

Axis Securities Limited,
Aurum Q Parc, Q2 Building, Unit No. 1001, 10th Floor,
Level – 6, Plot No. 4/1 TTC, Thane - Belapur Road,
Ghansoli, Navi Mumbai, Pin Code – 400710

Date:

Account Number

DP ID Client ID

Account holder's details

Account Holder Indicator	Name of Joint Account Holder(s)	Tick against the holder(s) who has/have deceased
First Holder		<input type="checkbox"/>
Second Holder		<input type="checkbox"/>
Third Holder		<input type="checkbox"/>

Self-attested copy of death certificate of the deceased holder or subject to verification with the original or Original death certificate or copy of the death certificate duly attested by a notary public or by a gazetted officer or death certificate downloaded from the online portal of Government carrying digital/facsimile signature of the issuing authority.

Declaration:

I/We, the undersigned, being the surviving holder(s) in the joint account, hereby request you to delete the name of the deceased account holder(s) and continue to maintain the account in the sole or joint surviving names in the same order.

I/We confirm that ASL/NSDL will not be held liable for any impact on the pending requests related to i.e. demat / remat / conversion / re-conversion / repurchase / tender-offer etc. due to deletion of the name and monitoring of all such pending requests, if any will be done by us.

(Please tick anyone)

- ☐ I/We confirm that there are no changes in the residential address(es), mobile number(s), email address(es), bank account details, annual income, and nominee(s) of the surviving holder(s).

Or

- ☐ I/We inform that there are changes in the residential address(es), mobile number(s), email address(es), bank account detail(s), annual income and nominee(s) of the surviving holder(s) and I/We wish to update such changes in the demat account at the time of processing transmission requests. #

Participants are advised to collect the required information as per the extant norms of SEBI/NSDL.

Or

- ☐ I/We inform that there are changes in the residential address(es), mobile number(s), email address(es), bank account details, annual income, and nominee(s) of the surviving holder(s). The updated information will be provided as per the extant guidelines of SEBI/NSDL after the transmission of securities.

(Please tick if applicable) -

- ☐ Pursuant to the name deletion of the deceased holder(s), the joint account becomes a Sole/single-holding account, and the choice of nomination was not provided earlier, I request ASL to update the choice of nomination ☐ nomination or ☐ opt out of nomination as per the enclosed request form

Signature of surviving joint holder(s)

Sr.No.	Name of the Surviving Joint Holder(s)	Signature
1		
2		

DEMISE REPORTING

To,
Axis Securities Ltd.
Aurum Q Parc, Q2 Building, Unit No. 1001, 10th Floor,
Level – 6, Plot No. 4/1 TTC, Thane - Belapur Road, Ghansoli,
Navi Mumbai, Pin Code – 400710.

Date:

Dear Sir/Madam,

Sub.: Intimation of demise information.

Ref.: PAN Client ID Deceased date of birth


I/We regret to inform you about the demise (Name of the deceased person) _____
having the above PAN / Account, where I/We is/are the joint holder(s) / registered nominee(s) in the accounts maintained with your organisation / entity. Original downloaded / self-attested copy of the Death Certificate is attached for your kind action. I/We am/are enclosing the self-attested PAN copy of claimant or any other valid ID proof for necessary validation.


Please let us know the procedure and documentation requirements to transmit the units in my/our favour. Also, note my/our contact details for necessary communication / contacts in this regard and not for updation in KYC records or in any of the accounts.


Details

Legal Heir / Joint Holder / Nominee	
Name	
PAN	
Mobile	
Email	
Address	
Relationship with Deceased holder	

I/We acknowledge and confirm that the information provided above is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/We may be liable for it for any fines or consequences as required under the respective statutory requirements. I/We hereby authorize you to disclose, share, rely, remit in any form, mode, or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to any of the KYC Registration Agency(ies) for necessary action.

 Joint Holder1 / Nominee1

 Joint Holder2 / Nominee2

 Nominee3

Encl.: Death certificate – Original downloaded or self-attested copy. PAN or other ID proof of Deceased person – by the claimant.
Self-attested PAN card copy(ies) or any other valid ID proof.

Form Type



KRA001

APPLICATION FORM – FOR INDIVIDUAL
KNOW YOUR CLIENT (KYC)

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

A) IDENTITY DETAILS

- Name of the Applicant
- Father's / Husband's Name
- a. Gender ☐ Male ☐ Female ☐ Transgender
 3 b. Marital status ☐ Single ☐ Married
- c. Date of Birth
- a. Nationality ☐ Indian ☐ Other (Please specify)
 4 b. Status ☐ Resident Individual ☐ Non-Resident ☐ Foreign National
- a. PAN
 5 b. Aadhaar Number, if any
- Specify the proof of the Identity submitted ☐ Pan Card ☐ Any Others (Please specify)

1st Holder Signature

B) OCCUPATION & INCOME (PLEASE TICK)

- ☐ Private Sector ☐ Public Sector ☐ Govt. Service ☐ Business ☐ Professional ☐ Agriculturist
☐ Retired ☐ House-Wife ☐ Student ☐ Other
- Income per annum: Rs. ☐ <1 Lac ☐ 1 to 5 Lac ☐ 5 to 10 Lac ☐ 10 to 25 Lac ☐ More than 25 Lac As on _____ OR
 Net worth is Rs. _____ As on _____. (Should not be older than 1 year)

C) ADDRESS DETAILS

- Residence / Correspondence Address ☐ Correspondence Address ☐ Residence Address
 City / Town / Village
 State
 Country
 PIN Code
- Specify the Proof of address submitted for Residence / Correspondence Address:
- Contact Details:
 Tel (Off)
 Tel. (Res.)
 Mobile No.
 Fax No.
 Email ID
- Permanent Address (If different from above, Mandatory for Non-Resident Applicant to specify overseas address)
 City / Town / Village
 State
 Country
 PIN Code

#Mobile No is "Other than Self" Please select following details.
☐ Self ☐ Spouse ☐ Dependent Parent ☐ Dependent children
 #Email ID is "Other than Self" Please select following details.
☐ Self ☐ Spouse ☐ Dependent Parent ☐ Dependent children

D) 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 Aadhaar Card and other documents to KRA / CERSAI. I / we herewith give our consent to the Axis Securities Limited to upload / submit my / our Aadhaar Card and other documents along with required details to KRA / CERSAI am/we are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar 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:

Place: _____

Signature of the Applicant

OFFICE USE ONLY
☐ Originals verified and Self-Attested Document copies received

☐ In-Person-Verification (IPV) Done:

a. Name of the Person

b. Designation

c. Name of Organisation

Date:

Signature of the authorised signatory

Seal / Stamp of the Branch

Form Type



KRA001

**APPLICATION FORM – FOR INDIVIDUAL
KNOW YOUR CLIENT (KYC)**

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

A) IDENTITY DETAILS

- Name of the Applicant
- Father's / Husband's Name
- a. Gender ☐ Male ☐ Female ☐ Transgender 3 b. Marital status ☐ Single ☐ Married
- c. Date of Birth DD MM YYYY
- a. Nationality ☐ Indian ☐ Other (Please specify)
- b. Status ☐ Resident Individual ☐ Non-Resident ☐ Foreign National
- a. PAN 5 b. Aadhaar Number, if any
- Specify the proof of the Identity submitted ☐ Pan Card ☐ Any Others (Please specify)

1st Holder Signature

B) OCCUPATION & INCOME (PLEASE TICK)

- ☐ Private Sector ☐ Public Sector ☐ Govt. Service ☐ Business ☐ Professional ☐ Agriculturist
☐ Retired ☐ House-Wife ☐ Student ☐ Other
 Income per annum: Rs. ☐ <1 Lac ☐ 1 to 5 Lac ☐ 5 to 10 Lac ☐ 10 to 25 Lac ☐ More than 25 Lac As on OR
 Net worth is Rs. As on . (Should not be older than 1 year)

C) ADDRESS DETAILS

- Residence / Correspondence Address ☐ Correspondence Address ☐ Residence Address
- Specify the Proof of address submitted for Residence / Correspondence Address:
- Contact Details:

Tel (Off) Tel. (Res.)
 Mobile No. Fax No.
 Email ID

#Mobile No is "Other than Self" Please select following details.
☐ Self ☐ Spouse ☐ Dependent Parent ☐ Dependent children
 #Email ID is "Other than Self" Please select following details.
☐ Self ☐ Spouse ☐ Dependent Parent ☐ Dependent children
- Permanent Address (If different from above, Mandatory for Non-Resident Applicant to specify overseas address)

D) 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 Aadhaar Card and other documents to KRA / CERSAI. I / we herewith give our consent to the Axis Securities Limited to upload / submit my / our Aadhaar Card and other documents along with required details to KRA / CERSAI am/we are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar 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 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 authorised signatory

Seal / Stamp of the Branch

Account Details Addition/Modification Request Form (Trading/Demat A/c)

CDSL DP ID

1	2	0	4	9	2	0	0	-											
---	---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--	--	--

 NSDL DP ID

I	N	3	0	4	2	9	5	-											
---	---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--	--	--

Date:

DD		
----	--	--

MM		
----	--	--

YYYY				
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PAN

--	--	--	--	--	--	--	--	--	--

TRADING Code

--	--	--	--	--	--	--	--	--	--

Dear Sir/Madam,

I/We request you to update the following addition/modification in my/our all Trading Account/s (Primary & Sub accounts - if any) & Demat Accounts (opened with same holding pattern - Sole/ Joint or being managed by the same set of Authorised signatory/ies - in case of non-individual account).

Please fill all the details in BLOCK LETTER in english & fill separate request for NSDL & CDSL (Please mark on the appropriate column)

FATCA Declaration: I/we confirm that my/ our Country of Birth/Nationality/ Citizenship/ Tax Residency/ Address/ Telephone No./ Address of POA or Mandate holder is of India ☐ Yes ☐ No

(If answer to your question is 'No', then please submit FATCA Declaration separately for each holder.)

PART A - ADDRESS & CONTACT DETAILS Please fill and submit the KRA KYC form separately

☐ Correspondence ☐ Permanent / Registered ☐ Both (Use separate forms if correspondence and permanent address are different)

Address

Landmark

 City

PIN*

 State

 Country

Mobile

 Belongs to ☐ Self ☐ Spouse ☐ Dependent Parent ☐ Dependent Children

Email Id

Belongs to ☐ Self ☐ Spouse ☐ Dependent Parent ☐ Dependent Children

PART B - OTHER DEATILS

OCCUPATION AND INCOME DETAILS

Occupation:

☐ Private Sector ☐ Public Sector ☐ Govt. Service ☐ Business ☐ Professional ☐ Agriculturist
☐ Retired ☐ House-Wife ☐ Student ☐ Other

Income per annum (in Rs):

☐ <1 Lac ☐ 1 to 5 Lac ☐ 5 to 10 Lac ☐ 10 to 25 Lac ☐ 25 Lac to 1 Crore ☐ Above 1 Crore

Networth: (in Rs.)

 as on date

 (Networth should not be older than 1 year)

Note: If your account is enabled for F&O segment then any one proof of income / financial is mandatory. (Plesae refer checklist)

BANK MODIFICATION ☐ Trading ☐ Demat [☐ Charge Bank Account ☐ Dividend Account#] ☐ For all

☐ Default Bank A/c for Funds credit (If not indicated, in case of Axis Bank - account shall be considered as default bank account for Crediting the funds, for other Banks - account shall be linked as an additional bank accounts)

Bank Name & Branch Address

Bank A/c No.

 A/c Type

MICR No

 IFSC Code

Demat Bank details for Dividend account (If different from above)

Bank Name & Branch Address

Bank A/c No.

 A/c Type

MICR No

 IFSC Code

DEMAT MODIFICATION (TRADING ACCOUNT)

☐ Default for Payout ☐ Additional non-default account

(If not indicated, newly added demat a/c will be considered as default demat a/c for securities payout)

DP Name

DP ID

Demat Account Number

☐ Link ☐ De-link

☐ Link ☐ De-link

Declaration: I/We hereby confirm that the information provided above is true and correct to the best of my/our knowledge and belief. I/We understand that if any of the information is found to be false, misleading, or misrepresented, I/We may be held responsible for it. I/We also agree to inform Axis Securities Limited within 7 days in case any information on this form changes or becomes incorrect. I/We have also reviewed and agreed to the terms and conditions outlined on page 2 In case of email/ mobile updation, I /We hereby give consent to receive all communication from Axis Securities Limited on the above email / mobile number.

Name

Name

Name

 First /Sole Holder /Authorised Signatory

 Second Holder Signature

 Third Holder Signature

Annexure – I : Documents Required

- Supporting documents (applicable as per below matrix) must be
 - attested by Sole/all Joint Holders/ Authorized signatories as per mode of operations – For Non-Individual accounts
 - duly certified as 'Verified with Original' by Branch Official under branch stamp (with his/her Full Signature mentioning Name, Designation and Employee code)
- Trading Account Holder must be Sole/ First holder in Bank/ Demat Account to be linked with Trading Account
- If multiple bank accounts are available but not specified, the Axis Bank account will be considered the default for crediting funds. Accounts with other banks will be linked as additional bank accounts
- If multiple demat accounts are available but not specified, the newly added demat account will be considered the default for securities payout
- The modification request form (alongwith applicable supporting documents) are required to be dispatched/ submitted to :

Axis Securities Limited, Operations Department

Aurum Q Parc, Q2 Building, Unit No. 1001, 10th Floor, Level – 6, Plot No. 4/1 TTC, Thane - Belapur Road, Ghansoli, Navi Mumbai, Pin Code – 400710.

A) Common Documents:

- Application Form Duly Filled and signed by All Holders/ Authorized signatories as per mode of operations – For Non-Individual accounts
- Proof of Identity (Of Sole Holder or either of Holders Visiting the Branch and with Identifiable Photograph)- Copy of any of the following documents
 - 1) PAN Card
 - 2) UIDAI (Unique Identification Authority of India)- Aadhaar Card
 - 3) Passport, which is valid
 - 4) Voter ID Card
 - 5) Driving License which is valid

C) Additional Documents: Addition of Bank Details

- Proof of Bank Account (In the name of Sole/First Holder)- Copy of any of the following documents consisting MICR details:
 - 1) Personalized Cancelled Cheque Leaf
 - 2) Bank Statement/ Passbook (with transaction not older than three month)
 - 3) Branch MICR confirmation letter with the bank details
- If you wish to give Bank Mandate Letter (BML) for your Axis Bank Account, BML needs to be signed by the client and all joint holders in bank account to be linked with trading account.

B) Additional Documents: Change of Address

- KRA-KYC Form
- Proof of New Address – Copy of any of the following documents
 - 1) UIDAI (Unique Identification Authority of India)- Aadhaar Card
 - 2) Valid Passport
 - 3) Valid Driving License
 - 4) Voter ID
 - 5) NREGA

D) Additional Documents: Addition of Demat Details with Trading Account

- Proof of Demat Account (In the name of Sole/First Holder)- Copy of Client Master List (CML) / Holding Statement duly attested by issuing Depository
- Demat Debit and Pledge Instruction (DDPI) - Duly executed on non-judicial stamp paper of Rs. 500/- or with franking of equivalent amount & signed by Client & all Joint holders in Demat account to be linked with the Trading Account.
- SMS Alert Facility must be enabled in New Demat Account to be linked with Trading Account (Separate Request for enabling SMS Alert facility needs to be obtained if already not activated)

E) Financial income proof for Derivatives / F&O segment clients: (Any one)

- 1) Copy of ITR Acknowledgement (*Gross annual income exceeding INR 2,00,000*)
- 2) In case of salary income Salary Slip, Copy of Form 16 (*Minimum INR 18,000 gross monthly salary*)
- 3) Copy of demat account holding statement (*Minimum value of Free Balance ISIN of INR 50,000*)
- 4) Any other relevant documents substantiating ownership of asset (*Income of more than INR 2,00,000*)
- 5) Copy of Annual Accounts Net worth certificate (*Income of more than INR 5,00,000*)
- 6) Bank account statement for last 6 months (*Minimum credit of more than INR 10,000 in a month*)
- 7) Self declaration with relevant supporting documents (*Income of more than INR 2,00,000*)

Terms and conditions related to FATCA declaration.

I/We understand that 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.

- 1) I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
- 2) I/We agree that as may be required by domestic regulators/tax authorities, Axis Securities Limited may also be required to report reportable details to CDBT or close or suspend my account.
- 3) 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.
- 4) 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.
- 5) 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.

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

Form Type



DN001

FORM FOR NOMINATION

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

Nomination Registration No. _____

Date: DD MM YYYY

NSDL ☐ CDSL ☐ (Please select any one)

Trading ID _____

NSDL DP ID 1 N 3 0 4 2 9 5

CDSL DP ID 1 2 0 4 9 2 0 0

Demat Client ID _____

NOMINATION OPTION

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

- ☐ I / We hereby nominate the following person(s) who shall receive all the assets held in my/ our account/ folio in the event of my/ our demise, as trustee and on behalf of my/ our legal heir(s)*
- ☐ I / We hereby confirm that I / we do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.

NOMINATION DETAILS

Nomination can be made upto three nominees in the account.

		Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
1	Name of the nominee(s) (Mr./Ms./Others)			
	First Name			
	Middle Name			
	Last Name			
2	Share of each Nominee			
A)	For NSDL	Equally <input type="checkbox"/> [If not equally, please specify percentage]	%	%
		Any odd lot after division shall be transferred to the first nominee mentioned in the form.		
B)	For CDSL	Percentage of allocation of securities		
		Residual Securities (please tick any one nominee. If tick not marked default will be first nominee):		
Note: Residual securities in case of multiple nominees, please choose any one nominee who will be credited with residual securities remaining after distributing of securities as per percentage of allocation. If you fail to choose one such nominee, then the first nominee will be marked as nominee entitled for residual shares, if any.				
3	Relationship with the applicant			
4	Address of Nominee(s)			
	City:			
	State:			
	Pin:			
	Country:			
5	Mobile/Telephone No. of nominee(s)			
6	Email ID of nominee(s)			
7	<input type="checkbox"/> PAN			
	<input type="checkbox"/> Aadhaar / UID (Last 4 Digits)			
	<input type="checkbox"/> Driving License			
	<input type="checkbox"/> Passport			
8	Date of Birth	DD MM YYYY	DD MM YYYY	DD MM YYYY
	Age			
Sr. Nos.9 should be filled mandatorily if nominee(s) is a minor:				
9	Name of Guardian (Mr./Ms./Others)			
	First Name			
	Middle Name			
	Last Name			

10	Address of Guardian(s)		
	City:		
	State:		
	Pin:		
	Country:		
11	Mobile/Telephone No. of Guardian		
12	Email ID of Guardian		
13	Relationship of Guardian with nominee		
14	Guardian Identification details:		
	<input type="checkbox"/> PAN		
	<input type="checkbox"/> Aadhaar / UID (Last 4 Digits)		
	<input type="checkbox"/> Driving License		
	<input type="checkbox"/> Passport		

I/We want the details of my/ our nominee to be printed in the statement of holding, provided to me/ us by the AMC/ DP as follows:
(please tick, as appropriate)

☐ Name of nominee(s) ☐ Nomination: Yes/No

Name & Signature of Account Holder(s)	Sole/1st Holder	2nd Holder	3rd Holder
Name(s) of holder (s)			
Signature(s) of holder (s)	Signature of 1st Holder	Signature of 2nd Holder	Signature of 3rd Holder
Details of Witness for Nomination	Witness 1		Witness 2
Name of the Witness			
Address of Witness			
Signature of Witness			
Place :	Date		

Notes:

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