M Y Y Y Y ☐ Or Until Cancelled

This is to confirm that the declaration has been carefully read, understood & made by me/us. I am authorizing the user entity/ Corporate to debit my account, based on the instructions as agreed and signed by me.

I have understood that I am Authorized to cancel/amend this mandate by appropriately communicating the cancellation / amendment request to the User entity / Corporate or the bank where I have authorized the debit.

Primary Authorized Signatory Name	Second Applicant Signatory Name	Third Applicant Signatory Name
✍ Signature of Primary Applicant	✍ Signature of Second Applicant	✍ Signature of Third Applicant

Instructions to fill NACH Form and Terms and Conditions :
Following fields need to be filled mandatorily:-

1. Date: In format DD/MM/YYYY
2. Bank A/C Type: Tick the relevant box
3. Bank A/C Number: Fill Bank Account Number
4. Bank Name: Fill Name of Bank
5. IFSC/MICR code: Fill respective code
6. Mandate Amount: Mention amount of mandate in word and figure
7. Frequency of mandate - Tick the relevant box
8. Debit Type has been preselected as 'Maximum value' for your convenience
9. Reference 1:Mention Business Partner Number
10. Reference 2: -----
11 Telephone Number (Optional)
12. Email ID : (Optional)
13. Period:Fill From and to period / From Date and tick until cancelled
14. Signature as per bank account
15. Account Holder Name: Mention Account Holder Name as per Bank Record
16. In case of Joint account, all a/c holder's have to sign the form.
17. Bank verification is not required

The following applications will be considered as incomplete and are liable to be Rejected:

1. In case multiple frequencies are selected or not Tick.
2. In case multiple Debit types are selected or not Tick.
3. In case both From and to period and until cancelled has been opted or not mention.
4. In case Account Holder Name not mention on mandate.
5. In case Business Partner Number not mention on mandate.
6. In case details not filled in proper place.
7. In case there is cutting / overwriting on form.

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RISK PROFILER

Select the option the best matches your investment objective (as relevant to the Funds / Assets being considered for investment in this Advisory Product / service)

What is the key purpose / objective of your investment portfolio?	Tick (✓)	Score
• Protect my capital	☐	2
• Primarily protect my capital, but also looking for some growth	☐	4
• Balance between capital protection and portfolio growth	☐	6
• Portfolio growth by taking some risk that may result in fluctuating returns	☐	8
• Maximise portfolio growth by taking considerable risk	☐	10

What would you do if your portfolio starts showing a loss?	Tick (✓)	Score
• Sell the entire / large part of the investments immediately	☐	2
• Wait and watch closely, but sell if the loss is 10% or higher	☐	4
• Continue to hold but would sell if the loss is around 20%	☐	6
• Not be concerned with short term fluctuations, but sell if the loss is 30% or higher	☐	8
• Investment is for the long term, hence I am not worried about fluctuations in the value	☐	10

You are most comfortable with the following risk / return scenario?	Tick (✓)	Score
• Return of 8% and risk of loss of 2%	☐	2
• Return of 12% and risk of loss of 5%	☐	4
• Return of 15% and risk of loss of 10%	☐	6
• Return of 25% and risk of loss of 20%	☐	8
• Return of greater than 25% and risk of loss of more than 20%	☐	10

You generally invest for a period of?	Tick (✓)	Score
• Less than 1 year	☐	2
• 1 - 3 years	☐	4
• 3 - 5 years	☐	6
• 5 - 10 years	☐	8
• > 10 years	☐	10

When it comes to investing in financial products, you consider yourself?	Tick (✓)	Score
• Ignorant	☐	2
• Beginner	☐	4
• Competent	☐	6
• Proficient	☐	8
• Expert	☐	10

Whenever you invest, you generally withdraw a sizeable portion (say 25% to 30% or more) of your funds within?	Tick (✓)	Score
• Less than 1 year	☐	2
• 1 - 3 years	☐	4
• 3 - 5 years	☐	6
• 5 - 10 years	☐	8
• > 10 years	☐	10

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What is the age of the Primary Holder?	Tick (✓)	Score
• 80 and above	☐	4
• Between 66 and 79	☐	6
• Between 51 and 65	☐	8
• Under 50	☐	10

What is your average annual income?	Tick (✓)	Score
• Less than 5 lacs	☐	2
• Between 5 lacs and 10 lacs	☐	4
• Between 10 lacs and 25 lacs	☐	6
• Between 25 lacs and 1 cr.	☐	8
• Above 1 cr.	☐	10

What is your current net worth?	Tick (✓)	Score
• Less than 25 lacs	☐	2
• Between 25 lacs and 50 lacs	☐	4
• Between 50 lacs and 1 cr.	☐	6
• Between 1 cr. and 5 cr.	☐	8
• Above 5 cr.	☐	10

RISK PROFILE AND MEANING

Score Range	Risk Profile	Meaning
Up to 21	Risk Averse	Preservation of capital is the most important objective. You are not willing to take any risk and are comfortable with returns that are commensurate with bank deposits or other highly rated debt instruments
22 – 35	Conservative	You are prepared to take a small amount of short term risk for potential returns that are higher than bank deposits over the medium to long term
36– 50	Balanced	You are looking for moderate capital growth over the long term but are cautious towards taking high levels of risk. However, you are comfortable with short term fluctuations in returns
51 – 65	Growth	You are willing to take significant risk in pursuit of higher long term capital growth, willing to accept high market volatility and fluctuations in returns
66 or more	Aggressive	You are willing to accept high risk for the potential of substantially higher long term capital growth. You may experience wide fluctuations in returns from year to year

Your risk score is _____. Based on your score, your risk profile is determined to be _____.

I/ We agree with the risk profile arrived above

✍ Signature of Primary Applicant

Declaration from client if the client does not agree with the above risk profile and insists on investing in a Portfolio strategy not suitable to the client's risk profile

I/ We understand that the investment in Securities is subject to market risk / volatility and the Portfolio strategy selected by me / us is not suitable for my/our risk profile as derived above. However, I fully understand the risks associated with such investments and I / we am/are willing to take such risk without being under any influence from the Investment Advisor. I / We will be solely responsible for this decision, and will not hold my / our Investment Advisor, Axis Securities liable for any losses incurred by me/ us on following its advice as per the selected Portfolio strategy or on account of market volatility. I therefore want to override my current risk rating to make it _____*.

*Note : Upgrade only to the next risk level is permitted.

✍ Signature of Primary Applicant

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INVESTMENT POLICY STATEMENT (* All fields are mandatory to be filled)

The purpose of this Investment Policy Statement (IPS) is to establish guidelines for the investable assets of _____
The IPS endeavors to cover objectives and times horizons that should govern the management of the investment portfolio, and also outlines the plan of action required to achieve the desired end result.

1. CLIENT INFORMATION

Client Name

Burgundy Private Partner

Details	Category	Category Details
Risk Profile		
Time Horizon		
Investible Corpus		
Target Return Expectation		
Investment Objectives 1. Capital Protection 2. Balanced 3. Portfolio Growth		

Source: Risk Profile duly filled by client on _____

Value of total investments / assets (also including assets that are not part of AUA) _____ (in Rs. lakhs). Asset class -wise details :

Equity _____ (in Rs. Lakhs) Fixed income _____ (in Rs. Lakhs) Others _____ (in Rs. Lakhs)

Value of total borrowings / liabilities _____ (in Rs. Lakhs)

2. KEY RESPONSIBILITIES & ROLES

Axis Securities Ltd/IA Name acts as a fiduciary in its capacity as advisor to _____ and acknowledges that all advice and Decisions rendered must reflect first and foremost the best interests of its clients. Axis Securities/IA also affirms its compliance as a firm with the SEBI (Investment Advisors) Regulations 2013.

3. ASSET ALLOCATION

Strategic Asset Allocation - The strategic asset allocation would be as detailed below

Asset Class	Percentage
Fixed Income	
Equity	
Alternative Investments	

Tactical Asset Allocation: Based on the overweight/underweight house view on markets, we may recommend increasing/decreasing equity or debt allocation tactically from the strategic allocation in the range of +/- 20%.

4. BENCHMARKING

Asset Class	Index Details
Liquid	CRISIL Liquid Index
Fixed Income	CRISIL Blended or Composite Index
Equity	Nifty 50 TRI
Alternate Funds	Blended Index as per strategy
Real Estate	As per strategy
Overall Portfolio	Blended or Weighted Index

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Primary Authorized Signatory Name	Second Applicant Signatory Name	Third Applicant Signatory Name
✍ Signature of Primary Applicant	✍ Signature of Second Applicant	✍ Signature of Third Applicant

5. CASH FLOW REQUIREMENTS

Client has stated that currently Rs. _____ is needed on a _____ (monthly/quarterly/semiannually or yearly) basis.

6. PORTFOLIO LIQUIDITY

At least _____ % of the portfolio investments should be made into assets which can be liquidated within 7 working days (although there may be tax and/or exit load implications due to redemptions from these investments). No more than _____ % of the portfolio can be invested into good quality Equity & Debt instruments/portfolios with a stipulated lock-in period. This limit will be evaluated at the time of investment into a particular product.Tax Free Bonds and Fixed Deposits will not be considered close-ended as these can be liquidated in the secondary market / or be prematurely withdrawn.

7. GUIDELINE FOR ALLOCATION STRATEGY WISE

Equity

Sub Asset Class	Investment Vehicle	Percentage
Passive Return Strategies	ETFs/Index Funds	
Active Strategies	MFs	
Managed Strategies	PMS/AIF	
Others	Direct Equity	

Debt

Sub Asset Class	Investment Vehicle	Percentage
Accrual Strategies	FMPs, Tax-Free Bonds, Low Duration Short-Term Funds, Roll-Down Maturity Funds, Market Linked Debentures, Corporate Bonds, Credit Risk and Medium Duration Bond Funds	
Duration Strategies	Income Funds, GILT Funds, Dynamic Bond Funds	
Cash	Arbitrage, overnight, Liquid, Ultra short term Funds, Money Market Funds	
Others	REIT/ Invit	

8. RISK MEASURES

Equity

Parameter	Guideline
Single Stock Exposure	To be maintained below 10%
Single Fund House	To be maintained below 20%
Single Scheme Limit	To be maintained below 5% of scheme AUM and no.of schemes to be maintained below 10
Single Scheme Exposure	To be maintained below 20%
Market Cap Exposure	Large Cap: Mid Cap: Small Cap:
Offshore Funds	To be maintained below___%
Unlisted securities	To be maintained at 20% of equity AUM
Corpus	Schemes in MF to be minimum of Rs. 200 crs Schemes in Managed Strategies to be a minimum of Rs. 100 crs

1. Market cap will be as defined by SEBI (Top 100 – Large Cap, 101-250 are Mid Cap and 251+ are small cap)
2.No pre-defined cap on sectors. Top 15 sectors will be monitored and tracked
3.NFOs to be an exception from the AUM requirement

Primary Authorized Signatory Name	Second Applicant Signatory Name	Third Applicant Signatory Name
✍ Signature of Primary Applicant	✍ Signature of Second Applicant	✍ Signature of Third Applicant

Debt

Parameter	Guideline
Credit Rating	SOV/AAA - AA+/AA/AA- A+ & Below -
Single Fund House	To be maintained below 20%
Single Scheme Limit	To be maintained below 5% of scheme AUM and no.of schemes to be maintained below 10
Single Scheme Expsoure	To be maintained below 20%
Modified Duration	Not Exceed ___ years
No. of fund manager	To be maintained below 10 FM names
Corpus	Schemes in MF to be minimum of Rs. 200 crs Schemes in Managed Strategies to be a minimum of Rs. 100 crs

1. Short Term Rating will be as per the mapping to long term rating

2. While calculating modified duration tax-free bonds, FMPs, Fixed Deposits, MLDs and other assets which are held to maturity are excluded

3. Corpus restriction for liquid will be maintained at a minimum of Rs. 1000 crs

Other Risk Guidelines for all assets

1. Absolute AIF to be maintained below 20% of total allocation
2. Structured Real Estate to be maintained below 5%
3. For managed portfolio minimum stocks per strategy to be 10

9. REVIEW FREQUENCY AND DEVIATION SIGN OFFS

Frequency:Axis Securities/IA is responsible for monitoring the investing requirements as well as monitoring investment issues, and is responsible for suggesting changes to the IPS as necessary. Review of the IPS will happenevery quarter.
Deviation Approval: Any deviation to the pre set limits will need a prior sign off from the client before execution

10. REPORTING

Portfolio Review Document: To be shared monthly with the client. The document will contain the below details –

- Portfolio holding summary
- Asset class wise performance
- Transaction history for the month
- Gain and Loss statement

Outlook Report: Will be shared on a quarterly basis with the client. This will contain Axis view on markets and overall strategy for the coming quarters

For _____ (client name)

Primary Authorized Signatory Name	Second Applicant Signatory Name	Third Applicant Signatory Name
✍ Signature of Primary Applicant	✍ Signature of Second Applicant	✍ Signature of Third Applicant

Date: D D M M Y Y Y Y

This IPS is valid until revised document is submitted by client

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Account Opening Form - Individual

Family Account ID | | | | | | | | | | | | | | (Required only if you hold an existing Family Account)

Family Name: _____

Family Owner Name: _____

Owner PAN: | | | | | | | | | | |

✍ Owner Signature

1. A/C HOLDER DETAILS

1st Holder Name: | | | FIRST NAME | | MIDDLE NAME | | LAST NAME | | |

2nd Holder Name: | | | FIRST NAME | | MIDDLE NAME | | LAST NAME | | |

3rd Holder Name: | | | FIRST NAME | | MIDDLE NAME | | LAST NAME | | |

2. MODE OF HOLDING (Please tick) ☐ Single ☐ Joint ☐ Anyone or Survivor (Default)

3. BANK A/C details for linking with Investment Adivisory Account

Name of Bank: _____ Bank Account No: | | | | | | | | | | | | | | | | |

Type of Account: | | | | | | | | Cust ID*: | | | | | | | | | | | | | | | | MICR Code: | | | | | | | | | |

IFSC Code: | | | | | | | | | | | Branch Address: _____

Note Customer ID for Axis Bank customer is mandatory

4. DEMAT ACCOUNT DETAILS

Name of DP: _____ Depository (NSDL/CDSL): _____

DP ID | | | | | | | | | Beneficiary ID: | | | | | | | | |

5. GUARDIAN DETAILS (where Sole Holder is a Minor)

[For account of a Minor, two KYC Application Forms must be filled i.e. one for the Guardian and another for the Minor (to be signed by Guardian)]

Guardian Name: _____

Guardian PAN: | | | | | | | | | | |

Relationship of Guardian with Minor _____

Primary Authorized Signatory Name	Second Applicant Signatory Name	Third Applicant Signatory Name
✍ Signature of Primary Applicant	✍ Signature of Second Applicant	✍ Signature of Third Applicant

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SELF-CERTIFICATION FOR INDIVIDUAL - FATCA/CRS DECLARATION FORM

Name of the Client _____

Date of Birth D D M M Y Y Y Y

FATCA/CRS Declaration Form

Part I- Please fill in the country for each of the following:

1 Country of

a) Birth _____

b) Citizenship _____

c) Residence for Tax Purposes _____

2 US Person (Yes / No) _____

Part II- Please note:

a. If in all fields above, the country mentioned by you is India and if you do not have US person status, please proceed to Part III for signature.

b. if for any of the above field, the country mentioned by you is not India and/or if your US person status is Yes, please provide the Tax Payer Identification Number (TIN) or functional equivalent as issued in the specific country in the table below:

i) TIN _____

Country of Issue _____

ii) TIN _____

Country of Issue _____

iii) TIN _____

Country of Issue _____

a. In case any of the parameters in Part I indicates that you are a US person or a person resident outside of India for tax purpose and you do not have Taxpayer Identification Numbers/functional equivalent, please complete and sign the Self-Certification section given in Part IV.

b. In case you are declaring US person status as 'No' but your Country of Birth is US, please provide document evidencing Relinquishment of Citizenship. If not available provide reasons for not having relinquishment certificate

_____

Please also fill Part IV Self-Certification.

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Part III- Customer Declaration (Applicable for all customers)

(i) Under penalty of perjury, I/we certify that:

1. The applicant is (i) an applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S., (ii) an estate the income of which is subject to U.S. federal income tax regardless of the source thereof. (This clause is applicable only if the account holder is identified as a US person)
2. The applicant is an applicant taxable as a tax resident under the laws of country outside India. (This clause is applicable only if the account holder Is a tax resident outside of India)

(ii) I/We understand that the Axis Securities Limited is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. The Axis Securities Limited is not able to offer any tax advice on CRS or FATCA or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.

(iii) I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.

(iv) I/We agree that as may be required by domestic regulators/tax authorities the Axis Securities Limited may also be required to report, reportable details to CBDT or close or suspend my account.

(v) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

(vi) I/We permit/authorise Axis Securities Limited to collect, store, communicate and process information relating to the Account and all transactions therein, by Axis Securities Limited and any of its affiliates wherever situated including sharing, transfer and disclosure between them and to the authorities in and/or outside India of any confidential information for compliance with any law or regulation whether domestic or foreign.

(vii) I / We hereby accept and acknowledge that Axis Securities Limited shall have the right and authority to carry out investigations from the information available in public domain for confirming the information provided by me / us to Axis Securities Limited.

(viii) I/We shall indemnify Axis Securities Limited for any loss that may arise to Axis Securities Limited on account of providing incorrect or incomplete information.

Name : _____

✍ Signature

Date D D M M Y Y Y Y

Part IV- Self-Certification:

To be filled only if-

(a) Name of the country in Part I is other than India and TIN or functional equivalent is not available, or

(b) US person is mentioned as Yes in Part I, and TIN is not available

I confirm that I am neither a US person nor a resident for Tax purpose in any country other than India, though one or more parameters suggest my relation with the country outside India. Therefore, I am providing the following document as proof of my citizenship and residency in India.

✍ Signature

Document Proof submitted (Pls tick document being submitted)

☐ Passport ☐ Election Id Card ☐ PAN Card

☐ Driving License ☐ UIDAI Letter ☐ NREGA Job Card

☐ Govt. Issued ID Card

Note: Axis Securities Limited will update FATCA/CRS details in all relevant accounts maintained by you according to this document.

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APPLICATION FORM – PRIMARY APPLICANT

KNOW YOUR CLIENT (KYC)

(Please fill the form in ENGLISH and in BLOCK LETTERS)

A) IDENTITY DETAILS

1. Name of the Applicant

2. Father's / Husband's Name

3. a. Gender ☐ Male ☐ Female ☐ Transgender 3 b. Marital status ☐ Single ☐ Married

3. c. Date of Birth D D M M Y Y Y Y

4. a. Nationality ☐ Indian ☐ Other (Please specify) _____

4. b. Status ☐ Resident Individual ☐ Non-Resident ☐ Foreign National ☐ Minor

5. a. PAN 5 b. Aadhar Number, if any X X X X X X X X

6. Specify the proof of the Identity submitted ☐ Pan Card ☐ Any Others (Please specify) _____

1st Applicant Signature

B) OCCUPATION & INCOME (PLEASE TICK)

☐ Private Sector ☐ Public Sector ☐ Govt. Service ☐ Business Professional ☐ Agriculturist

☐ Retired ☐ House-Wife ☐ Student ☐ Other

Income per annum: Rs. ☐ <25 ☐ 25 - 50 ☐ 50 - 100 ☐ >100

Net worth is Rs. _____ As on _____ . (Should not be older than 1 year)

C) ADDRESS DETAILS

1. Correspondence Address

City / Town / Village PIN Code

State Country

2. Specify the Proof of address submitted for Correspondence Address: _____

3. Contact Details:

Mobile No. Belongs to ☐ Self ☐ Spouse ☐ Dependent Parent ☐ Dependent Child ☐ Dependent Siblings ☐ Guardian

Email ID Belongs to ☐ Self ☐ Spouse ☐ Dependent Parent ☐ Dependent Child ☐ Dependent Siblings ☐ Guardian

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

City / Town / Village PIN Code

State Country

5. Specify the Proof of address submitted for Residence / Permanent Address: _____

D) OTHER DETAILS

a) Are you a politically exposed person (PEP): ☐ Yes ☐ No

b) Are you related to any PEP: ☐ Yes ☐ No

c) I have already done my KYC KRA registration/documentation through a SEBI registrered intermediary ☐ Yes ☐ No

E) GUARDIAN DETAILS (where Sole Holder is a Minor)

[For account of a Minor, two KYC Application Forms must be filled i.e. one for the Guardian and another for the Minor (to be signed by Guardian)]

Guardian Name: _____

Guardian PAN:

Relationship of Guardian with Minor _____

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E) PROOF OF IDENTITY AND ADDRESS*

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A- Passport Number _____ Date of Issuance DD/MM/YYYY Date of Expiry DD/MM/YYYY
- ☐ B-Voter ID Card _____
- ☐ C-Driving Licence _____ Date of Expiry DD/MM/YYYY
- ☐ D-NREGA Job Card _____
- ☐ E-National Population Register Letter
- ☐ F-Proof of Possession of Aadhaar XXXXXXXX
- II ☐ E-KYC Authentication XXXXXXXX
- III ☐ Offline verification of Aadhaar XXXXXXXX

Address

Line 1* _____

Line 2* _____

Line 3* _____ City / Town / Village* _____

District* _____ Pin/Post Code* _____

CUSTOMER DECLARATION FOR PRIMARY APPLICANT

F) 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 I/we understand that as an SEBI Registered Intermediary, Axis Securities Limited is required to upload / submit my / our KYC details along with a copy of my / our Aadhar Card and other documents to KRA / CERSAI. I / we herewith give our consent to the Axis Securities Limited to upload / submit my / our Aadhar Card and other documents along with required details to KRA / CERSAII am/we are also aware that for Aadhar OVD based KYC, my KYC request shall be validated against Aadhar details. I/We hereby consent to sharing my/our masked Aadhar card with readable QR code or my Aadhar XML/Digi Locker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.

Date: DD MM YYYY Place: _____ ✍ Signature of the Primary 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

Date: DD MM YYYY ✍ Signature of the Authorized signatory Seal / Stamp of the Branch

V.1.4 12/11/25

APPLICATION FORM – JOINT HOLDER 1

KNOW YOUR CLIENT (KYC)

(Please fill the form in ENGLISH and in BLOCK LETTERS)

A) IDENTITY DETAILS

1. Name of the Applicant

2. Father's / Husband's Name

3. a. Gender ☐ Male ☐ Female ☐ Transgender 3 b. Marital status ☐ Single ☐ Married

Joint Applicant Signature

3. c. Date of Birth D D M M Y Y Y Y

4. a. Nationality ☐ Indian ☐ Other (Please specify) _____

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

5. a. PAN 5 b. Aadhar Number, if any X X X X X X X X

6. Specify the proof of the Identity submitted ☐ Pan Card ☐ Any Others (Please specify) _____

B) OCCUPATION & INCOME (PLEASE TICK)

☐ Private Sector ☐ Public Sector ☐ Govt. Service ☐ Business Professional ☐ Agriculturist

☐ Retired ☐ House-Wife ☐ Student ☐ Other

Income per annum: Rs. ☐ <25 ☐ 25 - 50 ☐ 50 - 100 ☐ >100

Net worth is Rs. _____ As on _____ . (Should not be older than 1 year)

C) ADDRESS DETAILS

1. Correspondence Address

City / Town / Village PIN Code

State Country

2. Specify the Proof of address submitted for Correspondence Address: _____

3. Contact Details:

Mobile No. Belongs to ☐ Self ☐ Spouse ☐ Dependent Parent ☐ Dependent Child ☐ Dependent Siblings ☐ Guardian

Email ID _____ Belongs to ☐ Self ☐ Spouse ☐ Dependent Parent ☐ Dependent Child ☐ Dependent Siblings ☐ Guardian

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

City / Town / Village PIN Code

State Country

5. Specify the Proof of address submitted for Residence / Permanent Address: _____

D) OTHER DETAILS

a) Are you a politically exposed person (PEP): ☐ Yes ☐ No

b) Are you related to any PEP: ☐ Yes ☐ No

c) I have already done my KYC KRA registration/documentation through a SEBI registrered intermediary ☐ Yes ☐ No

E) PROOF OF IDENTITY AND ADDRESS*

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A- Passport Number _____ Date of Issuance DD/MM/YYYY Date of Expiry DD/MM/YYYY
- ☐ B-Voter ID Card _____
- ☐ C-Driving Licence _____ Date of Expiry DD/MM/YYYY
- ☐ D-NREGA Job Card _____
- ☐ E-National Population Register Letter | | | | | | | | | | | | | | | | | | |
- ☐ F-Proof of Possession of Aadhaar | X | X | X | X | X | X | X | X | | | | |

II ☐ E-KYC Authentication | X | X | X | X | X | X | X | X | | | | |

III ☐ Offline verification of Aadhaar | X | X | X | X | X | X | X | X | | | | |

Address

Line 1* _____

Line 2* _____

Line 3* _____ City / Town / Village* _____

District* _____ Pin/Post Code* _____

Axis Securities Limited Investment Advisor Reg No. INA000000615, The certificate of registration granted under Investment Advisory Regulation 9 shall be valid until it is suspended or cancelled by the Board. Reg Address: Axis Securities Ltd, Unit 002, Building - A, Agastya Corporate Park, Piramal Realty, Kamani Junction, Kurla West, Mumbai - 400 070. Principal Officer - Mr. Rahul Bijlani Email – compliance@axissecurities.in,
Tel No. – 022-42274649, SEBI office addresses- https://www.sebi.gov.in/contact-us.html.

CUSTOMER DECLARATION FOR PRIMARY JOINT APPLICANT

G) 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 I/we understand that as an SEBI Registered Intermediary, Axis Securities Limited is required to upload / submit my / our KYC details along with a copy of my / our Aadhar Card and other documents to KRA / CERSAI. I / we herewith give our consent to the Axis Securities Limited to upload / submit my / our Aadhar Card and other documents along with required details to KRA / CERSAII am/we are also aware that for Aadhar OVD based KYC, my KYC request shall be validated against Aadhar details. I/We hereby consent to sharing my/our masked Aadhar card with readable QR code or my Aadhar XML/Digi Locker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.

Date: D D M M Y Y Y Y Place: _____ ✍ Joint Applicant Signature

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

Date: D D M M Y Y Y Y ✍ Signature of the Authorized signatory Seal / Stamp of the Branch

ADDITIONAL INFORMATION FOR JOINT APPLICANT / GUARDIAN

FATCA – CRS DECLARATION

☐ I am a tax resident of India and 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 ☐ Communication ☐ Permanent ☐ Please note the address below

Date: D D M M Y Y Y Y Place: _____

To also include USA, where the individual is 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 requirement 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. My personal /KYC details may be shared with Central KYC Registry. I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address

Declaration: I do hereby solemnly declare that the information provided above is up to date and correct and I hereby submit my recent photograph and self-attested photocopy of the KYC documents.

Date: D D M M Y Y Y Y Place: _____ ✍ Signature of Joint Applicant

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APPLICATION FORM – JOINT HOLDER 2

KNOW YOUR CLIENT (KYC)

(Please fill the form in ENGLISH and in BLOCK LETTERS)

A) IDENTITY DETAILS

1. Name of the Applicant

2. Father's / Husband's Name

3. a. Gender ☐ Male ☐ Female ☐ Transgender 3 b. Marital status ☐ Single ☐ Married

Joint Applicant Signature

3. c. Date of Birth D D M M Y Y Y Y

4. a. Nationality ☐ Indian ☐ Other (Please specify) _____

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

5. a. PAN 5 b. Aadhar Number, if any X X X X X X X X

6. Specify the proof of the Identity submitted ☐ Pan Card ☐ Any Others (Please specify) _____

B) OCCUPATION & INCOME (PLEASE TICK)

☐ Private Sector ☐ Public Sector ☐ Govt. Service ☐ Business Professional ☐ Agriculturist

☐ Retired ☐ House-Wife ☐ Student ☐ Other

Income per annum: Rs. ☐ <25 ☐ 25 - 50 ☐ 50 - 100 ☐ >100

Net worth is Rs. _____ As on _____ . (Should not be older than 1 year)

C) ADDRESS DETAILS

1. Correspondence Address

City / Town / Village PIN Code

State Country

2. Specify the Proof of address submitted for Correspondence Address: _____

3. Contact Details:

Mobile No. Belongs to ☐ Self ☐ Spouse ☐ Dependent Parent ☐ Dependent Child ☐ Dependent Siblings ☐ Guardian

Email ID _____ Belongs to ☐ Self ☐ Spouse ☐ Dependent Parent ☐ Dependent Child ☐ Dependent Siblings ☐ Guardian

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

City / Town / Village PIN Code

State Country

5. Specify the Proof of address submitted for Residence / Permanent Address: _____

D) OTHER DETAILS

a) Are you a politically exposed person (PEP): ☐ Yes ☐ No

b) Are you related to any PEP: ☐ Yes ☐ No

c) I have already done my KYC KRA registration/documentation through a SEBI registrered intermediary ☐ Yes ☐ No

V1.4 12/11/25

Axis Securities Limited Investment Advisor Reg No. INA000000615, The certificate of registration granted under Investment Advisory Regulation 9 shall be valid until it is suspended or cancelled by the Board. Reg Address: Axis Securities Ltd, Unit 002, Building - A, Agastya Corporate Park, Piramal Realty, Kamani Junction, Kurla West, Mumbai - 400 070. Principal Officer - Mr. Rahul Bijlani Email – compliance@axissecurities.in, Tel No. – 022-42274649, SEBI office addresses- https://www.sebi.gov.in/contact-us.html.

E) PROOF OF IDENTITY AND ADDRESS*

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A- Passport Number _____ Date of Issuance DD/MM/YYYY Date of Expiry DD/MM/YYYY
- ☐ B-Voter ID Card _____
- ☐ C-Driving Licence _____ Date of Expiry DD/MM/YYYY
- ☐ D-NREGA Job Card _____
- ☐ E-National Population Register Letter
- ☐ F-Proof of Possession of Aadhaar XXXXXXXX
- II ☐ E-KYC Authentication XXXXXXXX
- III ☐ Offline verification of Aadhaar XXXXXXXX

Address

Line 1* _____

Line 2* _____

Line 3* _____ City / Town / Village* _____

District* _____ Pin/Post Code* _____

Axis Securities Limited Investment Advisor Reg No. INA000000615, The certificate of registration granted under Investment Advisory Regulation 9 shall be valid until it is suspended or cancelled by the Board. Reg Address: Axis Securities Ltd, Unit 002, Building - A, Agastya Corporate Park, Piramal Realty, Kamani Junction, Kurla West, Mumbai - 400 070. Principal Officer - Mr. Rahul Bijlani Email – compliance@axissecurities.in,
Tel No. – 022-42274649, SEBI office addresses- https://www.sebi.gov.in/contact-us.html.

CUSTOMER DECLARATION FOR PRIMARY JOINT APPLICANT

G) 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 I/we understand that as an SEBI Registered Intermediary, Axis Securities Limited is required to upload / submit my / our KYC details along with a copy of my / our Aadhar Card and other documents to KRA / CERSAI. I / we herewith give our consent to the Axis Securities Limited to upload / submit my / our Aadhar Card and other documents along with required details to KRA / CERSAII am/we are also aware that for Aadhar OVD based KYC, my KYC request shall be validated against Aadhar details. I/We hereby consent to sharing my/our masked Aadhar card with readable QR code or my Aadhar XML/Digi Locker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.

Date: D D M M Y Y Y Y Place: _____ ✍ Signature of thEe Joint 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

Date: D D M M Y Y Y Y ✍ Signature of the Authorized signatory Seal / Stamp of the Branch

ADDITIONAL INFORMATION FOR JOINT APPLICANT / GUARDIAN

FATCA – CRS DECLARATION

☐ I am a tax resident of India and 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 ☐ Communication ☐ Permanent ☐ Please note the address below

Date: D D M M Y Y Y Y Place: _____

To also include USA, where the individual is 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 requirement 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. My personal /KYC details may be shared with Central KYC Registry. I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address

Declaration: I do hereby solemnly declare that the information provided above is up to date and correct and I hereby submit my recent photograph and self-attested photocopy of the KYC documents.

Date: D D M M Y Y Y Y Place: _____ ✍ Signature of Joint Applicant

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NOMINATION FORM

☐ Opt out for nomination

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our MF Folio/ 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 MF Folio / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the MF Folio / demat account.

☐ Opt in for nomination

I/We do hereby nominate the undermentioned Nominee(s) to receive the Units allotted to my/our credit in my/our folio in the event of my/our death. I/We also understand that all payments and settlements made to such Nominee(s) and Signature of the Nominee(s) acknowledging receipt thereof, shall be valid discharge by Axis Securities Ltd.

1. Name of 1st nominee

2. Name of parent / legal guardian (in case of minor)

3. Date of Birth D D M M Y Y Y Y 4. PAN

5. Relationship with primary applicant

6. Percentage of Investment Allocation % ✍ Specimen Signature of Nominee / Guardian

7. Driving License 8. Aadhar Card X X X X X X X X

9. Address of first nominee / legal guardian

City / Town / Village

PIN Code State Country

Mobile Email ID

1. Name of 2nd nominee

2. Name of parent / legal guardian (in case of minor)

3. Date of Birth D D M M Y Y Y Y 4. PAN

5. Relationship with primary applicant

6. Percentage of Investment Allocation % ✍ Specimen Signature of Nominee / Guardian

7. Driving License 8. Aadhar Card X X X X X X X X

9. Address of first nominee / legal guardian

City / Town / Village

PIN Code State Country

Mobile Email ID

The total percentage of investment allocation (across all Nominee/s) can not exceed 100%

Name of First Holder

Date: D D M M Y Y Y Y ✍ Signature of First Holder

Name of Second Holder

Date: D D M M Y Y Y Y ✍ Signature of Second Holder

Name of Third Holder

Date: D D M M Y Y Y Y ✍ Signature of Third Holder

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1. Name of 3rd nominee

2. Name of parent / legal guardian (in case of minor)

3. Date of Birth D D M M Y Y Y Y 4. PAN

5. Relationship with primary applicant

6. Percentage of Investment Allocation %

Specimen Signature of Nominee / Guardian

7. Driving License 8. Aadhar Card X X X X X X X X

9. Address of first nominee / legal guardian

City / Town / Village

PIN Code State Country

Mobile Email ID

1. Name of 4th nominee

2. Name of parent / legal guardian (in case of minor)

3. Date of Birth D D M M Y Y Y Y 4. PAN

5. Relationship with primary applicant

6. Percentage of Investment Allocation %

Specimen Signature of Nominee / Guardian

7. Driving License 8. Aadhar Card X X X X X X X X

9. Address of first nominee / legal guardian

City / Town / Village

PIN Code State Country

Mobile Email ID

1. Name of 5th nominee

2. Name of parent / legal guardian (in case of minor)

3. Date of Birth D D M M Y Y Y Y 4. PAN

5. Relationship with primary applicant

6. Percentage of Investment Allocation %

Specimen Signature of Nominee / Guardian

7. Driving License 8. Aadhar Card X X X X X X X X

9. Address of first nominee / legal guardian

City / Town / Village

PIN Code State Country

Mobile Email ID

The total percentage of investment allocation (across all Nominee/s) can not exceed 100%

Name of First Holder

Date: D D M M Y Y Y Y

Signature of First Holder

Name of Second Holder

Date: D D M M Y Y Y Y

Signature of Second Holder

Name of Third Holder

Date: D D M M Y Y Y Y

Signature of Third Holder

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1. Name of 6th nominee

2. Name of parent / legal guardian (in case of minor)

3. Date of Birth D D M M Y Y Y Y 4. PAN

5. Relationship with primary applicant

6. Percentage of Investment Allocation %

Specimen Signature of Nominee / Guardian

7. Driving License 8. Aadhar Card X X X X X X X X

9. Address of first nominee / legal guardian

City / Town / Village

PIN Code State Country

Mobile Email ID

1. Name of 7th nominee

2. Name of parent / legal guardian (in case of minor)

3. Date of Birth D D M M Y Y Y Y 4. PAN

5. Relationship with primary applicant

6. Percentage of Investment Allocation %

Specimen Signature of Nominee / Guardian

7. Driving License 8. Aadhar Card X X X X X X X X

9. Address of first nominee / legal guardian

City / Town / Village

PIN Code State Country

Mobile Email ID

1. Name of 8th nominee

2. Name of parent / legal guardian (in case of minor)

3. Date of Birth D D M M Y Y Y Y 4. PAN

5. Relationship with primary applicant

6. Percentage of Investment Allocation %

Specimen Signature of Nominee / Guardian

7. Driving License 8. Aadhar Card X X X X X X X X

9. Address of first nominee / legal guardian

City / Town / Village

PIN Code State Country

Mobile Email ID

The total percentage of investment allocation (across all Nominee/s) can not exceed 100%

Name of First Holder

Date: D D M M Y Y Y Y

Signature of First Holder

Name of Second Holder

Date: D D M M Y Y Y Y

Signature of Second Holder

Name of Third Holder

Date: D D M M Y Y Y Y

Signature of Third Holder

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1. Name of 9th nominee

2. Name of parent / legal guardian (in case of minor)

3. Date of Birth D D M M Y Y Y Y 4. PAN

5. Relationship with primary applicant

6. Percentage of Investment Allocation %

Specimen Signature of Nominee / Guardian

7. Driving License 8. Aadhar Card X X X X X X X X

9. Address of first nominee / legal guardian

City / Town / Village

PIN Code State Country

Mobile Email ID

1. Name of 10th nominee

2. Name of parent / legal guardian (in case of minor)

3. Date of Birth D D M M Y Y Y Y 4. PAN

5. Relationship with primary applicant

6. Percentage of Investment Allocation %

Specimen Signature of Nominee / Guardian

7. Driving License 8. Aadhar Card X X X X X X X X

9. Address of first nominee / legal guardian

City / Town / Village

PIN Code State Country

Mobile Email ID

The total percentage of investment allocation (across all Nominee/s) can not exceed 100%

Name of First Holder

Date: D D M M Y Y Y Y

Signature of First Holder

Name of Second Holder

Date: D D M M Y Y Y Y

Signature of Second Holder

Name of Third Holder

Date: D D M M Y Y Y Y

Signature of Third Holder

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INSTRUCTIONS FOR FILLING NOMINATION FORM

1. The nomination can be made only by individuals applying for/holding units on their own behalf singly or jointly. Non-individuals including society, trust, body corporate, partnership firm, karta of Hindu undivided family, holder of Power of Attorney cannot nominate. If the units are held jointly, all joint holders will sign the nomination form.

2. Minor(s) can be nominated and in that event, the name, address and signature of the guardian of the minor nominee(s) shall be provided by the unitholder. Nomination can also be in favour of the Central Government, State Government, a local authority, any person designated by virtue of his office or a religious or charitable trust.

3. The Nominee shall not be a trust, other than a religious or charitable 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.

4. Nomination in respect of the units stands rescinded upon the transfer of units.

5. Nomination can be made for maximum number of three nominees. In case of multiple nominees, the percentage of allocation/share in favour of each of the nominees should be indicated against their name and such allocation/share should be in whole numbers without any decimals making a total of 100 percent. In the event of the Unitholders not indicating the percentage of allocation / share for each of the nominees, respective Asset Management Company Limited (AMC), by invoking default option shal settle the claim equally amongst all the nominees.

6. Transfer of units in favour of Nominee(s) shall be valid discharge by the AMC against the legal heir.

7. The cancellation of nomination can be made only by those individuals who hold units on their own behalf singly or jointly and who made the original nomination.

8. On cancellation of the nomination, the nomination shall stand rescinded and the AMC shall not be under any obligation to transfer the units in favour of the Nominee(s).

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