AXIS DIRECT

# Account Opening Form- Individual

| | |
|---|---|
| Name of Trading / Clearing Member | Axis Securities Limited |
| SEBI Registration No. and Date | NSE, BSE, MSEI, MCX, NCDEX - Single Registration No. INZ000161633, December 22, 2017<br>CDSL, NSDL - Single Registration No. IN -DP -403 -2019 |
| Registered Office Address | Axis Securities Ltd., Unit 002, Building - A, Agastya Corporate Park Piramal Realty, Kamani Junction Kurla West, Mumbai - 400 070. |
| Correspondence Office Address | Axis Securities Ltd., Aurum Q Parć, Q2 Building, U nit No. 1001, 10th Floor, Level - 6, Plot No. 4/1 TTC, Thane - Belapur Road, Ghansoli, Navi Mumbai, Pin Code - 400710 |
| Compliance Officer Name | Mr. Rajiv Kejriwal |
| Phone No. & Email ID | 022 -6855 5574, compliance.officer@axisdirect.in |
| CEO Name | Pranav Haridasan (Managing Director) |
| Phone No. & Email ID | 022 -6855 5565, ceo@axisdirect.in |

For Any grievance/dispute please contact ASL at the above address or email: helpdesk@axisdirect.in.

Customer can send their DP related grievance to: dphelp@axisdirect.in; NSDL at relations@nsdl.co.in / participant_interface@nsdl.com or on (022) 24994200; CDSL at complaints@cdslindia.com or on Toll Free - 1800-22-5533;

NSE at ignse@nse.co.in or on (022) 2659 81 90 / 1800 22 0058; BSE at BSE-Email-is@bseindia.com or on (022) 22728097

NCDEX at ig@ncdex.com or on (022) 66406789; MSEI at Email-investorcomplaints@msei.in / MCX at grievance@mcxindia.com or on (022) 67319000, (022) 67318888.



V3.0/2-in-1 AOF

## INDEX

Part B of Demat & Trading A/c. Opening Form (Additional Terms & Conditions, Rights and Obligations, Risk Disclosure Document, Guidance Note etc.)

**INDEX OF DOCUMENTS (TRADING & DEMAT ACCOUNT OPENING FORM-PART A)**
**MANDATORY DOCUMENTS AS REQUIRED BY AXIS SECURITIES LIMITED**

| SI. No. | Name of the Document | Brief Significance of the Document |
|---|---|---|
| 1 | KYC Application Form | Application for KYC Registration |
| 2 | Account Opening Form | Document captures the basic and additional information about the client relevant to Trading and Demat account. |
| 3 | Other KYC Details | Document captures other additional KYC details for Trading Account |
| 4 | Tariff Sheet | Document detailing the rate of brokerage levied on the client for trading on the stock exchange(s). |

**VOLUNTARY DOCUMENTS AS REQUIRED BY AXIS SECURITIES LIMITED**

| SI. No. | Name of the Document | Brief Significance of the Document |
|---|---|---|
| 5 | Value Added Plans | Lays down details & T&C of value added plans |
| 6 | Nomination | Details form of nomination |
| 7 | Power of Attorney & DDPI | Conferring rights on Axis Securities Limited (ASL) to debit/credit /block/ unblock funds the linked bank account. |
| 8 | Terms & Conditions | Lays down Terms & Conditions applicable to Client Account |

**INDEX OF DOCUMENTS (PART B) MANDATORY DOCUMENTS AS REQUIRED BY AXIS SECURITIES LIMITED**

| SI. No. | Name of the Document | Brief Significance of the Document |
|---|---|---|
| 1 | Rights and Obligations (Trading) | Document stating the Rights & Obligations of stock broker/trading member, sub -broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading) |
| 2 | Risk Disclosure Document (RDD) | Document detailing risks associated with dealing in the securities / commodities market |
| 3 | Guidance Note | Document detailing do's and dont's for trading on exchange for the education of the investors |
| 4 | Rights and Obligations (Demat) | Document stating the Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI an Depositories |
| 5 | Rights and Obligations (Margin Trading) | Document stating the Rights & Obligations relating to Margin Trading facility |
| 6 | Policies and Procedures | Document describing significant policies and procedures pertaining to the trading account |

**VOLUNTARY DOCUMENTS AS REQUIRED BY AXIS SECURITIES LIMITED**

| SI. No. | Name of the Document | Brief Significance of the Document |
|---|---|---|
| 7 | Additional Terms & Conditions | Lays down other Terms & Conditions applicable to client account |

# Account Opening Form- Individual

## INSTRUCTIONS - FORM FILLING

1. Please ensure all required signatures are affixed.
2. Please fill the form in ENGLISH and in BLOCK letters. Strike off whichever is not applicable.
3. Use of white ink is not permitted for any correction or alteration./correction on the Account Opening Form (hereinafter referred to as AOF).
4. Any alteration/correction must be authenticated should be attested by applicants full signature.
5. Self-attested copy of PAN card is mandatory.
6. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as mentioned below (2 copies each).
7. If any proof of identity or address is in a foreign language, then must be translated into English.
8. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
9. If correspondence & permanent address are different, then proofs for both have to be submitted.
10. Sole proprietor must make the application in his individual name & capacity.
11. 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. Please provide details as per the EDD questionnaire.
12. Documents having an expiry date should be valid on the date of submission.
13. Demat master or recent holding statement issued by DP bearing name of the client.
14. 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.
15. Additional documents in case of trading in derivatives segments - illustrative list:

a) Copy of ITR Acknowledgment b) Copy of Annual Accounts c) In case of salary income - Salary Slip, Copy of Form 16 d) Net Worth Certificate e) Bank Account Statement for last 6 Months f) Copy of Demat Account Holding Statement g) Any other relevant documents substantiating ownership of assets. h) Self declaration along with relevant supporting documents.

In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.

16. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker office.

**MANDATORY DOCUMENT/INFORMATION/ REQUIREMENTS**

1. Filling in telephone number (mobile or landline) is mandatory.
2. One passport-size photograph is required for all Demat Account holders.
3. Complete postal address (city, state, PIN code) exactly as stated as it appears in the proof of residence submitted.
4. 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.
5. Sikkim client address proof is mandatory.

**ACCOUNT**

1. Trading Account would be in the name of First Applicant only. For the purpose of seamless transactions, the First Applicant would need to have a Bank Account (either sole or joint) and a Demat Account (either sole or joint).
2. Joint Holder and Nominee cannot be the same person for Demat Account.
3. For Demat Account, the witness cannot be the co-holder/joint holder or a member of the HUF.
4. Thumb impressions or signatures in languages other than English, Hindi, or any of the other language not listed in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.

**EXEMPTION / CLARIFICATION TO PAN** (Sufficient documentary evidence is required to support such claims.)

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. SIP of Mutual Funds upto Rs 50,000/-p.a.

List of people authorised to attest the document: Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).

**NOMINATION FOR DEMAT ACCOUNT**

1. The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non-individuals (society, trust, body corporate, firm, Karta of HUF, POA holders) 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 cannot 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 applicable exchange control regulations, 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 shall be valid discharge by the depository and the Participant against the legal heir
6. The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non-individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
7. On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee.
8. Any one of the following requirement should be provided by Nominee /guardian:- PAN number, Adhaar number, Saving Bank A/c details, Copy of proof of identity, Demat A/c details.
9. In case existing Demat account holder wish to update/modify nomination details, please submit separate nomination form.

AXIS DIRECT

# Account Opening Form- Individual

I/we wish to open a new

☐ Demat A/c ☐ Trading A/c ☐ Demat A/c with NSDL ☐ CDSL ☐ BSDA* *(*If not indicated will be treated as 'NO')*

| Status | Sub-Status |
|---|---|
| ☐ Individiual | ☐ Individual Resident ☐ Individual Director ☐ Individual Promoter ☐ Individual Directors Relative |
| | ☐ Other (Specify) ____________ |

## 1. A/C HOLDER DETAILS

1st Holder Name: ______ ____________________

2nd Holder Name: ______ ____________________

3rd Holder Name: ______ ____________________

## 2. TRADING PREFERENCE Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you

| Exchange | BSE, NSE & MSEI | | | MCX, NCDEX |
|---|---|---|---|---|
| All Segment ☐ | ☐ Equity | ☐ Currency | ☐ SLBM | ☐ *Commodity Derivatives |
| | ☐ F&O | ☐ Debt | ☐ MFD | |

*Note: For derivative products please submit valid financial proofs*

If you do not wish to trade in any of segments / Mutual Fund, please mention here ____________ As per Trading preference guideline

## 3 BANK A/C details for linking with Demat and Trading Account

Name of Bank: ____________ Account Number: ____________

Type of Account: ____________ IFSC Code: ____________ MICR Code: ____________

Branch Address: ____________

Customer Id: Customer ID for Axis Bank Customer only (Optional)

## 4. DEMAT A/C DETAILS FOR LINKING WITH TRADING ACCOUNT

Name of DP: ____________ Name of Beneficiary owner: ____________

Depository (NSDL/CDSL): ____________ DPID: ____________ Beneficiary ID: ____________

| First Holder - Other Details (For Trading & Demat Account) | |
|---|---|
| Gross Annual Income Details **Or** Net-worth in ₹. | Please tick (1): ☐ Upto 1 Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ >25 Lac<br>(*Net worth should not be older than 1 year) as on (date) ____________ |
| Occupation | (Please tick any one and give brief details) :<br>☐ Private Sector Service ☐ Government Service ☐ Professional ☐ Retired ☐ Student<br>☐ Public Sector ☐ Business ☐ Agriculturist ☐ Housewife<br>☐ Other source of income ____________ Please specify |
| PEP | ☐ Politically Exposed Person ☐ Related to a Politically Exposed Person<br>☐ Not a Politically Exposed Person/Not related to a Politically Exposed Person/Not affiliated to Politically Exposed Person |
| Is your Tax Residency/ Country of Birth/ Citizenship/Nationality other than India? ☐ Yes ☐ No | |
| # FATCA/CRS | Country of Birth ____________ Country of Citizenship ____________<br>Residence for Tax Purposes ____________ Country of Nationality ____________<br>US Person ☐ Yes ☐ No *Tax identification Number ____________<br># To include all countries other than India, where investor is Citizen / Resident / Green Card Holder / Tax Resident in those respective countries especially of USA, India and Canada.<br>*Incase tax identification number not available, kindly provide its functional equivalent. |
| Educational Qualification | ☐ Under Graduate ☐ Graduate ☐ Post Graduate ☐ Professional |

| | | |
|---|---|---|
| (1st / Sole Holder) | (2nd Holder) | (3rd Holder) |

AXIS DIRECT

# Account Opening Form- Individual

## CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual

**Important Instructions:**

A) Fields marked with * are mandatory fields.
B) Tick ' ✓ ' wherever applicable.
C) Please fill the form in English and in BLOCK letters.
D) Please fill the date in DD-MM-YYYY format.
E) For particular section update, please tick (✓) in the box section number and strike off the sections not required to be updated.
F) Please read section wise detailed guidelines / instructions at the end.
G) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
H) List of two character ISO 3166 country codes is available at the end.
I) KYC number of applicant is mandatory for update application.
J) The 'OTP based E-KYC' check box is to be checked for accounts opened using OTP based E-KYC in non-face to face mode.

| | | |
|---|---|---|
| **For office use only** (To be filled by financial institution) | Application Type* | ☐ New ☐ Update |
| | CKYC Number | (Mandatory for KYC update request) |
| | Account Type* | ☐ Normal ☐ Small ☐ Simplified (for low risk customers) |

## ☐ 1. PERSONAL DETAILS* (Please refer instruction A at the end)

☐ Name* (Same as ID proof) Prefix First Name Middle Name Last Name

Maiden Name Prefix First Name Middle Name Last Name

Father / Spouse Name Prefix First Name Middle Name Last Name

Mother Name Prefix First Name Middle Name Last Name

Date of Birth* DD/MM/YYYY

Gender ☐ M- male ☐ F- Female ☐ T- Transgender

PAN Number ☐ Form 60 furnished

Residential Status ☐ Resident Individual ☐ Non - Resident Indian ☐ Foreign National ☐ Person of Indian origin

Marital Status ☐ Single ☐ Married ☐ Others

Citizenship ☐ Indian ☐ Others Please specifiy

## ☐ 2. CORRESPONDENCE 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

Photo and Signature across the photo

**Address**

Line 1*

Line 2*

Line 3*

City / Town / Village*

District* Pin/Post Code*

State/U.T Code* ISO 3166 Country*

## ☐ 3. PERMANENT ADDRESS

☐ Same as above mentioned address (In such cases address details as below need not be provided)

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



V3.0/2-in-1 AOF

# Account Opening Form- Individual

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

IV ☐ Deemed Proof of Address - Document Type code ______

V ☐ Self Declaration

**Address**

Line 1* ______

Line 2* ______

Line 3* ______

City / Town / Village* ______

District* ______ Pin/Post Code* ______

State/U.T Code* ______ ISO 3166 Country* ______

## ☐ 4. CONTACT DETAILS (All communications will be sent to Mobile number/ Email-ID provided) (Please refer instruction C at the end)

Mobile No. ISD ______ Belongs to ☐ Self ☐ Spouse ☐ Dependent Parent ☐ Dependent Children

Email ID ______ Belongs to ☐ Self ☐ Spouse ☐ Dependent Parent ☐ Dependent Children

Tel.(Office) ______ Tel.(Residence) ______

## ☐ 5. REMARKS (If any)

______

## 6. APPLICANT 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 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 a 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.

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

Date ______ Place ______

(Signature / Thumb Impression)

Place: Signature / Thumb Impression of Applicant

## 7. KYC VERIFICATION OF DOCUMENT VERIFIED WITH ORIGINALS AND IN-PERSON VERIFICATION DONE BY

**Document Received:** ☐ Certified Copies ☐ E-KYC data received from UIDAI ☐ Data received from offline verification ☐ Digital KYC Process ☐ Equivalent e-document

Name / Code of the Employee and name of the organization: ______

Designation: ______

IPV Done on Date: DD/MM/YYYY

For Axis Securities Ltd.

Signature of Verifier

Stamp of Organization

# Account Opening Form- Individual

| Second Holder - Other Details (For Trading & Demat Account) | |
|---|---|
| Gross Annual Income Details **Or** Net-worth in ₹. | Please tick (1): ☐ Upto 1 Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ >25 Lac<br>(*Net worth should not be older than 1 year) ____ as on (date) ____ |
| Occupation | (Please tick any one and give brief details) :<br>☐ Private Sector Service ☐ Government Service ☐ Professional ☐ Retired ☐ Student<br>☐ Public Sector ☐ Business ☐ Agriculturist ☐ Housewife<br>☐ Other source of income ____ Please specify |
| PEP | ☐ Politically Exposed Person ☐ Related to a Politically Exposed Person<br>☐ Not a Politically Exposed Person/Not related to a Politically Exposed Person/Not affiliated to Politically Exposed Person |
| Any Other Information | |
| # FATCA/CRS | Country of Birth ____ Country of Citizenship ____<br>Residence for Tax Purposes ____ Country of Nationality ____<br>US Person ☐ Yes ☐ No *Tax identification Number ____<br># To include all countries other than India, where investor is Citizen / Resident / Green Card Holder / Tax Resident in those respective countries especially of USA, India and Canada.<br>*Incase tax identification number not available, kindly provide its functional equivalent. |
| Educational Qualification | ☐ Under Graduate ☐ Graduate ☐ Post Graduate ☐ Professional |

| Third Holder - Other Details (For Trading & Demat Account) | |
|---|---|
| Gross Annual Income Details **Or** Net-worth in ₹. | Please tick (1): ☐ Upto 1 Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ >25 Lac<br>(*Net worth should not be older than 1 year) ____ as on (date) ____ |
| Occupation | (Please tick any one and give brief details) :<br>☐ Private Sector Service ☐ Government Service ☐ Professional ☐ Retired ☐ Student<br>☐ Public Sector ☐ Business ☐ Agriculturist ☐ Housewife<br>☐ Other source of income ____ Please specify |
| PEP | ☐ Politically Exposed Person ☐ Related to a Politically Exposed Person<br>☐ Not a Politically Exposed Person/Not related to a Politically Exposed Person/Not affiliated to Politically Exposed Person |
| Any Other Information | |
| # FATCA/CRS | Country of Birth ____ Country of Citizenship ____<br>Residence for Tax Purposes ____ Country of Nationality ____<br>US Person ☐ Yes ☐ No *Tax identification Number ____<br># To include all countries other than India, where investor is Citizen / Resident / Green Card Holder / Tax Resident in those respective countries especially of USA, India and Canada.<br>*Incase tax identification number not available, kindly provide its functional equivalent. |
| Educational Qualification | ☐ Under Graduate ☐ Graduate ☐ Post Graduate ☐ Professional |

**A) 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 & 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 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 https://www.axisdirect.in/. The Rules and Regulations bye laws 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

| | | |
|---|---|---|
| (1st / Sole Holder) | (2nd Holder) | (3rd Holder) |

AXIS DIRECT

# Account Opening Form- Individual

## ADDITIONAL DETAILS

a) I wish to receive ☐ Physical Contract Note / ☐ Electronic Contract Note

b) I wish to avail the facility of internet trading wireless technology: (Please specify): ☐ Yes ☐ No

c) Choose your trading experience ☐ No Experience ☐ Upto 1 Year ☐ Upto 2 Years ☐ Upto 3 Years ☐ Upto 4 Years ☐ 5+ Years

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

d) Mode of receiving Demat Account Statement and Annual Report: ☐ Electronic ☐ Both (Physical & Electronic)

Account statement frequency: ☐ As per SEBI Regulation ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly

e) I/We request you to send electronic transaction cum holding statement at the email ID ☐ Yes ☐ No

f) Share the email ID with RTA ☐ Yes ☐ No

g) DP account to be operated through DDPI ☐ Yes ☐ No

h) I/we authorize you to receive credit automatically into my A/c ☐ Yes ☐ No

i) I/we want to receive the Delivery Instruction Slip booklet (DIS) ☐ Yes ☐ No (If not indicated, will be treated as 'No')

j) Mandatory for the first Demat account holder for receiving credit of Dividend / Interest) Please give NRE Bank details only in case Demat account is to be opened as NRE & NRO

Bank A/C type ____________ Savings A/C ____________ Current A/C ____________

Other (pls specify) ____________

Account NO. ____________ RGS/NEFT/IFSC Code ____________ MICR Code ____________

Please attach photo copy of Blank / Cancelled cheque to verity the 9 digit MICR code (for Non Axis Bank A/C's only)

Bank Name ____________ Branch code if Axis Bank A/C ____________

Branch Address ____________

City /Town / Village ____________

Country ____________ State ____________ PIN (mandatory) ____________

k) I/We hereby state: ☐ I do not have a GST Number / ☐ I have a GST Number (optional or if applicable)

l) SMS alert facility(Mandatory if DDPI is given) Mobile Number: +91 ☐☐☐☐☐☐☐☐☐☐

m) 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

n) Mode of Operation for Demat account (Mandatory in case of Joint Demat account holders) ☐ First holder ☐ Jointly ☐ Anyone of the holder or survivor

o) Communications to be sent to (Mandatory in case of Joint Demat account holders) ☐ First holder ☐ All joint account holders

p) I / We would like to instruct the DP to accept all the pledge instructions in my/our joint account, without any other further instructions from my/our end (if not marked, the default would be "No") ☐ Yes ☐ No

q) I/We authorize you to receive credit automatically into A/c. ☐ Yes ☐ No

To register for easi, please visit website www.cdslindia.com (Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.

r) I am Differently abled person: ☐ Yes ☐ No

## PAST ACTIONS PLEASE (✓) AS APPLICABLE

Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years: ☐ No

☐ If yes, please specify: Please specify ____________

## DEALING THROUGH AUTHORISED PERSONS AND OTHER STOCK BROKERS ☐ Yes ☐ No

**If client is dealing through the AP with any Other Stock Broker provide the following details** (If registered with multiple members, provide details of all)

AP/Stock Broker ____________ SEBI / AP Registration No. ____________

Registered office address: ____________

Phone: ____________ Fax: ____________ Website: ____________

Name of Exchange (if yes) ____________ Client Code: (as given by the other broker) ☐☐☐☐☐☐☐☐☐☐

Details of disputes/dues pending from/to such stock broker/AP ____________

| | | |
|---|---|---|
| (1st / Sole Holder) | (2nd Holder) | (3rd Holder) |



V3.0/2-in-1 AOF

AXIS DIRECT

# Account Opening Form- Individual

## TARIFF SHEET (If different from below, Kindly specify the plan:________________)

| Plan Code | Account Opening Charges (With GST 18%) | Special Brokerage rate Validity Period |
|---|---|---|
| Prosperity/Fixed Brokerage Plan | NA | NA |
| Axis Direct Select Plan | Rs. 1,179/- | Lifetime |
| Axis Direct Select Plus Plan | Rs. 3,539/- | Lifetime |
| Axis Direct Elite Plan | Rs. 6,555/- | Lifetime |
| Axis Direct Platinum Plan | Rs. 11,799/- | Lifetime |

## Brokerage Rates (Post utilisation of CDT)

| 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% | Rs. 10/- |
| Axis Direct Select Plan | 0.30% | 0.03% | 0.03% | Rs. 20/- |
| Axis Direct Select Plus Plan | 0.25% | 0.03% | 0.02% | Rs. 20/- |
| Axis Direct Elite Plan | 0.15% | 0.01% | 0.01% | Rs. 15/- |
| Axis Direct Platinum Plan | 0.07% | 0.01% | 0.01% | Rs. 10/- |

**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% per executed order and a maximum of Rs. 0.25 per share. In case the minimum brokerage calculated comes to more than Rs. 025 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 87 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,

Please specify ______________________________

Signature of the Introducer

## 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: D D M M Y Y Y Y

Signature of Authorised Signatory (ASL)

Seal/Stamp of the Stock Broker (ASL)



V3.0/2-in-1 AOF

# Schedule of Charges for Retail Customers

| DESCRIPTION OF CHARGES | REGULAR ACCOUNT | BASIC SERVICES DEMAT ACCOUNT (BSDA) | BASIS OF RECOVERY |
|---|---|---|---|
| **Account Opening Charge** | Nil | Nil | NA |
| **Account Closing Charge** | Nil | Nil | NA |
| **Annual Maintenance Charge**** | Axis Bank Customer<br>First Year: NIL<br>Second Year Onwards: Rs. 750/-<br><br>Non-Axis Bank Customer<br>First Year: Rs. 350/-<br>Second Year Onwards: Rs. 750/- | For Debt Securities<br>Holding Value:<br>• Upto Rs. 4,00,000 : NIL<br>• Rs. 4,00,001 to Rs. 10,00,000 : Rs. 100/-<br>• Above Rs. 10,00,000 : Tariff for regular accounts will be applicable<br><br>For other than Debt Securities<br>Holding Value:<br>• Upto Rs. 4,00,000 : NIL<br>• Rs. 4,00,001 to Rs. 10,00,000 : Rs. 100/-<br>• Above Rs. 10,00,000 : Tariff for regular accounts will be applicable | AMC for existing Demat Accounts to be recovered up-front every year. New Accounts would be charged on pro-rata basis from the Next Day of Account Opening. |
| **Demat Charges** | Rs. 100/- per certificate | Same as per regular account | To be recovered through monthly bill |
| **Remat Charges** | Rs. 200/- for every 100 securities or part thereof | Same as per regular account | To be recovered through monthly bill |
| **Courier Charges per Demat / Remat / Demat Rejection** | Rs. 100/- | Same as per regular account | To be recovered through monthly bill |
| **Ad-hoc Statement** | Rs. 100/- per Statement | Same as per regular account | To be recovered upfront |
| **DIS Booklet Charge** | First DIS Book (10 Leaves): NIL<br>Additional Booklet (10 Leaves): Rs. 100/- | Same as per regular account | To be recovered through monthly bill |
| **Account Modification Charges** | Modification in CML: Rs. 25/- per request KRA Upload/ Download: Rs. 50/- | Same as per regular account | To be recovered through monthly bill |
| **TRANSFER OF SECURITIES** | | | |
| **Credit Transactions** | Nil | Nil | NA |
| **Debit Transactions (Other than Debt Securities)** | 0.04% of the value of the transaction or Rs. 25/- (per Instruction) whichever is higher. | Same as per regular account | To be recovered through monthly bill |
| **Debit Transactions (Debt Securities)** | 0.01% of the value of the transaction subject to minimum of Rs. 50/- & maximum of Rs. 500/- per transaction | Same as per regular account | To be recovered through monthly bill |
| **Failed / Rejected Instruction** | Rs. 10/ - per Instruction | Same as per regular account | To be recovered through monthly bill |
| **PLEDGE SERVICES** | | | |
| **Creation** | Normal :<br>0.04% of the value of the transaction or Rs. 50/-<br>(per instruction) whichever is higher<br><br>Margin Pledge :<br>0.03% of the value of the transaction or<br>Rs. 25/- (per instruction) whichever is higher<br><br>Margin Trading Funding :<br>Rs. 25/- per instruction | Normal :<br>0.04% of the value of the transaction or Rs. 50/- (per instruction) whichever is higher<br><br>Margin Pledge :<br>0.03% of the value of the transaction or Rs. 25/- (per instruction) whichever is higher<br><br>Margin Trading Funding :<br>Rs. 25/- per instruction | To be recovered through monthly bill |
| **Closure / Invocation** | Normal :<br>0.04% of the value of the transaction or Rs. 50/-<br>(per instruction) whichever is higher<br><br>Margin Pledge : NIL<br><br>Margin Trading Funding : NIL | Normal :<br>0.04% of the value of the transaction or Rs. 50/- (per instruction) whichever is higher<br><br>Margin Pledge : NIL<br><br>Margin Trading Funding : NIL | To be recovered through monthly bill |

# Schedule of Charges for Retail Customers

| DESCRIPTION OF CHARGES | REGULAR ACCOUNT | BASIC SERVICES DEMAT ACCOUNT (BSDA) | BASIS OF RECOVERY |
|---|---|---|---|
| **NDU SERVICES** | | | |
| **Creation/ Closure / Invocation** | 0.02% of the value of the transaction or Rs. 50/-<br>(per instruction) whichever is higher | Same as per regular account | To be recovered through monthly bill |
| **SPEED -e (Applicable for NSDL)** | | | |
| **SPEED -e Annual Maintenance charges** | NSDL Charges (at actual) | NSDL Charges (at actual) | To be recovered through monthly bill |
| **SPEED -e Debit Transactions** | Rs.25/- per Instruction | Same as per regular account | To be recovered through monthly bill |
| **Freezing Instruction on SPEED -e** | Rs. 125/- per Instruction | Same as per regular account | To be recovered through monthly bill |
| **Quarterly(Physical) Statement** | Rs. 50/- | Same as per regular account | To be recovered through monthly bill |
| **MUTUAL FUND** | | | |
| **Debit Transactions** | Rs.25/- per Instruction | Same as per regular account | To be recovered through monthly bill |
| **Conversion of MF units represented by SOA into dematerialized form** | NIL<br>Rs.50/- per request as courier charges for mutual fund units. | NIL<br>Same as per regular account | To be recovered through monthly bill |
| **Reconversion of MF units into SOA** | Rs.50/- per Instruction | Same as per regular account | To be recovered through monthly bill |
| **Redemption of MF units through Participants** | Rs.25/- per Instruction | Same as per regular account | To be recovered through monthly bill |
| **Pledge Creation /Closure /Invocation** | Rs.25/- per Instruction | Same as per regular account | To be recovered through monthly bill |

Note: • In case of non -recovery of Demat service charges due to non -payment or inadequate balance in your linked bank account Or invalid bank account, the Depository services for your Demat account are liable to be discontinued. Any request for resuming the services will be charged at Rs. 200/ - per request as activation charge. Services will be resumed in a minimum of 3 to 5 working days from the date of receipt of request with us and on payment of all dues including activation charge. • In case of cheque bounce, charges will be Rs. 350/ -. • The above charges are exclusive of GST which will be levied as 'applicable' from time to time. • All charges mentioned above are inclusive of NSDL/CDSL charges including a settlement fee of Rs. 4/- per debit instruction for NSDL or Rs 3.25 (For Female) and Rs. 3.50 (Other than female) per debit instruction for CDSL.• The above rates are subject to change with 30 days prior intimation.• The value of holding shall be determined on the basis of the daily closing price or NAV of the securitiesor units of mutual funds, as the case may be. Where such price is not available, the last traded price shall be taken into account and for unlisted securities other than units of mutual funds, face value shall be taken in to account.

| | | |
|---|---|---|
| (1st / Sole Holder) | (2nd Holder) | (3rd Holder) |

AXIS DIRECT

# Nomination Form - Opt-in

**Annexure-A**

(To be filled by individual applying singly or jointly)

Date DD/MM/YYYY

NSDL ☐ CDSL ☐ (Please select any one)

Trading ID

NSDL DP ID I N 3 0 4 2 9 5 CDSL DP ID 1 2 0 4 9 2 0 0 Demat Client ID

## MANDATORY DETAILS

☐ 1. I / We wish to make nomination [as per details given below] (You can nominate upto 3 persons)

| | Details | 1st Nominee | 2nd Nominee | 3rd Nominee |
|---|---|---|---|---|
| 1 | Name of the nominee* | | | |
| 2 | Relationship with the Applicant* | | | |
| 3 | Date of Birth* | | | |

2. I want the following nomination details to be printed in the account / holding statements (tick one of the boxes below):

☐ Name of the Nominee(s) ☐ Whether nomination given: Yes / No (not name of the nominee)

3. Optional details of nomination:

| | Details | 1st Nominee | 2nd Nominee | 3rd Nominee |
|---|---|---|---|---|
| a | % Share of nominee** | | | |
| b | Mobile of nominee/guardian*** | | | |
| c | Email ID of nominee/ guardian*** | | | |
| d | Specify Personal identifier document<br>☐ Aadhaar (last four digit) ☐ PAN<br>☐ Driving Licence ☐ Passport | | | |

**equal share if % is not specified. **Any odd lot after division shall be transferred to the first nominee mentioned in the form.

*** The aforesaid details shall be optionally provided for the Guardian, in case of nominee is a minor. DP / MF RTA will be able to reach out to your nominee /guardian if you provide the contact details.

| Name & Signature of Account Holder(s) | 1st / Sole Holder | 2nd Holder | 3rd Holder |
|---|---|---|---|
| Name(s) of holder (s) | | | |
| Signature(s) of holder (s) / thumb impression | | | |

Details of Witness for Nomination (Mandatory if the account holder affixes thumb impression, instead of wet signature.)

| Name of the Witness | Witness 1 | Witness 2 |
|---|---|---|
| Address of Witness | | |
| Signature of Witness | | |

Date DD/MM/YYYY Place

Note:

- Investors can provide, changes or cancel nominations any number of times.
- The signature of all the joint holders shall be obtained for providing / changing nomination regardless of mode of operations.
- This nomination shall supersede any prior nomination made by the investor(s), if any.
- Investor have the right to receive acknowledgement of the nomination form for each instance of nomination / subsequent change.

AXIS DIRECT

# Nomination Form - Opt-out

**Annexure-B**

(To be filled by individual applying singly or jointly)

Date DD/MM/YYYY

NSDL ☐ CDSL ☐ (Please select any one)

Trading ID

NSDL DP ID I N 3 0 4 2 9 5

CDSL DP ID 1 2 0 4 9 2 0 0

Demat Client ID

## DECLARATION FOR OPTING-OUT OF NOMINATION

☐ I hereby confirm that I do not wish to appoint any nominee(s) to my demat account/ mutual fund folio at this point of time.

I understand that -

(i) the nomination helps to quickly identify the person for transfer of securities and helps in faster and smoother transmission of my securities to my legal heir(s) after my demise.

(ii) in the absence of a nomination, my legal heir(s) may require the submission of certain additional legal or court-issued documents which may delay the process of transmission of securities to my legal heir(s).

(iii) if no claim is made on the account / folio for a prolonged period after my demise, the holdings may be treated as unclaimed assets and they may be transferred to Investor Education and protection Fund Authority (IEPF) in accordance with the applicable regulatory framework.

I confirm that I have understood the above implications and that my decision to opt out of nomination is voluntary.

| Name & Signature of Account Holder(s) | 1st / Sole Holder | 2nd Holder | 3rd Holder |
|---|---|---|---|
| Name(s) of holder (s) | | | |
| Signature(s) of holder (s) / thumb impression | | | |

Details of Witness for Nomination (Mandatory if the account holder affixes thumb impression, instead of wet signature.)

| Name of the Witness | Witness 1 | Witness 2 |
|---|---|---|
| Address of Witness | | |
| Signature of Witness | | |

Date DD/MM/YYYY Place

Signature of two witness(es), along with name and address are required, if the account holder affixes thumb impression, instead of wet signature.

# Demat Debit and Pledge Instruction

## DEMAT DEBIT AND PLEDGE INSTRUCTION

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 to enable me / us to invest / trade in securities market and other products offered by Axis Securities Limited.

| Application No. | DEMAT ACCOUNT DETAILS | ☐ NSDL-IN304295 | ☐ CDSL-12049200 |
|---|---|---|---|
| | Client ID: | | |

| 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 StockExchange through the same Stock Broker. | 1st H<br>2nd H<br>3rd H |
| 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. | 1st H<br>2nd H<br>3rd H |
| 3. | Mutul Fund transaction being executed on Stock Exchange order entry platforms | 1st H<br>2nd H<br>3rd H |
| 4. | Tendering shares in open offers through Stock Exchange platforms | 1st H<br>2nd H<br>3rd H |

The demat account details of ASL/Clearing Members/Clearing Corporations/Exchanges, where client shares / commodities can be transferred / Pledged / Repledged for above purpose are mentioned below:

| DP Name | DP ID | BO ID | Account Name |
|---|---|---|---|
| AXIS SECURITIES LIMITED | 12049200 | 00209844 | POOL ACCOUNT – MCX |
| AXIS SECURITIES LIMITED | 12049200 | 07160299 | CLIENT SECURITIES MARGIN PLEDGE ACCOUNT |
| AXIS SECURITIES LIMITED | 12049200 | 07160305 | CLIENT SECURITIES UNDER MARGIN FUNDING ACCOUNT |
| AXIS SECURITIES LIMITED | 12049200 | 00000611 | POOL ACCOUNT |
| AXIS SECURITIES LIMITED | 12049200 | 00000630 | CLIENT ACCOUNT |
| AXIS SECURITIES LIMITED | 12049200 | 07781601 | CLIENT UNPAID SECURITIES PLEDGEE ACCOUNT |
| AXIS SECURITIES LIMITED | 12049200 | 07240769 | POOL ACCOUNT – NSCCL |
| AXIS BANK LIMITED | IN300484 | 13645375 | POOL ACCOUNT – NSE |
| AXIS SECURITIES LIMITED | 12049200 | 00000586 | POOL ACCOUNT – BSE |
| AXIS BANK LIMITED | IN300484 | 13645383 | POOL ACCOUNT – BSE |
| AXIS SECURITIES LIMITED | IN304295 | 50519672 | CLIENT SECURITIES UNDER MARGIN FUNDING ACCOUNT |
| AXIS SECURITIES LIMITED | IN304295 | 53348514 | CLIENT UNPAID SECURITIES PLEDGEE ACCOUNT |
| AXIS SECURITIES LIMITED | IN304295 | 50519656 | CLIENT SECURITIES MARGIN PLEDGE ACCOUNT |
| ICCL | 11000010 | 00015852 | BSE Early Pay-in Account |
| NCL | 11000011 | 00016449 | NSE Early Pay-in Account |

| | | |
|---|---|---|
| (1st / Sole Holder) | (2nd Holder) | (3rd Holder) |

# Bank Mandate

## 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,

☐ We hold the below mentioned account with Axis Bank Limited.

☐ 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 |
|---|---|
| Application No. | |
| CRN | |
| Account Number | |
| Bank Account Type | |
| Name of First / Sole Holder | |
| Name of Second Holder | |
| Name of Third Holder | |

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. 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 / in connection with the trades executed by me on the stock exchange through ASL 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 etc. 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, | / 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.
c. Continue the attempt to debit my/our above referred bank account till successful debit from my/our bank account

Name ____________________ Name ____________________ Name ____________________

| (1st / Sole Holder) | (2nd Holder) | (3rd Holder) |
|---|---|---|

# Bank Mandate

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

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, Facsimile 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 accounts), 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.infrom 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 any time / 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. | / We understand that the Mandate Holder shall not act subsequent to receipt of the intimation of such revocation. | / 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

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

Date ______________________

Place ______________________

| Name ______________________ | Name ______________________ | Name ______________________ |
|---|---|---|
| (1st / Sole Holder) | (2nd Holder) | (3rd Holder) |

## 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 work 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 accounts will be to the accounts 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 biding on the client. 17. The Client acknowledges that he/it is fully aware of and understands the risks associated with availing of the services for routing orders over the telephone including the risk of misuse and unauthorized use of his/its details and/or username and/or TPIN and/or Bank Debit card details by a third party. The Client agrees that he/it shall be fully liable and responsible for any and all unauthorized transactions and unauthorized use of the above. 18. The client shall not have recourse to dispute redressal mechanism/arbitration mechanism/investor protection schemes of the Stock Exchanges/SEBI, in case the client avails services under any schemes/leagues/competitions etc. offered by any third party/group company/associate of ASL, and concerning such services, 19. The client agrees that non-receipt of bounced mail notification by ASL shall amount to delivery of the contract note at the email ID of the client. 20. 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 ☐ Electrical (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. 23. I understand and acknowledge that my personal details, as provided to and/or available with Axis Securities Limited, may be used and shared further within and outside of the Organisations, as and when required.

I hereby authorize Axis Securities Limited to disclose and furnish such information to regulatory authorities, enforcement authorities, authorized persons, third parties, its parent company, affiliates, and/or the bank, as may be necessary, for purposes including but not limited to compliance requirements, completion of formalities, screening purposes, fulfilment of regulatory and statutory obligations, and reporting under applicable CBDT rules etc.

I hereby agree and understand that changes, modifications, and updates may be made to the account opening form, procedures, terms and conditions, agreements, etc., as and when required. I agree to periodically view and check the same on the Axis Direct website - https://www.axisdirect.in.

**CONSENT FOR MARGIN TRADING FACILITY (MTF)** ☐ Yes ☐ No.

I/we wish to avail the Margin Trading Facility (MTF). I/We confirm that I/we have received, read and understood, acknowledged and agreed to the Margin Trading Facility (MTF) Rights and Obligations as provided by the Axis Securities Ltd (ASL) in PART B of the account opening document.

## RUNNING ACCOUNT AUTHORISATION

I/We hereby authorize Axis Securities Limited (ASL) to maintain a running account of my funds, instead of settling funds on a 'settlement to settlement' basis, for the purpose of margin requirements and obligations across Exchange segments. I/We understand that the funds lying in my credit may be treated as upfront margin by ASL, at its discretion, to facilitate trading exposure.

I/We confirm that I/We shall not be entitled to any interest on the funds kept in the running account with ASL.

I/We am/are aware that I/We have the right to revoke this authorization at any time by giving written notice to ASL. I/We also understand that such revocation shall not be applicable to any outstanding obligations existing at the time of revocation. Further, ASL may retain funds expected to be required for meeting my margin and settlement obligations for the next five trading days, as per the guidelines issued by SEBI/Exchanges.

I/We understand and agree that the settlement of funds maintained in the running account shall be done in accordance with SEBI regulations, either on a monthly or quarterly basis, as per my selection below:

☐ Quarterly ☐ Monthly Basis

I/We further agree and confirm that no settlement of funds is required if I/We have provided margin in the form of Bank Guarantee (BG) or Fixed Deposit Receipts (FDR), in accordance with applicable SEBI/Exchange guidelines.

Date: ____________________

| | | |
|---|---|---|
| (1st / Sole Holder) | (2nd Holder) | (3rd Holder) |

Annexure A - Most Important Terms and Conditions (MITC)

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 |
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# Research Analyst Mandatory Terms and Conditions to Clients

## Annexure B - Most Important Terms and Conditions (MITC)

1. These terms and conditions, and consent thereon are for the research services provided by the Research Analyst (RA) and RA cannot execute/carry out any trade (purchase/sell transaction) on behalf of, the client. Thus, the clients are advised not to permit RA to execute any trade on their behalf.

2. The fee charged by RA to the client will be subject to the maximum of amount prescribed by SEBI/ Research Analyst Administration and Supervisory Body (RAASB) from time to time (applicable only for Individual and HUF Clients).

Note:
2.1. The current fee limit is Rs 1,51,000/- per annum per family of client for all research services of the RA.
2.2. The fee limit does not include statutory charges.
2.3. The fee limits do not apply to a non-individual client / accredited investor.

3. RA may charge fees in advance if agreed by the client, such advance shall not exceed the period of one year. In case of pre-mature termination of the RA services by either the client or the RA, the client shall be entitled to seek refund of proportionate fees only for unexpired period.

4. Fees to RA 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 RAASB).

5. The RA is required to abide by the applicable regulations/ circulars/ directions specified by SEBI and RAASB from time to time in relation to disclosure and mitigation of any actual or potential conflict of interest. The RA will endeavor to promptly inform the client of any conflict of interest that may affect the services being rendered to the client.

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

7. The RA cannot guarantee returns, profits, accuracy, or risk-free investments from the use of the RA's research services. All opinions, projections, estimates of the RA are based on the analysis of available data under certain assumptions as of the date of preparation/publication of research report.

8. Any investment made based on recommendations in research reports are subject to market risks, and recommendations do not provide any assurance of returns. There is no recourse to claim any losses incurred on the investments made based on the recommendations in the research report. Any reliance placed on the research report provided by the RA shall be as per the client's own judgement and assessment of the conclusions contained in the research report.

9. The SEBI registration, Enlistment with RAASB, and NISM certification do not guarantee the performance of the RA or assure any returns to the client.

10. For any grievances,

    Step 1: the client should first contact the RA using the details on its website or following contact details: (RA to provide details as per 'Grievance Redressal / Escalation Matrix')

    Step 2: If the resolution is unsatisfactory, the client can also lodge grievances through SEBI's SCORES platform at www.scores.sebi.gov.in

    Step 3: The client may also consider the Online Dispute Resolution (ODR) through the Smart ODR portal at https://smartodr.in

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

12. The RA 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 RA

13. Optional Centralised Fee Collection Mechanism: RA Shall provide the guidance to their clients on an optional 'Centralised Fee Collection Mechanism for IA and RA' (CeFCoM) available to them for payment of fees to RA.

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| (1st / Sole Holder) | (2nd Holder) | (3rd Holder) |

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# Research Analyst Mandatory Terms and Conditions to Clients

Axis Securities Limited ( herein after referred as ASL) having a Research Analyst ( RA) License vide SEBI Registration Number INH000000297 provides research services to the other services of the research entity. Pursuant to the SEBI Circular reference to SEBI/HO/MIRSD/MIRSD-PoD-1/P/-CIR/2025/004 dated January 08, 2025 mandates the disclosure to the client the teams and conditions of the research services offered including rights and obligations which are as under:-

1. Availing the research services: By accepting delivery of the research service, the client confirms that he/she has elected to subscribe the research service of the RA at his/her sole discretion. We hereby confirms that research services shall be rendered in accordance with the applicable provisions of the RA Regulations.

2. Obligations on RA: ASL and client shall be bound by SEBI Act and all the applicable rules and regulations of SEBI, including the RA Regulations and relevant notifications of Government, as may be in force, from time to time.

3. Client Information and KYC: The client shall furnish all such details in full as may be required by the RA in its standard form with supporting details, if required, as may be made mandatory by RAASB/SEBI from time to time.

RA shall collect, store, upload and check KYC records of the clients with KYC Registration Agency (KRA) as specified by SEBI from time to time.

4. Standard Terms of Service:

I/We have read and understood the terms and conditions applicable to a research analyst as defined under regulation 2(1)(u) of the SEBI (Research Analyst) Regulations, 2014, including the fee structure.

I/We are subscribing to the research services for our own benefits and consumption, and any reliance placed on the research report provided by research analyst shall be as per our own judgement and assessment of the conclusions contained in the research report.

I/We understand that –

i. Any investment made based on the recommendations in the research report are subject to market risk.

ii. Recommendations in the research report do not provide any assurance of returns.

iii. There is no recourse to claim any losses incurred on the investments made based on the recommendations in the research report.

Declaration of the RA that:

i. It is duly registered with SEBI as an RA pursuant to the SEBI (Research Analysts) Regulations, 2014 and registration number is INH000000297 dated April 13, 2015;

ii. It has registration and qualifications required to render the services contemplated under the RA Regulations, and the same are valid and subsisting;

iii. Research analyst services provided by it do not conflict with or violate any provision of law, rule or regulation, contract, or other instrument to which it is a party or to which any of its property is or may be subject;

iv. The maximum fee that may be charged by RA is ₹1.51 lakhs per annum per family of client.

v. The recommendations provided by RA do not provide any assurance of returns.

5. Consideration and mode of payment: The client shall duly pay to RA, the agreed fees for the services that RA renders to the client and statutory charges, as applicable. Such fees and statutory charges shall be payable through the specified manner and mode(s)/ mechanism(s).

6. Risk factors: The standard risks associated with investment in securities are as under :-

- Market Risk or Systematic Risk: It means that an investor may experience losses due to factors affecting the overall performance of financial markets and general economy of the country.
- Inflation Risk: Inflation risk is also called as purchasing power risk. It is defined as the chance that the cash flows from an investment would lose their value in future because of a decline in its purchasing power due to inflation.
- Liquidity Risk: Liquidity risk arises when an investment can't be bought or sold promptly.
- Business Risk: It refers to the risk that a business of a company might be affected or may stop its operations due to any unfavourable operational, market or financial situation.
- Volatility Risk: Volatility risk arises as the Companies' stock prices may fluctuate over time.
- Currency Risk: It refers to the potential risk of loss from fluctuating foreign exchange rates that an investor may face when he has invested in foreign currency or made foreign-currency-traded investments.

| (1st / Sole Holder) | (2nd Holder) | (3rd Holder) |
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# Research Analyst Mandatory Terms and Conditions to Clients

7. Conflict of interest: The RA shall adhere to the applicable regulations/ circulars/ directions specified by SEBI from time to time in relation to disclosure and mitigation of any actual or potential conflict of interest. The guidelines for avoiding or dealing with or managing conflict of interest are as under:-

a) lay down, with active involvement of senior management, policies and internal procedures to identify and avoid or to deal or manage actual or potential conflict of interest, develop an internal code of conduct governing operations and formulate standards of appropriate conduct in the performance of their activities, and ensure to communicate such policies, procedures and code to all concerned
b) at all times maintain high standards of integrity in the conduct of their business;
c) ensure fair treatment of their clients and not discriminate amongst them;
d) ensure that their personal interest does not, at any time conflict with their duty to their clients and client's interest always takes primacy in their advice, investment decisions and transactions;
e) make appropriate disclosure to the clients of possible source or potential areas of conflict of interest which would impair their ability to render fair, objective and unbiased services;
f) endeavor to reduce opportunities for conflict through prescriptive measures such as through information barriers to block or hinder the flow of information from one department/ unit to another, etc.;
g) place appropriate restrictions on transactions in securities while handling a mandate of issuer or client in respect of such security so as to avoid any conflict
h) not deal in securities while in possession of material non published information;
i) not to communicate the material non published information while dealing in securities on behalf of others;
j) not in any way contribute to manipulate the demand for or supply of securities in the market or to influence prices of securities
k) not have an incentive structure that encourages sale of products not suiting the risk profile of their clients
l) not share information received from clients or pertaining to them, obtained as a result of their dealings, for their personal interest;

8. Termination of service and refund of fees: Disclosure that the RA may suspend or terminate rendering of research services to client on account of suspension/ cancellation of registration of RA by SEBI and shall refund the residual amount to the client.

9. Grievance redressal and dispute resolution: Any grievance related to (i) non receipt of research report or (ii) missing pages or inability to download the entire report, or (iii) any other deficiency in the research services provided by RA, shall be escalated promptly by the client to the person/employee designated by RA, in this behalf (RA to provide name and e-mail ID of the designated person/employee).
   The RA shall be responsible to resolve grievances within 7 (seven) business working days or such timelines as may be specified by SEBI under the RA Regulations.
   RA shall redress grievances of the client in a timely and transparent manner.
   Any dispute between the RA and his client may be resolved through arbitration or through any other modes or mechanism as specified by SEBI from time to time.

10. Additional clauses: All additional voluntary clauses added by the RA should not be in contravention with rules/ regulations/ circulars of SEBI. Any changes in such voluntary clauses/document(s) shall be preceded by a notice of 15 days.

11. Mandatory notice: Clients shall be requested to go through Do's and Don'ts while dealing with RA as specified in SEBI master circular no. SEBI/HO/MIRSD-POD- 1/P/CIR/2024/49 dated May 21, 2024 or as may be specified by SEBI from time to time.

| (1st / Sole Holder) | (2nd Holder) | (3rd Holder) |
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