

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 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 Parc, Q2 Building, Unit 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 - Ph. No.022-40508080 & 022-61480808. In case not satisfied with the response, please contact the concerned exchange(s) at NSE-Email-ignse @nse.co.in Ph. No. 022-26598190 BSE-Email-is@bseindia.com Ph.No.022-22728097 & MSEI, Email-investorcomplaints@msei.in Ph. 022-67319000, grievance@mcxindia.com , 022- 67318888, NCDEX, Email - askus@ncdex.com Ph. No. 18002662339

For Receiving Statement of Account in Electronic form (Demat)

1. Client must ensure the confidentiality of the password of the email account.
2. Client must promptly inform the Participant if the email address has changed.
3. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.

****Important points to be noted regarding Demat AMC charges:**

- As per existing practice, customers who opt to close the account in the middle of the year will continue to receive the prorated AMC refund.
- For BSDA account value of holding will be determined on a daily basis, account will be levied higher applicable AMC on value of holding exceeding prescribed limit from the next day of exceeding

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.

LC Code

L G Code

Lead ID

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

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

1. Occupation of Holders (Please Tick)

1st Holder ☐ Private Sector ☐ Public Sector ☐ Govt. Service ☐ Business ☐ Professional

☐ Agriculturist ☐ Retired ☐ House-Wife ☐ Student ☐ Other

2nd Holder ☐ Private Sector ☐ Public Sector ☐ Govt. Service ☐ Business ☐ Professional

☐ Agriculturist ☐ Retired ☐ House-Wife ☐ Student ☐ Other

3rd Holder ☐ Private Sector ☐ Public Sector ☐ Govt. Service ☐ Business ☐ Professional

☐ Agriculturist ☐ Retired ☐ House-Wife ☐ Student ☐ Other

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

3. TRADING PREFERENCE Segment not chosen should be struck off)

Exchange	NSE,BSE			Other
All Segment	Cash/ Mutual Fund	F&O	Debt	
				

Note: While we are registered with multiple exchanges, we are not operational / offering services in MSEI Exchange, BSE SLBM, Debt and NSE Commodity Derivatives. We will keep you posted incase of any change.

4. Standing Instructions for DP

I/We authorize you to receive credits automatically into my/our account's ☒ ☐ (If not indicated, standing instruction will be treated as "Yes" for all accounts NRE-PIS, NRO-PIS & NRO-Non PIS and NRE- Non PIS).

I/We want to receive the Delivery Instruction Slip (DIS) booklet ☒ ☐ (if not indicated it will be treated as "No")

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

NRE SB Account		NRO SB Account	
Name of Bank:		Name of Bank:	
Bank A/c No.:		Bank A/c No.:	
Type of Account:		Type of Account:	
Cust. Id:		Cust. Id:	
IFSC Code:		IFSC Code:	
MICR Code:		MICR Code:	
Branch Address:		Branch Address:	

NRE RBI Reference No.: _____

RBI Approval Date DD/MM/YYYY

PIS A/c Details

A/c No.

Scheme Code

A/c No.

Scheme Code

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

6. Additional details

- Mode of receiving Demat statement and annual report : ☐ Physical ☐ Electronic ☐ Both
- Share the email ID With RTA ☐ Yes ☐ No
- Account statement frequency: ☐ As per SEBI Regulation ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly
- I/We request you to send electronic transaction cum holding statement at the email ID ☐ Yes ☐ No
- I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any further instruction from my or our end (if not marked the default option would be "No") ☐ Yes ☐ No
- I/we hereby state : ☐ I do not have GST Number ☐ I have GST Number as _____ Name of State _____
- SMS alert facility on registered Mobile Number ☐ Yes ☐ No
- Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please tick): ☐ Physical ☐ ECN
- Specify your Email id, for ECN: Same as mentioned in KYC form
- Whether you I/We wish to avail of the facility of ☐ internet trading/ ☐ wireless technology
- I/We wish to receive ☐ Physical Contract Note ☐ Electronic Contract Note
- Number of years of Investment/Trading Experience: _____ Any other information: _____
- Mode of Operation for Demat account (Mandatory in case of Joint Demat account holders) ☐ First holder ☐ Jointly
☐ Anyone of the holder or survivor
- Communications to be sent to (Mandatory in case of Joint Demat account holders) ☐ First holder ☐ All joint account holders

7. Tariff Plan (Demat / Trading)

I/We read & understood the terms & conditions and wish to avail the following plan (Pl. tick)

- ☐ Fixed Brokerage Plan ☐ Demat Tariff for retail ☐ Other Plan Code
(Trading)

Trading Account Opening Charges - Rs. 2500/-

Fixed Brokerage Plan

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

8. 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.simplehai.axisdirect.in. In The Rules and Regulations of the Depository and Depository Participant, pertaining to an account which are in force now, have been read by me/us and I/We have understood the same and I/We agree to abide by and to be bound by the rules as are in force from time to time for such account. I/We also declare that I/We have complied and will continue to comply with FEMA Regulation. I/We hereby undertake that I/We would comply with the guidelines prescribed by RBI vide its notification reference number FEMA 361/2016-RB dated 15th February 2016. I/We will not invest in securities prohibited for purchase vide above said RBI notification dated 15th February, 2016 or in any future RBI notification in this regard. I/We further confirm that the provided current address will be considered as Communication Address.

Date DD/MM/YYYY

Place _____

 1st Holder Signature

 2nd Holder Signature

 3rd Holder Signature

NRI Customers could call us on 91-22-61480809

OR write to: nri@axisdirect.in for Trading related query | dphelp@axisdirect.in for Demat related query

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

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

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

Marital Status ☐ Single ☐ Married ☐ Others

Citizenship ☐ Indian ☐ Others Please specify

☐ **2. PROOF OF IDENTITY AND ADDRESS***

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

☐ A- Passport Number Date of Issuance DD/MM/YYYY Date of Expiry DD/MM/YYYY

☐ B-Voter ID Card

☐ C-Driving Licence Date of Expiry DD/MM/YYYY

☐ D-NREGA Job Card

☐ E-National Population Register Letter

☐ F-Proof of Possession of Aadhaar

II ☐ E-KYC Authentication

III ☐ Offline verification of Aadhaar

☐ Photo and Signature across the photo

Signature

Address

Line 1*

Line 2*

Line 3*

City / Town / Village*

District* Pin/Post Code*

State/U.T Code* ISO 3166 Country

☐ **3. CURRENT ADDRESS DETAILS**

☐ 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

- 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. OTHER DETAILS**

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 (*Net worth should not be older than 1 year) _____ as on (date) _____
FATCA Details	Country of Birth _____ Country of Citizenship _____ Residence for Tax Purposes _____ Country of Nationality _____ US Person ☐ Yes ☐ No Tax identification Number _____ # 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. *Incase tax identification number not available, kindly provide its functional equivalent.

☐ **6. REMARKS (If any)**

☐ **7. 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 DD/MM/YYYY _____ Place _____

Signature / Thumb Impression of Applicant

☐ **8. ATTESTATION / FOR OFFICE USE ONLY**

Documents Received ☐ Certified Copies ☐ E-KYC data received from UIDAI ☐ Data received from Offline verification
☐ Equivalent e-document ☐ Video Based KYC ☐ Digital KYC Process

KYC VERIFICATION CARRIED OUT BY

Date _____
 Emp. Name _____
 Emp. Code _____
 Emp. Designation _____
 Emp. Branch _____

(Employee Signature)

INSTITUTION DETAILS

Date _____
 Institution Name _____

(Institution Stamp)

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

KYC KRA CONFIRMATION

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

PAST ACTIONS

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

DEALING THROUGH AUTHORISED PERSON

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

INTRODUCER DETAILS (OPTIONAL)

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

 Signature of the Introducer

PIO (Person of Indian Origin / OCI (Overseas Citizen of India) Declaration

I hereby declare that I am a person of Indian origin and I satisfy one of the following conditions. (Please select from the below mentioned choices as applicable to you)

- I held an Indian Passport.
- My father / mother / grandfather / grandmother is was a citizen of India.
- I am the spouse of an Indian citizen.
- I am the spouse of a PIO/ OCI.
- I hold PIO/OCI card.
- I belonged to a territory that became part of India after the 15th day of August, 1947.

I am attaching herewith supporting documents to satisfy the above declaration.

 Signature

Mariner's Declaration

I hereby declare and confirm that I am a Non-Resident Indian and I am presently on contract with a foreign registered company, details of which are provided in the documents submitted. I also confirm that I will inform the Bank /Broker, incase I do not renew my contract or choose to go on a new contract OR I am unable to proceed on a new contract or in any case in the event that my status of Non-Resident accounts opened in my name re-designated to Resident / RFC account (as applicable)

 Signature

Schedule of Charges for NRI Customers

DESCRIPTION OF CHARGES	REGULAR ACCOUNT	BASIC SERVICES DEMAT ACCOUNT (BSDA)	BASIS OF RECOVERY
Account Opening Charge	Nil		NA
Account Closing Charge	Nil		NA
Annual Maintenance Charge**	Axis Bank Customer: First Year: No AMC, Second Year Onwards: Rs. 750/- Non-Axis Bank Customer: First Year: Rs. 350/- Second Year Onwards: Rs. 750/-	Value: Upto Rs. 4,00,000/- : NIL From Rs. 4,00,001/- to Rs.10,00,000/- : Rs. 100/- Above Rs.10,00,000/- : AMC for regular accounts will be applicable	AMC for existing Demat Accounts be recovered up-front every year. New Accounts would be charged on pro-rata basis from the Next Day of Account Opening.
Demat Charges	100/- per certificate	Same as per regular account	be recovered through monthly bill
Remat Charges	Rs.200/- forevery 100 securities or part thereof	Same as per regular account	be recovered through monthly bill
Credit Transactions	Nil		
Debit Transactions	0.04% of the value of the transaction or Rs.25/- (per Instruction) whichever is higher	Same as per regular account	be recovered through monthly bill.
Failed /Rejected Instruction	Rs.10/- per Instruction	Same as per regular account	be recovered through monthly bill.
Ad-hoc Statement	Rs.100/- per Statement	Same as per regular account	be recovered upfront.
DIS Booklet Charge	Booklet(10 Leaves):Rs.100/-	Same as per regular account	be recovered through monthly bill
Account Modification Charges	Modificationin CML:Rs.25/-per KRA Upload/ Download: Rs. 50/-	Same as per regular account	be recovered through monthly bill
Courier Charges per Demat /Remat/ Demat Rejection	Rs.100/-	Same as per regular account	be recovered through monthly bill
PLEDGE SERVICES			
Creation /Closure / Invocation	0.04% of the value of the transaction or Rs. 50/- (per instruction) whichever is higher.	Same as per regular account	To be recovered through monthly bill
SPEED - e			
Annual Maintenance charges	NSDL Charges (at actual)	NSDL Charges (at actual)	To be recovered through monthly bill
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/-	Rs.25/- per statement	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 Rs.50/- per request as courier charges for mutual fund units.	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 securities or 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 Holder Signature

 2nd Holder Signature

 3rd Holder Signature

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

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

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

- To link my aforesaid Bank, Trading and Demat accounts
- 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.
- Continue the attempt to debit my/our above referred bank account till successful debit from my/our bank account

I / We declare that,

- 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.
- 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.
- 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 account(s), and issue pay- orders/demand drafts/ bankers cheques, wire transfer etc. from my/our account to honour all instructions given by Axis Securities Limited as aforesaid to its client / settlement bank account/s as updated on its website www.simplehai.axisdirect.in from time to time.

- d) any disputes arising out of transactions between us and Axis Securities Limited shall be resolved between us mutually and that I shall not raise it with Axis Bank Limited and shall not send any contrary instructions to Axis Bank Limited with respect to the bank account.
- e) I / We agree, that if in any case funds cannot be transferred to Axis Securities Limited toward my / our any obligation/s, may it be before or after the blocking of funds by Axis Securities Limited, I / We shall be responsible for any action including penalty levied by Exchanges / Clearing Corporation / any other authority.
- f) I / We understand that the said Mandate can be revoked by us by submitting a written revocation request, upon ensuring that 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

Name: _____

 1st Holder Signature

(1st / Sole Holder)

Name: _____

 2nd Holder Signature

(2nd Holder in Bank)

Name: _____

 3rd Holder Signature

(3rd Holder in Bank)

DEMAT DEBIT AND PLEDGE INSTRUCTION (THIS DOCUMENT IS VOLUNTARY)

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

NON-MANDATORY DOCUMENT

DEMAT DEBIT AND PLEDGE INSTRUCTION (THIS DOCUMENT IS VOLUNTARY)

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

Application No	DEMAT ACCOUNT TYPE	
	☐ NSDL -IN304295	☐ CDSL -12049200

DEMAT ACCOUNT DETAILS					
NRE PIS	Client ID		NRE Non PIS	Client ID	
NRO PIS	Client ID		NRO Non PIS	Client ID	

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

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

I/We declare that,

- This DDPI shall enable Transfer / Pledge / Re-pledge / Tendering of any securities from my / our account to the account of axis Securities Limited as updated on its website www.simplehai.axisdirect.in from time to time
- 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.
- 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.
- this DDPI shall be revoked only upon written request by me / us. However the revocation of this DDPI shall be affected only after fulfillment of my / our obligation pertaining to unsettled transactions and outstanding dues payable to Axis Securities Limited as per the terms and conditions of the services / products availed by me / us.

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

Sr. No.	Purpose	Signature of Client(s)
1	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same Stock Broker.	Sole/First Holder in Demat Account 
		Second Holder in Demat Account 
		Third Holder in Demat Account 
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.	Sole/First Holder in Demat Account 
		Second Holder in Demat Account 
		Third Holder in Demat Account 
3	Mutual Fund transactions being executed on Stock Exchange order entry platforms.	Sole/First Holder in Demat Account 
		Second Holder in Demat Account 
		Third Holder in Demat Account 
4	Tendering shares in open offers through Stock Exchange platforms.	Sole/First Holder in Demat Account 
		Second Holder in Demat Account 
		Third Holder in Demat Account 

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

Date DD/MM/YYYY

Place _____

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 binding on the client. 17. The Client acknowledges that he/she 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/her details and/or username and/or TPIN and/or Bank Debit card details by a third party. The Client agrees that he/she shall be fully liable and responsible for any and all unauthorized transactions and unauthorized use of the above. 18. The client shall not have recourse to dispute redressal mechanism/arbitration mechanism/investor protection schemes of the Stock Exchanges/SEBI, in case the client avails services under any schemes/leagues/competitions etc. offered by any third party/group company/associate of ASL, and concerning such services. 19. The client agrees that non-receipt of bounced mail notification by ASL shall amount to delivery of the contract note at the email ID of the client. 20. The Trading Member may keep the unutilised margin deposits of the client in bank deposits. However, no interest shall be passed on to the client earned for such deposits. 21. I have opted to receive Part B comprising of Rights & Obligations (Trading and Demat separately), Uniform Risk Disclosure document and Guidance Note etc. in the form of ☐ Physical ☐ Electronic (If the applicant does not select the check box, default option is physical for forms received in Physical and Electronic for others). 22. I/We hereby expressly consent to and authorize Axis Securities Limited (whether acting by itself or whether in an automated manner or otherwise), to seek/ share my personal information regarding my demat / bank account from/ with Axis Bank Limited including details of transactions effected by me/ us, and Funds/Securities (demat account) balances in relation of the securities held in my/our name, for the purposes of displaying such details on app/website of Axis Bank for the sake of my convenience and better viewing experience of my account balances on one platform, and for completing settlement of transactions.

RUNNING ACCOUNT AUTHORISATION

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

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

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

 (1st / Sole Holder)	 (2nd Holder)	 (3rd Holder)
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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 DD/MM/YYYY

 Signature of Authorised Signatory (ASL)

Seal/Stamp of the Stock Broker (ASL)

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

CDSL DP ID

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 ☐ Aadhaar (last four digit) ☐ PAN ☐ 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.

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

CDSL DP ID

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.

Annexure A - Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

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 / Sole Holder)

 (2nd Holder)

 (3rd Holder)

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. A 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.

 (1st / Sole Holder)

 (2nd Holder)

 (3rd Holder)

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 terms 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)

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)

LETTER OF AUTHORITY FOR NRE NON PIS TRANSACTIONS

I hereby authorize Axis Bank Ltd to honour all claims in the form of contract notes for purchases received from my share broker M/s Axis Securities Limited having SEBI Registration no. INZ000161633 and its registered office at Axis Securities Ltd, Unit 002 A, Building - A Agastya Corporate Park, Piramal Realty, Kamani Junction, Kurla West, Mumbai - 400 070 who have been authorized by me/us to execute sale and purchase transactions of shares on my/our behalf.

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

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

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

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

I further confirm that I shall not raise any objection or a claim against Axis Bank for acting on such instructions and in debiting and crediting my account.

I confirm that I shall ratify all the credits and debits which Axis Bank may carry out based on the instructions of this Letter of Authority and it shall be deemed as if the said transactions have been carried out by me.

I confirm that this Letter of Authority shall remain binding and irrevocable till such time this said Letter of Authority is revoked in writing by me. I confirm that not with standing the revocation Axis Bank shall continue to be indemnified for all the actions done prior to the said revocation.

Schedule of Charges for Non PIS Transactions

Type	Normal	Prime	Priority	Burgundy	Burgundy Private
Non PIS Reporting Charges*	200	200	150	100	NIL

*Non PIS Reporting Charges will be levied per trade date-separate for purchase and sale

Customer's Name _____

 Signature

LETTER OF AUTHORITY FOR NRO NON PIS TRANSACTIONS

I hereby authorize Axis Bank Ltd to honour all claims in the form of contract notes for purchases received from my share broker M/s Axis Securities Limited having SEBI Registration no. INZ000161633 and its registered office at Axis Securities Ltd, Unit 002 A, Building - A Agastya Corporate Park, Piramal Realty, Kamani Junction, Kurla West, Mumbai - 400 070 who have been authorized by me/us to execute sale and purchase transactions of shares on my/our behalf.

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

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

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

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

I further confirm that I shall not raise any objection or a claim against Axis Bank for acting on such instructions and in debiting and crediting my account.

I confirm that I shall ratify all the credits and debits which Axis Bank may carry out based on the instructions of this Letter of Authority and it shall be deemed as if the said transactions have been carried out by me.

I confirm that this Letter of Authority shall remain binding and irrevocable till such time this said Letter of Authority is revoked in writing by me. I confirm that not with standing the revocation Axis Bank shall continue to be indemnified for all the actions done prior to the said revocation.

Schedule of Charges for Non PIS Transactions

Type	Normal	Prime	Priority	Burgundy	Burgundy Private
Non PIS Reporting Charges*	200	200	150	100	NIL

*Non PIS Reporting Charges will be levied per trade date-separate for purchase and sale

Customer's Name _____

 Signature

LETTER OF AUTHORITY FOR PIS TRANSACTIONS

I hereby authorize Axis Bank Ltd to honour all claims in the form of contract notes for purchases received from my share broker M/s **Axis Securities Limited** having SEBI Registration no. **INZ000161633** and its registered office at **Axis Securities Ltd, Unit 002 A, Building - A Agastya Corporate Park, Piramal Realty, Kamani Junction, Kurla West, Mumbai - 400 070** who have been authorized by me/us to execute sale and purchase transactions of shares on my/our behalf.

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

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

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

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

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

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

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

I confirm that not with standing the revocation Axis Bank shall continue to be indemnified for all the actions done prior to the said revocation.

I hereby authorize Axis Bank Ltd to allow my above mentioned broker to have a "view only" access to my PIS account through i-connect. I hereby authorize Axis Bank Ltd to disclose the outstanding balance in my above account/s to my above mentioned broker whenever required by them.

Customer's Name _____

 Signature

REVOCATION OF LETTER

Date DD/MM/YYYY

To,
Axis Bank Limited,
PIS operations Team,
Mumbai.
Dear Sir / Madam,

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

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

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

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

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

PIS account Number _____ Contact Number _____

Thanking you.

Customer's Name _____

 Signature