



- 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 Code\* \_\_\_\_\_

 **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): <input type="checkbox"/> Upto 1 Lac <input type="checkbox"/> 1-5 Lac <input type="checkbox"/> 5-10 Lac <input type="checkbox"/> 10-25 Lac <input type="checkbox"/> >25 Lac <small>(*Net worth should not be older than 1 year)</small> as on (date) _____
FATCA Details	Country of Birth _____ Country of Citizenship _____ Residence for Tax Purposes _____ Country of Naitionality _____ US Person <input type="checkbox"/> Yes <input type="checkbox"/> No Tax identification Number _____ <small># 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.</small>

 **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 \_\_\_\_\_ Place \_\_\_\_\_

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)	

**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. If the originals are not produced. 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.
  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/sub-broker's 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. For an applicant who is a resident of Sikkim, where PAN Card is not available, Form 60/61 is mandatory in case of opening a new bank account.
4. Complete postal address (city, state, PIN code) exactly as stated as it appears in the proof of residence submitted.
5. All communication shall be sent at the address of the First/Sole holder only. It should be ensured that the email address of the first holder is correct all electronic correspondence will be sent at this address.

**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) with Axis Bank Limited (hereinafter referred to as "Axis Bank") and a Demat Account (either sole or joint) with Axis Securities Limited (ASL) or Axis Bank Limited (hereinafter referred to as "Depository Participant").
2. Joint Holder and Nominee cannot be the same person for Demat Account. Nomination must always be in favor of a single person but only in favour of a single person.
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. including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly all joint holders will sign the nomination form.
2. A minor can be nominated. In that event, the name and address of the Guardian of the minor Nominee shall be provided by the beneficial owner.
3. The nominee 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, Aadhar 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.