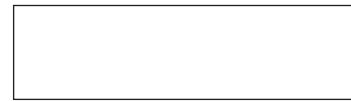




Form Type



KRA001



**APPLICATION FORM - FOR INDIVIDUAL  
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

4. a. Nationality  Indian  Other (Please specify) \_\_\_\_\_

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

5. a. PAN

5 b. Aadhaar Number, if any

6. Specify the proof of 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    OR

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

**C) ADDRESS DETAILS**

1. Residence / Correspondence Address  Correspondence Address  Residence Address

City / Town / Village  PIN Code

State  Country

2. Specify the Proof of address submitted for Residence / Correspondence Address: \_\_\_\_\_

3. Contact Details: Tel (Off.)  Tel. (Res.)

Mobile No.  Fax No.

Email ID

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

City / Town / Village  PIN Code

State  Country

**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 hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address. I 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/Digilocker 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


**CUSTOMER DECLARATION**
**A) 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 registered intermediary  Yes  No
- d) I wish to receive  Physical Contract Note /  Electronic Contract Note (Default) Mention Email same as mentioned in KYC Form
- e) I wish to avail the facility of internet trading 'wireless technology':  Yes  No
- f) Details of past actions/proceedings initiated/pending/taken by SEBI/stock exchange/any other authority against the applicant/constituent or its Partner/promoter/whole time directors/authorised person in charge of dealing in securities during last 3 years  Yes  No

If Yes: Provide Details: \_\_\_\_\_

- g) Number of years of investment / trading / commodity market experience \_\_\_\_\_ Any other Information \_\_\_\_\_
- h) I wish to nominate  (Please fill up attached nomination form)  I do not wish to nominate

**Below Declaration is applicable for Demat Account only:**

- i) Mode of receiving Demat Account Statement and Annual Report:  Electronic  Both (Physical & Electronic)  
Account statement frequency:  As per SEBI Regulation  Daily  Weekly  Fortnightly  Monthly
- j) I/We request you to send electronic transaction cum holding statement at the email ID  Yes  No
- k) Share the email ID with RTA  Yes  No
- l) DP account to be operated through Power of Attorney  Yes  No
- m) I/we authorize you to receive credit automatically into my A/c  Yes  No
- n) I/we want to receive the Delivery Instruction Slip booklet (DIS)  Yes  No (If not indicated, will be treated as 'No')
- o) I/we hereby authorize you to use my/our bank A/c (as per details mentioned in Bank and demat details in Section 4& 5 (Demat & Trading Account opening form) for dividend purpose, recovery of Demat related charges and linking to my Axis Securities Trading A/c. Please treat this authorization as irrevocable till further instruction from my/our side is received in writing & duly acknowledged by you
- p) I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my or our end. (If not marked the default option would be "No")  Yes  No
- q) I/We hereby state:  I do not have GST Number  I have GST Number as \_\_\_\_\_ Name of State \_\_\_\_\_
- r) SMS alert facility(Mandatory if POA is given) Mobile Number: +91
- s) I wish to avail the TRUST (Transaction Using Secured Texting) facility using the mobile number registered for SMS alert facility. I have read and understood the T&C prescribed by CDSL for the same  Yes  No
- t) Mode of Operation for Demat account (Mandatory in case of Joint Demat account holders)  Jointly  Anyone of the holder or survivor
- u) Communications to be sent to (Mandatory in case of Joint Demat account holders)  First holder  All joint account holders
- To register for easi, please visit website [www.cdslindia.com](http://www.cdslindia.com) (Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online)

**B) DEALING THROUGH AUTHORISED PERSON**

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

**C) DECLARATION**

I/We hereby declare that the details furnished above are true and correct to the best of my / our knowledge and belief and I/We undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am / we are aware that I/We may be held liable for it. I/we confirm having read / been explained and understood the contents of the document on policy and procedures of the Stock Broker and the tariff sheet. I/we further confirm having read and understood the contents of Part B of the Account opening form comprising of Rights and Obligations of the Beneficial Owner and Depository Participant, Rights and Obligations of Stock Brokers, Sub Brokers & Clients, Rights and Obligations of Margin Trading, Risk Disclosure document, Investor Charter, Policy & Procedures, Guidance Note, Additional Terms and Conditions & Schedule of Charges. I / we do hereby agree to be bound by such provisions as outlined in these documents. I/We acknowledge the receipt of copy of above Part B document. I/We have also been informed that the standard set of documents has been displayed for information on [www.axisdirect.in](http://www.axisdirect.in). The Rules and Regulations of the Depository and Depository Participant, pertaining to an account which are in force now, have been read by me/us and I/We have understood the same and I/We agree to abide by and to be bound by the rules as are in force from time to time for such account.

My personal details / KYC details may be shared with Central KYC Registry

I hereby consent to receiving information from Central KYC Registry through SMS / Email on the registered number/Email address

**D) TARIFF SHEET**

Plan Code	Account Opening Charges (With GST 18%)	Complimentary Delivery Turnover (CDT) *	Special Brokerage rate Validity Period	Value Added Services
Prosperity/Fixed Brokerage Plan	Rs. 999/-	Nil	NA	NA
AP1500	Rs. 1770/-	Rs.300000/-	6 months	NA
NN5555	Rs. 6555/-	Rs.1200000/-	12 months	Direct Trade Terminal#
DSP10000	Rs. 11800/-	Rs.2500000/-	12 months	Direct Trade Terminal#
Axis Direct Freedom Plan	Nil	NA	Lifetime	20% MTF Discount


Plan Code	Cash / Emargin Product (Each Leg)	Intraday / Cover Product (Each Leg)	Future (Each Leg)	Option (Each Lot/Leg)
Prosperity/Fixed Brokerage Plan	0.50%	0.05%	0.05%	<input checked="" type="checkbox"/> Rs. 10/-
AP1500	0.35%	0.035%	0.035%	<input checked="" type="checkbox"/> Rs. 10/-
NN5555	0.20%	0.02%	0.02%	<input checked="" type="checkbox"/> Rs. 10/-
DSP10000	0.10%	0.01%	0.01%	<input checked="" type="checkbox"/> Rs. 10/-
Axis Direct Freedom Plan	0.40%	0.04%	0.04%	<input checked="" type="checkbox"/> Rs. 10/-


\*Turnover= Buy + Sell transactions. # Free for 6 months


**Terms & Conditions:**

1. Brokerage will be charged as per applicable rate subject to a minimum of Rs.25/- per executed order for RI & Non Individual & Rs. 50/- per executed order for NRI and a maximum of 2.5%. In case the minimum brokerage calculated comes to more than 2.5%, then the amount that will be charged as a brokerage will be limited to 2.5%. For securities quoting upto Rs. 10.00 per share, Brokerage will be charged at Rs. 0.03 per share, subject to minimum of Rs. 25/- per executed order and a maximum of Rs. 0.25 per share. In case the minimum brokerage calculated comes to more than Rs. 0.25 per share, then the amount that will be charged as brokerage will be limited to Rs. 0.25 per share.
2. In case of CDT, minimum brokerage of 1 paise per share shall be charged till the complimentary delivery turnover limit, subject to utilization up to plan validity period.
3. Please refer page no 8 & Part B for other terms & conditions

Date \_\_\_\_\_ Place \_\_\_\_\_

 1st Holder Signature

 2nd Holder Signature

 3rd Holder Signature

**E) INTRODUCER DETAILS (OPTIONAL)**

Name of the Introducer: \_\_\_\_\_ SURNAME \_\_\_\_\_ NAME \_\_\_\_\_ MIDDLE NAME \_\_\_\_\_

Address of Introducer: \_\_\_\_\_ Phone No.:

Status of the Introducer: \_\_\_\_\_

Sub-broker/Remisier/Authorized Person/ Existing Client/ Others, \_\_\_\_\_  
 Signature of the Introducer

Please specify \_\_\_\_\_

**OFFICE USE ONLY**

Bank SOL ID: \_\_\_\_\_ LG Code: \_\_\_\_\_ LC Code: \_\_\_\_\_ Lead ID: \_\_\_\_\_

UCC code allotted to the client \_\_\_\_\_

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

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

Date:

 Signature of Authorised Signatory (ASL)

Seal/Stamp of the Stock Broker (ASL)

## BANK MANDATE IN FAVOR OF AXIS SECURITIES LIMITED (THIS DOCUMENT IS VOLUNTARY)

To,  
Axis Bank Limited

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

Dear Sir / Madam,

I / We hold the below mentioned account with Axis Bank Limited.

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

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

Particulars	Bank Account	Trading Account	Demat Account
Application No.			
CRN			
Account Number			
Bank Account Type			
Name of First / Sole Holder			
Name of Second Holder			
Name of Third Holder			

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

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

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

 Sole / 1st Holder

2nd Holder in Bank A/c.

**BANK MANDATE IN FAVOR OF AXIS SECURITIES LIMITED (THIS DOCUMENT IS VOLUNTARY)**

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

I / We declare that,

- a. the decision of Axis Securities Limited, towards my / our obligations or liabilities or commitments shall be final and binding upon me / us and any demand made on the Bank by Axis Securities Limited shall be conclusive as regards the amount due and payable by me / us.
- b. I / We shall not have any demur, protest or contestation and without any reference to me / us pay to Axis Securities Limited such sum as may be demanded by Axis Securities Limited.
- c. I / We agree that Axis Bank execute instructions received through Axis Securities Limited in any form and manner as agreed between Axis Securities Limited and Axis Bank Limited from time to time including but not limited to Net banking, Payment Gateway, Phone Banking, Electronic mails, Fascimile or in any form. Further Bank is entitled to transfer funds in any from and manner including but not limited to by way of debit/credit of my/our said bank account(s), and issue pay-orders/demand drafts/bankers cheques, wire transfer etc. from my/our account to honour all instructions given by Axis Securities Limited as aforesaid to its client / settlement bank account/s as updated on its website [www.simplehai.axisdirect.in](http://www.simplehai.axisdirect.in) from time to time.
- d. any disputes arising out of transactions between us and Axis Securities Limited shall be resolved between us mutually and that I shall not raise it with Axis Bank Limited and shall not send any contrary instructions to Axis Bank Limited with respect to the bank account.
- e. I / We agree, that if in any case funds cannot be transferred to Axis Securities Limited toward my / our any obligation/s, may it be before or after the blocking of funds by Axis Securities Limited, I / We shall be responsible for any action including penalty levied by Exchanges / Clearing Corporation / any other authority.
- f. I / We understand that the said Mandate can be revoked by us by submitting a written revocation request, upon ensuring that the there are no open positions in my / our account with Axis Securities Limited and the debit or any other obligation in my / our account with Axis Securities Limited is cleared. I / We understand that the Mandate Holder shall not act subsequent to receipt of the intimation of such revocation. I / We also understand that, such revocation shall not be applicable for any outstanding settlement / margin obligation arising out of the transactions carried out prior to receiving request for revocation of Mandate.
- g. all terms and conditions as applicable to the bank account with Axis Securities Limited shall continue to be applicable

Thanking you,  
Signature

(1<sup>st</sup> / Sole Holder)

(2<sup>nd</sup> Sole Holder)

(3<sup>rd</sup> Holder)

(In case of joint bank account, signature of all holders is mandatory)

Name: \_\_\_\_\_

Name: \_\_\_\_\_

Name: \_\_\_\_\_

**ANNEXURE - A**

The execution of this document by the client is voluntary. However in case the client wish to avail of the online trading services with the linkage of Broking and Demat account, then execution of this document by the client is required in order to facilitate seamless and hassle free trading and settlement of transactions.

**NON-MANDATORY DOCUMENT**

**DEMAT DEBIT AND PLEDGE INSTRUCTION** (THIS DOCUMENT IS VOLUNTARY)

I / We hold or in the process of opening Demat account with Axis Securities Limited (ASL), a depository participant (DP) Registered with SEBI (the "DP").

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

<b>Application No.</b>	<b>DEMAT ACCOUNT DETAILS</b> <input type="checkbox"/> NSDL-IN304295 <input type="checkbox"/> CDSL-12049200
	<b>Client ID :</b> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

I / We understand that the price fluctuation in the securities market is dynamic and as an investor / trader in the securities market, I / We are required to ensure that I / We maintain required margin/s and to honor settlement obligation/s arising out of my / our transaction in securities market.

I / We understand that DDPI is voluntary, however, for the purpose of facilitating my / our securities transaction through my above mentioned Axis Securities Limited account and to avail seamless trading experience operational convenience, I / We Voluntarily request Axis Securities Limited to give effect to this DDPI.

I / We declare that,

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

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

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

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

Place : \_\_\_\_\_

Date:

The execution of this document by the client is voluntary. However in case the client wish to avail of the online trading services with the linkage of Broking, bank and demat account, then execution of this document by the client is required in order to facilitate seamless and hassle free trading and settlement of transactions.

### TERMS AND CONDITIONS (THIS DOCUMENT IS VOLUNTARY)

1. The Client shall maintain such Margin as may be stipulated by Axis Securities Limited (ASL) from time to time. In case the Client does not provide the required Margin within the time frame stipulated by ASL, then ASL shall take such other action as it may think fit and proper. ASL may require the Client to pay additional Margin immediately in case of high volatility. 2. The Client undertakes to monitor the adequacy of the collateral and the market value of such collateral on a continuous basis. 3. ASL as risk containment measure shall have the discretion to square off/sell all or some of the client positions/collaterals/securities, without any notice to the client. 4. The Client is responsible for all orders, including any orders that may be executed without the required Margin in the Client's account. 5. ASL shall have the discretion to allow or disallow trading by the client in certain scrips / contracts / products / services. 6. No transaction request shall be assumed to be executed / modified until a confirmation from ASL is received by the Client. 7. The client authorizes ASL to close out the transactions in case the Client fails to make full payment to ASL or if there is debit in client's account with ASL. Also, ASL may square off open client's margin/leveraged positions in case the scrip price is nearing its daily price band or due to any adverse development concerning the client's position or scrip. 8. The client agrees that ASL shall not be liable for non-execution or delay in the execution of any order due to system/network issue or due to any reason beyond the control of ASL. 9. The client shall pay to ASL outstanding debit balance if any in his/her account from time to time without any delay. In case of delay, interest on delayed payment @ 18 % per annum shall be charged on outstanding amount including on interest amount already charged. 10. The losses incurred on client's account will be to the account of the client only. Neither ASL nor any of its employees/agents shall in any circumstances be liable for any loss, lost profits, cost, liability, expense or damage occurred {to the client. 11. The client authorises ASL to obtain details in relation to the transactions and balances in respect of the securities held in his/her demat account for the purpose of collating and displaying details in the personalised portfolio watch page. The client acknowledges that the services under 'Portfolio Watch' being provided are as an add on facility and for client convenience only and ASL shall not be liable for any inaccurate display of data due to any unintended error etc. 12. The client authorizes ASL to deposit from time to time client's collateral and deposits with the Exchanges/Clearing Corporation for meeting client's margin requirements and other obligations. 13. The client authorises ASL to provide the communications through SMS and/or telephone calls on the registered mobile number(s), even if the clients contact number is registered with the National Do Not Call Registry etc. The client confirms that he/she shall not make any complaint to the TRAI/Service provider in relation to any call/communications received from ASL and shall not hold ASL liable. 14. The client authorizes ASL to place Mutual Fund transactions as per the instructions provided. 15. The client authorise ASL to set off outstanding in any of the account of the client against credits available or arising in any other accounts/segments/exchanges maintained with ASL. 16. The client authorizes ASL to use the client account details/KYC details/Bank Debit card details/registered telephone numbers/TPIN etc. as method of verification of the client's identity as the caller and then take orders, instructions from the caller over the phone. All such orders, instructions etc. shall be deemed to have been placed by the client and bidding on the client. 17. The Client acknowledges that he/itis fully aware of and understands the risks associated with availing of the services for routing orders over the telephone including the risk of misuse and unauthorized use of his/its details and/or username and/or TPIN and/or Bank Debit card details by a third party. The Client agrees that he/it shall be fully liable and responsible for any and all unauthorized transactions and unauthorized use of the above. 18. The client shall not have recourse to dispute redressal mechanism/arbitration mechanism/investor protection schemes of the Stock Exchanges/SEBI, in case the client avails services under any schemes/leagues/competitions etc. offered by any third party/group company/associate of ASL, and concerning such services. 19. The client agrees that non-receipt of bounced mail notification by ASL shall amount to delivery of the contract note at the email ID of the client. 20. The Trading Member may keep the unutilised margin deposits of the client in bank deposits. However, no interest shall be passed on to the client earned for such deposits. 21. I have opted to receive Part B comprising of Rights & Obligations (Trading and Demat separately), Uniform Risk Disclosure document and Guidance Note etc. in the form of  Physical  Electronic (If the applicant does not select the check box, default option is physical for forms received in Physical and Electronic for others). 22. I/We hereby expressly consent to and authorize Axis Securities Limited (whether acting by itself or whether in an automated manner or otherwise), to seek/ share my personal information regarding my demat / bank account from/ with Axis Bank Limited including details of transactions effected by me/ us, and Funds/Securities (demat account) balances in relation of the securities held in my/our name, for the purposes of displaying such details on app/website of Axis Bank for the sake of my convenience and better viewing experience of my account balances on one platform, and for completing settlement of transactions.

### RUNNING ACCOUNT AUTHORISATION

I/We hereby authorise ASL as follows, in respect of my/our trading account with ASL:

To maintain my account, on a running account basis, i.e. instead of paying to me/us any amounts representing payouts, settlement dues, marked to market profits on the settlement date, to retain, withhold, set-off and / or appropriate for such purposes and in such manner as ASL may deem fit, including towards settling outstanding obligations on a settlement date. I/We understand and agree that no interest will be payable to me/us on the deposits or amounts lying to my/our credit with ASL. This authorization may be revoked by me/us at any time by giving ASL written intimation.

I/We request you to settle my/our account on a  Monthly  Quarterly basis (If the client does not select the checkbox, default option is Quarterly)

### ADDITIONAL TERMS & CONDITIONS OF BROKERAGE PLANS

I/We hereby agree and confirm the following Terms & Conditions of Brokerage Plans (applicable only if the client subscribes to the same).

1. On completion of the Validity Period of the Plan, client may choose to subscribe to the existing or new Plan, on the terms and conditions applicable at that time. Client needs to submit physical request or in any other manner prescribed by ASL. 2. The plan is subject to regulatory norms in force from time to time and may be discontinued under any regulatory directions or for any reason, without giving prior intimation to the client.

1st Holder Signature

2nd Holder Signature

3rd Holder Signature

Date:





## FORM FOR NOMINATION

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

Nomination Registration No. \_\_\_\_\_

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

### NOMINATION OPTION

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

 I wish to nominate Demat & Trading Account [As per details given below]




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

### NOMINATION DETAILS

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

**Nomination can be made upto three nominees in the account.**

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

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

**Notes:**

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

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

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

**First Holder**

I state that mobile number \_\_\_\_\_

Belonging to  Self  Spouse  Dependent Children  Dependent Parent

And Email ID \_\_\_\_\_

Belonging to  Self  Spouse  Dependent Children  Dependent Parent

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

**Second Holder**

I state that mobile number \_\_\_\_\_

Belonging to  Self  Spouse  Dependent Children  Dependent Parent

And Email ID \_\_\_\_\_

Belonging to  Self  Spouse  Dependent Children  Dependent Parent

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

**Third Holder**


I state that mobile number \_\_\_\_\_


Belonging to  Self  Spouse  Dependent Children  Dependent Parent


And Email ID \_\_\_\_\_

Belonging to  Self  Spouse  Dependent Children  Dependent Parent

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

 1st Holder Signature

 2nd Holder Signature

 3rd Holder Signature

Name of the Client \_\_\_\_\_

Trading Code \_\_\_\_\_

Demat Account Number \_\_\_\_\_

Date of Birth     

**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.

**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

**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)**

- |                                               |                                           |                                         |
|-----------------------------------------------|-------------------------------------------|-----------------------------------------|
| <input type="checkbox"/> Passport             | <input type="checkbox"/> Election Id Card | <input type="checkbox"/> PAN Card       |
| <input type="checkbox"/> Driving License      | <input type="checkbox"/> UIDAI Letter     | <input type="checkbox"/> NREGA Job Card |
| <input type="checkbox"/> Govt. Issued ID Card |                                           |                                         |

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